



Provider Monitoring Report

ITC First

13 November 2018

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1 Background

One Provider was monitored on 13 November 2018.

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

ITC First provider monitoring date:	13 November 2018
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	9 January 2019
Provider Monitoring Report to be signed by ITC First:	21 February 2019
Action Plan to be e-mailed to regulation@sqa.org.uk by ITC First	21 February 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 e-mailed 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 e-mail 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

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 ITC First 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.

Issue	Detail of Issue recorded	Risk rating
1. Principles 6, 10, 11, 12 and 13	<p>The pre-course joining letter issued to candidates by Provider 1 does not inform candidates of the following information as stipulated in the <i>Qualification Specification Guidance for Centres</i>:</p> <ul style="list-style-type: none"> d) Outline of assessment methods e) Link to ITC policies and procedures on homepage of ITC website, including Appeals (P5) and Complaints (P16) procedures f) Information on how to request reasonable adjustment to assessment so that learners have a fair assessment opportunity 	High
2. Principles 6, 12 and Regulatory Principles Directive 5	<p>Candidates are not enrolled on an 'SCQF qualification', as this is not a qualification type. The Scottish Credit and Qualifications Framework (SCQF) is a national qualification framework for Scotland. Additionally, the reference to SPSO within the provider-devised <i>Complaints Policy</i> (September 2018) is inaccurate as Provider 1 is neither an FE college nor a local authority centre.</p>	Low
3. Principle 13	<p>The provider-devised <i>Candidate Appeals Policy and Procedure</i> does not state that, if they are not satisfied with the outcome of an appeal to the awarding body, candidates can escalate a complaint to SQA Accreditation as the qualification regulator.</p>	Medium

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 ITC First'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:

- ◆ the high regard that the ITC Certificate in Outdoor First Aid at SCQF Level 6 is held in by industry
- ◆ the credibility of ITC First's qualifications being regulated
- ◆ the confidence in ITC First's manuals being compliant and up to date
- ◆ the high level of support provided by ITC First to its providers

2.2 Issues

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.

Regulatory Principle 11. The awarding body shall ensure that its qualifications and their assessment are inclusive and accessible to learners.

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 *Qualification Specification Guidance for Centres* for the following ITC Certificates (all at SCQF level 6):

- ◆ Emergency First Aid at Work (R540 04)
- ◆ First Aid at Work (R541 04)
- ◆ Outdoor First Aid (R542 04)

all state that:

Pre-course information should be provided to candidates containing:

a) Joining details

- b) ID requirements
- c) Expectations of course members, including taking part in kneeling, rolling, laying on carpet having physical contact with other course members
- d) Outline of assessment methods – covered at beginning of course
- e) Link to ITC policies and procedures on homepage of ITC website, including Appeals (P5) and Complaints (P16) procedures
- f) Information on how to request reasonable adjustments to assessment so that learners have a fair assessment opportunity
- g) Contact details for the centre

However, the pre-course joining letter issued to candidates by Provider 1 does not inform candidates of the following information, as stipulated in the *Qualification Specification Guidance for Centres*:

- d) Outline of assessment methods
- e) Link to ITC policies and procedures on homepage of ITC website, including Appeals (P5) and Complaints (P16) procedures
- f) Information on how to request reasonable adjustment to assessment so that learners have a fair assessment opportunity

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.

Regulatory Principles Directive RPDIR — 5 Complaints handling

Provider 1 gave the Accreditation Auditor a copy of its provider-devised *Complaints Policy* (September 2018), which states that ‘If not satisfied with ITC published procedures then a complaint can be escalated to the external regulators, Ofqual (if enrolled on a QCF qualification) or SQA (if enrolled on a SCQF qualification) after exhausting ITC Complaints procedure.’

The above statement is incorrect as candidates are not enrolled on an ‘SCQF qualification’, as this is not a qualification type. The Scottish Credit and Qualifications Framework (SCQF) is a national qualification framework for Scotland.

The provider-devised *Complaints Policy* (September 2018) goes on to state that for ‘**SQA Complaints ONLY**. If the complaint has been escalated to SQA and the candidate is not satisfied with the procedures the complaint can be ultimately raised to the Scottish Public Services Ombudsman (SPSO).’

Regulatory Principles Directive RPDIR — 5 Complaints handling states that: ‘The SPSO’s rules apply only to public bodies (eg FE colleges and local authority centres).’

Additionally, the reference to SPSO within the provider-devised *Complaints Policy* (September 2018) is inaccurate as Provider 1 is neither an FE college nor a local authority centre.

This has been recorded as **Issue 2**.

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

The provider-devised *Candidate Appeals Policy and Procedure* does not state that, if they are not satisfied with the outcome of an appeal to the awarding body, candidates can escalate a complaint to SQA Accreditation as the qualification regulator.

This has been recorded as **Issue 3**.

3 Acceptance of Provider Monitoring Findings

For and on behalf of ITC First:

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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