



# **Centre Monitoring Report**

**PIABC**

**27 March 2014**

## 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 24 April 2014

Date centre monitoring report and Action Plan to be signed and submitted by PIABC. 6 June 2014

## 1.3 Centre monitoring dates

One centre was monitored on 27 March 2014.

## 1.4 Overview

As a result of the centre monitoring activities, two Requirements have been raised and one Recommendation has been recorded.

The two Requirements form the basis of the PIABC 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 6 June 2014.

Outcome(s)	Area(s) of concern	Risk rating
Requirement 1	Principles 6 and 7	Low
Requirement 2	Principles 18 and 23	Medium
Recommendation 1	Principle 5	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 area of good practice was noted by Centre 1:

The Co-ordinator at Centre 1 highlighted that:

- ◆ PIABC's portfolio of qualifications is more relevant to and appropriate for employers' requirements

### 2.2 Requirements

**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.**

**Principle 7: The awarding body must ensure that SQA Accreditation is granted access to the awarding body, their approved centres, assessment locations, staff, learners, premises, meetings, documents, data, analysis and evaluations on request.**

*PIABC Centre Handbook for Work Based Competence Qualifications, Revised: 17 December 2013 states that "It is the responsibility of the centre to have in place the following:-*

*Internal Verifiers — procedures and documentation for:*

- ◆ *selecting Internal Verifiers*
- ◆ *checking Internal Verifier qualifications and CVs*
- ◆ *checking and storing original certificates*
- ◆ *training Internal Verifiers."*

The Centre Co-ordinator from Centre 1 could not provide the Accreditation Auditor with a copy of its Internal Verifier training qualifications. Hence the Accreditation Auditor could not establish the occupational competence of the Internal Verifier

The evidence available indicates that PIABC does not meet the requirements of Principles 6 & 7. This has been raised as **Requirement 1**.

**Principle 18: The awarding body and their centres must deal with complaints on a fair and equitable basis, in line with their published procedures and timescales, and without unreasonable delay. The awarding body, their centres and learners must be made aware of how and when they can complain to SQA Accreditation. Where a complaint is upheld, the awarding body and/or centre must take appropriate, corrective and/or preventative action.**

**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 centre-devised *NVQ/SVQ Dispute and Appeals Procedure* provided to the Accreditation Auditor by Centre 1 did not inform its learners of how and when they can complain to SQA Accreditation. Nor did it contain timelines for dealing with enquiries about results and appeals.

The evidence available indicates that PIABC does not meet the requirements of Principles 18 & 23. This has been raised as **Requirement 2**.

## 2.3 Recommendations

**Principle 5: The awarding body must promote a culture of continuous improvement within the organisation and throughout their approved centres, and have in place a system which allows them to manage risk.**

Centre 1 had found the leaflet *PIABC Launches a New Suite of Wood Industry Qualifications for Scotland* to be an excellent resource for marketing PIABC qualifications. However, the content needed to be updated to reflect the fact that these qualifications are now being delivered. The Centre Co-ordinator from Centre 1 therefore e-mailed PIABC on 9 October 2013 to inform them that the marketing leaflet needed to be revised.

However, at the time of the centre monitoring visit Centre 1 had not received a response to its e-mail nor had PIABC updated its *PIABC Launches a New Suite of Wood Industry Qualifications for Scotland* marketing leaflet to reflect that these qualifications are now being delivered in Scotland. **This has been recorded as Recommendation 1.**

PIABC may wish to consider updating its *PIABC Launches a New Suite of Wood Industry Qualifications for Scotland* marketing leaflet to reflect that these qualifications are now being delivered in Scotland, as its approved centre found it to be an excellent resource for marketing PIABC qualifications in Scotland.

### 3 List of documents reviewed during centre monitoring

Document title	Date of issue	Version number
<b>Centre 1</b>		
Completed PIABC Centre Approval Form	July 2012	
Completed PIABC Qualification Approval Form	July 2012 August 2013	
Complete PIABC Assessor/Internal Verifier Approval		
PIABC Centre Service Guide: Non-Competence Based Qualifications Workbased Competence Qualifications	Updated 2014	
PIABC Certification Process: Non-Competence Based Qualifications Workbased Competence Qualifications		
PIABC Complaints Policy and Procedure	Revised 17/12/2013	
PIABC Data Protection	Updated 07/11/2012	
PIABC Equality & Diversity Policy	Reviewed 23/07/2013	
PIABC Fees and Charges 2013–14	01/10/2013	Issue 2
PIABC Health & Safety Policy	20/02/2014	
PIABC Malpractice & Maladministration Policy and Procedures	Updated 26/09/2013	
PIABC Plagiarism	Updated 20/02/2014	
PIABC Records Retention Schedule	20/02/2014	
PIABC The Appeals Process (for against PIABC decisions)	Revised 17/02/2013	
PIABC Individual Learner Registration Form		
PIABC Candidate Registration Form 2013/14 Acknowledgement (CFRA2)		

Centre-devised Initial Assessment		
Centre-devised IV1 Internal Verification Sampling Report	15/08/2013 to 18/03/2014	
Centre-devised IV6 Internal Verification – Candidate Interview		
<p>Centre-devised Induction</p> <ul style="list-style-type: none"> <li>◆ Absence &amp; Sickness</li> <li>◆ Holidays</li> <li>◆ Hours of Work</li> <li>◆ Dispute and Appeals Procedure</li> <li>◆ Health &amp; Safety Policy</li> <li>◆ Equality and Diversity Policy</li> <li>◆ Trainee Handbook</li> <li>◆ Individual Training Plan</li> <li>◆ Reviews and Monitoring</li> <li>◆ Company Layout and Staff</li> <li>◆ Working Areas</li> <li>◆ Supervisors</li> <li>◆ Domestic Facilities</li> <li>◆ Hygiene, Clothing</li> <li>◆ Unions</li> <li>◆ Fire Precautions</li> <li>◆ Accident Reporting</li> <li>◆ Woodworking Machinery</li> <li>◆ Employers Liability Insurance</li> <li>◆ Electrical Equipment</li> <li>◆ Forklifts and Sideloaders</li> <li>◆ Other Vehicles</li> <li>◆ Company Responsibilities / Employer Responsibilities</li> <li>◆ Trainee Responsibilities / Employees Responsibilities</li> <li>◆ Risk Assessment</li> <li>◆ Health &amp; Safety Policy</li> <li>◆ Prohibitions</li> <li>◆ Fire Precautions</li> <li>◆ Accidents</li> <li>◆ First Aid</li> <li>◆ PPE</li> <li>◆ COSHH</li> <li>◆ Units</li> <li>◆ Performance Criteria / Assessment Criteria</li> <li>◆ Knowledge and Understanding / Underpinning Knowledge</li> <li>◆ Timber and Panel Products Workbook</li> <li>◆ Diary Sheets / Logbook</li> <li>◆ Types of Evidence</li> </ul>		
Centre-devised NVQ/SVQ Dispute and Appeals Procedure		

## 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 6 and 7	PIABC must ensure that its approved centres retain copies of its internal verifiers' relevant training qualifications (including any peripatetic assessors and internal verifiers).	Low		
Principles 18 and 23	<p>PIABC must ensure that the centre-devised complaints policies of its centres that are approved to offer SQA accredited qualifications inform learners how and when they can complain to SQA Accreditation.</p> <p>They must also ensure that the centre-devised appeals</p>	Medium		

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
	policies and procedures of its centres that are approved to deliver SQA accredited qualifications contain timelines for dealing with enquiries about results and appeals.			

**Signatures of agreement of action plan**

For and on behalf of PIABC:

**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 PIABC:

**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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