

Regulatory activity and analysis for 2022 - 23

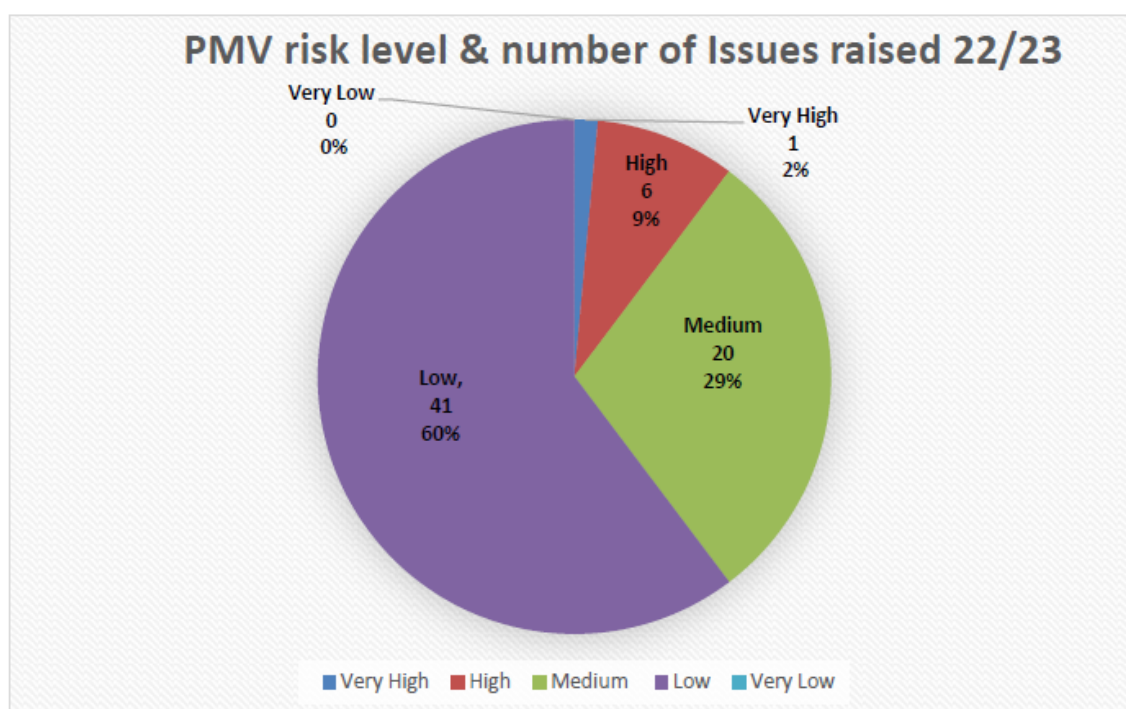
Provider Monitoring Visits (PMVs)

We carried out provider monitoring activity 23, of the 35 approved awarding bodies, and 50 provider monitoring visits were carried out.

Provider monitoring aims to check the effectiveness of the awarding body's systems and enable us to identify areas of concern that may help to inform our regulatory activities and safeguard the learner experience.

Risk ratings assigned to the issues range from very low to very high.

The total number of provider monitoring visits issues raised in 2022 - 23 was 68, and their risk ratings are highlighted below:



There were various themes identified, including:

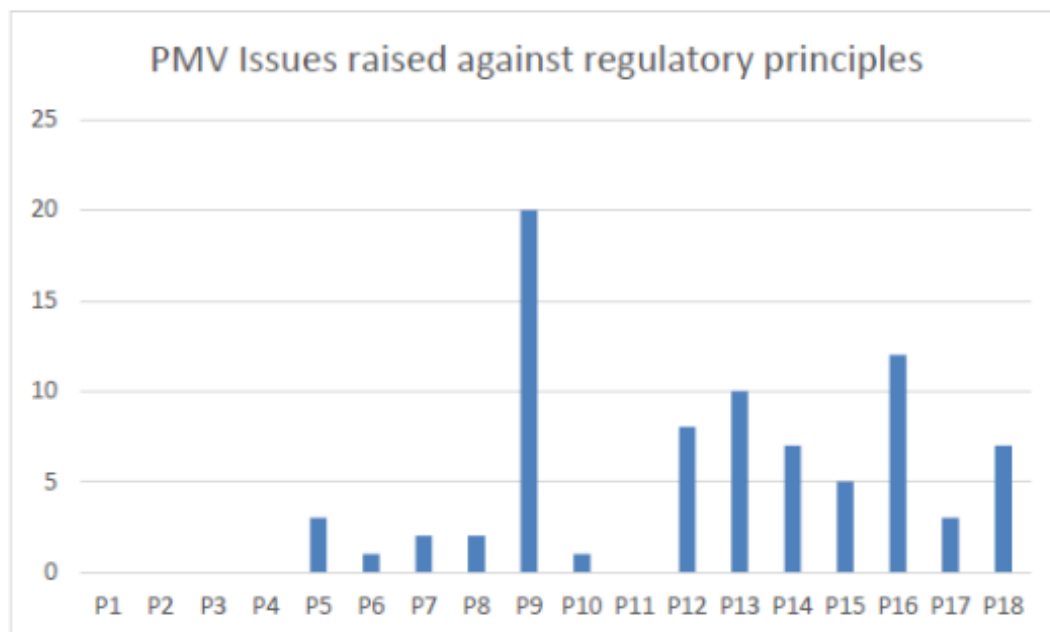
- Inaccurate provider-devised policies that omit key information
- Version control of documents, and
- External quality assurance (EQA) visits being conducted out with awarding body requirements.

The issues identified from the provider monitoring activity were raised against regulatory principles 9, 16 and 13:

Principle 9: The awarding body and its providers must maintain accurate documents, records and data.

Principle 13: The awarding body audits providers must ensure that they have systems and processes which ensure the effective quality assurance of accredited qualifications.

Principle 16: The awarding body and its providers must have open and transparent systems, policies and procedures to manage complaints.



Recommendations

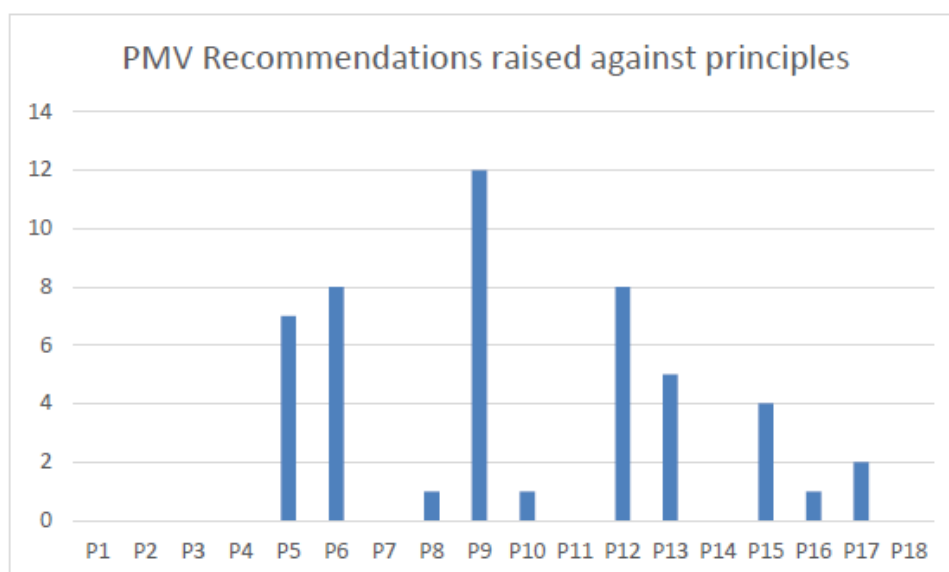
There were 43 recommendations raised in 2022 - 23 from provider monitoring visits.

The diagram below illustrates the number of recommendations raised during provider monitoring activity. The greatest number of recommendations were raised against regulatory principles 9, 6 and 12:

Principle 9: The awarding body and its providers must maintain accurate documents, records and data.

Principle 6: The awarding body must continually review the effectiveness of its services, systems, policies and processes.

Principle 12: The awarding body and its providers must ensure that they have the necessary arrangements and resources required to manage and administer qualification delivery and assessment.



We have been working to identify which of the regulatory principles have generated the most issues and recommendations, which will allow us to offer specialised guidance and support in the future.