

**QUALITY
ASSURANCE
MODEL FOR
SCQFP APPROVED
CREDIT RATING
BODIES**

SECTION 4
Annual Monitoring



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Annual Monitoring

This Quality Assurance Model (QAM) applies specifically to those SCQFP Approved CRBs but for ease of reading the term Credit Rating Body or CRB will be used in this document

SCQFP Approved Credit Rating Bodies will be subject to annual monitoring and periodic reviews by the SCQFP.

Annual monitoring takes place each year following approval until the 4th year when a periodic review will be conducted. (More details on periodic review are available in Section 5.) After the periodic review, annual monitoring will again take place for the following 3 years until the next periodic review and so on.

The annual monitoring consists of:

- The completion of a [submission](#) document with accompanying [evidence](#)
- A potential [online meeting](#) with the CRB and a review team ¹
- Letter of [outcome](#) from the Chair of the SCQF Quality Committee
- A right of appeal

Possible Outcomes:

- CRB is allowed to continue credit rating
- CRB is allowed to continue to credit rating with conditions
- CRB is suspended from credit rating
- The process for removal of credit rating authority is initiated

The Submission (self-assessment)

A template will be provided for the submission. The template should be submitted together with accompanying evidence, electronically, by the date agreed with your named SCQFP Officer each year. For new CRBs, the first annual monitoring will take place one year after the notification of approval and the timing for the submission and online meeting will be indicated in that notification. After the first annual monitoring, the CRB will then follow the timeline and process for all CRBs as above.

The purpose of the submission is for the CRB to clearly report on its credit rating activity within the previous year since the approval or previous annual monitoring/ periodic review and any changes to its processes, resources, staffing etc. This will normally involve describing what worked well, what did not, issues identified, and actions taken or planned to be taken.

¹ Note that the format of the annual monitoring will be decided on a risk based approach and may result in a desk based monitoring activity. However, all CRBs will receive an online meeting for the first annual monitoring post approval.

Evidence

The following evidence **must** be submitted by the CRB for the annual monitoring:

- 1 CRB's credit rating process/procedure (if changed from the previous version submitted)
- 2 A complete list of the CRB's current credit rated provision carried out under its CRB authority
- 3 An anonymised certificate
- 4 Number of learners certificated for each programme in last 12 months
- 5 Number of learners registered on current credit rated programmes
- 6 A full set of completed paperwork from the initial submission to the issuing of the credit rated decision for the last credit rated programme (internal)
- 7 Completed paperwork from the review of a programme that has reached the end of its credit rating review period or paperwork supporting an extension to that period (if applicable)
- 8 Completed paperwork from the regular monitoring of programmes not yet reached their credit rating review date
- 9 Report from the last internal review of credit rating processes (if undertaken since the last SCQFP review activity)
- 10 Report from the last external review of credit rating processes (if undertaken since last SCQFP review activity)
- 11 A copy of the CRB's RPL policy (if changed since the last SCQFP review activity)
- 12 A copy of the CRB's Equalities and Diversity strategy or policies (if changed since the last SCQFP review activity)
- 13 A copy of the CRB's Staff Development policy (or similar) (if changed since the last SCQFP review activity)

If the CRB has third party credit rating authority the following additional information must be supplied: (see section 6):

- 14 A full set of completed paperwork from the initial submission to the issuing of the credit rated decision for the last third party credit rated programme
- 15 A copy of the paperwork that supports annual monitoring of third party programmes (if changed from previous version) and an example of a completed report.
- 16 Completed paperwork from the review of a programme that has reached the end of its credit rating review period (or paperwork supporting an extension to that period)
- 17 A copy of any guidance issued to third parties on submissions, use of the logos in certification and promotion, certification arrangements etc (if changed from previous version)
- 18 Copies of the certificate templates agreed with each third party organisation

In addition, the CRB should ensure that it submits any other relevant evidence to support its submission indicating clearly why that piece of evidence has been submitted and which criterion it supports.

On receipt of the submission, SCQFP Officers will meet to decide, using a range of risk factors and the risk matrix whether an online meeting with the CRB is necessary. The risk factors used include:

- Significant changes to staff involved in the credit rating process
- A significant change in credit rating activity (up or down)
- Changes to the credit rating process
- Matters of concern received about the CRB
- Issues still outstanding over a number of annual and/or periodic reviews
- Potential for reputational damage to the SCQF
- Potential for impact on current learners

A low or very low risk rating on the risk matrix is unlikely to result in an online meeting however it may be that a number of low risk issues or a number of unresolved low risk issues may escalate the rating and result in a meeting.

Reports from the SCQF database will be cross referenced with the data received from the CRB in the submission. The named SCQFP Officer may contact the CRB for points of clarification if required, and to request any of the mandatory evidence if missing.

An online review meeting will always take place for newly approved CRBs for their first annual monitoring irrespective of the risk matrix.

The decisions of the SCQFP Officers will be reviewed by the Quality Committee (normally in August) after which the CRB will be informed if a visit to the CRB is required. These decisions will be informed by the SCQFP Risk Matrix (section 2) and the risk factors (above).

Desk Monitoring

If no online meeting is to take place, the submission will be reviewed by at least 2 SCQFP Officers and a short report based on the submission from the CRB will be prepared. Whilst there will be no online meeting with the CRB, if there are a few issues which would benefit from some clarification this may be sought through email or telephone or a short online conversation.

A copy of the short report will be sent to the CRB for a factual accuracy check together with a request for an action plan to address any issues highlighted within the report.

Online Monitoring Meeting

If it is deemed that an online meeting is necessary, the named SCQFP Officer will contact the CRB to organise a mutually suitable date for the meeting.

The named SCQFP Officer will conduct the online meeting together with another SCQFP Officer. The named SCQFP Officer will act as chair for the meeting with the

other taking notes of the meeting with a view to compiling a short action based report. No formal minute of the meeting will be taken.

The aim of the meeting is to discuss the issues and/or concerns arising from the CRB's submission and associated evidence and to agree an action plan. The short report based on the submission from the CRB and the visit will be prepared by the SCQFP Officers. A copy of this short report will be sent to the CRB for a factual accuracy check and confirmation of the action plan agreed with the CRB at the meeting.

Reporting and Outcomes

Following the online meeting or desk activity, the short report and an agreed action plan (if required) will be presented to the Quality Committee for scrutiny. The named SCQFP Officer will provide a short verbal summary at the meeting.

The Quality Committee will consider if the action plan is sufficient to meet the issues/concerns indicated and may recommend that the CRB adds to or amends the action plan. The Quality Committee may also, if it feels it is necessary, amend or add to the conditions and recommendations proposed by the Review Team. The CRB will then receive confirmation of its action plan or information regarding additional requirements or amendments and one of the 4 possible outcomes below:

- CRB is allowed to continue credit rating
- CRB is allowed to continue to credit rating with conditions
- CRB is suspended from credit rating
- The process for removal of credit rating authority is initiated

The outcome of the process is then reported to the SCQFP Board for information.