



Provider Monitoring Report

Association of Accounting Technicians (AAT)

6 June to 17 June 2014

Contents

1	Background	1
1.1	Scope	1
1.2	Provider Monitoring Report Timeline	2
1.3	Summary of Provider Monitoring Issues and Recommendations	3
1.4	Risk Rating of Issues	4
2	Good Practice, Issues and Recommendations	5
2.1	Good Practice	5
2.2	Issues	5
2.3	Recommendations	5
3	Acceptance of Provider Monitoring Findings	7

1 Background

Between 6 June and 17 June 2014, two providers were monitored remotely.

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 AAT'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 AAT 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 AAT'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 Timeline

AAT provider monitoring date(s):	6 June to 17 June 2014
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	3 July 2014
Provider Monitoring Report to be signed by AAT:	15 August 2014

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).

The findings of this Provider Monitoring Report will be published on SQA Accreditation's website following signed agreement.

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.

A Recommendation has been noted where SQA Accreditation considers there is potential for improvement. The awarding body is advised to address any Recommendations noted as good practice however measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

As a result of the provider monitoring activity, no Issues have been recorded and 2 Recommendations have been noted.

Recommendation	Detail of Recommendation noted
1. Principle 7	<p>In June 2013, AAT personnel changed and the geographical area covered by the AAT contact widened; provider 2 staff felt that the level of support has been affected adversely by this change.</p> <p>AAT may wish to examine the level of support being offered to its Scottish providers.</p>
2. Principle 9	<p>The AAT Award in Bookkeeping at SCQF Level 5 lapsed on 31 July 2012 and although the new qualification, the AAT Certificate in Bookkeeping at SCQF Level 5 was accredited on 4/7/2012, it did not start until January 2013. Staff in Provider 2 commented that this time delay meant they had no Bookkeeping qualification to offer candidates between August 2012 and January 2013.</p> <p>AAT should ensure in future that providers are considered fully in the implementation of qualifications and that this implementation meets the needs of users.</p>

1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded depending on the impact or risk on the awarding body's operations, its SQA accredited qualifications and/or the learner.

Issues recorded during provider monitoring will count towards AAT'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://www.sqa.org.uk/sqa/42387.2733.html>

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 support given by AAT and the increasing amount of electronic resources being made available.

Provider 2 highlighted the instant results given by the Computer Based Tests (CBTs); the results breakdown information available to candidates detailing areas of strength and development within the CBTs undertaken; the suitability of the qualifications for people who are in employment in the accountancy field and require a formal qualification; and the routes of progression available.

2.2 Issues

No issues have been recorded as a result of provider monitoring.

2.3 Recommendations

Regulatory Principle 7. The awarding body shall have effective arrangements for communicating with its staff, stakeholders and SQA Accreditation.

Staff in Provider 2 commented that until June 2013, there was a designated member of AAT personnel for Scotland who maintained regular contact with the provider, visited at least once per year and discussed any issues when they arose.

In June 2013, AAT personnel changed and the geographical area covered by the AAT contact widened; provider 2 staff felt that the level of support has been affected adversely by this change.

AAT may wish to examine the level of support being offered to its Scottish providers.

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

Regulatory Principle 9. The awarding body shall ensure that it has robust systems and processes for the identification, design, development, implementation and review of qualifications, which meet the needs of users.

The AAT Award in Bookkeeping at SCQF Level 5 lapsed on 31 July 2012 and although the new qualification, the AAT Certificate in Bookkeeping at SCQF Level 5 was accredited on 4/7/2012, it did not start until January 2013. Staff in Provider 2 commented that this time delay meant they had no Bookkeeping qualification to offer candidates between August 2012 and January 2013. Candidates could not be registered before the lapsing date in July as they only commenced the college session in August.

Despite Provider 2 having a steady flow of candidates for Bookkeeping and also giving a letter of support for the new qualification, included as part of the awarding body submission, they had to introduce a different qualification through another awarding body to meet the needs of users.

AAT should ensure in future that providers are considered fully in the implementation of qualifications and that this implementation meets the needs of users.

This has been noted as **Recommendation 2**.

3 Acceptance of Provider Monitoring Findings

For and on behalf of Association of Accounting Technicians (AAT):

For and on behalf of SQA Accreditation:

Signature

.....

Designation

.....

Date

.....

Signature

.....

Designation

.....

Date

.....