



Centre Monitoring Report

ITC First Aid Ltd

8 August 2013 to 26 September 2013

Note

Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence. However, please note the following:

- ◆ The findings of this report and the associated Action Plan will be presented to SQA's Accreditation Committee.
- ◆ The report and Action Plan will be published on SQA Accreditation's website following receipt of the signed acceptance of audit findings.
- ◆ The contents will contribute towards the Quality Enhancement Rating which will, in turn, contribute towards the quality assurance activity and timescales.

Please note that SQA Accreditation's quality assurance activities are conducted on a sampling basis. Consequently, not all aspects of an awarding body's performance in quality assurance, contract compliance, implementation, awarding of certificates and fee arrangements (not an exhaustive list) may have been considered in this report to the same depth.

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1 Introduction

1.1 Scope and approach of centre monitoring

SQA Accreditation conducts quality assurance activities of all awarding bodies offering SQA accredited qualifications or Units. This involves monitoring a sample of the awarding body's approved centres/providers or assessment sites. All centre monitoring will be conducted in a consistent manner within and between centres. The aim of monitoring is to:

- ◆ Ensure compliance under **SQA Accreditation's *Regulatory Principles (2011)*, Regulatory Principles Directives, the requirements of the clauses within and any conditions attached to the approved awarding body agreement and the Criteria for Accredited Qualifications.**
- ◆ 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 centres.
- ◆ Inform future audit and monitoring activity for the awarding body.

All Principles were included within the scope of the monitoring activity.

A Requirement has been raised where SQA Accreditation found evidence that the awarding body has not met SQA Accreditation's regulatory requirements.

The following timescales apply:

- ◆ SQA Accreditation will issue this report within 30 working days of the final centre monitoring date.
- ◆ The awarding body must sign and return the report and associated Action Plan within 30 working days of the centre monitoring report being issued.
- ◆ Within a further 20 working days of receiving the proposed action plan, SQA Accreditation will confirm whether the Action Plan is appropriate to address the Requirements. This will be subject to the actions proving appropriate to the Requirements raised.
- ◆ SQA Accreditation will monitor progress towards completion of the actions identified in the Action Plan.

A Recommendation may be recorded in instances where SQA Accreditation considers there to be scope for improvement. Where these are agreed during centre monitoring, they are recorded on the report for future reference. As Recommendations are recorded for awarding body consideration only, it is not necessary to agree either actions or timescales to resolve these in the awarding body Action Plan.

1.2 Centre monitoring report timeline

SQA Accreditation centre monitoring report date 23 October 2013

Date centre monitoring report and Action Plan to be signed and submitted by ITC First Aid Ltd 11 December 2013

1.3 Centre monitoring dates

Two centres were monitored between 8 August and 26 September 2013.

1.4 Overview

As a result of the centre monitoring activities, four Requirements have been raised and two Recommendations have been recorded.

The four Requirements form the basis of the ITC First Aid Ltd Action Plan. This must be completed and submitted to SQA Accreditation for agreement within 30 working days of the centre monitoring report being issued. The Action Plan must be submitted by 4 December 2013.

Outcome(s)	Area(s) of concern	Risk rating
Requirement 1	Principles 3 and 9	Medium
Requirement 2	Principle 6	Medium
Requirement 3	Principle 23	Medium
Requirement 4	Regulatory Principle Directive 5	Medium
Recommendation 1	Principle 3	N/A
Recommendation 2	Principle 22	N/A

2 Centre monitoring findings

The following sections detail Requirements raised and Recommendations recorded against SQA Accreditation's *Regulatory Principles (2011)*, Regulatory Principles Directives, the requirements of the clauses within and any conditions attached to the Approved Awarding Body agreement and the Criteria for Accredited Qualifications.

2.1 Areas of good practice

The following areas of good practice were noted by centres:

The Centre Co-ordinator for Centre 1 highlighted that:

- ◆ ITC First Aid Ltd genuinely care about the quality of courses its trainers deliver
- ◆ the clusters were beneficial and supportive

The Centre Co-ordinator for Centre 2 highlighted the:

- ◆ expertise of ITC staff in outdoor specific and first aid qualifications
- ◆ professional induction and training provided by ITC First Aid Ltd to its trainers
- ◆ approachable and helpful nature of staff

2.2 Requirements

Principle 3: The awarding body must ensure that they employ robust processes to protect their own business interests as well as the interests of their approved centres and learners.

Principle 9: The awarding body must ensure that the qualification subject content, skills knowledge and understanding, where relevant to the aim of the qualification, are clearly defined for each SQA accredited qualification.

Prior to the centre monitoring visit to Centre 1 the Accreditation Auditor downloaded course information for the *ITC Certificate in Outdoor First Aid (SCQF Level 5)* from Centre 1's website and found that the assessment methodology for the course was referenced inaccurately. The advertised course information stated that '*Certification is dependent on successful continuous assessment of the candidate there is no final exam.*'

However, the assessment methodology for this particular SQA accredited qualification does contain a multiple choice examination. This means that candidates from Centre 1 had been misinformed by Centre 1 about the assessment methodology contained within the course information for the *ITC Certificate in Outdoor First Aid (SCQF Level 5)* as advertised on its website.

The evidence available indicates that ITC First Aid Ltd does not meet the requirements of Principles 3 and 9. This has been raised as **Requirement 1**.

Principle 6: The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.

The cluster-devised *Health and Safety Policy* (dated 10 May 2013) provided to the Accreditation Auditor by Centre 2 states that 'This Centre requires the trainer to assess the course venue, to confirm it as a safe place of work, prior to course commencement.'

The Centre Co-ordinator from Centre 2 stated to the Accreditation Auditor that the centre had not completed or retained risk assessments of its course venues. Therefore, the centre is not compliant with its own cluster-devised health and safety policy.

The evidence available indicates that ITC First Aid Ltd does not meet the requirements of Principle 6. This has been raised as **Requirement 2**.

Principle 23: The awarding body and their centres must publish clear, fair and equitable procedures and timelines for dealing with enquiries about results and appeals. They must take appropriate, corrective and/or preventative action for all learners and centres affected.

The Auditor noted that both cluster-devised candidate appeals policies failed to appropriately reference SQA Accreditation as the Qualifications Regulator for SQA accredited qualifications and the circumstances under which it would be appropriate to progress an appeal to SQA Accreditation.

The evidence available indicates that ITC First Aid Ltd does not meet the requirements of Principle 23. This has been raised as **Requirement 3**.

RPDIR 5 – Complaints handling

ITC First Aid Ltd P16 Complaints Policy [2] does not ensure that its complaints-handling processes meet the requirements of the Scottish Public Service Ombudsman (SPSO), as specified within RPDIR 5.

The evidence available indicates that ITC First Aid Ltd does not meet the requirements of RPDIR 5. This has been raised as **Requirement 4**.

2.3 Recommendations

Principle 3: The awarding body must ensure that they employ robust processes to protect their own business interests as well as the interests of their approved centres and learners.

Centre 1 recommended that paperwork and manuals provided by ITC First Aid Ltd to centres would benefit from proofreading, as they still contain typos which have been reported to ITC First Aid Ltd by e-mail from Centre 1 in January, April and May 2013. **This has been recorded as Recommendation 1.**

ITC First Aid Ltd may wish to consider further proofreading of its paperwork and manuals.

Principle 22: The awarding body must ensure that qualification and Unit certificates meet SQA Accreditation's minimum requirements, reflect learner achievement, are only issued on the basis of a valid claim, and are supplied within a reasonable and clearly communicated timescale.

The Centre Co-ordinator from Centre 2 stated to the Accreditation Auditor that if an employer paid for the training course, a candidate's certificate would be sent directly to the employer and not the candidate. Therefore, the centre cannot ensure that in these instances the candidate would receive their qualification certificate. **This has been recorded as Recommendation 2.**

ITC First Aid Ltd should consider how it can ensure that all its candidates receive a qualification certificate within a reasonable and clearly communicated timescale.

3 List of documents reviewed during centre monitoring

Document title	Date of issue	Version number
Centre 1		
Printout from Centre Website	7 August 2013	
Completed C9 ITC Centre Agreement	Signed 10/03/2013	1.1
Completed C10 Fast Track Application for ITC Centres delivering First Aid Qualifications	Signed 03/03/2013	
Recognised ITC Centre Certificate	11 April 2013	
Centre-devised Pre Course Information		
Centre-devised Appendix 3: Risk Assessment form for Training Venues	2013	Issue 1
ITC Unit 1 – Emergency First Aid in the Workplace First MCQ Questions	Reviewed December 2012	
ITC Unit 1 – Emergency First Aid in the Workplace First MCQ Answer Grid	Reviewed December 2012	
ITC Emergency First Aid at Work (SCQF) Assessment Plan: Unit 1 – Emergency First Aid in the Workplace	Reviewed December 2012	
ITC First Aid Trainer Certificate	Issued: 09/09/2012	

Printout of CPD Log for Trainer	8 August 2013	
Printout of Training Log for Trainer	8 August 2013	
Cluster Event Register	14/05/2013	
Cluster Member Code of Practice		
Cluster Minutes of Meeting	May 2013	
Cluster-devised P12 Internal Verification Policy	16 May 2013	
Completed EV6a External Verifier's Report Centre [6]	Visits: 2013 2012 2011	
Cluster-devised P10 Malpractice and Misconduct Policy	7 May 2013	
Cluster-devised P11 Health and Safety on Courses Policy	14 May 2013	Issue 1
Cluster-devised Customer Charter	7 May 2013	
Cluster-devised Equality, Diversity and Equal Opportunities Policy	7 May 2013	
Cluster-devised P1 Candidate, Appeals Policy and Procedure	7 May 2013	
Cluster-devised P4 Complaints Policy	7 May 2013	
Centre 2		
C1 Centre Approval Form Initial Application [5.4]		
C3 New Qualification Approval Form Initial Application [5.3]		

Completed C9 ITC Centre Agreement	Signed 25 March 2013	
Recognised ITC Centre Certificate	12 April 2013	
Completed PR12a Accredited Trainer and Assessor Undertaking	November 2011	
Centre-devised Pre-course Information		
ITC Certificate in Emergency First Aid (SCQF Level 5) Suggested Course Assessment	January 2013	
ITC Unit 1 – Emergency First Aid in the Workplace First MCQ Questions	Reviewed December 2012	
ITC Unit 1 – Emergency First Aid in the Workplace First MCQ Answer Grid	Reviewed December 2012	
ITC Emergency First Aid at Work (SCQF) Assessment Plan: Unit 1 – Emergency First Aid in the Workplace	Reviewed December 2012	
ITC First Aid Trainer Certificate	Issued: 6 November 2011	
Printout of CPD Log for Trainer	26 September 2013	
Printout of Training Log for Trainer	26 September 2013	
Cluster Minutes of Meeting	June 2013	
Completed EV6 ITC Verification Visit Report Centre [1.2]	Visit 2013	

Cluster-devised Candidate Appeals Policy & Procedure	10 May 2013	
Centre-devised Health & Safety Policy	10 May 2013	
Cluster-devised Complaints Policy	20 May 2013	
Cluster-devised Customer Charter	10 May 2013	
Cluster-devised Data Protection Policy	10 May 2013	
Cluster-devised Equality, Diversity – Equal Opportunities Policy Document	18 September 2013	
Cluster-devised Internal Quality Assurance Policy	10 May 2013	
Cluster-devised Malpractice and Misconduct Policy	10 May 2013	
Cluster-devised Record Retention Policy	10 May 2013	
Cluster-devised Withdrawal from ITC Delivery Qualification Awards	10 May 2013	
Cluster-devised Conflict of Interest	10 May 2013	
Cluster-devised Access to Fair Assessment Policy	10 May 2013	
<i>Public Liability Insurance. - First Aid Trainer policy.</i>	Expiry Date: 19/05/2014	

4 Risk rating of Requirements

SQA Accreditation assigns a risk rating to each Requirement recorded as a result of awarding body quality assurance activity. The table below illustrates how the rating for a Requirement is assigned. A weighting is applied that depends on the risk identified and the possible impact on qualifications and/or the learner of failure to implement that Requirement.

The assignment of a risk rating allows an awarding body to assign their resources to areas which have been identified as having a major impact on the qualifications and/or the learner. The risk rating also allows SQA Accreditation to assign its resources to support awarding bodies in improving their performance.

Risk	Impact of Requirements identified through quality assurance activity
Very Low	The Requirement has been identified as 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 identified Requirement is unlikely to recur once resolved and no long lasting damage would be anticipated.
Low	The Requirement has been identified as low impact but is 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.
Medium	The Requirement has been identified as having the potential to 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.
High	The Requirement has been identified as having a potentially 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.
Very High	The Requirement has been identified as having 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 Requirement is considered on its own merit, taking account of the context in which it was identified.



5 Action Plan

A separate document in Microsoft Word has been forwarded with this centre report.

Areas of concern	Requirement	Risk rating	Proposed action (Please include a description of your intended methodology and details of the evidence that will be provided.)	Target date for completion
Principles 3 and 9	The assessment methodology for the <i>ITC Certificate in Outdoor First Aid (SCQF Level 5)</i> , as advertised on ITC's website, includes a multiple choice examination. This means that candidates from Centre 1 had been misinformed by Centre 1 about the assessment methodology contained within the course information for the <i>ITC Certificate in Outdoor First Aid (SCQF Level 5)</i> as advertised on Centre 1's website.	Medium	<ol style="list-style-type: none"> 1. ITC will respond to this requirement with an initial reactive response followed by routine systemic measures to reduce any further occurrences. 2. Initial Action: Direct Communication to Centres using ITC Web Bulletin Board and Centre Newsletter (to be produced after the Christmas break 2013) reminding Centres of their obligations to provide accurate information. <i>Evidence: Screenshot/s of ITC website bulletin board, copy of newsletter</i> 3. ITC Desk Research – Reactive review and interrogation of all Centre websites by end of Jan 2014, results recorded on a Centre website review checklist and Centres providing misinformation will be contacted upon a case by case basis. <i>Evidence: Ongoing checklist record</i> 4. Systematic ongoing desk based External Quality Assurance (EQA) prior to EQA visit. ITC will review Centre websites for evidence of misinformation. The results of the desk research to be recorded on document CVD1 prior to EQA Visits. Any identified areas of misinformation or ambiguity on Centre publicity to be raised with the Centre who will be provided with 	<ol style="list-style-type: none"> 2. 31 January 2014 3. 28 February 2014 4. 28 February 2014

Areas of concern	Requirement	Risk rating	Proposed action (Please include a description of your intended methodology and details of the evidence that will be provided.)	Target date for completion
			<p>guidance and a time defined action plan. <i>Evidence: CVD1 Form (blank & completed example)</i></p> <p>5. Ongoing processes. The EQA visit report form [EQA6] requires a Centre manager signature on EQA6 form confirming action plan and understanding of it. <i>Evidence: Centre website review sheet, Updated EQA6 form (blank and completed example)</i></p> <p>6. Analysis at Policy Committee (PC) meeting, quarterly. Report to PC by the Chief Verifier. PC Meeting in April 2014. The quarterly Policy Committee meeting is ITC's top decision making body <i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Report to Policy Committee</i> • <i>Policy Committee meeting minutes</i> <p>Closed out 26 March 2014</p>	<p>5. 28 February 2014</p> <p>6. 30 April 2014</p>
Principle 6	The Centre Co-ordinator from Centre 2 stated to the Accreditation Auditor that the centre had not completed or retained risk assessments of its course venues. Therefore, the centre is not compliant with	Medium	<p>1. Initial Reactive Reminder: Direct Communication to Centres using ITC Web Bulletin Board and Centre Newsletter, reminding centres of their obligations. <i>Evidence: Screenshot/s of ITC website, copy of newsletter</i></p> <p>2. Prior to EQA visits Centres will be asked to demonstrate implementation of centre policies by uploading evidence to web office. Evidence to be reviewed by CV prior to EQA visit. Findings of review to be recorded on CVD1</p>	<p>1. 31 January 2014</p> <p>2. 28 February 2014</p>

Areas of concern	Requirement	Risk rating	Proposed action (Please include a description of your intended methodology and details of the evidence that will be provided.)	Target date for completion
	its own cluster-devised health and safety policy.		<p><i>Evidence: CVD1 Form (blank & completed example)</i></p> <p>3. If the evidence is not uploaded to the ITC web archive, then the visiting EQA [External Quality Assurer] will ask to view the risk assessments produced by the centre. Centres will be informed of this requirement by pre-meeting confirmation letter. Results will be recorded on the EQA visit report form <i>Evidence: EQA6 Form (blank & completed example)</i></p> <p>4. A Centre specific action plan will be produced where Centres cannot provide evidence. This is recorded on EQA6 and archived on ITC website Centre area. The Chief Verifier will monitor EQA6 action plans for compliance evidence [Centre Action Plan - 3 month time window is a typical timescale for Centre evidence to be generated]. <i>Evidence: EQA6 Form (blank & completed example)</i></p> <p>Closed Out – 28 February 2014</p>	<p>3. 28 February 2014</p> <p>4. 28 February 2014</p>
Principle 23	The Auditor noted that both cluster-devised candidate appeals policies failed to appropriately reference SQA Accreditation as the Qualifications Regulator for SQA accredited qualifications and the circumstances under which	Medium	<p>1. ITC initial response Initial Reactive reminder comprised of direct communication to Centres using ITC web bulletin board and centre newsletter, reminding Centre of their obligations regarding policies and implementation. Example acceptable form of words will be provided by ITC for Centres to utilise or adapt. <i>Evidence: Screenshot/s of ITC website, copy of newsletter</i></p>	1. 31 January 2014

Areas of concern	Requirement	Risk rating	Proposed action (Please include a description of your intended methodology and details of the evidence that will be provided.)	Target date for completion
	it would be appropriate to progress an appeal to SQA Accreditation.		2. The EQA procedure outlined for the requirements above will be utilised. Namely: <ul style="list-style-type: none"> ▪ Pre visit desk research of uploaded archived documents ▪ Pre visit warning letter ▪ Visit discussion ▪ Action Plan ▪ Action Plan implementation reviewed by Chief Verifier <i>Evidence: Blank and completed documents for items listed</i> Closed Out – 28 February 2014	2. 28 February 2014
Regulatory Principle Directive 5	<i>ITC First Aid Ltd P16 Complaints Policy [2]</i> does not ensure that its complaints-handling processes meet the requirements of the Scottish Public Service Ombudsman (SPSO), as specified within RPDIR 5.	Medium	1. ITC policies undergo a development and review process and benefit from a quarterly review as part of annual cycle. Identified amendments implemented to the ITC Complaints Policy. The amended policy will be agreed at the Policy Committee meeting on 09 January 2014. 2. ITC will inform Centres of the requirement to review and amend their complaints policy: ITC initial response Initial reactive reminder comprising direct communication to Centres using ITC web bulletin board and centre newsletter, reminding Centres of their obligations regarding policies and implementation. Example acceptable form of words will be provided by ITC for Centres to utilise or adapt.	1. Reviewed ITC complaints policy to be uploaded to QuickR and ITC website by January 31, 2014 2. By January 31, 2014

Areas of concern	Requirement	Risk rating	Proposed action (Please include a description of your intended methodology and details of the evidence that will be provided.)	Target date for completion
			<p><i>Evidence: Screenshot/s of ITC website, copy of newsletter</i></p> <p>3. The EQA procedure outlined for the requirements above will be utilised to confirm compliance. Namely:</p> <ul style="list-style-type: none"> ▪ Pre visit desk research of uploaded archived documents ▪ Pre visit warning letter ▪ Visit discussion ▪ Action Plan ▪ Action Plan implementation reviewed by Chief Verifier <p><i>Evidence: Blank and completed documents for items listed</i></p> <p>Closed Out – 28 February 2014</p>	3. 28 February 2014

Signatures of agreement of action plan

For and on behalf of ITC First Aid Ltd:

Signature

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Date

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For and on behalf of SQA Accreditation:

Signature

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Date

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6 Acceptance of centre monitoring findings

For and on behalf of ITC First Aid Ltd:

Signature

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Designation

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Date

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For and on behalf of SQA Accreditation:

Signature

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Designation

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Date

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