



Provider Monitoring Report

Qualifications for Industry (QFI)

22 January 2021

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1 Background

One provider was remotely monitored on 22 January 2021.

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

| | |
|--|------------------|
| QFI provider monitoring date: | 22 January 2021 |
| Provider Monitoring Report approved by Accreditation Co-ordination Group on: | 17 February 2021 |
| Provider Monitoring Report to be signed by QFI: | 31 March 2021 |
| Action Plan to be emailed to regulation@sqa.org.uk by QFI | 31 March 2021 |

The process will apply in relation to the timescales specified above:

- ◆ The awarding body will be sent a copy of the Provider Monitoring Report by email.
- ◆ The awarding body must sign the copy of the Provider Monitoring Report and return by email to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be emailed a 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 a signed copy of the approved Action Plan by email.
- ◆ The awarding body must sign the Action Plan and return by email 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 emailed to QFI 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. Principles 6 & 10 | Provider 1 was unable to provide the Accreditation Auditor with copies of occupational qualification certificates for two out of its seven assessors. The certificates allow the Accreditation Auditor to ensure compliance with the Assessment Strategy for Construction and the Built Environment — Plant Operations and Controlling Lifting Approved by ACG, 23 January 2019 (version 2) or in <i>P011 QFI Centre Handbook</i> , 3 May 2018 (version 3). | Low |
| 2. Principles 6 & 11 | The provider-devised Q16b <i>Equal Opportunities Policy — Candidate</i> , 28 August 2019 (version 3) document given to the Accreditation Auditor by Provider 1 does not reference all nine protected characteristics — it is missing gender reassignment and pregnancy and maternity. | Low |
| 3. Principles 6 & 11 | Provider 1 is not complying with Annex 2 Reasonable Adjustments and Special Consideration in QFI <i>P011 QFI Centre Handbook</i> , May 2018 (version 3) or with its own provider-devised Q95 <i>Reasonable Adjustments and Special Considerations Policy (Candidates)</i> , July 2018 (version 1). | High |

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. Principles 6 & 12 | QFI should consider reminding its external quality assurers to check that provider-devised Candidates' Complaints Procedures references all awarding bodies that the provider is approved by, where appropriate. |

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 QFI'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:

QFI's external quality assurers is always contactable, helpful and supportive, and responds to any enquiries immediately.

2.2 Issues

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

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 was unable to provide the Accreditation Auditor with copies of occupational qualification certificates for two out of its seven assessors, for the Accreditation Auditor to ensure compliance with the Assessment Strategy for Construction and the Built Environment — Plant Operations and Controlling Lifting Approved by ACG, 23 January 2019 (version 2) or in *P011 QFI Centre Handbook*, May 2018 (version 3).

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

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

The *P011 QFI Centre Handbook*, May 2018 (version 3) states, 'The centre's Equality and Diversity policy should: reference relevant legislation such as the Equality Act 2010' (this details the nine 'protected characteristics').

The provider-devised Q16b *Equal Opportunities Policy — Candidate*, 28 August 2019 (version 3) document given to the Accreditation Auditor by Provider 1 does not reference all nine protected characteristics — it is missing gender reassignment and pregnancy and maternity.

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

QFI *P011 QFI Centre Handbook*, May 2018 (version 3), Annex 2 Reasonable Adjustments and Special Consideration states, 'Centres must identify any reasonable adjustments that need to be made and notify QFI at the point of registration, ie:

- Mechanical or other aids
- A non-standard location
- A separate room
- Additional time (up to 25%)
- Supervised rest periods
- Large print or otherwise modified type question/answer papers
- A speech synthesiser
- Braille papers or word processor with Braille keyboard
- Questions on audio tape
- A reader and/or scribe
- Sign language (British or Irish)

All evidence relating to the above must be retained by the centre. Records may be reviewed during monitoring visits.

If the need for a reasonable adjustment emerges after registration or during the assessment process, this should be applied and QFI notified as soon as practicably possible.'

Provider 1 informed the Accreditation Auditor that they are having problem with candidates not identifying on the enrolment/registration form, if they require any reasonable adjustments.

Assessors are identifying a need for reasonable adjustments during the assessment process and are making reasonable adjustments, for example the of use audio recording, as a reasonable adjustment.

QFI awarding body is not being notified of reasonable adjustments being made during the assessment process. The provider confirmed to the Accreditation Auditor that they are not keeping records evidencing the reasonable adjustments being made or retaining them to allow for the reasonable adjustments to be reviewed during external monitoring visits.

Provider 1 is not complying with Annex 2 Reasonable Adjustments and Special Consideration in QFI *P011 QFI Centre Handbook*, May 2018 (version 3) or with its own provider-devised *Q95 Reasonable Adjustments and Special Considerations Policy (Candidates)*, July 2018 (version 1).

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

The provider-devised Q93: *Candidates' Complaints Procedure*, 31 May 2028 (version 2) given to the Accreditation Auditor does not make appropriate reference to both awarding bodies the provider is approved by within its complaints procedure.

QFI should consider reminding its external quality assurers to check that provider-devised candidates' complaints procedures, where appropriate, reference all awarding bodies that the provider is approved by.

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

3 Acceptance of Provider Monitoring Findings

For and on behalf of QFI:

For and on behalf of SQA Accreditation:

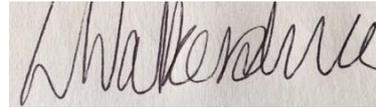
Print name

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Signature

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Designation

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