

# An introduction to regulatory activity



# Outline

- Role of Apex Body
  - Legal basis
  - What to regulate
- Qualifications regulation
  - Education context
  - Awarding Organisations
  - Qualifications Market
  - Qualification Content
- Regulating Awarding Organisations and their Qualifications
  - Regulatory model
  - Risk Based Approach
  - Taking Regulatory Action



# Role of The Apex Bodyl

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# What is the task?

To regulate within a statutory framework

## NQF Management Functions

- Management of the framework
- Standards and qualification development
- Quality assurance of education and training providers
- Assessment and certification



# What do we regulate?

- Qualifications taken at school and by adults, but not higher education qualifications
- Vocational qualifications



# Why do we need to Regulate?

We want:

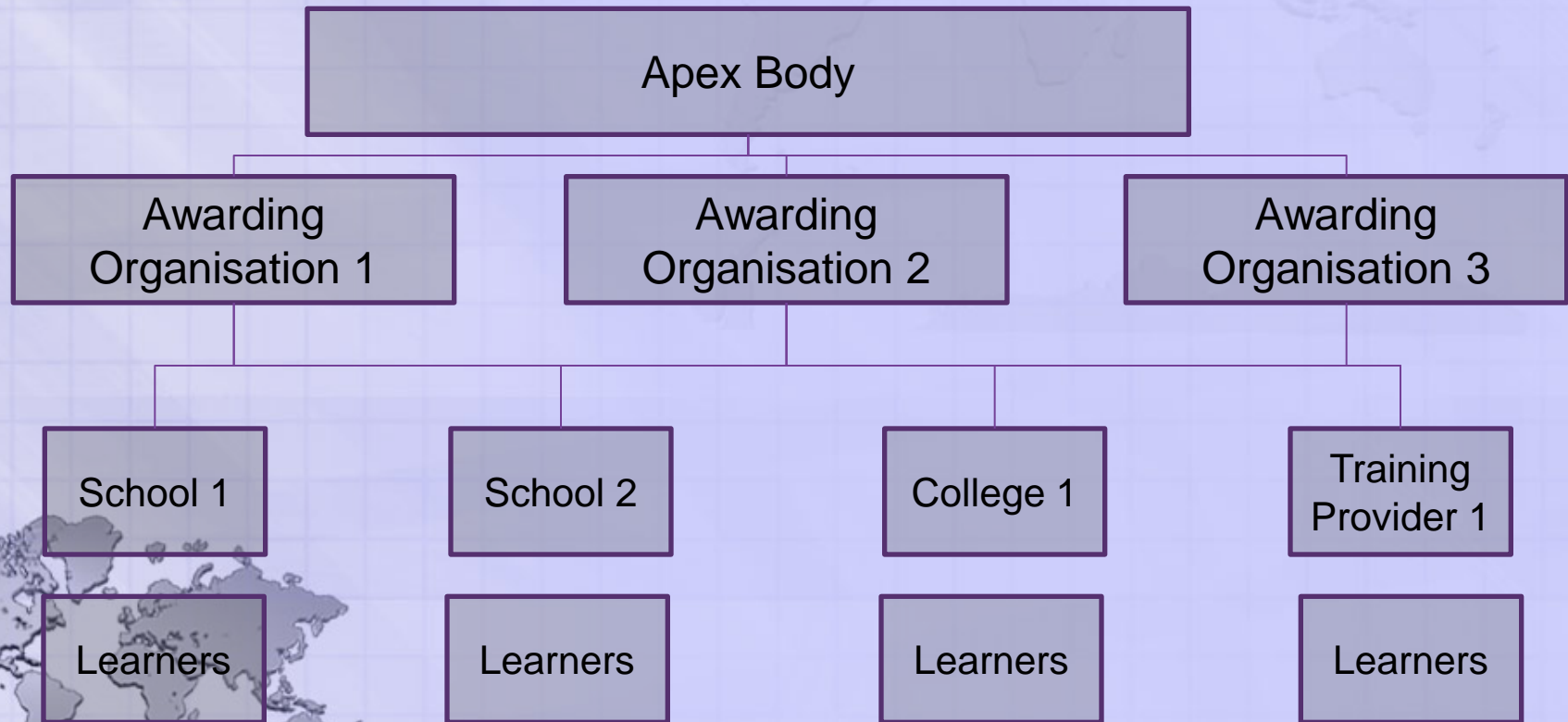
- Students, parents, teachers and employers to be confident that qualifications and assessments are appropriate and of a high quality
- Integrity and efficiency across the qualifications system





# The role of Qualification Awarding Organisations

- Who can write qualifications?
- What evidence must they have



# Qualifications market

- How much direct government control is there?
- How much diversity and choice in qualifications is to be made by schools and students?
- Do schools and students have choices on the subjects they study and which awarding organisations qualification to work towards in those subjects?
- Can there be multiple awarding organisations offering the same qualification?
- Are different vocational qualifications are preferred in specific sectors?
- Do qualifications have national portability?
- How are regulators securing the standards of qualifications?





# Who decides the content of a qualification?

## What

- Design
- Content (knowledge, skills, competence)
- Relationship to employment
- Employability core skills

## Who

- The Apex body
- The Qualifications Body
- Employers and industry bodies
- Education providers
- Licensing authorities



# Regulating Awarding Organisations and their Qualifications

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# Regulatory Approach

- **Control Entry**
  - Organisations
    - Published Recognition Conditions; high expectations
  - Qualifications
    - Accreditation; a detailed check against requirements
- **On-going Assurance**
  - Organisations
    - Self assessment, annual compliance statement (Board level)
    - Monitoring visits
  - Qualifications
    - Published requirements (conditions and criteria)
    - Monitor awarding processes code of practice and some qualifications outcomes
    - Track success (or not) of each organisation at accreditation
- **Manage Exit**
  - Organisations
    - Surrender of recognition
    - Completing or Handing off of learners/qualifications
  - Qualifications
    - Managing the withdrawal of a qualification
    - Operational and Certification end dates



# Regulating awarding organisations

## ■ We recognise awarding organisations

- Applicant organisations have to meet the Criteria for Recognition
- Once recognised they have to meet General Conditions of Recognition (regulations) on an on-going basis



# General Conditions of Recognition for Qualifications Awarding Organisations

- The General Conditions of Recognition
  - Set the outcomes we expect awarding organisations to achieve
  - Cover awarding organisation requirements (governance and behaviours) and qualification requirements (design, development, delivery and awarding)
  - Accountability for delivery
    - processes awarding organisations must have
    - curriculum expectations
    - assessment methodologies



# Risk based monitoring

- Checking awarding organisations are meeting regulations
- Targeting resources where it is most needed
- Monitoring on the basis of risk:
  - There is a high likelihood of something going wrong
  - There is a high impact if something did go wrong
- Monitoring awarding organisations through visits, audits and the standards of the qualifications they deliver





# Qualifications Monitoring

- Scrutiny

Check and confirm that awarding organisations are safely delivering qualifications. This can involve looking closely at qualifications or monitoring the delivery of qualifications by the awarding organisations as they are being carried out. End to end reviews – from question paper setting to awarding.

- Comparability

This involves looking closely at qualifications, evaluating assessment practices and comparing student work, across particular sets of qualifications. Cross sectional reviews.



# Taking Regulatory Action

What, how, who

- Addressing an issue and monitor its progress in doing so
- Evidence that Conditions are not being complied with
- Giving a direction (enforceable by the courts of law)
- Placing a cap on fees or funding
- Fining awarding organisations
- withdraw recognition



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Working together

Who is required to enforce law?

