



# **Provider Monitoring Report**

**Lantra Awards**

**15 June 2022**

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# 1 Background

One provider was remotely monitored on 7 June 2022.

## 1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This involves monitoring a sample of the awarding body's approved providers or assessment sites. Provider monitoring visits will be conducted in a consistent manner within and between providers.

The aim of monitoring is to:

- ◆ ensure the awarding body's compliance with SQA Accreditation's regulatory requirements
- ◆ confirm that quality assurance arrangements are being conducted by the awarding body in accordance with its prescribed arrangements
- ◆ ensure that quality assurance arrangements are being conducted in a consistent manner, within and between providers
- ◆ ensure that providers are receiving the appropriate guidance, support and documentation from the awarding body in order to facilitate a high standard of qualification delivery
- ◆ inform future audit and monitoring activity for the awarding body

All Principles may be included within the scope of the provider monitoring activity.

Awarding body documentation considered for review includes all documents banked on the awarding body's SharePoint Place at the time of provider monitoring and information supplied by providers to support provider monitoring activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

SQA Accreditation provider monitoring reports are written by exception focusing only on those areas where corrective action is required or recommended.

## 1.2 Provider Monitoring Report Timescales

Lantra Awards provider monitoring date:	15 June 2022
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	20 July 2022
Provider Monitoring Report to be signed by Lantra Awards:	31 August 2022
Action Plan to be emailed to <a href="mailto:regulation@sqa.org.uk">regulation@sqa.org.uk</a> by Lantra Awards	31 August 2022

The process will apply in relation to the timescales specified above:

- ◆ The awarding body will be sent a copy of the Provider Monitoring Report by email.
- ◆ The awarding body must sign the copy of the Provider Monitoring Report and return by email to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be emailed a copy of the Action Plan.
- ◆ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and email this in Microsoft Word format to [regulation@sqa.org.uk](mailto:regulation@sqa.org.uk).
- ◆ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.
- ◆ Following approval by ACG, the awarding body will be sent a signed copy of the approved Action Plan by email.
- ◆ The awarding body must sign the Action Plan and return by email to SQA Accreditation.

The findings of this Provider Monitoring Report and the associated Action Plan will be published on SQA Accreditation's website following signed agreement.

SQA Accreditation will continually monitor progress towards completion of the proposed actions identified in the Action Plan and update the awarding body's Quality Enhancement Rating as appropriate.

### 1.3 Summary of Provider Monitoring Issues and Recommendations

An Issue has been recorded where evidence shows that the awarding body is not compliant with SQA Accreditation’s regulatory requirements. The awarding body must address the Issues and specify corrective and preventative measures to address them through its Action Plan.

The Action Plan is e-mailed to Lantra Awards as a separate document to the Provider Monitoring Report and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.

As a result of the provider monitoring activity, three Issues have been recorded and one Recommendation was noted.

Issue	Detail of Issue recorded	Risk rating
1. Principles 9 & 14	The provider-devised equality and diversity policy for Provider 1 incorrectly refers to the Equality Act 2017, which is equality legislation for the Isle of Man.	Low
2. Principles 9 & 16	Lantra Awards SCQF Forestry and Arboriculture Qualification Suite, Qualification Specification, Version 1, and the provider-devised complaints policy for Provider 1 both contain incorrect email links to a competitor awarding body, not SQA Accreditation, as the qualification regulator.  Nor does the provider-devised complaints policy refer to SQA Accreditation’s online complaints form, which can be found at: <a href="https://accreditation.sqa.org.uk/accreditation/About_Us/Complaint">https://accreditation.sqa.org.uk/accreditation/About_Us/Complaint</a>	Low
3. Principle 12	At the time of provider monitoring activity, no observation of assessment had been undertaken by the internal verifier (IV) for Provider 1.	Medium

A Recommendation has been noted where SQA Accreditation considers there is potential for enhancement. The awarding body is advised to address any Recommendations in order to reinforce ongoing continuous improvement. However, measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 5	Lantra Awards should recommend that its providers’ websites contain links to providers’ policies and procedures for learners.

## 1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications and/or the learner.

Issues recorded during provider monitoring will count towards Lantra Award's Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the [SQA Accreditation website](#).

## 2 Good Practice, Issues and Recommendations

The following sections detail:

- ◆ good practice noted by providers
- ◆ Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements

### 2.1 Good Practice

The following areas of good practice were noted by providers:

Provider 1 highlighted recognised recognition within the sector for Lantra Awards.

### 2.2 Issues

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

**Regulatory Principle 14. The awarding body and its providers must ensure that its qualifications and their delivery and assessment are fair, inclusive and accessible to learners.**

When reviewing the provider-devised equality and diversity policy given to the Accreditation Auditor by Provider 1, the Accreditation Auditor noted that it incorrectly referred to the Equality Act 2017, which is the equality legislation for the Isle of Man.

This has been recorded as **Issue 1**.

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

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

Lantra Awards *SCQF Forestry and Arboriculture Qualification Suite, Qualification Specification, Version 1* contains an incorrect email link in section 3.6.1 About SQA Accreditation on page 19. This is for a competitor awarding body, not SQA Accreditation, as the qualifications regulator.

The provider-devised complaint policy given to the Accreditation Auditor by Provider 1 also contains an incorrect email link for complaints to a competitor awarding body, not SQA Accreditation, as the qualification regulator. Nor does it refer to SQA Accreditation's online complaints form, which can be found at:

[https://accreditation.sqa.org.uk/accreditation/About\\_Us/Complaint](https://accreditation.sqa.org.uk/accreditation/About_Us/Complaint)

This has been recorded as **Issue 2**.

**Regulatory 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.**

Lantra Awards *SCQF Forestry and Arboriculture Qualification Suite, Qualification Specification, Version 1* states on page 38 that 'The IV will check some of the assessments made by assessors to make sure that they agree that the learner is competent (or not) and to make sure that all assessors in the centre would have reached the same decision based on the evidence provided. Where assessment decisions have been sampled, it is recommended that the IV initial the record sheets to show that sampling has taken place. Sampling must include some direct observation of assessments taking place.'

When reviewing the remote external quality assurance report undertaken on 18 August 2021, the Accreditation Auditor noted that Lantra Awards external verifier (EV) had raised an action that included the condition that the provider was to set out a framework showing how they would complete internal quality assurance, including observation of assessments. This framework was to be provided to Lantra Awards by 24 September 2021.

At the time of provider monitoring activity, no observation of assessment had been undertaken by the internal verifier (IV) for Provider 1.

This has been recorded as **Issue 3**.

## 2.3 Recommendations

**Regulatory Principle 5. The awarding body and its providers must provide clear information on their procedures, products and services and ensure that they are accurate and appropriate to accredited qualifications.**

When reviewing the website for provider 2 the Accreditation Auditor noted that it did not contain any of the provider's policies and procedures.

Lantra Awards should recommend that its providers' websites contain links to providers' policies and procedures for learners.

This has been noted as **Recommendation 1**.

## 3 Acceptance of Provider Monitoring Findings