

# UCAT CONSORTIUM

## ANNUAL REPORT AND FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 MARCH 2019

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Company Registration Number: 05620264

Charity Registered Number: 1133667

The UCAT Consortium is the operating name of the UKCAT Consortium. The registered office is located at UCAT, D Floor, Medical School, University of Nottingham, Nottingham NG7 2UH

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## INTRODUCTION FROM THE CHAIR

This has been a year of further significant development and growth for our organisation.

We have recently welcomed Kent Medway Medical School, the University of Sunderland and Edgehill University to the Consortium, bringing the UK University membership to 30.

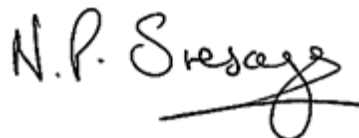
The collaboration between the UCAT Consortium and the consortium of universities in Australia and New Zealand developed over 2018/19, and an agreement between all parties was signed in the autumn. This licenses the use of the test in Australia and New Zealand, where it is delivered by our established provider, Pearson VUE. The relationship is managed by a Joint Committee which meets virtually on a regular basis to discuss issues relating to the delivery and development of the test. The two offices have worked closely and effectively together to ensure that there is equivalence (where possible) in the candidate experiences. The test has been delivered successfully in 2019 to approximately 14,000 candidates in Australia and New Zealand, with 13 institutions using the test for selection to medicine and dentistry.

In recognition of the growing international reach of the test, its name has been changed to the University Clinical Aptitude Test (UCAT). UCAT Consortium is now the operating name of the UKCAT Consortium (which remains the formal company name) and is used as such throughout this document.

The significant growth in candidate numbers in the UK over the last few years is to be welcomed. Assuming the growth is at least in part driven by the increase in medical schools and medical places, it is pleasing to see the early indications of some greater diversity in our testing population. Increased numbers have put additional pressure on capacity and existing processes, and we comment on this below.

Despite the expansion in the UK and internationally, UCAT continues to deliver a robust aptitude test with an excellent candidate experience underpinned by a growing research portfolio, and with a commitment to widening participation. Uniquely, we do this through a consortium structure in which our members are not customers but are full partners in the delivery, development and improvement of our services.

I hope this will be evident as you read our Annual Report, which gives an overview of current activity and outcomes and includes some analysis of test performance in the 2018 testing round.

A handwritten signature in black ink that reads "N.P. Siesage". The signature is written in a cursive style with a large, sweeping flourish at the end.

Nigel Siesage

## **TRUSTEES' REPORT 2018/19**

The Trustees are pleased to present their Report and Financial Statements for the year ended 31 March 2019. The UCAT Consortium is registered with the Charity Commission under registration number 1133667. Details of the Charity's Trustees, senior staff, bankers and professional advisors can be found towards the end of this document.

The Trustees are responsible for ensuring that, for each financial year, financial statements are prepared which give a true and fair view of the state of affairs of the Charity at the end of that year and of the incoming resources and resources expended for that year.

## **STRUCTURE, GOVERNANCE AND MANAGEMENT**

The UCAT Consortium is a company limited by guarantee governed by its Articles of Association, which were revised and adopted by members in December 2009. The members of the Charity are those Universities who, having joined the UCAT Consortium, use the test in admissions to medicine and dentistry.

The Charity Trustees comprise:

- seven persons elected by the members for a term of up to three years;
- the chair of the Medical Schools Council;
- the Medical Schools Chief Executive;
- a person nominated by the Dental Schools' Council for a term not exceeding three years.

In addition, the Board may from time to time appoint up to four additional persons. Such Trustees shall hold office for a term of up to three years and shall be eligible for re-appointment.

When appointing Trustees the Consortium attempts to represent the geographical spread and diversity of Members. No more than two representatives or other members of staff from any Member shall be Trustees at the same time.

## **INDUCTION OF TRUSTEES**

The Trustees are the Directors of the Company and are largely elected from the representatives of the members. They therefore tend to be familiar with Charity structures, objectives and operations. On appointment Trustees and representatives are provided with relevant information regarding the Charity together with recent minutes of relevant meetings and the annual report. Directors are provided with information from the Charity Commission's website regarding their role as Trustee.

## **MEETINGS**

The Board meets approximately every four months. The Board sets the strategic direction for the Charity. Operational matters are delegated to the Board's sub-committees and to the staff of the organisation. The Board is responsible for:

- determining annual objectives and monitoring performance against them;
- ensuring effective organisational planning to achieve the objectives;
- monitoring resource allocation and ensuring adequate resources are available for the delivery, development of the test and research agenda;

- promoting the organisation to the outside world and to identified stakeholders;
- liaising and communicating with Consortium members to ensure their needs regarding test delivery and aspirations regarding test development are met.

There are three groups to which the Board delegates areas of work:

### **Test Delivery Group**

The group is responsible for overseeing the logistics of delivering the test and distribution of results and recommending policy to the Board, as appropriate, on all delivery matters including:

- Setting the testing timetable on an annual basis;
- Overseeing the process of delivering the test (including the process of registration);
- Ensuring that there is sufficient capacity for candidates wishing to take the test;
- Overseeing the delivery of results to consortium medical and dental schools;
- Reviewing test delivery on an annual basis and identifying areas for improvement;
- Working with Pearson VUE to address any incidents which occur in relation to test delivery;
- Overseeing the implementation of the Communication Policy with regard to communication with candidates, schools, consortium members and external stakeholders.

### **Test Development Group**

The Test Development Group works with Pearson VUE and other experts in the field to develop each of the UCAT sub-tests to enable them to be fit for purpose for use in admissions by medical and dental schools. To achieve this, the group:

- Receives a detailed annual report of statistics relating to each round of testing including data regarding item performance, 'fairness', performance of different subgroups of candidates
- Considers recommendations for changes to the test based on annual statistics or developments in computer based testing nationally and internationally
- In conjunction with the Research Panel, identifies and takes forward relevant research related to the development of the test.

### **Research Panel**

The Panel supports the Research Lead in creating and delivering the Research Strategy with a particular focus on:

- establishing and overseeing the governance framework for data collection and research activity;
- maintaining the UCAT database(s);
- commissioning and selecting short term studies to achieve the Consortium's objectives (such as widening participation and non-cognitive attributes);
- planning longitudinal cohort studies to establish the predictive value of the test;
- liaising with other bodies (such as Medical Schools Council, General Medical Council) on opportunities to create a linked postgraduate follow-up mechanism.

### **UCAT OFFICE**

The Chief Operating Officer (COO), the UCAT Administrator and the UCAT Marketing Officer are responsible for the day to day running of the test and supporting operations. They are employed by

the University of Nottingham and support the work of the Consortium through a service level agreement that is reviewed on an annual basis.

The COO's main duties include the following:

- Acting as the main contact with Pearson VUE which delivers the test on behalf of the Consortium – resolving issues directly unless the issue was significant enough to warrant escalation to the Chair or other board member.
- As Company Secretary, leading on appointment of members and Trustees, arranging induction, ensuring decisions made by the Board and Consortium are in line with the Charity articles
- Monitoring budgets and reporting on these to the Board
- Ensuring systems are in place to ensure good standards of financial management
- Leads on any liaison with solicitors, auditors and the company bank.
- Responsible for ensuring that alongside the UCAT Administrator, the work of the Board and its sub-groups is supported and ensures that decisions are acted upon in a timely fashion.

## PEARSON VUE

The test is delivered on the Consortium's behalf by Pearson Driving Assessments Limited (Pearson VUE). The Consortium entered into a contract with Pearson VUE regarding the development and delivery of the test in 2006 for a period of five years. Pearson VUE has been successful in bidding for further tenders to undertake this work in 2011 and 2016. The current contract with Pearson VUE commenced on 1 January 2017.

## RISK MANAGEMENT

The Board reviews risk formally on an annual basis. Risks are regularly assessed on an informal basis by the Board and its subcommittees with a particular focus placed upon smooth test delivery and reputation management.

The following risks have been identified by the Board:

- Consortium members withdrawing which could impact on reputation, candidate numbers and ongoing research.
- Major failure in delivery (in the UK and ANZ) resulting in reputational impact.
- Uncertainty around university student funding impacting on candidate numbers.
- Fluctuations in candidate numbers impacting on contractual, financial and delivery issues.
- Legal challenge from an individual (in the UK and ANZ).
- Unfavourable evidence regarding validity or impact of the UCAT.

## OBJECTIVES

The objects for which the Charity is established are to promote and provide for the advancement of education in the United Kingdom and in particular to establish and operate tests to aid selection for admission to medical and dental degrees.

The Consortium is committed to advancing greater fairness in selection to medicine and dentistry and to the widening participation in medical and dental training of under-represented social groups. Through an ongoing programme of research the Consortium is seeking to identify the characteristics

in applicants which will make them good dentists and doctors and thus to improve the quality of those who enter the professions with the ultimate aim of improving patient care.

## **ACHIEVEMENTS AND PERFORMANCE**

The following sections summarise activity during the 2018 test cycle (2018/19 financial year).

### **Delivering the UCAT in Australia and New Zealand**

In 2018 the Consortium signed an agreement with Monash University (on behalf of a Consortium of Australian and New Zealand Universities) to deliver the test in Australia and New Zealand (ANZ). The UCATANZ replaces the UMAT which had previously been used in selection by this group of Universities. In order to support this significant international development a decision was made to change in name of the test (to the University Clinical Aptitude Test). The test was delivered in 2019 to approximately 14,000 candidates in ANZ. The Board is working closely with ANZ Universities to facilitate greater collaboration in the coming years.

### **Research**

Key activities of the Research Panel during this period are outlined below:

#### ***UCAT and Coaching Effects***

During 2018 testing, candidates were invited to take part in a survey at the end of testing asking them about how they went about preparing to take the test. Data are now being analysed at the University of Birmingham to see whether any further evidence regarding coaching and the UCAT can be obtained. The study ought to provide additional information to advise candidates on preparation in the future. Further data from 2018 will feed into this study.

#### ***SJT Evaluation***

A team at Queen Mary, University of London is moving towards the final stages of a study investigating potential correlations between the UCAT SJT and a range of assessment outcomes in year one and two assessments.

#### ***Publications***

The following articles, supported by the Consortium were published during this period:

- Analysis of Confidence Rating Pilot Data: Executive Summary for the UKCAT Board *UCAT Website, July 2018 Paul A Tiffin and Lewis W Paton*
- Exploring the Relationship between the UKCAT Situational Judgement Test and the Multiple Mini Interview *UCAT Website, August 2018 Adrian Husbands, Jonathan Dowell, Matthew Homer, Robert McAndrew and Rachel Greatrix*
- Artificial or intelligent? Machine learning and medical selection: possibilities and risks *Med Ed Publish, November 2018 Paul A Tiffin and Lewis W Paton*

### **2018 Testing**

The following matters were considered in detail during the Annual Review held in December 2018.

#### ***Increase in Candidates***

The number of candidates testing in 2018 increased by 10% on 2017 (which itself had been a record year). Whilst it was assumed that this might have been driven by the increase in medical training



places, the number of dental candidates had increased by 14%. Bursary applications had increased over and above this figure, suggesting increased diversity in the candidate population.

### *Capacity Management*

Measures were introduced in 2018 to manage capacity in the last weeks of testing. Online booking, rescheduling and cancelling was closed when registration ended. After this date registered candidates had to make a booking or manage an existing booking by phoning customer services. Having this online deadline allowed PVUE to manage capacity and hold appointments for longer which benefitted candidates looking for test date late in the cycle.

### *Access Arrangements*

Applications for access arrangements increased as did the complexity of requests. Systems to manage these more efficiently were being developed for 2019 testing.

## **2018 TEST OVERVIEW**

The UCAT is an aptitude exam, designed to measure innate cognitive ability and personality traits. The exam consists of three cognitive subtests (Verbal Reasoning, Quantitative Reasoning, Abstract Reasoning) and a test of Situational Judgement. Items include those developed from operational items used in the previous administrations and from new items trialled in previous test rounds. In addition, candidates sat a pilot cognitive section, Decision Making.

Each exam was composed of 233 items (211 operational and 22 pre-test). The exam was administered in a 120-minute time period including instruction screens. Each subtest was timed separately. Results were provided to candidates at the end of their test and later to the schools to which the candidates had applied.

There were three groups of candidates with time accommodation in 2018. Candidates with special educational needs (SEN) were allotted 150 minutes (UCATSEN) or 180 minutes (UCAT50) based on pre-approval, and candidates with special accommodation (UCATSA) were allotted 120 minutes for the entire exam with flexible breaks.

### **Candidate Statistics**

The UCAT was administered in 2018 beginning on 2 July 2018 and ending on 2 October 2018. A total of 27,469 exams were administered – an 11% increase in candidate numbers from 2017. A brief summary of testing statistics is provided below. More detailed statistics can be found in the Executive Summary of the 2018 Technical Report on the UCAT website ([www.UCAT.ac.uk](http://www.UCAT.ac.uk)).

Candidates' scale scores were reported for each cognitive subtest and based on all the scored items for each section. Valid scale scores ranged from 300 to 900, with a mean set to 600 in the reference year (2006 for VR, QR and AR and 2016 for DM). Universities received the subtest scaled scores for each candidate, plus a total score that is a simple sum of the four subtest scores with a valid range of 1200 to 3600.

Although candidate results for SJTs were reported in 4 bands, raw and scale scores were used in the psychometric analysis of the test.

**Table 1 Subtest and Total Scale Score Summary Statistics: Total Group**

Test	Total N	Mean	SD	Min	Max
Verbal Reasoning	27,469	566.58	77.64	300	900
Decision Making	27,469	624.13	81.1	300	890
Quantitative Reasoning	27,469	657.75	75.47	300	900
Abstract Reasoning	27,469	636.79	88.06	300	900
Total Cognitive Scale Score	27,469	2485.25	255.65	1200	3550
SJT	27,469	603	72.55	300	768

The distributions are generally symmetric around their means and reasonably well spread out. The performance patterns for different subgroups (ethnic, gender, age and NS-SEC) are shown below.

**Table 2 Subtest and Total Scale Score Summary Statistics by Gender: Total Group**

Test	Gender	Total N	Mean	SD	Min	Max
Verbal Reasoning	Female	17,138	564.46	76.98	300	890
	Male	10,147	570.50	78.56	300	900
Decision Making	Female	17,138	621.10	80.67	300	900
	Male	10,147	629.84	81.46	300	890
Quantitative Reasoning	Female	17,138	650.08	73.94	300	900
	Male	10,147	671.25	76.21	300	900
Abstract Reasoning	Female	17,138	634.36	86.78	300	900
	Male	10,147	641.25	89.96	300	900
Total Cognitive Scale Score	Female	17,138	2470.00	253.93	1230	3480
	Male	10,147	2512.83	256.12	1200	3550
SJT	Female	17,138	608.63	71.37	300	768
	Male	10,147	593.76	73.39	300	767

Females represented 63% of the candidate population. Males outperformed females in all sections of the test although effect sizes are small. The greatest difference was observed in the quantitative reasoning subtest.

**Table 3 Cognitive Test Total Scale Score Statistics by Ethnic Group**

Ethnic Group	Total N	Total %	Cognitive Test Mean	Cognitive Test SD	SJT Mean	SJT SD
UK-White	9417	34	2572.69	229.56	624.83	60.07
Non UK	5161	19	2409.45	268.99	567.19	83.91
UK – Asian	7854	29	2466.51	243.10	602.64	67.78
UK – Black	2169	8	2361.30	232.46	594.36	71.72
UK – Mixed Race	1184	4	2528.73	256.92	618.41	67.08
UK – Chinese	416	2	2611.99	267.28	609.53	65.96
UK – other	1089	4	2391.93	242.44	591.75	76.42

Ethnic group performance trends paralleled those of previous years, with minor differences. Within the cognitive tests for Verbal Reasoning and Decision Making, the highest performing group was White UK. For Quantitative Reasoning and Abstract Reasoning the highest performing group was UK-Chinese. For the SJT, UK-white had the highest mean score and non-UK the lowest.

**Table 4 Total Scale Score summary statistics by NS-SEC Class (UK candidates only)**

SEC	Total N	Total %	Cognitive Test Mean	Cognitive Test SD	SJT Mean	SJT SD
1	14328	65	2542.40	245.65	617.21	64.39
2	1065	5	2492.75	229.05	616.11	63.12
3	1316	6	2443.76	225.83	602.89	67.77
4	687	3	2421.25	233.76	597.24	70.08
5	1456	7	2413.01	222.19	600.75	66.88
N/A	3277	14	2420.19	250.42	597.67	72.07

For NS-SEC classifications, category 1 was consistently associated with the highest average scores. The lowest average scale scores occurred for category 5.

In previous years there had been no clear trend within the SJT regarding the means for the differing occupational groups. In 2018, candidates performed similarly for NS-SEC Classes 1 and 2, and Classes 3, 4 and 5, although the difference is less marked than that observed for the cognitive sections. This resulted in a higher proportion of NS-SEC 1 and 2 candidates in SJT Bands 1 and 2.

In table 5 age is broken into five groups. Scores across all age groups were examined controlling for candidates' highest qualifications.

**Table 5 Cognitive Test Total Scale Score and SJT Scale Score summary statistics by age group and highest qualification**

Age	Highest Qualification – HE						Highest Qualification – School Leaver					
	Total		Cognitive Test		SJT		Total		Cognitive Test		SJT	
	N	%	Mean	SD	Mean	SD	N	%	Mean	SD	Mean	SD
<16							32	0	2320	247.96	544.78	78.92
16-19	624	2	2395.71	254.18	573.03	81.93	19981	74	2500.88	247.98	600.81	70.09
20-24	4269	16	2497.26	246.03	624.19	66.15	524	2	2362.02	279.13	580.24	87.84
25-34	1238	5	2422.73	285.36	619.12	77.74	126	0	2231.51	292.45	568.36	95.58
>34	187	1	2235.78	300.31	581.92	98.19	36	0	2152.22	310.7	563.11	107.58

Scores for candidates with school leaver qualifications generally showed negative correlations with age. Recent graduates score similarly to 'standard' school leavers. However it would appear that the negative correlation above is ameliorated somewhat in the graduate candidate population – older graduates performing better than older school leavers.

On the whole older candidates score better in the Situational Judgement Test; the highest performing subgroups being graduates aged 20-24.

Providing this level of data helps those selecting students make informed decisions about how they use the test. In the next section we describe the steps taken to ensure that test is fair and reliable.

### Test and item analysis

Each year test results and item performance are analysed using a variety of methods in order to report on test reliability, internal construct validity and individual item performance.

## Test Reliability

Variation in score reliability and SEM across the four subtests can be attributed to test length, amount of information in item types and scoring methods applied, and range of discrimination and difficulty among items. Score reliabilities and SEMs are in line with what is observed in similar tests. Improvements to both these indices are likely to occur as robustness of items, scoring models, and the strength of the item bank continue to improve.

**Table 6 Scale Score Reliability and Standard Error of Measurement for Cognitive Total Scale Score**

Reliability		SEM	
Range	Mean	Range	Mean
0.90	0.90	94.02-95.80	95.80

For the SJT, raw score reliabilities indicate a good level of reliability for an operational test building upon operational and trial of items from previous years.

**Table 7 Raw Score Reliability and Standard Error of Measurement for SJT**

Reliability		SEM	
Range	Mean	Range	Mean
0.80 - 0.84	0.83	8.45-8.86	8.62

## Item Performance

Differential Item Functioning (DIF) refers to the potential for items to behave differently for different groups. DIF is an undesirable characteristic because it means that an item is measuring both the construct it was designed to measure and some additional characteristic or characteristics of performance that depend on classification or membership in a group (usually a gender or ethnic group classification). The Mantel-Haenszel (MH) procedure is used to identify DIF. For the UCAT, MH DIF items are classified into one of three categories, A, B, or C. Category A contains items with negligible DIF, Category B contains items with slight to moderate DIF, and Category C contains items with moderate to large DIF. Items flagged in Category C are typically subjected to further scrutiny while Category B items may be reviewed.

DIF analyses were conducted for the pre-test and operational items when sample sizes were large enough. The UCAT DIF comparison groups are based on gender, age, ethnicity and SEC.

For operational items in the cognitive test, there were 14 occurrences of Category C DIF across all cognitive subtests and comparisons. Of these occurrences, 3 occurred in the age<20/>35 comparison; 6 in the white/black comparison; four in the white/Chinese comparison and one in the white/Asian comparison. For the pre-test items, there were two occurrences of Category C DIF in the male/female comparison group.

Within the SJT there were no occurrences of Category C DIF in operational items and two occurrences in pre-test items.

Items with Category C DIF have content and wording examined for the potential bias. These items will either be revised or retired based on the review in the item writing workshops.

These analyses, which are performed annually, reassure the Consortium that the test is fair and reliable.

## **FUTURE PLANS**

### **Key Aims**

- Increase research output in order that the Consortium can create a test which better identifies the traits required in medical and dental students, provides an evidence base for widening participation in medical and dental admissions and impacts positively on reputation.
- Become more active in the widening participation agenda in the UK, using our research record, database and services to candidates to position us within this debate.
- Increase flexibility within test delivery in order that we can market the test internationally.

These aims will be achieved by focusing activity on four themes.

### **Theme 1: Governance**

The Consortium will have a reputation as a forward thinking, dynamic organisation at the centre of developments in admissions to medicine and dentistry in the UK.

Key objectives within this theme include:

- Discussion of alternative business models in order to respond to requests to offer the test to other HEIs/Markets.
- Engagement with non-Consortium medical and dental schools regarding the benefits of joining the Consortium.
- Creation of a more detailed Communication Strategy.
- Strengthening links with the General Medical Council, General Dental Council, Medical Schools Council, Dental Schools Council, UK Foundation Programme Office and other bodies.
- Engagement with other professions regarding the benefits of using the test (or version thereof).

### **Theme 2: Research Development**

The Consortium will position itself as a UK leader in undertaking and supporting research regarding admissions into medicine and dentistry, prioritising research outputs leading to improvement in the test and its use.

Key objectives within this theme include:

- Building on established collaborations with HEIs and other stakeholders to identify research opportunities around widening access.
- Using data to support/ deliver research into widening access.
- Consideration of how best to ensure effective dissemination of research.
- Increasing research outputs which inform the development of the test, its better usage and the evidence base regarding admissions to UK medical and dental schools.
- Continuing to develop the research database incorporating the maximum amount of progression data and other relevant data sources.

### **Theme 3: Improving and Developing the Test**

The UCAT test will be improved, based on research and other evidence. Opportunities to further expand use of the test (or aspects of the test) both nationally and internationally will be identified.

Key objectives within this theme include:

- Using validity studies to develop the test and inform its use
- Build on work to date to undertake a complete review of test content.
- Identify research required for ongoing improvements to test content and quality.
- Understand the measurement model underpinning each subtest and use this to develop test content/structure

### **Theme 4: Delivering the Test and the Candidate Experience**

The candidate experience from initial communication to sitting the test will be the best possible.

Key objectives within this theme include:

- Continuing to build on established collaborations with HEIs and other stakeholders, using these links to communicate with widening access candidates.
- Conducting focus groups to improve to candidate experience.
- Improving and speeding up results delivery.
- Using our data to identify a set of fixed reports to be circulated to schools annually.

The Board and its sub-groups are charged with achieving the objectives outlined above. The Board monitors performance against these objectives at its regular meetings through reports from the Chairs of these groups. These objectives inform the work of the office.

## **FINANCIAL REVIEW**

### **2018/19 Outturn**

The Consortium reported a small surplus in 2018/19. This has been generated in part due to increased candidate numbers and a number of new Consortium members.

The Consortium continues to invest part of its reserves for the longer term in order to attract a better return on these funds. Funds are placed with the Seven Investment Management (7IM) in the 7IM Sustainable Balance Strategy.

### **Financial Controls Document**

The Board has approved a financial controls document which covers the governance of financial transactions within the organisation. The document is reviewed annually.

### **Reserves Policy**

The Consortium needs financial reserves to:

- meet contractual liabilities should the organisation cease to exist. This includes redundancy pay, amounts due to creditors and commitments under leases.
- meet unexpected costs like break down of essential office equipment, staff cover in relation to illness, maternity leave and parental leave.
- meet any legal costs defending the charity's interest.
- replace equipment when required.
- meet the costs of one-off developments to the test or its delivery.
- meet the organisation's fixed costs in the event of a significant fall in candidate numbers
- undertake and provide infrastructural support for a programme of research which may span several years with the costs of research varying significantly between those years.

Expenditure in 2018/19 totalled £2.2m. Current reserves stand at £0.5m (25% of annual expenditure). The Consortium aims to have reserves in the region of 25-30% of annual expenditure.

The Board of Trustees reviews the level of reserves at each Board meeting. The current level of reserves will be considered particularly carefully before any agreed increase in the candidate fee.

### **Members' Liability**

The Members of the charity guarantee to contribute an amount not exceeding £1 to the assets of the charity in the event of winding up.

### **Trustees' Responsibility Statement**

The Trustees (who are also directors of the Consortium for the purposes of company law) are responsible for preparing the Trustees' report and the financial statements in accordance with applicable law and United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

Company law requires the Trustees to prepare financial statements for each financial year. Under company law the Trustees must not approve the financial statements unless they are satisfied that they give a true and fair view of the state of affairs of the charitable company and of the incoming

resources and application of resources, including the income and expenditure, of the charitable company for that period. In preparing these financial statements, the Trustees are required to:

- select suitable accounting policies and then apply them consistently;
- observe the methods and principles in the Charities Statement of Recommended Practice;
- make judgments and accounting estimates that are reasonable and prudent;
- state whether applicable UK Accounting Standards have been followed, subject to any materials departures disclosed and explained in the financial statements;
- prepare the financial statements on the going concern basis unless it is inappropriate to presume that the charitable company will continue in operation.

The Trustees are responsible for keeping adequate accounting records that are sufficient to show and explain the charitable company's transactions and disclose with reasonable accuracy at any time the financial position of the charitable company and enable them to ensure that the financial statements comply with the Companies Act 2006. They are also responsible for safeguarding the assets of the charitable company and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.

### Disclosure of Information to Auditors

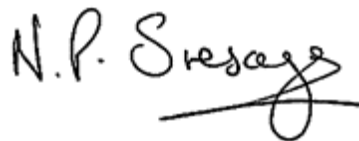
Each of the persons who are Trustees at the time when this Trustees' report is approved has confirmed that:

- so far as that Trustee is aware, there is no relevant audit information of which the charitable company's auditors are unaware, and
- the Trustee has taken all the steps that ought to have been taken as a Trustee in order to be aware of any relevant audit information and to establish that the charitable company's auditors are aware of that information.

### Auditors

The auditors, Lakin Rose Limited, have indicated their willingness to continue in office. The Designated Trustees will propose a motion re appointing the auditors at a meeting of the Trustees.

This report was approved by the Trustees on 23<sup>rd</sup> November 2018 and signed on their behalf by

A handwritten signature in black ink that reads "N.P. Siesage". The signature is written in a cursive style with a long horizontal stroke at the bottom.

Mr Nigel Siesage



## **INDEPENDENT AUDITORS' REPORT TO THE MEMBERS OF THE UCAT CONSORTIUM**

### **OPINION**

We have audited the financial statements of UK CAT Consortium (the 'charity') for the year ended 31 March 2019 set out on pages 20 to 26. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards, including Financial Reporting Standard 102 'The Financial Reporting Standard applicable in the UK and Republic of Ireland' (United Kingdom Generally Accepted Accounting Practice).

In our opinion the financial statements:

- give a true and fair view of the state of the charitable company's affairs as at 31 March 2019 and of its incoming resources and application of resources, including its income and expenditure for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice; and
- have been prepared in accordance with the requirements of the Companies Act 2006.

### **BASIS FOR OPINION**

We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs (UK)) and applicable law. Our responsibilities under those standards are further described in the Auditors' responsibilities for the audit of the financial statements section of our report. We are independent of the charitable company in accordance with the ethical requirements that are relevant to our audit of the financial statements in the United Kingdom, including the Financial Reporting Council's Ethical Standard, and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

### **CONCLUSIONS RELATING TO GOING CONCERN**

We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:

- the Trustees' use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Trustees have not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the charitable company's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

### **OTHER INFORMATION**

The Trustees are responsible for the other information. The other information comprises the information included in the annual report, other than the financial statements and our auditors' report thereon. Our opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in our report, we do not express any form of assurance conclusion thereon.

In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be

materially misstated. If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact.

We have nothing to report in this regard.

### **OPINION ON OTHER MATTERS PRESCRIBED BY THE COMPANIES ACT 2006**

In our opinion, based on the work undertaken in the course of the audit:

- the information given in the Trustees' Report for the financial year for which the financial statements are prepared is consistent with the financial statements.
- the Trustees' Report has been prepared in accordance with applicable legal requirements.

### **MATTERS ON WHICH WE ARE REQUIRED TO REPORT BY EXCEPTION**

In the light of our knowledge and understanding of the charitable company and its environment obtained in the course of the audit, we have not identified material misstatements in the Trustees' Report.

We have nothing to report in respect of the following matters in relation to which the Companies Act 2006 requires us to report to you if, in our opinion:

- adequate accounting records have not been kept, or returns adequate for our audit have not been received from branches not visited by us; or
- the financial statements are not in agreement with the accounting records and returns; or
- certain disclosures of Trustees' remuneration specified by law are not made; or
- we have not received all the information and explanations we require for our audit; or
- the Trustees were not entitled to prepare the financial statements in accordance with the small companies regime and take advantage of the small companies' exemptions in preparing the Trustees' Report and from the requirement to prepare a Strategic Report.

### **RESPONSIBILITIES OF TRUSTEES**

As explained more fully in the trustees' responsibilities statement, the Trustees (who are also the directors of the charity for the purposes of company law) are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view, and for such internal control as the Trustees determine is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Trustees are responsible for assessing the charitable company's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Trustees either intend to liquidate the charitable company or to cease operations, or have no realistic alternative but to do so.

### **AUDITORS' RESPONSIBILITIES FOR THE AUDIT OF THE FINANCIAL STATEMENTS**

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material

misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of our responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website at: [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of our auditors' report.

## **USE OF OUR REPORT**

This report is made solely to the charitable company's members, as a body, in accordance with Chapter 3 of Part 16 of the Companies Act 2006. Our audit work has been undertaken so that we might state to the charitable company's members those matters we are required to state to them in an auditors' report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the charitable company and its members, as a body, for our audit work, for this report, or for the opinions we have formed.

Christopher Dougherty (Senior statutory auditor)

for and on behalf of

Lakin Rose Limited  
Chartered Accountants  
Statutory Auditors  
Pioneer House  
Vision Park  
Histon  
Cambridge CB24 9NL

Date:

**STATEMENT OF FINANCIAL ACTIVITIES**

(Incorporating Income and Expenditure Account)

FOR THE YEAR ENDED 31 MARCH 2019

	Note	Unrestricted funds 2019 £	Total Funds 2019 £	Total funds 2018 £
<b>INCOME FROM</b>				
Charitable activities:				
Testing fees - clinical aptitude testing		2,157,051	2,157,051	1,994,115
Membership Fees		14,000	14,000	9,000
Testing Services for Members		61,388	61,388	9,957
Other income		-	-	399
Investments	2	3,481	3,481	3,384
<b>TOTAL INCOME</b>		<b>2,235,920</b>	<b>2,235,920</b>	<b>2,016,855</b>
<b>EXPENDITURE ON</b>				
Charitable activities - clinical aptitude testing				
		2,201,950	2,201,950	1,990,886
Charitable activities - Governance				
		4,200	4,200	4,200
<b>TOTAL EXPENDITURE</b>		<b>2,206,150</b>	<b>2,206,150</b>	<b>1,995,086</b>
<b>NET INCOME BEFORE INVESTMENT GAINS</b>		<b>29,770</b>	<b>29,770</b>	<b>21,769</b>
Net gains on investments		11,865	11,865	3,100
<b>NET MOVEMENT IN FUNDS</b>		<b>41,635</b>	<b>41,635</b>	<b>24,869</b>
<b>RECONCILIATION OF FUNDS:</b>				
<i>Total funds brought forward</i>		501,923	501,923	477,054
<b>TOTAL FUNDS CARRIED FORWARD</b>		<b>543,558</b>	<b>543,558</b>	<b>501,923</b>

The notes on pages 23 to 26 form part of these financial statements.

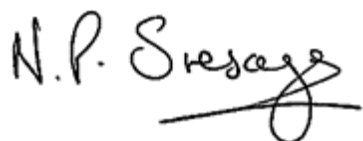
**BALANCE SHEET**

AS AT 31 MARCH 2019

	Note	2019 £	2018 £
<b>FIXED ASSETS</b>			
Investments	7	298,443	286,578
<b>CURRENT ASSETS</b>			
Debtors	8	7,913	15,302
Cash at bank		334,531	262,514
		<b>342,444</b>	<b>277,816</b>
<b>CREDITORS: amounts falling due within one year</b>			
	9	<b>(97,329)</b>	<b>(62,471)</b>
<b>NET CURRENT ASSETS</b>		<b>245,115</b>	<b>215,345</b>
<b>NET ASSETS</b>		<b>543,558</b>	<b>501,923</b>
<b>CHARITY FUNDS</b>			
Unrestricted funds	10	<b>543,558</b>	<b>501,923</b>
<b>TOTAL FUNDS</b>		<b>543,558</b>	<b>501,923</b>

The charity's financial statements have been prepared in accordance with the provisions applicable to companies subject to the small companies' regime.

The financial statements were approved and authorised for issue by the Trustees on 5<sup>th</sup> December 2019 and signed on their behalf, by:



Mr N Siesage

The notes on pages 23 to 26 form part of these financial statements.

**STATEMENT OF CASHFLOWS**

FOR THE YEAR ENDED 31 MARCH 2019

	<b>Note</b>	<b>2019</b> <b>£</b>	2018 £
<b>Cash flows from operating activities</b>			
Net cash provided by operating activities	11	<b>72,017</b>	5,830
Net proceeds from sale of investments		-	73,873
<b>Net cash provided by investing activities</b>		-	73,873
<b>Change in cash and cash equivalents in the year</b>		<b>72,017</b>	79,703
Cash and cash equivalents brought forward		<b>262,514</b>	182,811
<b>Cash and cash equivalents carried forward</b>	12	<b>334,531</b>	262,514

The notes on pages 23 to 26 form part of these financial statements.

## NOTES TO THE FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 MARCH 2019

### 1. ACCOUNTING POLICIES

#### 1.1 Basis of preparation of financial statements

The financial statements have been prepared in accordance with Accounting and Reporting by Charities: Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102) (effective 1 January 2015) (Charities SORP (FRS 102)), the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102) and the Companies Act 2006.

UK CAT Consortium meets the definition of a public benefit entity under FRS 102. Assets and liabilities are initially recognised at historical cost or transaction value unless otherwise stated in the relevant accounting policy.

#### 1.2 Company Status

The charity is a company limited by guarantee. The members of the charity are the medical and dental schools who have chosen to implement the clinical aptitude test. In the event of the charity being wound up, the liability in respect of the guarantee is limited to £1 per member of the charity.

#### 1.3 Income

All income is recognised once the charity has entitlement to the income, it is probable that the income will be received and the amount of income receivable can be measured reliably.

Income tax recoverable in relation to investment income is recognised at the time the investment income is receivable.

Candidate testing fees are recognised in the period in which testing occurs.

#### 1.4 Expenditure

Expenditure is recognised once there is a legal or constructive obligation to transfer economic benefit to a third party, it is probable that a transfer of economic benefits will be required in settlement and the amount of the obligation can be measured reliably. Expenditure is classified by activity.

Support costs are those costs incurred directly in support of expenditure on the objects of the charity. Governance costs are those incurred in connection with administration of the charity and compliance with constitutional and statutory requirements.

#### 1.5 Investments

Investments are a form of financial instrument and are initially recognised at their transaction cost and subsequently measured at fair value at the balance sheet date. Investment gains and losses, whether realised or unrealised, are combined and shown in the heading 'Gains/(losses) on investments' in the statement of financial activities incorporating income and expenditure account.

#### 1.6 Interest receivable

Interest on funds held on deposit is included when receivable and the amount can be measured reliably by the charity; this is normally upon notification of the interest paid or payable by the Bank.

### 1.7 Debtors

Trade and other debtors are recognised at the settlement amount after any trade discount offered. Prepayments are valued at the amount prepaid net of any trade discounts due.

### 1.8 Liabilities and provisions

Liabilities are recognised when there is an obligation at the balance sheet date as a result of a past event, it is probable that a transfer of economic benefit will be required in settlement, and the amount of the settlement can be estimated reliably. Liabilities are recognised at the amount that the charity anticipates it will pay to settle the debt or the amount it has received as advanced payments for the goods or services it must provide. Provisions are measured at the best estimate of the amounts required to settle the obligation. Where the effect of the time value of money is material, the provision is based on the present value of those amounts, discounted at the pre-tax discount rate that reflects the risks specific to the liability. The unwinding of the discount is recognised within interest payable and similar charges.

### 1.9 Fund accounting

General funds are unrestricted funds which are available for use at the discretion of the Trustees in furtherance of the general objectives of the charity and which have not been designated for other purposes.

## 2 INVESTMENT INCOME

	Unrestricted funds	<i>Total</i>	<i>Total funds</i>
	2019	2019	2018
	£	£	£
Bank interest receivable	264	264	59
Other interest receivable	3,217	3,217	3,325
	<b>3,481</b>	<b>3,481</b>	<b>3,384</b>
<b>Total 2018</b>	3,384	3,384	

## 3 DIRECT COSTS

	Clinical	Total	<i>Total</i>
	aptitude testing	2019	2018
	£	£	£
Testing provider's charges – testing	1,713,989	1,713,989	1,584,639
Testing provider's charges - other	51,977	51,977	47,313
	<b>1,765,966</b>	<b>1,765,966</b>	<b>1,631,952</b>
<b>Total 2018</b>	1,631,952	1,631,952	

## 4 SUPPORT COSTS

	Clinical	Total	<i>Total</i>
	aptitude testing	2019	2018
	£	£	£
Office and administration recharges	185,360	185,360	177,961
Data management	34,526	34,526	40,690
Hotels, travel and subsistence	14,837	14,837	22,878
Meetings and hospitality	8,787	8,787	7,946
Premises	29,863	29,863	28,066
Research	9,228	9,228	31,318
Sundry expenses	22,726	22,726	15,263
Legal fees	90,124	90,124	13,152
Insurance	3,424	3,424	2,863
Bank charges	237	237	161
Website Development	36,872	36,872	18,636
	<b>435,984</b>	<b>435,984</b>	<b>358,934</b>
<b>As at 31 March 2018</b>	358,934	358,934	



**5 GOVERNANCE COSTS**

	Unrestricted funds 2018 £	Total funds 2019 £	Total funds 2018 £
Auditors' remuneration	4,200	4,200	4,404

**6 STAFF COSTS**

The charity has no employees other than the Trustees, who received no remuneration (2018 £NIL).

No employee received remuneration amounting to more than £60,000 in either year.

7 Trustees received reimbursement of expenses amounting to £3,424 in the current year (2018 - 7 trustees, £3,202).

**7 FIXED ASSET INVESTMENTS**

	Listed securities £
<b>Market Value</b>	
As at 1 April 2018	286,578
Additions	11,865
As at 31 March 2019	298,443
Historical cost	263,377

Investments at market value comprise:

	2019 £	2018 £
<b>Listed Investments</b>	298,443	286,578

All the fixed asset investments are held in the UK

**8 DEBTORS**

	2019 £	2018 £
Trade debtors	4,000	4,399
Other debtors	3,913	10,903
	7,913	15,302

**9 CREDITORS: Amounts falling due within one year**

	2019 £	2018 £
Accruals and deferred income	97,329	62,471

**10 SUMMARY OF FUNDS****SUMMARY OF FUNDS – CURRENT YEAR**

	Balance at 1 April 2018 £	Income £	Expenditure £	Gains/ (Losses) £	Balance as at 31 March 2019 £
General Funds	501,923	2,235,920	(2,206,150)	11,865	543,558

**SUMMARY OF FUNDS – PRIOR YEAR**

	Balance at 1 April 2017 £	Income £	Expenditure £	Gains/ (Losses) £	Balance as at 31 March 2018 £
General funds	477,054	2,016,855	(1,995,086)	3,100	501,923

**11 RECONCILIATION OF NET MOVEMENT IN FUNDS TO NET CASH FLOW FROM OPERATING ACTIVITIES**

	2019	2018
	£	£
Net income/(expenditure) for the year (as per Statement of Financial Activities)	41,635	24,869
<b>Adjustment for:</b>		
Increase in market value of investments	(11,865)	(3,100)
Decrease/(increase) in debtors	7,389	(1,864)
(Decrease)/increase in creditors	34,858	(14,075)
<b>Net cash provided by operating activities</b>	<b>72,017</b>	<b>5,830</b>

**12 ANALYSIS OF CASH AND CASH EQUIVALENTS**

	2019	2018
	£	£
Cash in hand	334,531	262,514
Total	334,531	262,514

## CHARITY TRUSTEES

Mr Nigel Siesage, University of Leicester, Chair

Dr Lyndon Cabot, King's College London

Dr Amanda Hampshire, University of Nottingham

Professor Jennifer Higham, Medical Schools Council (resigned 31<sup>st</sup> August 2019)

Dr Christine Kay, University of Aberdeen

Dr Angela Kubacki, St George's University of London

Dr Robert McAndrew, University of Cardiff

Professor Sandra Nicholson, Queen Mary, University of London

Dr Katie Petty Saphon, Medical Schools Council

Professor Kim Piper, Queen Mary University of London (resigned 31<sup>st</sup> December 2019)

Dr Fiona Stewart, University of Dundee

Mr Paul Teulon, King's College London

Dr Ruth Valentine, Newcastle University

## COMPANY SECRETARY

Significant elements of day to day management are delegated to the Chief Operating Officer and Company Secretary, Rachel Greatrix.

## PROFESSIONAL ADVISORS

Bank: Natwest, Nottingham University Branch, University Park, Nottingham NG7 2AG

Solicitors: Browne Jacobson, Mowbray House, Castle Meadow Road, Nottingham NG2 1BJ

Auditors: Lakin Rose Limited, Pioneer House, Vision Park, Cambridge CB24 9NL

## CONSORTIUM MEMBERS 2018/19

University of Aberdeen  
Anglia Ruskin University  
Aston University  
University of Birmingham  
University of Bristol  
Cardiff University  
University of Dundee  
University of East Anglia  
University of Edinburgh  
University of Exeter  
University of Glasgow  
Hull York Medical School  
Keele University  
King's College London

University of Leicester  
University of Liverpool  
University of Manchester  
University of Newcastle  
University of Nottingham  
University of Plymouth  
Queen Mary, University of London  
Queen's University, Belfast  
University of Sheffield  
University of Southampton  
University of St Andrews  
St George's, University of London  
University of Warwick