Provider Monitoring Report

British Horse Society Qualifications Ltd (BHSQL)

10 March 2021

Contents

1   Background

One provider was remotely monitored on 10 March 2021.

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

BHSQL provider monitoring date: 10 March 2010

Provider Monitoring Report approved by
Accreditation Co-ordination Group on: 5 May 2021

Provider Monitoring Report to be signed by BHSQL: 27 May 2021

Action Plan to be emailed
to regulation@sqa.org.uk by BHSQL   16 June 2021

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 findings of this Provider Monitoring Report will be published on SQA Accreditation's
website following signed agreement.

1.3   Summary of Provider Monitoring Recommendations

As a result of the provider monitoring activity, four Recommendations have been noted.

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. Principles 1 & 10	BHSQL should consider reminding its external verifier that 100% of the internal verification that was put in place to address the conflict of interest declaration, dated 25 September 2019, by provider 1 should be undertaken, prior to certification for this candidate.
2. Principles 6 & 10	BHSQL should consider reminding its external verifiers and providers of the recommendation that all assessors hold a recognised First Aid at Work Certificate as stated in its *SVQ Operational Handbook*, when the current COVID-19 restrictions ease.
3. Principles 6 & 11	BHSQL may wish to advise providers that it is good practice to include both the protected characteristics and the Equality Act 2010 in provider policies.
4. Principle 10	BHSQL should ensure that its external verifiers are confirming that they have observed assessors conducting candidate assessments at least once every 12 months when the current COVID-19 restrictions ease.

2   Recommendations

The following section details:

♦ Recommendations noted against SQA Accreditation's regulatory requirements

2.1 Recommendations

Regulatory Principle 1. The awarding body shall have clearly defined and effective governance arrangements.

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 given a completed awarding body *Conflict of Interest Declaration* form, dated 25 September 2019, by provider 1. The arrangements agreed to address this conflict of interest is for 100% of internal verification to be completed for this candidate.

In checking the candidate progress record given by provider 1, the Accreditation Auditor noted that three units had been assessed for this candidate at the time of the remote provider monitoring activity. However, these units had not been internally verified due to current COVID-19 restrictions.

BHSQL should consider reminding its external verifier that 100% of internal verification must be put in place to address the conflict of interest declaration, dated 25 September 2019, by provider 1, prior to certification for this 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.

The *SVQ Operational Handbook,* dated 10 August 2018, states on page 21 that 'It is also recommended that all assessors: Hold a recognised first aid certificate'.

The Accreditation Auditor noted at the time of provider monitoring activity that three of its assessment team did not hold current valid First Aid at Work Certificates. Provider 1 explained to the Accreditation Auditor that this was due to COVID-19 restrictions currently in place.

BHSQL should consider reminding its external verifiers and providers of the recommendation that all assessors hold a recognised First Aid at Work Certificate as stated in its *SVQ Operational Handbook*, when the current COVID-19 restrictions ease.

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

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

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

The provider-devised Equalities and Inclusion Policy, dated July 2017, references the nine protected characteristics but does not reference the Equality Act 2010.

BHSQL may wish to advise providers that it is good practice to include both the protected characteristics and the Equality Act 2010 in provider policies.

This has been noted as **Recommendation 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 SVQ Operational Handbook, dated 10 August 2018, states on page 33 that 'Internal verifiers should observe assessors conducting candidate assessments at regular intervals. This should be at least once every twelve months or more frequently according to the risk rating and experience of the assessor. The reliability, validity, authenticity and sufficiency of evidence must be checked during these observations'.

The Accreditation Auditor was provided with the last Internal Verifier Report on Assessor Performance which was undertaken on 4 February 2020. Provider 1 further explained to the Accreditation Auditor that it had been unable to complete Internal Verifier Reports on Assessor Performance for four out of its five assessors due to COVID-19 restrictions.

BHSQL should ensure that its external verifiers are confirming observation of assessors conducting candidate assessments is being undertaken at least once every twelve months when the current COVID-19 restrictions ease.

This has been noted as **Recommendation 4.**

3   Acceptance of Provider Monitoring Findings

For and on behalf of BHSQL: For and on behalf of SQA Accreditation: