



Provider Monitoring Report

**Association of Chartered Certified Accountants
(ACCA)**

27 March 2019

Contents

1 Background	1
1.1 Scope	1
1.2 Provider Monitoring Report Timeline	2
1.3 Summary of Provider Monitoring Issues and Recommendations	3
1.4 Risk Rating of Issues	4
2 Good Practice, Issues and Recommendations	5
2.1 Good Practice	5
2.2 Issues	5
2.3 Recommendations	6
3 Acceptance of Provider Monitoring Findings	7

1 Background

One ACCA approved learning partner was monitored on 27 March 2019.

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

ACCA provider monitoring date	27 March 2019
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	10 April 2019
Provider Monitoring Report to be signed by ACCA:	24 May 2019
Action Plan to be emailed to regulation@sqa.org.uk by ACCA:	24 May 2019

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

- ◆ The awarding body will be sent two signed copies of the Provider Monitoring Report by post.
- ◆ The awarding body must sign both copies of the Provider Monitoring Report and return one by post to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be emailed a copy of the Provider Monitoring Report (for information only) and an electronic copy of the Action Plan.
- ◆ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and e-mail this in Microsoft Word format to 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 two signed copies of the approved Action Plan by post.
- ◆ The awarding body must sign both copies of the Action Plan and return one by post 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 ACCA 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, two Issues have been recorded and one Recommendation has been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 8	The provider did not retain any certificate evidence of tutor qualifications and hence the Accreditation Auditor could not check relevant qualifications during provider monitoring.	Medium
2. Principles 12 and 6	<p>The complaints policy at the provider does not reference the right of candidates to escalate complaints to either ACCA as the awarding body or SQA Accreditation as the regulator.</p> <p>Similarly, the <i>ACCA Approved Learning Partner Handbook, 2018/19</i> and the <i>ACCA Approved Learning Partner Pre-approval Guide</i> do not reference the escalation of complaints to SQA Accreditation as the regulator.</p>	Low

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 4	ACCA may wish to consider reviewing the accessibility of information on its website.

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 ACCA'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 provider spoke very highly of ACCA and highlighted the:

- ◆ positive and professional relationship with the awarding body
- ◆ good communication with regular updates
- ◆ supportive and enabling monitoring staff
- ◆ quick resolution of queries
- ◆ webinar facility providing an overview of the ACCA results service
- ◆ information about candidate performance generated by the ACCA results service
- ◆ quality of the events organised by ACCA, enabling good practice to be shared

2.2 Issues

Regulatory Principle 8. The awarding body shall ensure that SQA Accreditation is granted access to all information pertaining to SQA accredited qualifications.

The provider held summary details of all ACCA approved tutors delivering their courses in terms of their qualifications and experience. However, the provider did not retain any certificate evidence of tutor qualifications and hence the Accreditation Auditor could not validate staff qualifications during provider monitoring.

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

Regulatory Principle 12. The awarding body and its providers shall have open and transparent systems to manage complaints.

Regulatory Principle 6. The awarding body and its providers shall maintain accurate documents, records and data.

The complaints policy at the provider does not reference the right of candidates to escalate complaints to either ACCA as the awarding body or SQA Accreditation as the regulator.

Page 17 of the *ACCA Approved Learning Partner Handbook, 2018/19* details the process for candidates who wish to make complaints. However, there is no reference to the escalation of complaints to SQA Accreditation as the regulator. Similarly, section 1.2 of the *ACCA Approved Learning Partner Pre-approval Guide* which deals with complaints does not mention escalation to the regulator. It is acknowledged that this information is presented fully in the *ACCA Complaints Information* on the ACCA website but this information needs to be consistent in all documentation.

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

2.3 Recommendations

Regulatory Principle 4. The awarding body shall continually review the effectiveness of its business services, systems, policies and processes.

The provider commented that they found the ACCA website difficult to navigate in terms of finding relevant information easily and that they resorted to the search facility for this purpose.

ACCA may wish to consider reviewing the accessibility of information on its website.

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

3 Acceptance of Provider Monitoring Findings

For and on behalf of ACCA:

For and on behalf of SQA Accreditation:

Print name

Print name

.....

.....

Signature

Signature

.....

.....

Designation

Designation

.....

.....

Date

Date

.....

.....