



Provider Monitoring Report

EduQual

23 May 2019

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	5
2	Good Practice, Issues and Recommendations	6
2.1	Good Practice	6
2.2	Issues	6
2.3	Recommendations	7
3	Acceptance of Provider Monitoring Findings	8

1 Background

One EduQual provider was monitored on 23 May 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

EduQual provider monitoring date:	23 May 2019
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	17 July 2019
Provider Monitoring Report to be signed by EduQual:	28 August 2019
Action Plan to be emailed to regulation@sqa.org.uk by EduQual	28 August 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 EduQual 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, three Issues have been recorded and one Recommendation has been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 6	<p>Reviewing the course material documentations available on the website for Provider 1, the Accreditation Auditor noted that the qualification title used in these documents is incorrect.</p> <p>In addition, the Accreditation Auditor noted that not all of the policy/procedure documentation given to Accreditation Auditor for Provider 1 showed evidence of version control — for example the provider-devised <i>complaints policy</i>.</p>	Low
2. Principles 6 & 12	<p>The provider-devised <i>Complaints Policy</i> given to the Accreditation Auditor by Provider 1 does not inform candidates that, if they are not satisfied with the outcome of a complaint, they have the right to escalate the complaint to the awarding body, and if still not satisfied with the outcome of the complaint from the awarding body then they would have the right to further escalate the complaint to SQA Accreditation as the qualification regulator.</p>	Low
3. Principles 6 & 13	<p>The provider-devised <i>Appeals Procedure</i> for Provider 1 reviewed by the Accreditation Auditor did not inform candidates, if still not satisfied with the outcome of an appeal to the awarding body, they have the right to escalate a complaint to SQA Accreditation as the qualification regulator.</p>	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.

Recommendation	Detail of Recommendation noted
1. Principle 6 & 10	EduQual should consider informing its providers to hold copies of appropriate training qualification certificates for its SQA accredited qualifications to provide evidence for centre quality assurance and SQA Accreditation monitoring.

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 EduQual'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:

- ◆ good communication and accessible service provided
- ◆ excellent knowledge and understanding of staff in the health care sector
- ◆ Respectable profile of the awarding body within the health care sector
- ◆ Quality Assurance provided by the awarding body

2.2 Issues

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

Reviewing the course material documentation on the website for Provider 1, the Accreditation Auditor noted that the qualification title used in these documents is incorrect.

The Accreditation Auditor also noted that not all of the policy/procedure documentation for Provider 1 that was inspected showed evidence of version control. An example of this is the provider-devised *complaints policy*.

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

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.

The provider-devised *complaints policy* given to the Accreditation Auditor by Provider 1 does not inform candidates that, if they are not satisfied with the outcome of a complaint, they have the right to escalate the complaint to the awarding body, and that, if still not satisfied with the outcome of the complaint from the awarding body, they would have the right to further escalate the complaint to SQA Accreditation as the qualification regulator.

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

The provider-devised *appeals procedure* for Provider 1 reviewed by the Accreditation Auditor does not inform candidates that, if still not satisfied with the outcome of an appeal to the awarding body, they have the right to escalate a complaint to SQA Accreditation as the qualification regulator.

This has been recorded as **Issue 3**

2.3 Recommendations

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 held *Assessor / Verifier Professional Profiles* for all assessment staff which detailed their relevant qualifications, professional experience and continuous professional development.

However, they did not retain copies of appropriate training certificates for the Accreditation Auditor to confirm this competence.

EduQual should consider informing its providers to hold copies of appropriate training qualification certificates for its SQA accredited qualifications to provide evidence for centre quality assurance and SQA Accreditation monitoring.

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

3 Acceptance of Provider Monitoring Findings

For and on behalf of EduQual:

For and on behalf of SQA Accreditation:

Print name

Print name

.....

.....

Signature

Signature

.....

.....

Designation

Designation

.....

.....

Date

Date

.....

.....