Annual Monitoring & Reporting (AMR)

Guidance Notes – 2017/18

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Contents

Annual Monitoring & Reporting (AMR) Form – Guidance Notes

1.   Introduction

1.1   This document provides guidance to assist you in completing the AMR form.

1.2   The General Optical Council (GOC) is required to "keep informed of the nature of the instruction given by any approved training establishment to persons training as optometrists or dispensing opticians and of the assessments on the results of which approved qualifications are granted", under s.13(1) Opticians Act 1989. Qualifications leading to a registrable therapeutic / independent prescribing or contact lens optics specialism are also included within the GOC's regulatory scope.

1.3   As part of our approval and quality assurance (A&QA) of education establishments and qualifications (referred to as 'providers' and 'programmes' respectively in this document), all providers are required to demonstrate how they satisfy our requirements, currently listed in our [handbooks](#).

1.4   We seek assurance from providers in a number of ways, including: visits, notification of major changes to programmes, conditions management, and annual monitoring.

1.5   For the 2017/18 AMR process, all providers are required to complete a standard return. This will re-establish the practice of annual reporting through which providers reflect on key changes, events and risks, seek guidance and/or provide assurance.

1.6   **The deadline for submitting your 2017/18 AMR form is Monday 7 January 2019 at 5pm**.

1.7   Failure to submit your form on time and/or submitting incomplete or inaccurate data will be reported to our Education Committee and may feature in our sector report.

1.8   Please note that your AMR submission and/or non-compliance with the AMR process may result in the GOC undertaking additional quality assurance activities in relation to your programme. This may include (but is not limited to) requesting additional information, conducting a desktop review of the programme, and/or a visit by an Education Visitor Panel.

1.9   If you have any queries that are not covered in this document or if you require any further assistance, please contact the Education team using the details provided at section 12.

2.   Section A – Programme information

2.1   This section requests key information in relation to your programme and the individuals responsible for the completion of the form.

Provider name	The name of your education establishment.
Programme name	The name of the programme that you are reporting on. If the programme name has changed, please include this at B1 - Programme changes.
Period covered	This AMR form covers the period from **1 September 2017 – 31 August 2018**. Further guidance on the data collection point is provided for each section. For example, for section C3 – Student admissions data, the data submitted should relate to cohorts commencing study in the reporting period. Where you have multiple intakes in the academic year, these should all be reported. You may provide breakdowns for each intake in the relevant 'Comments' box for each section.
Form completed by	The name of the person(s) with primary responsibility for compiling the information required and completing the form.
Job title	The job title of the person(s) with primary responsibility for compiling the information and completing the form.
Email	The email address of the person(s) with primary responsibility for compiling the information and completing the form.
Date	The date on which the form was completed.
Responsible Officer	The AMR form must be signed by a Responsible Officer. The Responsible Officer is a member of staff with sufficient authority to represent and bind the institution and bears ultimate responsibility for the information submitted in the AMR form. Typically, we would expect the Responsible Officer to be at Head of School / Head of Department level or above. The Responsible Officer must only sign off the form when they are satisfied that the responses submitted give a true and fair account of the programme.
Job title	The job title of the Responsible Officer.
Email	The email address of the Responsible Officer.
Date	The date on which the Responsible Officer signed off the form.

3.   Section B – Programme changes

3.1   In this section you should provide details of any reportable change(s) to the programme. Please include a summary of the rationale for the change(s) and an explanation as to how the impact of any change is being managed. If there are no reportable changes, please enter "No reportable changes" into the box.

3.2   As this is the first year of the new process, please include all reportable changes that have occurred since your most recent A&QA visit.

3.3   For further information regarding reportable changes, please refer to the 'Notification of reportable events and changes' guidance attached at Annex 1.

4.   Section C – Programme delivery

4.1   In this section, you should provide details of key information relating to and affecting the delivery of the programme. This includes details of key events, risk analysis, and student data

C1 – Key events	Please provide details of any key events that have occurred since 1 September 2017 that have an actual or potential impact on the delivery of the programme, and the management response. This may include exam regulation breaches, student misconduct, non-registrations, and cases where serious concerns have been raised by primary stakeholders and or whistleblowers. Please note that this list is not exhaustive. For more information, please refer to Annex 1.
C2 – Risk analysis	Please provide details of all current and anticipated high-rated risks to the delivery of the programme. This should include a description of the risk, an assessment of the likelihood and impact of the risk, and details of the countermeasures and contingencies in place.
	Please also highlight any assistance that you may require from the GOC in managing the risk(s).
	You may wish to also submit an up-to-date copy of your programme risk register to assist you in providing the GOC with an overview of programme risk. This can be uploaded in section G.
C3 – Student admissions data	Data submitted in this section should relate to cohorts **commencing** study in the reporting period.
	Please provide the following data:
	• The number of applications received to be admitted to the programme for the 2017/18 intake.

	• The number of students admitted to the first year of the programme commencing in 2017/18 (excluding retakes). • The average academic offer made to successful applicants to commence study in 2017/18, expressed as UCAS points (equivalent), where possible. Where your programme has multiple intakes within the reporting period, please provide further data in the 'Comments' box.
C4 – Cohort data	Data submitted in this section should relate to cohorts **commencing** study in the reporting period. Please provide details of the number of students in each cohort of the programme for the 2017/18 and 2018/19 academic years, as at 1 December 2018. We would expect this data to match the cohort data submitted to the Higher Education Statistics Agency (HESA), where applicable. Please also provide the annual cap on student numbers (sometimes referred to as the maximum student numbers), as set by the GOC. Where your programme has multiple intakes within the reporting period, please provide further data in the 'Comments' box.
C5 – Student progression data	Data submitted in this section should relate to cohorts **ending** in the reporting period, e.g. students whose first year ended on 31 July 2018 should be reported as a year 1 cohort, and so on. Please provide an overview of student progression and attainment throughout the programme. i. *Percentage of first year students continuing on the programme into a second year* – the percentage of first year students that remained on the programme, either progressing to year two or repeating their first year. ii. *Percentage of students progressing to the next year of the programme* – The percentage of students who successfully progressed to the following year of the programme, i.e. moved from year 1 to 2, or 2 to 3 (for example). Do not include final year students graduating in this figure. iii. *Percentage of final year students successfully completing the programme* – the percentage of students in the final year of the programme that

	successfully completed the programme and were awarded the relevant registrable qualification.
	iv. *Student attainment by final qualification classification (if applicable)* – where the programme awards a degree upon successful completion, please provide the percentage of students that obtained each classification (e.g. first, 2:1, 2:2, third, pass and/or fail).
	We would expect this data to mirror the student progression data submitted to the Higher Education Statistics Agency (HESA), where applicable.
	Where your programme has multiple cohorts within the reporting period, please provide further data in the 'Comments' box.
C6 – Accreditation / Recognition of Prior Learning (APL)	Data submitted in this section should relate to APL applications received during the reporting period.
	The data set in this section should provide data relating to the use of your APL policy for the programme.
	i. *Number of APL applications received* – the total number of APL applications received in the reporting period.
	ii. *Number of individuals with a successful APL application* – the number of individuals with one or more successful APL applications for the reporting period.
	iii. *Number of successful APL applications per module* – the number of successful APL applications per module for the reporting period. For each module, please provide the module code / number alongside the corresponding number of successful applications. Where no successful APL applications have been made to a module, there is no requirement to list that module.
	iv. *Successful application detail* – please use this box to provide anonymised details of each successful APL application. This should provide a brief explanation of the grounds upon which the accreditation was granted.
	Where no APL applications have been received in the reporting period, no information should be submitted.
C7 – National Student Survey (NSS) scores	Please provide the most recent NSS scores for your programme.

5. Section D – GOC conditions

5.1 In this section, you should provide details of progress made against the programme's current conditions, including how any associated risks are being managed.

5.2 Should you have already received GOC confirmation that you have met the condition, please insert 'met' in the 'Condition update' box.

5.3 Where completion of a condition is overdue or a deadline is likely to be missed, please provide a detailed explanation of why the deadline has been / may be missed, and the steps that are being taken to ensure that the condition will be met as soon as possible.

5.4 If you have any questions regarding your conditions, please contact the Education team using the details provided at section 12.

6. Section E – Lessons learned & good practice

6.1 In this section, please provide details of any areas of learning or examples of good practice that you wish to share with the GOC.

6.2 We are requesting this information to assist us in maintaining oversight of new developments and sharing good practice in the sector.

6.3 For example, this may include (but is not limited to):
6.3.1 examples of where key events have led to improved processes or outcomes;
6.3.2 innovative module / programme design;
6.3.3 examples of innovative teaching or delivery on the programme;
6.3.4 new assessment methods;
6.3.5 new course content;
6.3.6 innovative student support and/or supervision mechanisms;
6.3.7 examples of where programme changes have led to improved learning outcomes; and/or
6.3.8 examples of where you have developed new or improved relationships with local optical healthcare providers, for example with a local hospital or community facilities.

7. Section F – Feedback

7.1 In this section, please provide your comments, questions, observations and/or considerations in respect of the GOC's A&QA function, including the AMR process.

8. Section G – Attachments

8.1 You may wish to provide supporting documentation with your return. You may attach up to ten files here.

8.2 Please note that files larger than 10MB are not supported. If you wish to submit a file larger than 10MB or more than ten files please contact the Education team using the details provided at section 12.

9. Assessment & awarding bodies

9.1 All providers involved in a route to registration are required to complete the AMR form. This includes those providers responsible for the final assessment in a route to registration or scheme for registration and the awarding of qualifications.

9.2 Although most fields are relevant for assessment & awarding bodies, you may submit an alternative presentation of data where appropriate, provided that it provides an adequate response to the question.

9.3 Should a particular field not be applicable at all, please enter N/A.

9.4 If you require any further assistance or have any queries that are not covered in this document, please contact the Education team using the details provided at section 12.

10. How we will use the AMR data

10.1 Once the AMR reporting period closes, we will use the data to identify:
  10.1.1 updates regarding key changes at individual programmes and providers;
  10.1.2 current risks and issues relating to specific programmes and providers;
  10.1.3 progress against conditions and recommendations;
  10.1.4 emerging trends and risks within the sector;
  10.1.5 examples of good practice and lessons learnt within the sector; and
  10.1.6 ways in which the GOC's approval and quality assurance activities could be further developed.

10.2 Once the data has been analysed, we will produce two types of report:

  10.2.1 **Sector report** – we will produce a sector-wide report providing analysis, conclusions and recommendations. This will assist the GOC in carrying out its statutory function of providing oversight of the optical education sector, and in advising Council on sector-wide risks. This will be presented to Council and published on our website.

  10.2.2 **Provider report** – we will produce a short report for each provider, providing feedback regarding the provider's return. Should we identify any serious or immediate concerns, or require additional information, we will contact the Responsible Officer using the email address

provided. We do not intend to publish provider reports for this year's return, subject to our legal obligations set out at section 11.

10.3 You should expect to receive your provider report in April – May 2019.

10.4 Please note the provisions of paragraphs 1.7 and 1.8 regarding the potential actions that we may take in response to your submission or in the event of non-compliance.

10.5 Please note that all aspects of the AMR process will remain under review. In response to feedback on the process, lessons learned, and the changing needs of the GOC and the sector, future iterations of the AMR may be subject to change. Any changes will be communicated to providers as appropriate.

11. Transparency

11.1 As a public authority, the GOC is subject to the provisions of the Freedom of Information Act 2000. Information that you submit may be released under the Act, subject to the relevant exemption(s), or as part of the GOC's publication scheme, which may be viewed on the GOC website here.

11.2 Should we receive a request under the Freedom of Information Act, we will ask you to highlight any sections that may be exempt from release and provide a justification for the exemption. Please note that personal information that is not in the public domain will not be released.

11.3 Any personal information that is provided will be processed for the purpose of our public task of conducting our education function. We may use your contact details to contact you in relation to the information submitted on this basis.

12. Further information

12.1 If you have any queries or require further information regarding the AMR process, please contact the Education team at education@optical.org.

Annex 1 – Notification of reportable events and changes guidance

1.1 The GOC must maintain adequate oversight of approved qualifications. We must be assured by providers, in a timely manner, that:

    1.1.1   risks and issues are identified;

    1.1.2   mitigating actions are planned and implemented;

    1.1.3   outcomes are recorded (as relevant); and/or

    1.1.4   enhancements or changes to the qualifications are appropriately managed.

1.2 Providers are not required to report all events in or changes to their programme(s). They should consider the guidance below in making this decision.

Reportable events:

1.3 Providers must notify the GOC as soon as practicable of any events that have an **actual or potential impact** on the delivery of the programme, and the management response. This may include (but is not limited to) breaches of the GOC requirements, exam regulation breaches, student misconduct, non-registrations, supervision breaches, referrals to GOC fitness to practise team, or cases where serious concerns have been raised regarding the programme or its delivery.

Reportable planned or actual changes:

1.4 Providers must notify the GOC as soon as practicable of any **planned or actual changes** to the structure, delivery, resourcing, staffing and accommodation of the programme that are likely to impact:

    1.4.1   the quality of the programme;

    1.4.2   the delivery of the programme;

    1.4.3   public protection; and/or

    1.4.4   the ability of the programme to meet the GOC's requirements and standards.

1.5 **Planned changes** should only be reported where it is probable or definite that the changes will take place.

1.6 Examples of reportable planned or actual changes may include, but are not limited to, the following types of changes (when they may have a material risk to or impact on the programme, GOC requirements and/or patient safety):

    1.6.1   in programme finances;

    1.6.2   in management;

    1.6.3   to the title of the programme or qualification;

    1.6.4   to the level of the programme or qualification;

    1.6.5   to franchise agreements;

    1.6.6   to validation agreements;

    1.6.7   to the length of the programme and/or the mode of its delivery;

    1.6.8   in clinical provision;

1.6.9   in staffing, teaching or supervision personnel;

1.6.10   in assessment;

1.6.11   in Recognition / Accreditation of Prior Learning (RPL/APL) arrangements;

1.6.12   in student entry requirements;

1.6.13   in student numbers (an increase or decline of 10 per cent or more versus the maximum number of students approved by the GOC should be reported);

1.6.14   in patient numbers passing through the student clinic;

1.6.15   in teaching, learning and clinical accommodation;

1.6.16   in clinical assessment accommodation;

1.6.17   in practice-based learning arrangements;

1.6.18   in IT, library and other learning resource provision; and/or

1.6.19   in the intention to deliver the programme – i.e. an intention to cease to deliver the programme (and a desire to administratively withdraw GOC approval at a planned time in future).

What to expect after making a notification

1.7   The GOC will review the notification and any supporting information provided. In response, the GOC will either confirm that sufficient assurance has been provided, or may seek further assurance by:

1.7.1   requesting further information;

1.7.2   conducting a desk-based information review;

1.7.3   holding a telephone conference or meeting with you; and/or

1.7.4   conducting a quality assurance visit.

1.8   We may also report the event(s) or change(s) to Education Committee and/or Council.