

Provider Monitoring Report

Qualifications Scotland

20 March 2026 to 31 March 2026

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1 Background

Three providers were remotely monitored between 20 March 2026 and 31 March 2026.

1.1 Scope

Qualifications Scotland 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 Qualifications Scotland 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 Qualifications Scotland Accreditation's quality assurance activities is treated in the strictest confidence.

Qualifications Scotland Accreditation provider monitoring reports are written by exception, focusing only on those areas where corrective action is required or recommended.

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Qualifications Scotland 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 Qualifications Scotland 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 Qualifications Scotland as a separate document to the Provider Monitoring Report and must be submitted to Qualifications Scotland Accreditation in accordance with the timescale specified in 1.2.

As a result of the provider monitoring activity, two Issues have been recorded and two Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principles 5 and 9	Qualifications Scotland must ensure that its providers refer to the qualification title accredited by Qualifications Scotland Accreditation in their provider-devised documentation.	Low
2. Principles 5 and 18	Qualifications Scotland must ensure that its providers devised malpractice policy accurately reflect the contact details given on page 9 to report candidate malpractice and on page 17 to report centre malpractice as stipulated in SQA Malpractice Information for Centres, valid from March 2025.	Medium

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A Recommendation has been noted where Qualifications Scotland 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. Principle 6	Qualifications Scotland may wish to consider the areas highlighted for continuous improvement to the Accreditation Auditor in relation to more community networks and Qualifications Scotland Secure Site.
2. Principle 6 and 15	Qualifications Scotland may wish to consider providing learner electronic/digital certificates as part of its continuous improvement.

1.4 Risk Rating of Issues

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

Issues recorded during provider monitoring will count towards Qualifications Scotland'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 [Qualifications Scotland Accreditation website](#).

2 Good Practice, Issues and Recommendations

The following sections detail:

- good practice noted by providers
- Issues recorded and Recommendations noted against Qualifications Scotland Accreditation's regulatory requirements

2.1 Good Practice

The following areas of good practice were noted by providers:

Provider 1 highlighted:

- ◆ Good supportive working relations with Business Relationship Manager.
- ◆ Qualifications Scotland systems verification and qualification verification teams are very knowledgeable and supportive.
- ◆ Qualifications Scotland Connect and Centre Hub portals are easy to use and navigate.

Provider 2 highlighted:

- ◆ Excellent support given by provider's Account Manager and Qualification Verifier.
- ◆ Qualifications Scotland Connect portal easy to use and user friendly for registering and certifying learners.

Provider 3 highlighted:

- ◆ Good established working relationship with Qualifications Scotland.
- ◆ Close working relationship with the quality assurance logistics teams who co-ordinate verification visits.
- ◆ Excellent working relationship with provider's Regional Manager.
- ◆ External Verifier is extremely knowledgeable and supportive.

2.2 Issues

Regulatory Principle 5. The awarding body and its providers must provide clear information on their procedures, products and services and ensure that they are accurate and appropriate to accredited qualifications.

Regulatory Principle 9. The awarding body and its providers must maintain accurate documents, records and data.

On reviewing the *Apprenticeship Handbook Level 3 Modern Apprenticeship in Providing Financial Services* given to learners at provider 2, the Accreditation Auditor noted that page 10 referred to the SVQ in Providing Financial Services at SCQF level 6.

In addition, the Internal Verification (IV) on Assessment Decisions form given to the Accreditation Auditor refers to the qualification title as Providing Financial Services (PFS), and five Observations of Review forms completed by provider 2 refer to the qualification title as PFS level 3.

The qualification title accredited by Qualifications Scotland Accreditation was the Certificate for Customer Service in the Financial Services Sector at SCQF level 6 — GT3E 46 recorded as a qualification to be achieved in the Modern Apprenticeship in Providing Financial Services at SCQF level 6.

Qualifications Scotland must ensure that its providers refer to the qualification title accredited by Qualifications Scotland Accreditation in its provider-devised documentation.

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

Regulatory Principle 5. The awarding body and its providers must provide clear information on their procedures, products and services and ensure that they are accurate and appropriate to accredited qualifications.

Regulatory Principle 18. The awarding body and its providers must ensure that it has safeguards to prevent and manage cases of malpractice and maladministration.

Page 9 of SQA Malpractice: Information for centres, valid from March 2025 notes under the section heading 'Additional requirements for candidate malpractice — only for qualifications regulated by SQA Accreditation' that 'For those SQA qualifications that are subject to regulation by SQA Accreditation, you are required to report any suspected cases of candidate malpractice to SQA (where it is acting as an awarding body). For regulated qualifications, candidate malpractice concerns should be reported promptly to: candidate.malpracticeHNVQ@sqa.org.uk.'

Page 17 of SQA Malpractice: Information for centres, valid from March 2025 notes under the section heading 'Reporting concerns of centre malpractice to SQA' that 'You must bring any concerns of centre malpractice to our attention, as soon as you have carried out an initial screening exercise to establish the nature of the concern, in writing or by telephoning SQA:

♦ E-mail: malpractice@sqa.org.uk

♦ Tel: 0345 279 1000'

Page 21 of SQA Malpractice: Information for centres, valid from March 2025 notes under the section heading 'Additional requirements for centre malpractice — only for qualifications regulated by SQA Accreditation' states that SQA is required to report concerns of centre malpractice and to provide information relating to our investigation and its outcome to SQA Accreditation.

On reviewing the provider-devised malpractice policy, reviewed in November 2025 for provider 1 the Accreditation Auditor noted that on page 4, under the section heading 'Reporting candidate malpractice' and on page 9 under the section heading 'Reporting Centre Malpractice' it states that 'If the malpractice relates to regulated qualifications, the Head of Centre will notify SQA Accreditation immediately in writing to gav@sqa.org.uk.' This is SQA awarding body contact details given to notify SQA Accreditation.

The provider is responsible for reporting candidate and centre malpractice to Qualifications Scotland awarding body not Qualifications Scotland Accreditation as it is the awarding body's responsibility to report concerns of candidate or centre malpractice to Qualifications Scotland Accreditation.

Qualifications Scotland must ensure that its providers devised malpractice policy accurately reflect the contact details given on page 9 to report candidate malpractice and on page 17 to report centre malpractice as stipulated in SQA Malpractice Information for Centres, valid from March 2025.

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

2.3 Recommendations

Regulatory Principle 6. The awarding body must continually review the effectiveness of its services, systems, policies and processes.

During the discussion with provider 2 it was highlighted to the Accreditation Auditor that as part of its continuous improvement activity, Qualifications Scotland could hold more community networks to share information and good practice.

In addition, Qualifications Scotland Secure Site could be improved as it is currently difficult to navigate, which is causing issues for provider 3 when searching for assessments.

Qualifications Scotland may wish to consider the areas highlighted for continuous improvement to the Accreditation Auditor in relation to more community networks and Qualifications Scotland Secure Site.

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

Regulatory Principle 6. The awarding body must continually review the effectiveness of its services, systems, policies and processes.

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

Provider 1 informed the Accreditation Auditor that it would welcome Qualifications Scotland considering providing learner electronic/digital certificates as part of its continuous improvement.

Qualifications Scotland may wish to consider providing learner electronic/digital certificates as part of its continuous improvement.

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