



Provider Monitoring Report

Chartered Management Institute (CMI)

7 July 2014

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1 Background

One Provider was monitored on 7 July 2014. Of this monitoring activity, one provider visit was carried out.

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 CMI'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 CMI 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 CMI'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

CMI provider monitoring date:	7 July 2014
Provider Monitoring Report approved by Accreditation Co-ordination Group on:	6 August 2014
Provider Monitoring Report to be signed by CMI:	18 September 2014
Action Plan to be e-mailed to regulation@sqa.org.uk by CMI	18 September 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 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 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 e-mailed to CMI 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, two Issues have been recorded and one Recommendation has been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principles 12 and 13	The centre-devised <i>Learner Guide</i> issued by Provider 1 to candidates at induction stage contains appeals and complaints procedures. However, these do not inform candidates of the circumstances under which complaints and appeal reviews can be made to SQA Accreditation.	Low
2. Principle 15	CMI has not met its own published Service Level Agreement timescales for issuing candidate certificates.	Medium

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.

Recommendation	Detail of Recommendation noted
1. Principle 4	The Centre Co-ordinator from Provider 1 highlighted to the Accreditation Auditor that CMI should consider providing the National Occupational Standards (NOS) for its SQA accredited qualifications on CD-Rom to its approved providers for them to issue to candidates.

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 CMI'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:

- ◆ openness and helpfulness of CMI's moderators in sharing good practice
- ◆ excellent support provided by CMI's administrative staff
- ◆ professional recognition gained by being a member of the Chartered Management Institute

2.2 Issues

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

And

Regulatory Principle 13. The awarding body and its providers shall have clear, fair and equitable procedures to manage appeals.

The centre-devised *Learner Guide* issued by Provider 1 to candidates at induction stage contains appeals and complaints procedures. However, these do not inform candidates of the circumstances under which complaints and appeal reviews can be made to SQA Accreditation. This has been recorded as **Issue 1**.

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

The CMI Awarding Body – Service Level Agreements Ref: AB/STA/0004/Mar12/V4 states that '*Certificates will be dispatched within 15 working days of the result being verified by the Moderator with a list attached containing the name(s) of the Learner(s).*'

The Centre Co-ordinator from Provider 1 stated to the Accreditation Auditor that seven candidates' portfolios were verified during a moderation visit to Provider 1 on 10 March 2014.

Subsequently, the Centre Co-ordinator had to contact CMI by e-mail on 4 April, 11 April and 29 April 2014, as they had not received candidate certificates for three out of the seven candidate portfolios verified on 10 March 2014. The Centre Co-ordinator confirmed that the centre finally received the three outstanding candidate certificates in June 2014 — approximately three months after the moderation visit on 10 March 2014.

Therefore, CMI has not met its own published Service Level Agreement timescales for issuing candidate certificates, while also causing a delay of approximately three months for Provider 1 to be able to claim its Modern Apprenticeship final outcome funding payment for these three candidates from Skills Development Scotland. This has been recorded as **Issue 2**.

2.3 Recommendations

Regulatory Principle 4. The awarding body shall continually review the effectiveness of its business services, systems, policies and processes.

The Centre Co-ordinator from Provider 1 highlighted to the Accreditation Auditor that CMI should consider providing the National Occupational Standards (NOS) for its SQA accredited qualifications on CD-Rom to its approved providers for them to issue to candidates.

The Centre Co-ordinator felt the expense of printing the NOS had been passed on to CMI's approved providers — they have to download the NOS from CMI's website, print out and issue to candidates. This has been noted as **Recommendation 1**.

CMI may wish to consider this recommendation for continuous improvement from its approved centre.

3 Acceptance of Provider Monitoring Findings

For and on behalf of CMI:

For and on behalf of SQA Accreditation:

Signature

Signature

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Designation

Designation

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Date

Date

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