



# **Provider Monitoring Report**

**First Aid Awards Ltd**

**26 September 2017 to 5 October 2017**

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# 1 Background

Two providers were monitored between 26 September 2017 and 05 October 2017.

## 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. Consequently, this approach to provider monitoring reporting will not detail areas where compliance or good practice was identified by SQA Accreditation.



### 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 First Aid Awards Ltd 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 no Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 12	Neither provider makes reference to escalation of complaints to the awarding body or the regulator in their complaints policies.	Low
2. Principle 13	Provider 2 did not make candidates aware of the circumstances in which they can contact the awarding body and SQA Accreditation after exhausting the provider’s appeals process. Provider 1 makes reference to SQA rather than SQA Accreditation in its appeals procedure	Low
3. Principle 6	The provider address details submitted to SQA Accreditation via SQA Info Centre were incorrect.	Low

## 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 First Aid Awards Ltd'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:

[http://accreditation.sqa.org.uk/accreditation/Regulation/Quality\\_Assurance/Quality\\_Enhancement\\_Rating](http://accreditation.sqa.org.uk/accreditation/Regulation/Quality_Assurance/Quality_Enhancement_Rating)

## 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 the awarding body responds very quickly to queries.

Provider 2 highlighted that the awarding body's bespoke electronic systems/software for managing their qualifications is very good. The provider also stated that the awarding body's communication both through monthly updates and on an ad-hoc basis is excellent.

### 2.2 Issues

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

When reviewing the complaints policies at both providers, the Accreditation Auditor noted that neither provider makes reference to escalation of complaints to the awarding body or the regulator in their complaints policies. The supplementary information for Regulatory Principle 12 states 'Awarding body personnel, providers and learners must be made aware of how and when they can complain to SQA Accreditation and where appropriate the Scottish Public Services Ombudsman (SPSO). Where a complaint is upheld, the awarding body and/or provider must take appropriate, preventative and/or corrective action.' The awarding body must ensure that its providers make candidates aware of this requirement.

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

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

Provider 1's appeals procedure states 'If the candidate does not feel that the outcome is satisfactory, he/she can contact FAA and/or SQA'. This makes no distinction between SQA and SQA Accreditation and is therefore unclear. The Accreditation Auditor also noted that Provider 2's *Appeals Procedure OPE004 16/01/2017* makes no reference at all to the circumstances under which a candidate can contact the awarding body or SQA Accreditation after exhausting the provider's appeals process.

The awarding body must ensure that its providers make candidates aware of the circumstances in which they can contact the awarding body and SQA Accreditation after exhausting the provider's appeals process.

This has been recorded as **issue 2**

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

The address information provided by the awarding body for both providers on SQA Info centre was incorrect. While Provider 1 contacted the accreditation auditor to give the correct details before the day of the visit, provider 2 did not make contact. The address that is listed for provider 2 was a delivery address to which FAA documentation was sent. This led to some difficulty in getting to the correct address for the visit at the agreed time. FAA should ensure that provider details given to SQA Accreditation are up to date and accurate for the purposes of provider monitoring.

This has been noted as **Issue 3**

## **2.3 Recommendations**

There were no Recommendations

### 3    Acceptance of Provider Monitoring Findings

For and on behalf of First Aid Awards Ltd:

For and on behalf of SQA Accreditation:

**Print name**

**Print name**

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**Signature**

**Signature**

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