

OTHM Centre Risk Management Policy



1. Introduction

Centre risk-ratings are used to inform OTHM's quality assurance and monitoring approach for each centre.

OTHM's approach risk monitoring is driven by an Enhanced RAG Rating System

2. Definitions

Centres will be rated as follows (including summary definitions):

High Risk: RED

Critical quality issues are present that are likely to significantly impact the learner experience and / or undermine the integrity of OTHM and its qualifications. Immediate corrective action is required to resolve these significant problems.

Moderate-High Risk: AMBER

Moderate quality concerns are identified that, if not addressed promptly, could escalate into more severe issues. Mitigation plans should be implemented to manage and resolve these issues.

Moderate Risk: WEAK AMBER

Minor quality issues that do not pose an immediate risk but should be monitored to prevent escalation. Routine attention is necessary to ensure these concerns do not worsen.

Low Risk: GREEN

The centre is performing well, meeting quality standards and objectives without any notable issues. Continuous monitoring is maintained to sustain high-quality performance. Minor recommendations may be given for continuous development.

Centre Risk Ratings inform the level of OTHM monitoring, support, and frequency of quality assurance activity. Centres are subject to two types of risk rating;

- EQA Risk Rating
- Centre Quality Review (CQR) Risk Rating

3. Monitoring

EQA risk ratings are established as part of every EQA activity and are recorded on the EQA report. The rating is used by the External Quality Assurer to inform the rate of sampling for subsequent activities, i.e., higher risk ratings will result in higher levels of sampling. High risk ratings will also be accompanied by centre actions or sanctions as required.

The CQR Centre Risk Rating, established as part of every Centre Quality Review and recorded on the final report, will inform OTHM's ongoing centre monitoring activity and the maximum time allowed until the next CQR - details below:

High Risk = Annual Review

Moderate-High Risk = 2 Year Review

Moderate or Low Risk = 3 Year Review

Where centres are identified as High Risk for two consecutive CQRs, centre sanctions will be applied, up to and including withdrawal of centre approval status as appropriate.

OTHM monitor risk-ratings on an ongoing basis and may apply corrective action in the form of additional monitoring activity, centre actions, or centre sanctions as necessary.

4. Regulatory References

- **A1:** Suitability for continuing recognition
- **A4:** Conflicts of Interest
- **A5:** Availability of adequate resources and arrangements
- **A6:** Identification and management of risks
- **A7:** Management of incidents
- **A8:** Malpractice and maladministration
- **B3:** Notification to Ofqual of certain events
- **C1:** Arrangements with third parties
- **C2:** Arrangements with Centres
- **G9:** Delivering the assessment
- **H1:** Marking the assessment
- **H2:** Centre Assessment Standard Scrutiny where assessment is marked by a Centre
- **H3:** Monitoring the specified levels of attainment for a qualification
- **H5:** Results for a qualification must be based on sufficient evidence
- **H6:** Issuing results
- **I1:** Appeals process

5. Version Control

Policy Owner: Will Smith

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1.0	September 2025	New