Provider Monitoring Report

Excellence Achievement and Learning (EAL)

28 May to 04 June 2019

Contents

1   Background

Three providers were monitored between 28 May and 4 June 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

EAL provider monitoring dates:	28 May to 04 June 2019

Provider Monitoring Report approved by
Accreditation Co-ordination Group on: 28 August 2019

Provider Monitoring Report to be signed by EAL: 10 October 2019

Action Plan to be emailed
to regulation@sqa.org.uk by EAL   10 October 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 email 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 EAL 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. Principles 6, 12,13	Policies at multiple providers failed to adequately reference SQA Accreditation as the regulator and in some cases EAL as the relevant awarding body.	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.
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Recommendation	Detail of Recommendation noted
1. Principles 5, 10	EAL may wish to ensure that it makes providers offering SVQs fully aware of the supporting documentation that is available for accredited qualifications.

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 EAL'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 2 highlighted: Good customer service with quick responses.

2.2   Issues

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

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

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

The Accreditation Auditor noted that the complaints policies of two of the providers did not adequately reference SQA Accreditation.

At Provider 2 the complaints policy states that 'the Scottish regulator, Scottish Qualifications Authority (SQA)' rather than SQA Accreditation. At Provider 3 the provider's *'Complaints Policy' revision 5 November 2018* states that 'The role of the Qualification regulator is undertaken by the Scottish Qualifications Authority'.

Candidates wishing to make a complaint about qualifications awarded by EAL could potentially be directed to an awarding body rather than SQA Accreditation.

When reviewing the documentation at Provider 3, the Accreditation Auditor noted that the provider's appeals policy made no reference to EAL and did not make sufficient reference to SQA Accreditation. The policy states that 'This final stage will only apply to SQA regulated qualifications, where the candidate will have the right to appeal to the SQA and/or SQA Accreditation body once the centre's three stage appeals procedure has been exhausted'.

EAL must ensure that its providers make candidates aware of when they can appeal to EAL and when they can complain and to whom.

This has been recorded as **Issue 1**

2.3   Recommendations

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.

When discussing the assessment of Workplace Core Skills (WCS), Provider 3 mentioned that the External Verifier (EV) for EAL had supplied the provider with separate assessment sheets for WCS. Staff members at the provider explained to the Accreditation Auditor that they thought this would result in candidates being assessed more than once to achieve the relevant core skills. As a result, staff at the provider had been working to try and "map" Scottish Vocational Qualification (SVQ) units to the WCS. The Accreditation Auditor directed the provider to the core skills signposting document in order to give the provider an idea of which SVQ units may generate suitable evidence for the relevant WCS. This appears to have resolved the issue for the provider.

EAL may wish to ensure that it makes providers offering SVQs fully aware of the supporting documentation that is available for accredited qualifications.

This has been noted as **Recommendation 1**

3   Acceptance of Provider Monitoring Findings

For and on behalf of EAL: 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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