Provider Monitoring Report

Education and Media Services Limited (ITEC)

4 June 2015

Contents

1   Background

One provider was monitored on 4 June 2015.

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 ITEC'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 ITEC 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 ITEC's Quickr 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.

1.2   Provider Monitoring Report Timescales

ITEC provider monitoring date: 4 June 2015

Provider Monitoring Report approved by
Accreditation Co-ordination Group on: 19 August 2015

Provider Monitoring Report to be signed by ITEC: 9 October 2015

Action Plan to be e-mailed
to regulation@sqa.org.uk by ITEC   9 October 2015

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 ITEC 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, seven Issues have been recorded.

Issue	Detail of Issue recorded	Risk rating
1. Principles 6 & 10	The Accreditation Auditor was unable to confirm the dates upon which ITEC had confirmed provider or qualification approval for the delivery of the SVQs in Barbering and Hairdressing.	Low
2. Principle 10	The Accreditation Auditor was unable to find evidence that ITEC had conducted a visit to the relevant assessment location to ensure that it met the requirements of Habia's *Assessment Strategy for Hairdressing NVQs and SVQs, Final version 2009, in respect of a Realistic Working Environment (RWE)*	High
3. Principle 10	No SVQ candidate's electronic portfolios had ever been sampled by ITEC's External Verifier, and the EV had never visited the only assessment location that delivered the SVQs in Hairdressing and Barbering.	Very High
4. Principle 10	A candidate had been assessed by Provider 1 prior to the candidate being registered with ITEC.	Medium
5. Principle 10	While reviewing a sample of candidates' electronic portfolios for Provider 1, the Accreditation Auditor noted several instances of time delays between assessment taking place and the supporting evidence being uploaded to the candidate's electronic portfolios.	Medium

6. Principle 15 and Regulatory Principles Directive 1	The Accreditation Auditor challenges the robustness and ethos of how ITEC complies with Regulatory Principles Directive RPDIR 1 – 10 Week Rule. Specifically, the auditor challenges how ITEC monitors its providers who have made claims for SVQs in less than ten weeks, or how it analyses how often this has occurred or whether additional quality assurance intervention to approved providers is needed.	Medium
7. Principles 10 & 15	The Accreditation Auditor could not evidence how ITEC had ensured the validity of 18 SVQ certification claims from Provider 1 prior to issuing the candidate certificates.	Very High

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 ITEC'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

2   Issues

The following section details:

♦ Issues recorded against SQA Accreditation's regulatory requirements

2.1   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.

The ITEC Qualifications Delivery Manual (April 2014) section Centre Recognition and Approval states:

'ITEC will recognise the Centre accordingly and approve it to offer the relevant qualification(s) (and associated units) they applied for – we will reserve the right to assign actions to this recognition/approval if required. The application form will be archived along with any attached documents and the Centre's profile will be updated in the EMS database to reflect the fact they have now been recognised and/or approved to offer a particular qualification(s).'

Provider 1 stated to the Accreditation Auditor that it was approved by ITEC on 11 August 2011. However, the *ITEC Certificate of College Registration* given to the Accreditation Auditor from Provider 1 did not give a date of approval.

Furthermore, Provider 1 stated to the Accreditation Auditor that it thought it sought qualification approval from ITEC in October 2014 to deliver the following SQA accredited qualifications:

SVQ 2 in Barbering at SCQF Level 5
SVQ 3 in Barbering at SCQF Level 6
SVQ 2 in Hairdressing at SCQF Level 5
SVQ 3 in Hairdressing at SCQF Level 6

Contrary to these statements, the list of candidates given to the Accreditation Auditor which detailed registration and certification claim dates from Provider 1 recorded that it registered its first candidate for the SVQ 2 in Hairdressing at SCQF Level 5 on 9 August 2014.

The Accreditation Auditor was given a printout from ITECs EMS system dated 1 June 2015 which listed the qualifications that Provider 1 was approved to deliver by ITEC. However, the printout did not contain the date(s) when Provider 1 was approved by ITEC to deliver these qualifications. Therefore, the Accreditation Auditor was unable to find evidence neither of exactly when Provider 1 had been approved by ITEC, nor of the date when it was approved to deliver the SVQs in Barbering and Hairdressing.

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

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.

Habia's *Assessment Strategy for Hairdressing NVQs and SVQs* (Final version, 2009) states in Appendix 1A, 'Hairdressing Realistic Working Environment Requirements':

'The following criteria must be included as part of centre approval and must be confirmed as being met during the first external verification visit. The criteria must then continue to be met on every subsequent visit. This will ensure that candidates are able to meet commercial needs in the workplace.

1. Assessment centres must develop realistic management procedures that incorporate a 'salon image*' and sales and marketing policy to attract the type and number of clients needed to ensure that the requirements of the National Occupational Standards can be achieved.
2. All assessments must be carried out under realistic commercial pressures and on paying clients and not other candidates within the same group. Clients should vary in age and hair condition so that the requirements of the National Occupational Standards can be achieved.
3. All services that are carried out should be completed in a commercially acceptable timescale. Maximum service times for particular, critical services have been developed by Habia for each Hairdressing NVQ/SVQ and are detailed in Appendix 1F. These times should be used for assessment purposes.
4. Candidates must be able to achieve a realistic volume of work.
5. The space per working area conforms to health and safety legislation and commercial practice.
6. The range of services, professional products, tools, materials and equipment must be up-to-date and available for use. They must enable candidates to meet the requirements of the National Occupational Standards.
7. A reception area where clients are greeted and general enquiries and appointments can be made by telephone, or in person, must be available. The reception area must also include a payment facility.
8. A retail facility must be provided with products that relate to the clients' needs and the services offered.
9. The RWE must take full account of any bye-laws, legislation or local authority requirements that have been set down in relation to the type of work that is being carried out there.
10. Candidates must work in a professional manner taking into account establishment requirements such as:
    i. appearance and dress code
    ii. personal conduct
    iii. hygiene
    iv. reliability
    v. punctuality.
11. Candidates are given workplace responsibilities to enable them to meet the requirements of the National Occupational Standards.

    * The use of the word 'salon' is not intended to deny access to the hairdressing qualification if you deliver hairdressing services in other locations (eg hospitals, care

centres etc.). It refers to any place where professional hairdressing services are carried out. However, the location must meet health and safety requirements for hairdressing."

Provider 1 stated to the Accreditation Auditor that neither ITEC's Inspectors nor External Verifiers had ever visited the only assessment location of Provider 1 who delivered the SVQs in Barbering and Hairdressing. The External Verification Reports for visits dated 1 April 2014, 18 April 2014, 4 March 2015 and 5 March 2015 were given to the Accreditation Auditor from Provider 1 and confirmed that the External Verifier had not visited the assessment location of Provider 1 which delivered the SVQs in Barbering and Hairdressing.

Therefore, the Accreditation Auditor was unable to find evidence that ITEC awarding body had ensured that the assessment location constituted a realistic working environment to comply with the requirements of Habia's *Assessment Strategy for Hairdressing NVQs and SVQs,* (Final version, 2009).

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

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.

The *ITEC Qualifications Delivery Manual* (April 2014) section Centre Monitoring – NVQ/SVQ and Internally Monitored Qualifications states that

> 'An EV will normally visit a Centre at least once a year – the actual frequency of visits is informed by the Centre's level of performance.
>
> To assist the EVs in their sampling activities they will have access to information on the Learner's registered/certificated at the Centre. Therefore in developing a sampling strategy an EV must take into account the specific circumstances of the Centre being visited. Particular factors which should be considered in determining the scope of a sample may include:
> - Number of registered Learners
> - Number of certificates claimed
> - Assessor and Internal Verifier qualifications. Inexperienced or unqualified Assessors may not be familiar with the assessment methods or standards and may need careful monitoring until they develop the necessary expertise.
>
> Therefore, a sample should contain a sufficient proportion of their assessment decisions, e.g., if an SVQ this will be in relation to the requirements of the relevant assessment strategy
> - Learner/Assessor ratios
> - Internal Verifier/Assessor ratios
> - The number of sub Centre/satellite sites and their geographical dispersion. Where a Centre has a number of assessment sites, the sampling plan must enable the EV to verify that assessment and internal verification practices are maintained with equal rigour and consistency at all locations
> - The Centre's track record in complying with our requirements and any agreed action plans
> - Rate of staff turnover'

Provider 1 stated to the Accreditation Auditor that ITEC's External Verifier had completed external verification visits to Provider 1 on 1 April 2014, 18 April 2014, 4 March 2015 and 5 March 2015. However, the External Verification Reports given to the Accreditation Auditor by Provider 1 confirmed that no SVQ candidate's electronic portfolio's had ever been sampled by ITEC's External Verifier, and that the EV had never visited the assessment location which delivered the SVQs in Hairdressing and Barbering.

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

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.

While reviewing a sample of candidates' electronic portfolios on the day of provider monitoring visit to Provider 1, the Accreditation Auditor noted that one candidate undertaking the SVQ 3 in Hairdressing at SCQF Level 6 had completed an online test on 27 January 2015. However, the registration information given for this candidate to the Accreditation Auditor from Provider 1 confirmed that they had been not registered with ITEC awarding body until 2 February 2015. Provider 1 further explained that the candidate had started the SVQ 3 in Hairdressing at SCQF Level 6 programme on 5 January 2015. This confirms that this candidate had been assessed by Provider 1 prior to the candidate being registered with ITEC.

This has been recorded as **Issue 4.**

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 provided the Accreditation Auditor with a copy of its Internal Verifier meeting minutes 14 August 2014 which indicated that Provider 1 was aware of issues of time delays in uploading evidence to candidates electronic portfolios as it states that 'It is important that any supporting evidence is uploaded timely with the assessment'.

However, while reviewing a sample of candidates' electronic portfolios for Provider 1, the Accreditation Auditor noted several instances of time delays between assessment taking place and the supporting evidence being uploaded to the candidates' electronic portfolios. An example of this was for a candidate undertaking the SVQ 2 in Barbering at SCQF Level 5. This candidate had been assessed on 3 March 2015. However, the supporting photographic evidence for this assessment was not uploaded to the candidate's electronic portfolio until 26 March 2015.

This has been recorded as **Issue 5.**

Regulatory Principle 15. The awarding body and its providers shall have effective, reliable and secure systems for the registration and certification of learners.

Regulatory Principles Directive RPDIR 1 – 10 Week Rule

The Accreditation Auditor was given a list of candidates from Provider 1 which detailed registration and certification claim dates from Provider 1. In reviewing this information the Accreditation Auditor noted that three candidates undertaking the SVQ 3 in Hairdressing at SCQF Level 6 were registered by Provider 1 on 2 February 2015. Provider 1 subsequently requested certification for these three candidates on 26 March 2015 — approximately seven weeks later.

Although, ITEC did not certificate the three candidates until 10 April 2015, which is approximately 10 weeks from registration, the claim for certification by Provider 1 was made approximately at seven weeks.

Furthermore, Provider 1 states on its website that the SVQ 3 in Hairdressing at SCQF Level 6 is a set 12 week programme.

At the time of the provider monitoring visit to Provider 1 the Accreditation Auditor was also informed that no further questioning or additional quality assurance intervention had been made by ITEC, even though the claims for the three SVQ 3 in Hairdressing at SCQF Level 6 certificates by Provider 1 were made in less than ten weeks from registration with ITEC.

Therefore, the Accreditation Auditor challenges the robustness and ethos of how ITEC complies with *Regulatory Principles Directive RPDIR 1 – 10 Week Rule*. Specifically, the auditor challenges how it monitors providers who have made claims for SVQs in less than ten weeks, or how it analyses how often this has occurred or whether additional quality assurance intervention to approved providers is needed.

This has been recorded as **Issue 6.**

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 15. The awarding body and its providers shall have effective, reliable and secure systems for the registration and certification of learners.

At the time of the provider monitoring visit to Provider 1 ITEC had issued 18 candidate certificates.

However, the Accreditation Auditor challenged the robustness of how ITEC validated these SVQ claims for certification from Provider 1 as it had not sampled any of the 18 candidates' electronic portfolios prior to issuing the certificates.

Nor had its External Verifier visited the assessment location of Provider 1 where these qualifications were being delivered to ensure the assessment location constituted a realistic working environment as stipulated within Habia's *Assessment Strategy for Hairdressing NVQs and SVQs,* (Final version, 2009)*.*

Therefore, the Accreditation Auditor could not evidence how ITEC had ensured the validity of 18 SVQ certification claims from Provider 1 prior to issuing the candidate certificates.

This has been recorded as **Issue 7.**

3   Acceptance of Provider Monitoring Findings

For and on behalf of ITEC: For and on behalf of SQA Accreditation:

Print name   **Print name**

....

Signature   **Signature**

....

Designation   **Designation**

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Date   **Date**

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