



Provider Monitoring Report

Associated Sport Qualifications (ASQ)

3 October 2018

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	6
2 Good Practice, Issues and Recommendations	7
2.1 Good Practice	7
2.2 Issues	7
2.3 Recommendations	13
3 Acceptance of Provider Monitoring Findings	14

1 Background

One provider was monitored on 3 October 2018.

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

ASQ provider monitoring date:	3 October 2018
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	14 November 2018
Provider Monitoring Report to be signed by ASQ:	10 January 2019
Action Plan to be e-mailed to regulation@sqa.org.uk by ASQ	10 January 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 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.
- ◆ 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 ASQ 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, seven Issues have been recorded and two Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principles 5 & 10	ASQ's <i>Qualification Specification Level 2 Certificate in Coaching Golf - Guidance to Qualification</i> SQA document contains inconsistent and incorrect advice on the methodology of internal assessment.	Medium
2. Principles 5 & 10	ASQ <i>Internal Quality Assurance of Assessment (IV) SQA E12b</i> document inaccurately references sampling requirements for ASQ Internal Verifiers who 'hold direct claim status' or 'non-direct claim status'.	Low
3. Principles 6 & 10	<p>ASQ <i>Qualification Specification SQA Level 2 Certificate in Coaching Golf</i> details that the internal assessment component consists of the production of a recorded logbook. However, this assessment method is not currently covered in the sampling plan for internal verification for Provider 1 to check.</p> <p>Provider 1 further explained to the Accreditation Auditor that their candidates' recorded logbooks/portfolios are being internally assessed by another provider's Internal Verifier.</p> <p>The Accreditation Auditor was informed by Provider 1 that the external component of completed multiple choice questionnaires (MCQ) are marked by the Centre Co-ordinator at Provider 1. Again, this assessment method is not currently covered in the sampling plan for internal verification for Provider 1 to check.</p>	High

<p>4. Principle 10</p>	<p>The Accreditation Auditor was informed by Provider 1 that they currently did not have a documented process for Assessors on keeping exam papers secure from the time they are received by the Assessor until the delivery of the examination.</p>	<p>Low</p>
<p>5. Principle 11</p>	<p>Provider 1 is not complying with ASQ <i>Equal Opportunities Policy in Relation to Access to, and Fairness in Assessment F1</i> document which states that ‘Candidates who believe that they have been discriminated against either in accessing, or during, assessment will, in the first instance, be able to lodge a complaint with the approved centre.’</p> <p>In addition, the information contained in the ASQ <i>Levels 1 or 2 Certificate in Coaching Candidate Golf - Guidance Packs</i> is inaccurate, so Provider 1 has limited or no knowledge of concerns raised in relation to equal opportunities as these are being sent to, and possibly being dealt with by, another provider who is not approved to deliver SQA accredited qualifications.</p>	<p>Medium</p>
<p>6. Principles 12</p>	<p>Provider 1 is not complying with ASQ <i>Complaints Procedure C1</i> document which states that ‘Complaints from a candidate regarding either the qualification delivery or outcome should be firstly addressed to the appropriate approved centre that enrolled the candidate for the course.’</p> <p>In addition, the information contained in the ASQ <i>Levels 1 or 2 Certificate in Coaching Candidate Golf - Guidance Packs</i> is inaccurate, so they have limited or no knowledge of any complaints as these are being sent to, and possibly being dealt with by, another provider who is not approved to deliver SQA accredited qualifications.</p>	<p>Medium</p>
<p>7. Principles 13</p>	<p>Provider 1 is not complying with ASQ <i>Appeals Procedure C1a</i> document which states that ‘appeals should be made within one month of the decision having been made and should be directed to the approved centre (qualification manager) in the first Instance, details of which can be found within your candidate pack.’</p> <p>In addition, the information contained in the ASQ <i>Levels 1 or 2 Certificate in Coaching Candidate Golf - Guidance Packs</i> is inaccurate, so Provider 1 has limited or no knowledge of any appeals as these are being sent to, and possibly being dealt with by, another provider who is not approved to deliver SQA accredited qualifications.</p>	<p>High</p>

	<p>The Accreditation Auditor has deemed it appropriate to increase the risk level to high for this issue as the Accreditation Auditor was informed by Provider 1 that they have knowledge of at least two appeals that have been dealt with by the other provider which is not approved to deliver SQA accredited qualifications.</p>	
--	---	--

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. Principles 4 & 15	ASQ may wish to consider reviewing its process of sending candidate certificates to the provider and instead send them directly to the candidate.
2. Principles 6 & 10	ASQ should remind its External Verifiers to ensure that its SQA approved providers all hold appropriate training and occupational certificates for its assessment staff.

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 ASQ'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 that:

- ◆ summary document produced by ASQ found to be very helpful
- ◆ ASQ's input into reviewing standardisation of internal verification beneficial
- ◆ staff are approachable, knowledgeable and quick to answer queries

2.2 Issues

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

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.

ASQ's *Qualification Specification Level 2 Certificate in Coaching Golf* document and ASQ *Level 2 Certificate in Coaching Candidate Golf - Guidance Pack* issued to candidates by Provider 1 states that the 'internal assessment consists of:

- ◆ Observation of the delivery of two coaching sessions (assessment can be within training environments), followed by a structured discussion on the observed session.
- ◆ Observation of the correct explanation and demonstration of two technical models of a specific golf swing or shot.
- ◆ Production of a recorded logbook of a series of six coaching sessions, four of which must be linked. Each session should be planned, delivered and evaluated with appropriate feedback recorded and action plans produced.'

ASQ's *Qualification Specification Level 2 Certificate in Coaching Golf - Guidance to Qualification SQA* document states that the 'internal assessment consists of:

- ◆ Observation of the delivery of a minimum of two (recommended ideal of four) micro coaching sessions (5 minutes each within the training environment), followed by a group discussion on performance
- ◆ Observation of the correct explanation and demonstration of two technical models of a specific golf swing or shot

- ◆ Production of a recorded logbook of a series of **six** coaching sessions, **four** of which must be linked. Each session should be planned, delivered and evaluated with appropriate feedback recorded and action plans produced.'

This means that the ASQ's *Qualification Specification Level 2 Certificate in Coaching Golf - Guidance to Qualification SQA* document contains inconsistent and incorrect advice on the methodology of internal assessment.

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

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

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.

The ASQ *Internal Quality Assurance of Assessment (IV) SQA E12b* document states that 'Internal Verifiers should sample the following annually:

- ◆ Assessment and records of all new assessors (or assessors working on new qualifications) at 100% of learners for 100% of their assessment for the first 2 cohorts, one of which should be an observational visit.
- ◆ IVs with direct claims status = 10% of learners, 100% of units (observational visit to each assessor/tutor at least once every 2 years; annually is best practice).
- ◆ IV's with non-direct claims status = 40% of learners; 100% of units (observational visit to each assessor at least once every year).'

The Accreditation Auditor could not find any ASQ process that required Internal Verifiers to hold direct claim status or non-direct claim status. Provider 1 further confirmed to the Accreditation Auditor that they were unaware of any requirement by ASQ for internal verifiers to hold direct claim status or non-direct claim status.

Therefore, ASQ *Internal Quality Assurance of Assessment (IV) SQA E12b* document inaccurately references sampling requirements for ASQ Internal Verifiers who 'hold direct claim status' or 'non-direct claim status'.

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

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

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.

ASQ *Internal Quality Assurance of Assessment (IV) SQA E12b* document states that 'Internal Verifiers will be expected to follow a sampling strategy stipulating in which they should:

- ◆ Directly observe assessors' summative assessment practice.
- ◆ Direct observation of tutors during delivery of learning programme or formative assessment.
- ◆ Inspect paper-based or electronic assessment records.
- ◆ Inspect candidates' written work which has been internally assessed.
- ◆ Interview selected candidates.
- ◆ Verify that assessment sites meet the ASQ requirements for each qualification that is assessed.'

The ASQ *Qualification Specification SQA Level 2 Certificate in Coaching Golf* details that the internal assessment component consists of production of a recorded logbook. However, this assessment method is not currently covered in the sampling plan for internal verification for Provider 1 to check.

Provider 1 further explained to the Accreditation Auditor that their candidates' recorded logbooks/portfolios are being internally assessed by another provider's Internal Verifier, and that this provider is not approved to deliver SQA accredited qualifications.

ASQ *Candidate Registration and Certification - SQA C4b* document states that 'For any qualifications which contain an external assessment component, we will also check whether the candidates listed on the form have been successful in this component. It is only after all approved centres' IV checks have been conducted and those details have been checked and found to be in order by ASQ that the candidates' assessment records will be entered onto our assessment and certification database and we will issue certificates to the successful candidates.'

The Accreditation Auditor was informed by Provider 1 that the external component of completed Multiple Choice Questionnaires (MCQ) are marked by the Centre Co-ordinator at Provider 1. Again, this assessment method is not currently covered in the sampling plan for internal verification for Provider 1 to check.

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

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.

The Accreditation Auditor was informed by Provider 1 that they currently did not have a documented process for Assessors on keeping exam papers secure from the time they are received by the Assessor until the delivery of the examination.

ASQ may wish to consider reminding its External Verifiers to review its providers processes for keeping exam papers secure.

This has been recorded as **Issue 4**.

Regulatory Principle 11. The awarding body shall ensure that its qualifications and their assessment are inclusive and accessible to learners.

ASQ's *Equal Opportunities Policy in Relation to Access to, and Fairness in Assessment F1* document states that 'Candidates who believe that they have been discriminated against either in accessing, or during, assessment will, in the first instance, be able to lodge a complaint with the approved centre.'

Provider 1 gave the Accreditation Auditor a copy of its enrolment confirmation e-mail, which is sent to ASQ candidates and contains either the *ASQ Levels 1 or 2 Certificate in Coaching Candidate Golf - Guidance Pack* as an attachment, and is also uploaded onto Canvas Learning Platform.

Additional information on equal opportunities in both guidance packs detail 'that if you feel you have not been treated fairly and in accordance with this Equal Opportunities statement you should express your concerns in writing and address them' to another provider's listed contact details which is not approved to deliver SQA accredited qualifications.

Therefore, Provider 1 is not complying with ASQ *Equal Opportunities Policy in Relation to Access to, and Fairness in Assessment F1* document which states that 'Candidates who believe that they have been discriminated against either in accessing, or during, assessment will, in the first instance, be able to lodge a complaint with the approved centre.'

In addition, the information contained in the *ASQ Levels 1 or 2 Certificate in Coaching Candidate Golf - Guidance Packs* is inaccurate, so Provider 1 has limited or no knowledge of concerns raised in relation to equal opportunities as these are being sent to, and possibly being dealt with by, another provider which is not approved to deliver SQA accredited qualifications.

This has been recorded as **Issue 5**.

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

ASQ's *Complaints Procedure C1* document states that 'Complaints from a candidate regarding either the qualification delivery or outcome should be firstly addressed to the appropriate approved centre that enrolled the candidate for the course.'

Provider 1 gave the Accreditation Auditor a copy of its enrolment confirmation e-mail, which is sent to ASQ candidates and contains either the *ASQ Levels 1 or 2 Certificate in Coaching Candidate Golf - Guidance Pack* as an attachment, and is also uploaded onto Canvas Learning Platform.

Additional information on complaints in both guidance packs detail that 'should you feel unhappy with any aspect of your coaching course you should express your concerns in writing to' another provider's listed contact details who are not approved to deliver SQA accredited qualifications.'

Therefore, Provider 1 is not complying with *ASQ Complaints Procedure C1* document which states that 'Complaints from a candidate regarding either the qualification delivery or outcome should be firstly addressed to the appropriate approved centre that enrolled the candidate for the course.'

In addition, the information contained in the *ASQ Levels 1 or 2 Certificate in Coaching Candidate Golf - Guidance Packs* is inaccurate, so they have limited or no knowledge of any complaints as these are being sent to, and possibly being dealt with by, another provider who is not approved to deliver SQA accredited qualifications.

This has been recorded as **Issue 6**.

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

ASQ's *Appeals Procedure C1a* document states that 'appeals should be made within one month of the decision having been made and should be directed to the approved centre (qualification manager) in the first instance, details of which can be found within your candidate pack.'

Additional information on appeals in both guidance packs detail that 'if you feel unhappy with the outcome of your practical assessment, you have the right to lodge an appeal against any internal assessment decision to' another provider's listed contact details who are not approved to deliver SQA accredited qualifications.

Therefore, Provider 1 is not complying with *ASQ Appeals Procedure C1a* document which states that 'appeals should be made within one month of the decision having been made and should be directed to the approved centre (qualification manager) in the first Instance, details of which can be found within your candidate pack.'

In addition, the information contained in the ASQ *Levels 1 or 2 Certificate in Coaching Candidate Golf - Guidance Packs* is inaccurate, so Provider 1 has limited or no knowledge of any appeals as these are being sent to, and possibly being dealt with by, another provider who is not approved to deliver SQA accredited qualifications.

The Accreditation Auditor has deemed it appropriate to increase the risk level to high for this issue because the Accreditation Auditor was informed by Provider 1 that they know of at least two appeals that have been dealt with by the other provider which is not approved to deliver SQA accredited qualifications.

This has been recorded as **Issue 7**.

2.3 Recommendations

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

Regulatory Principle 15. The awarding body and its providers shall have effective, reliable and secure systems for the registration and certification of learners.

Provider 1 stated to the Accreditation Auditor that ASQ may wish to consider reviewing its process of sending candidate certificates to the provider and instead send them directly to the candidate.

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 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.

Provider 1 was unable to provide the Accreditation Auditor with appropriate Assessor training and occupational certificates for one out of its ten Assessors. However, Provider 1 explained to the Accreditation Auditor that this was due to the Assessor having just recently moved from another provider.

ASQ should remind its External Verifiers to ensure that its SQA approved providers all hold appropriate training and occupational certificates for its assessment staff.

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

3 Acceptance of Provider Monitoring Findings

For and on behalf of ASQ:

For and on behalf of SQA Accreditation:

Print name

Print name

.....

.....

Signature

Signature

.....

.....

Designation

Designation

.....

.....

Date

Date

.....

.....