



Provider Monitoring Report

GQA Qualifications

01 October 2019

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1 Background

One provider was monitored on 01 October 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

GQA Qualifications provider monitoring date:	01 October 2019
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	18 December 2019
Provider Monitoring Report to be signed by GQA Qualifications:	11 February 2020
Action Plan to be emailed to regulation@sqa.org.uk by GQA Qualifications:	11 February 2020

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 GQA Qualifications 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, two Issues have been recorded and no Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 6	A malpractice policy included in a current candidate portfolio was out of date.	Low
2. Principle 14	The Provider's Malpractice Policy does not meet GQA's requirements.	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 GQA Qualifications' 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:

The provider highlighted: The awarding body's GQA online system and that GQA staff have great knowledge of the sector.

2.2 Issues

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

A malpractice policy included in a current candidate portfolio was out of date.

When reviewing candidate portfolios at the provider, the accreditation auditor noted that it contained a malpractice policy dated 2015. The provider's current *Malpractice Policy Version RTR 22.6* has a version date of 25/10/2018 and as such, should have been the version which was included in the candidate's portfolio.

GQA and its providers must ensure that the policy and procedure documentation given to candidates is accurate and up to date.

This has been recorded as **Issue 1**

Regulatory Principle 14. The awarding body and its providers shall ensure that it has safeguards to prevent and manage cases of malpractice and maladministration.

The accreditation auditor noted that the provider's malpractice policy does not meet GQA's requirements.

The provider's *Malpractice Policy Version RTR 22.6 25/10/2018* states 'where a case of Malpractice is proven the appropriate awarding body will be informed of the case.'

GQA's *Operations Manual Issued August 2017 (GQA 2 – Version 18)* 'In the event that malpractice / maladministration is reported to or suspected by a GQA Approved Centre or GQA personnel, this will be recorded on a GQA 244 and communicated to the Chief Executive Officer.'

The provider's policy indicates that it will investigate malpractice before alerting the awarding body. The awarding body's operations manual indicates that the awarding body should be notified as soon as a case of malpractice is suspected.

This has been recorded as **Issue 2**

2.3 Recommendations

There were no recommendations.

3 Acceptance of Provider Monitoring Findings

For and on behalf of GQA Qualifications:

For and on behalf of SQA Accreditation:

Print name

Print name

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ANDY CRONE

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Signature

Signature

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Designation

Designation

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SENIOR ACCREDITATION MANAGER

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Date

Date

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18 DECEMBER 2019

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