



SQA Accreditation

**Visit to Institute of Leadership and Management
(ILM)**

Awarding body centre report

1 February 2013

Note

The findings of this report will be presented to the Scottish Qualifications Authority's (SQA) Accreditation Committee and made available to colleagues from the Welsh Government, the Council for the Curriculum, Examinations and Assessment (CCEA) and the Office of Qualifications and Examinations Regulation (Ofqual) with a view to informing future accreditation and re-accreditation submissions submitted by the awarding body.

The report will be published on SQA Accreditation's website.

Please note that SQA Accreditation monitoring activity is conducted on a sampling basis. As a consequence, not all aspects of an awarding body's performance in quality assurance, contract compliance, implementation, awarding of certificates, and fee arrangements have been considered in this report to the same depth.

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Section 1: Introduction

The purpose of the visit

SQA Accreditation conducts audits of all awarding bodies offering SQA accredited qualifications or Units. The audit methodology includes visits to a sample of the awarding body's approved centres or assessment sites. The aim of these visits is to:

- ◆ confirm that quality assurance arrangements are being conducted by the awarding body in accordance with its prescribed arrangements
- ◆ satisfy SQA Accreditation of the awarding body's performance against SQA Accreditation's *Awarding Body Criteria* (2007)
- ◆ all Key Goals were included within the scope of the centre monitoring activity
- ◆ confirm that the awarding body's quality assurance arrangements are being conducted in a consistent manner, within and between centres
- ◆ inform future monitoring activity for the awarding body

Centre visit dates

One centre visit was conducted on 1 February 2013.

Section 2: Discussion

Areas of good practice

The following areas of good practice were noted by the Centre Co-ordinator for Centre 1:

- ◆ a development visit is provided by the External Verifier to support new centres
- ◆ approval letter details named contacts within ILM, including External Verifier and Quality Manager
- ◆ supportive nature and availability of ILM staff, including the Quality Managers and External Verifiers
- ◆ ILM's communication is excellent at keeping centres up to date with any changes to its policies and practices

Areas of non-compliance

During the course of the centre monitoring visits it was found that the awarding body was not in compliance with the following Key Goals.

Key Goal 9: The awarding body has open and transparent procedures for complaints and appeals.

Specifically criterion:

- ◆ 9.1.4 The circumstances under which a centre or candidate is entitled to make an appeal or complaint to SQA Accreditation.

The centre-devised *Candidate Appeals Procedure* used at Centre 1 states that '*The National Verification Panel decision is final*'. It did not inform candidates of the circumstances under which it would be appropriate to progress an appeal to SQA Accreditation. **This has been recorded as non-compliance 1.**

ILM must ensure that its External Verifiers are aware that, should centres approved to deliver SQA-accredited qualifications use centre-devised Appeals and Complaints procedures, these must include the details of the circumstances under which a candidate can make an appeal to SQA Accreditation in its role as Qualifications Regulator.

ILM must communicate this to all centres approved to deliver SQA-accredited qualifications.

Key Goal 10: The awarding body has an effective system for the registration and certification of candidates.

Specifically criterion:

- ◆ 10.3 Ensure that candidates who complete the requirements for a qualification or unit receive a certificate in the format agreed at the time of accreditation and within the awarding body's specified timescales.

Centre 1 provided the Accreditation Auditor with a copy of a candidate's Unit certificate which showed the SVQ logo. However the SVQ logo is reserved for use only on full SVQ certificates and is not permitted on Unit certificates. **This has been recorded as non-compliance 2.**

ILM must provide SQA Accreditation with an updated sample Unit Certificate which does not show the SVQ logo.

Section 3: Action plan

A non-compliance will be recorded where the Auditor finds evidence of non-compliance with either any of the criteria contained in SQA Accreditation's *Awarding Body Criteria* (2007) or any of the conditions attached to SQA accredited qualifications at the time of accreditation. When recording a non-compliance, the Auditor will agree the action to be taken by the awarding body and a timetable for the resolution of each non-compliance.

SQA Accreditation risk rates each non-compliance recorded during an audit of the awarding body. This section lists the grade of risk attached to each of the awarding body's non-compliances. See Appendix 2 for an explanation of grades of risk.

An observation will be noted to ensure that any area of potential improvement is noted for future reference. As observations are recorded for awarding body consideration only, it is not necessary to agree a timescale to resolve the observation in the awarding body action plan.

Once agreed, the action plan is signed by representatives from both SQA Accreditation and the awarding body, and will inform future monitoring activity for the awarding body.

Non-compliance

Non-compliance	Agreed action and date	Criterion	Risk rating
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Non-compliance	Agreed action and date	Criterion	Risk rating
<p>1 The centre-devised <i>Candidate Appeals Procedure</i> used at Centre 1 states that <i>'The National Verification Panel decision is final'</i>. It did not inform candidates of the circumstances under which it would be appropriate to progress an appeal to SQA Accreditation</p>	<p>ILM must ensure that its External Verifiers are aware that, should centres approved to deliver SQA-accredited qualifications use centre-devised Appeals and Complaints procedures, these must include the details of the circumstances under which a candidate can make an appeal to SQA Accreditation in its role as Qualifications Regulator.</p> <p>ILM must communicate this to all centres approved to deliver SQA-accredited qualifications by 30 April 2013. Extension to 30 June 2013</p>	9.1.4	3

<p>2 Centre 1 provided the Accreditation Auditor with a copy of a candidate's Unit certificate which showed the SVQ logo. However the SVQ logo is reserved for use only on full SVQ certificates and is not permitted on Unit certificates.</p>	<p>ILM must provide SQA Accreditation with an updated sample Unit Certificate which does not show the SVQ logo by 30 April 2013.</p> <p>Extension to 30 June 2013.</p> <p>Closed out 6 June 2013.</p>	10.3	3
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Signatures of agreement to awarding body action plan: ILM 2013

For and on behalf of ILM:

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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Appendix 1: Documents reviewed

The following documents were reviewed during the course of the centre monitoring visits.

Document title	Version number (if known)	Issue date (if known)
Centre 1		
Letter from ILM Improvements to ILM		November 2012
Letter from ILM Launch of New Forms and Conditions and the Phasing Out of the ILM Four Year Re-approval Process		October 2012
SVQ Fast Track Conversion Approval		10 July 2011
ILM S/NVQs Level 2 in Team Leading and Levels 2, 4 and 5 in Management		April 2008
ILM Guide to Forms		2010/2011
Letter from ILM Confirming Centre Approval		23 November 2011
ILM We're Delighted that you Decided to Join Us		2010
Completed ILM Approved Centre Criteria		
ILM Form External Verifier		29 May 2012 30 January 2012
Candidates Internal Verification Records		
Completed Internal Verification Sampling Plan		
Completed Assessor Feedback		
Completed Record of Achievement		
Candidate Certificate		22 June 2012
Completed Internal Verification Procedures Register		
Completed Internal Verification Sampling Record		
ILM SVQs in Management at SCQF Level 7		
Assessor and Internal Verifiers CPD and Qualification Certificates		
Training and Management that Wins Results Modern Apprenticeship Handbook <ul style="list-style-type: none"> • Overview of SVQs • Equal Opportunities, Diversity and Risk Management • Health & Safety 		

<ul style="list-style-type: none"> • Information Exchange • Data Protection • Plagiarism • Tell us What You Think • Candidate Appeal • Rules and Responsibilities with the SVQ System • External Verifier • Centre Co-ordinator • Internal Verifier • Assessor 		
<p>Modern Apprenticeship SDS Pack</p> <ul style="list-style-type: none"> • Training Agreement • Initial Assessment Summary Record • Candidate Registration Form • MA Sample Training Agreement • Individual Training Plan 		
Centre-devised Fire Safety Document		2 February 2013
Centre-devised Health and Safety Law		
Centre-devised Candidate Appeals Procedure		
Centre Staff Development Plan		
Minutes of Meetings for Assessment Staff		
Centre-devised Equal Opportunities Policy		30 September 2011
Centre-devised Health and Safety Policy Statement		3 December 2012
ILM Your Guide to the New Walled Garden		

Appendix 2: Risk rating of non-compliances

SQA Accreditation assigns a risk rating to each non-compliance recorded as a result of an awarding body audit or through our centre monitoring activity. The table below illustrates how the rating for a non-compliance is assigned and identifies the possible impact of the non-compliance on qualifications and/or the learner.

The assignment of a risk rating allows an awarding body to target their resources to areas that have been identified as having a major impact. The risk rating also allows SQA Accreditation to target its resources to support awarding bodies in improving their performance.

Rating	Risk	Impact of non-compliance
1	Very low	The non-compliance is likely to cause minimal concern and would not threaten the integrity of the qualification or impact adversely on the learner. Any overall effect is likely to be small scale and/or localised, rather than widespread. The issue identified is unlikely to recur once resolved and no long lasting damage would be anticipated.
2	Low	The non-compliance is of low impact but of sufficient importance to merit intervention, with a low threat to the systems or procedures associated with the qualification and/or impact on the learner. Disruption may not just be localised but more widespread and would possibly cause residual damage; however, this could be easily corrected without further consequence.
3	Medium	The non-compliance could potentially damage the credibility of the qualification and/or be detrimental to the learner. There may be some impact to the systems or procedures that support the qualification or the operational effectiveness of the awarding body.
4	High	The non-compliance could have a high impact on the integrity and reliability of the qualification or the effective operation of the awarding body as a whole if corrective action is not quickly taken. There is a high probability that the qualification and/or learner will be negatively affected.
5	Very high	The non-compliance will have a serious impact on the integrity and reliability of the qualification or the effective operation of the awarding body if corrective action is not immediately taken. There is a very high probability that the qualification and/or learner will be negatively affected.

In assigning a risk rating, each non-compliance is considered on its own merit, taking account of the context in which it was identified.