



# **Provider Monitoring Report**

**Chartered Institute of Housing (CIH)**

**15 April 2021**

## Contents

<b>1</b>	<b>Background</b>	<b>1</b>
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
<b>2</b>	<b>Good Practice, Issues and Recommendations</b>	<b>5</b>
2.1	Good Practice	5
2.2	Issues	5
2.3	Recommendations	6
<b>3</b>	<b>Acceptance of Provider Monitoring Findings</b>	<b>7</b>

# 1 Background

One provider was monitored remotely on 15 April 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

CIH provider monitoring date:	15 April 2021
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	5 May 2021
Provider Monitoring Report to be signed by CIH:	16 June 2021
Action Plan to be emailed to <a href="mailto:regulation@sqa.org.uk">regulation@sqa.org.uk</a> by CIH:	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 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 emailed to CIH 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 one Recommendation has been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 12	<p>The complaints procedure at provider 1 does not refer to the escalation of complaints to CIH as the awarding body or to SQA Accreditation as the regulator. There is also a reference to appeals within the complaints procedure which is not relevant in the context of complaints.</p> <p>This Issue has been raised previously in the provider monitoring report of 2017–18 which involved the same provider being monitored, as in this report.</p>	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 13	<p>The appeals procedure at provider 1 had information about the escalation of candidate appeals which could be interpreted as conflicting.</p> <p>It is recommended that CIH clarify that provider appeal policies need to have clear and unequivocal information that candidates can escalate an appeal to the awarding body.</p>

## 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 CIH'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 provider 1:

- ◆ Improvement to the external quality assurance system which now involves the moderation of all qualifications on a quarterly basis and an annual systems visit
- ◆ Updated qualification website and portal
- ◆ Quarterly newsletter which is helpful in keeping providers updated with any changes
- ◆ Quick response to email enquiries
- ◆ Annual forum meeting which gives providers an opportunity to highlight any concerns

### 2.2 Issues

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

The complaints procedure at provider 1 does not refer to the escalation of complaints to CIH as the awarding body or to SQA Accreditation as the regulator. All provider policies for SQA accredited qualifications must make reference to the fact that candidates can escalate a complaint to the awarding body and to SQA Accreditation as the regulator if they are dissatisfied. There is also a reference to appeals within the complaints procedure which is not relevant in the context of complaints.

This Issue has been raised previously in the provider monitoring report of 2017–18 which involved the same provider being monitored as in this report.

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

## 2.3 Recommendations

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

The appeals procedure at provider 1 had information about the escalation of candidate appeals which could be interpreted as conflicting. The procedure stated that the Director's decision is final but then had a flowchart showing that the candidate is given details to contact the awarding body — which is correct. The Accreditation Auditor noted that the provider had not had any appeals for SQA accredited qualifications offered through CIH.

It is recommended that CIH clarify that provider appeal policies need to have clear and unequivocal information that candidates can escalate an appeal to the awarding body.

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



### **3 Acceptance of Provider Monitoring Findings**

For and on behalf of CIH:

For and on behalf of SQA Accreditation: