



# **Provider Monitoring Report**

**Alcohol Focus Scotland (AFS)**

**10 February 2017**

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# 1 Background

One provider was monitored on 10 February 2017.

## 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 Quickr 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. Consequently, this approach to provider monitoring reporting will not detail areas where compliance or good practice was identified by SQA Accreditation.

## 1.2 Provider Monitoring Report Timescales

AFS provider monitoring date:	10 February 2017
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	31 March 2017
Provider Monitoring Report to be signed by AFS:	17 May 2017
Action Plan to be e-mailed to <a href="mailto:regulation@sqa.org.uk">regulation@sqa.org.uk</a> by AFS	17 May 2017

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 e-mailed 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](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 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 AFS 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, one Issue has been recorded and three Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
Principle 10	AFS had not complied with its own procedures for external quality assurance as stated within its <i>AFS Awarding Body Regulations</i> (December 2014).	High

A Recommendation has been noted where SQA Accreditation considers there is potential for improvement. The awarding body is advised to address any Recommendations noted as good practice. 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 6	AFS should upload amended Terms and Conditions to SharePoint.
2. Principle 6 & 7	AFS should amend both of the Centre Guidance documents for Licensing Board Members' and Licensing Standards Officers' Qualifications (September 2014) by removing the list of acceptable qualifications produced by SQA Accreditation in conjunction with Scottish Government as it was out of date and therefore no longer available on SQA Accreditation's website.
3. Principle 13	AFS may wish to review its documentation to reflect that an appellant should only have the right of escalation to SQA Accreditation through the awarding body complaints process.

## 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 AFS'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:

[http://accreditation.sqa.org.uk/accreditation/Regulation/Quality\\_Assurance/Quality\\_Enhancement\\_Rating](http://accreditation.sqa.org.uk/accreditation/Regulation/Quality_Assurance/Quality_Enhancement_Rating)

## 2 Issues and Recommendations

The following sections detail:

- ◆ Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements

### 2.1 Issues

**Regulatory Principle 10. The awarding body shall ensure that it has the necessary arrangements and resources for the effective delivery, assessment and quality assurance of SQA accredited qualifications.**

*AFS Awarding Body Regulations (December 2014) state that 'In cases where there are problems with centres the frequency of visits will increase and similarly, where there are no problems with centres the frequency of visits may drop, subject to a minimum of one visit per three years. In addition, occasionally an Alcohol Focus Scotland Officer may monitor qualification delivery by observation of the training.'*

The Accreditation Auditor was given copies of the previous two *AFS External Verifier Reports* from Provider 1 dated 3 December 2009 and 20 August 2012.

Provider 1 also informed the Accreditation Auditor that no external verification visits had been undertaken by AFS in approximately four years, since the last external verification visit in August 2012. It was also noted during the provider monitoring visit that there had been no qualification observation of training by AFS.

Therefore, AFS had not complied with its own procedures for external quality assurance as stated within its *AFS Awarding Body Regulations (December 2014)*.

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

### 2.2 Recommendations

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

Provider 1 informed the Accreditation Auditor that any references to job roles within the *AFS Terms and Conditions (October 2015)* are due to be updated.

AFS should upload amended Terms and Conditions to SharePoint.

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

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

**Regulatory Principle 7. The awarding body shall have effective arrangements for communicating with its staff, stakeholders and SQA Accreditation.**

Prior to the provider monitoring visit to Provider 1, the Accreditation Auditor noted that both the *AFS Centre* Guidance documents for Licensing Board Members' and Licensing Standards Officers' Qualifications, (September 2014) stated the following:

*'Training of trainers –*

*Trainers should be trained to a national agreed standard of competency. A list of acceptable qualifications can be found on SQA's website under 'Accreditation'.*

*The SQA will accredit the qualification offered by awarding bodies **only if:***

*1. Trainers have an existing training qualification (accredited by the SQA); and'*

The Accreditation Manager responsible for both these qualifications e-mailed Scottish Government on 5 December 2014 informing them that the list of acceptable qualifications produced by SQA Accreditation in conjunction with Scottish Government was out of date and therefore would no longer be available on SQA Accreditation's website.

It was suggested by the Accreditation Manager that this list be replaced with a statement saying *'customers should contact their awarding body to check the suitability of trainer qualifications'* and that the Training Specification and Assessment Strategy would need to be amended or an addendum added to reflect this change.

Therefore, AFS should amend both of the Centre Guidance documents for Licensing Board Members' or the Licensing Standards Officers' Qualifications (September 2014) to reflect these amendments.

This has been noted as **Recommendation 2.**

**Regulatory Principle 13. The awarding body and its providers shall have clear, fair and equitable procedures to manage appeals.**

*AFS Scotland Awarding Body Regulations (December 2014), states that 'If, having followed the Alcohol Focus Scotland appeals system, the appellant is not satisfied with the outcome, they have the right to appeal to the relevant regulator, SQA Accreditation. Note that SQA Accreditation is unable to overturn assessment decisions or academic judgements.'*

The Provider 1 fail letter for Licensing Board Members' and Licensing Standards Officers' Qualifications states 'You have the right of appeal as detailed on our website, [www.alcohol-focus-scotland.org.uk](http://www.alcohol-focus-scotland.org.uk).

*If, having followed the Alcohol Focus Scotland appeals system, the appellant is not satisfied with the outcome, they have the right to appeal to the relevant regulator, SQA Accreditation.'*

However, an appellant should only have the right of escalation to SQA Accreditation through the awarding body complaints process.

This has been noted as **Recommendation 3.**

### 3 Acceptance of Provider Monitoring Findings

For and on behalf of AFS:

For and on behalf of SQA Accreditation:

**Print name**

**Print name**

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**Signature**

**Signature**

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**Designation**

**Designation**

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**Date**

**Date**

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