



Centre Monitoring Report

SFEDI Awards

21 January 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 12 February 2014

Date centre monitoring report and Action Plan to be signed and submitted by SFEDI Awards 26 March 2014

1.3 Centre monitoring dates

One centre was monitored on 21 January 2014.

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 SFEDI Awards 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 26 March 2014.

Outcome(s)	Area(s) of concern	Risk rating
Requirement 1	Principle 6	Low
Requirement 2	Principle 6	Low
Requirement 3	Principle 9	Medium
Requirement 4	Principles 18 and 23	Medium
Recommendation 1	Principle 16	n/a
Recommendation 2	Principle 20	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 Centre 1:

- ◆ SFEDI Awards enterprise ethos which naturally fits with the Diploma in Business and Enterprise Support at SCQF Level 8 qualification.
- ◆ Excellent quality of support provided by its External Verifier.

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.

SFEDI Awards *Centre Manual Updated February 2013, page 34* states that 'Each Centre should have a policy in relation to retention of learner files/portfolios / assessment materials. Learners should be informed of the policy at their induction.'

The Centre Co-ordinator from Centre 1 stated to the Accreditation Auditor that Centre 1 does not have a policy for the retention of learner files/portfolios / assessment materials.

Therefore, candidates had not been informed of this at their induction. This was confirmed by the Accreditation Auditor while reviewing the centre-devised *Induction Agenda* issued to candidates at Centre 1. Consequently, Centre 1 is not complying with SFEDI Awards *Centre Manual Updated February 2013*. The evidence available indicates that SFEDI Awards does not meet the requirements of Principle 6. This has been raised as **Requirement 1**.

SFEDI Awards *Centre Manual Updated February 2013, page 19* states that 'SFEDI Awards operates a four week rule where learners must be registered for the qualification or unit of a qualification within four weeks of commencing the programme of study. Although there is no minimum timeframe from registration to certification, SFEDI Awards will continually monitor centres to ensure that appropriate timeframes are applied as per the requirements of the qualification.'

The Accreditation Auditor sampled two candidate portfolios noting that one candidate commenced their programme of study on 14 May 2013 with Centre 1, who then registered the candidate with SFEDI Awards on 14 June 2013 (four weeks and three days). The second candidate commenced their programme of study on 8 May 2013 with Centre 1, who then registered the candidate with SFEDI Awards on 14 June 2013 (5 weeks and one day).

Therefore, both candidates sampled at Centre 1 had not been registered with SFEDI Awards within four weeks of commencing their programme of study to comply with SFEDI Awards *Centre Manual Updated February 2013*. The evidence available indicates that SFEDI Awards does not meet the requirements of Principle 6. This has been raised as **Requirement 2**.

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.

The Accreditation Auditor noted when reviewing the centre-devised *Participants Information Pack for the delivery of Premier Adviser SFEDI Awards Level 8 in Business and Enterprise Support in Scotland* document provided by Centre 1 that the Rules of Combination given on page 8 only apply across QCF qualifications.

Therefore, candidates at Centre 1 have been misinformed and given inaccurate information on the Rules of Combination as these do not apply to the Diploma in Business and Enterprise Support at SCQF Level 8, which is the qualification being undertaken. The evidence available indicates that SFEDI Awards does not meet the requirements of Principle 9. This has been raised as **Requirement 3**.

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.

SFEDI Awards Centre Manual Updated February 2013, page 39 states that 'A centre's internal appeals procedure should have the following features:

- ◆ *Identification of the stages in the appeals procedure*
- ◆ *Identification of the person (or position with the organisation) with whom the appeal should be lodged*
- ◆ *The appeal should be made in letter*
- ◆ *Statement of the timescale within which an appeal may be lodged, and must be decided - generally stated in terms of "working days"*
- ◆ *Statement of the action to be taken by the centre in response to an appeal (eg, an appeals panel, or an appropriate alternative according to the circumstances, which is objective and independent)*
- ◆ *Statement of what evidence will be retained by the centre in case of an appeal and for what period*
- ◆ *Statement of how the outcome will be notified to the applicant*
- ◆ *Statement of any support which the appellant may bring to the appeal procedure*

- ◆ *Written records of each stage of the procedure*
- ◆ *The availability of an appeal to be lodged with SFEDI Awards or the Regulator once all internal processes have been exhausted.'*

However, the Accreditation Auditor noted that the centre-devised *Appeals Procedure* failed to appropriately reference:

- ◆ Statement of what evidence will be retained by the centre in case of an appeal and for what period
- ◆ Statement of how the outcome will be notified to the applicant
- ◆ Statement of any support which the appellant may bring to the appeal procedure
- ◆ Written records of each stage of the procedure
- ◆ The availability of an appeal to be lodged with the Regulator once all internal processes have been exhausted.'

Consequently, Centre 1 is not complying with SFEDI Awards *Centre Manual Updated February 2013*. The evidence available indicates that SFEDI Awards does not meet the requirements of Principles 18 and 23. This has been raised as **Requirement 4**.

2.3 Recommendations

Principle 16: Qualification title:

The awarding body must ensure that qualifications and Unit titles:

- a. **are clear, meaningful and consistent**
- b. **specify the relevant subject area**
- c. **include the SCQF level of the qualification or Unit (where relevant) Principle**

The Accreditation Auditor noted in reviewing a range of documentation at Centre 1 a number of inconsistencies in qualification titling and referencing in centre-devised documentation relating to the Diploma in Business and Enterprise Support at SCQF Level 8.

Examples of the documents reviewed include: the centre-devised *Participants Information Pack for the delivery of Premier Adviser SFEDI Awards Level 8 in Business and Enterprise Support in Scotland*; *SFEDI Awards Level 8 Diploma in Business & Enterprise Support Documentation*; Centre-devised *Recognised Prior Learning (RPL) and Mapping to Level 8 Diploma in Business and Enterprise Support*. **This has been recorded as Recommendation 1.**

SFEDI Awards should emphasise to centres the importance of correct and accurate qualification titling and referencing to ensure that qualifications which are SQA accredited are referenced by the full SQA accredited qualification title and the relevant SCQF level where appropriate.

Principle 20: Where a centre undertakes any part of the delivery of a qualification which an awarding body makes available, the awarding body must keep under review the arrangements put in place by that centre for preventing malpractice and maladministration.

SFEDI Awards *Centre Manual Updated February 2013*, page 33 states that 'All SFEDI Awards centres are required to hold a policy on how they intend to deal with malpractice and maladministration, SFEDI Awards can assist in the development of this if required.'

At the time of the centre monitoring visit the Centre Co-ordinator from Centre 1 stated to the Accreditation Auditor that Centre 1 was currently in the process of devising its policy on how to deal with malpractice and maladministration. **This has been recorded as Recommendation 2.**

This is why the Accreditation Auditor has recorded this as an observation in this instance and not raised it as a requirement.

SFEDI Awards should consider reminding its External Verifiers to check that its approved centres have devised a policy on how to deal with malpractice and maladministration.

3 List of documents reviewed during centre monitoring

Document title	Date of issue	Version number
Centre 1		
SFEDI Awards Centre Manual	Updated February 2013	
Completed Application for SFEDI Awards Qualification Approval	07/02/2013	
Centre-devised Pre-assessment Checklist		
Centre-devised Participants Information Pack for the delivery of Premier Adviser SFEDI Awards Level 8 Diploma in Business and Enterprise Support in Scotland	Revised Jan. 2014	

Centre-devised Induction Agenda 1) Welcome refreshments 2) Introduction & Housekeeping 3) Aims of the day 4) 30 seconds – “Who are you?” 5) COSLA & SFEDI Awards & centres involvement with development of the New Premier Adviser 6) New Premier Adviser Programme – how is it different? 7) How does SFEDI Awards Diploma in L8 Diploma in Business and Enterprise Support qualification fit with Premier Adviser learning and development programme 8) Structure of the programme delivery 9) Who does what and how much time will this take? 10) Group work – Knowledge and understanding Self Assessment 11) Mentors role in identifying individual learning and development needs 12) Group work – new units:- Understand Economic and Enterprise Development Understand Business and Enterprise Support 13) Review content of the day and revisit Aims of the day		
Centre-devised Premier Advisor Programme Induction Event	9 January 2014	
Completed Centre-devised Service Level Agreement		
Minutes of Meetings	08/01/2014 01/10/2013 19/08/2013	
Centre-devised Professional Development Programme Assessors Feedback and Review Sheet		
Centre-devised Professional Development Programme Action Plan		
SFEDI Awards Level 8 Diploma in Business & Enterprise Support Documentation		Form 94F
Centre-devised Sampling Plan	September 2013 to April 2014	
Centre-devised Internal Quality Assurance Procedure		

Centre-devised Professional Development Programme Commitment Agreement		
Centre-devised Mentors Checklist		
Centre-devised Recognised Prior Learning (RPL) and Mapping to Level 8 Diploma in Business and Enterprise Support		
Centre-devised Equality and Diversity Policy	31/03/2012	
Centre-devised Health and Safety Policy		P03
Centre-devised Professional Development Programme Appeals Procedure		
Centre-devised Assessment Appeal Procedure - Learners		
Completed SFEDI Awards External Quality Assurance Visit Reports	September 2013 October 2013	

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
Principle 6	1. SFEDI Awards must ensure that all its approved centres <i>have a policy in relation to retention of learner files/portfolios / assessment materials. Learners should be informed of the policy at their induction.</i>	Low	<p>SFEDI Awards will write to the centres who are involved in the delivery of SQA qualifications detailing their requirements for the need to maintain a retention policy.</p> <p>Copies to be submitted to SFEDI Awards to ensure compliance.</p> <p>Special attention to be given in learner interviews going forward for the next 12 months as part of the EQA process to ensure that they have been notified of the policy in relation to retention of their records</p> <p>As a result of the findings of this report we will also consider the implementation of a Compliance Notification system where compliance issues and requirements/changes are notified to centres in a sequential series of notifications separate to the normal forms of communication going forward to ensure they are easily identified, tracked and auditable through future visits. This will be considered as a part of a wider review in line with</p>	<p>Letter to be sent 4th April 2014</p> <p>Submission deadline by centres 25th April 2014</p> <p>Formal review completion 30th April 2014</p> <p>Submission to Board for consideration</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
			<p>our annual statement of compliance process that now incorporates SQA provision</p> <p>Extension to 31 August 2014.</p> <p>Closed out 4 September 2014.</p>	<p>7th May 2014</p> <p>Notification of new procedure to centres 9th May 2014</p> <p>Upload of new procedure to Quickr 9th May 2014</p>
Principle 6	2. SFEDI Awards must ensure that its approved centres are complying with its <i>four week rule where learners must be registered for the qualification or unit of a qualification within four weeks of commencing the programme of study.</i>		<p>SFEDI Awards will write to the centres who are involved in the delivery of SQA qualifications detailing their requirements for the need to maintain the 4 week rule.</p> <p>As a result of the findings of this report we will also consider the implementation of a Compliance Notification system where compliance issues and requirements/changes are notified to centres in a sequential series of notifications separate to the normal forms of communication going forward to ensure they are easily identified, tracked and auditable through future visits. This will be considered as a part of a wider review in line with our annual statement of compliance process that now</p>	<p>Letter to be sent 4th April 2014</p> <p>Formal review completion 30th April 2014</p> <p>Submission to Board for consideration 7th May 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
	<i>They may also wish to review if the four week timescale is still appropriate.</i>		incorporates SQA provision Extension to 31 August 2014. Closed out 4 September 2014.	Notification of new procedure to centres 9 th May 2014 Upload of new procedure to Quickr 9 th May 2014
Principle 9	3. SFEDI Awards must ensure that centre-devised documentation and its qualification subject content are clearly defined and accurate for each SQA accredited qualification.	Medium	SFEDI Awards will write to the centres who are involved in the delivery of SQA qualifications detailing their requirements to ensure documentation reflects SQA and not QCF information. As a result of the findings of this report we will also consider the implementation of a Compliance Notification system where compliance issues and requirements/changes are notified to centres in a sequential series of notifications separate to the normal forms of communication going forward to ensure they are easily identified, tracked and auditable through future visits. This will be considered as a part of a wider review in line with our annual statement of compliance process that now	Letter to be sent 4 th April 2014 Formal review completion 30 th April 2014 Submission to Board for consideration 7 th May 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>incorporates SQA provision</p> <p>Extension to 31 August 2014.</p> <p>Closed out 4 September 2014.</p>	<p>Notification of new procedure to centres 9th May 2014</p> <p>Upload of new procedure to Quickr 9th May 2014</p>
Principles 18 and 23	4. SFEDI Awards must ensure that its approved centres appeals procedures are compliant with SFEDI Awards <i>Centre Manual Updated February 2013.</i>	Medium	<p>SFEDI Awards will write to the centres who are involved in the delivery of SQA qualifications detailing their requirements for the need to maintain an updated appeals procedure.</p> <p>Copies to be submitted to SFEDI Awards to ensure compliance.</p> <p>As a result of the findings of this report we will also consider the implementation of a Compliance Notification system where compliance issues and requirements/changes are notified to</p>	<p>Letter to be sent 4th April 2014</p> <p>Submission deadline by centres 25th April 2014</p> <p>Formal review completion 30th</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
			<p>centres in a sequential series of notifications separate to the normal forms of communication going forward to ensure they are easily identified, tracked and auditable through future visits. This will be considered as a part of a wider review in line with our annual statement of compliance process that now incorporates SQA provision</p> <p>Extension to 31 August 2014.</p> <p>Closed out 4 September 2014.</p>	<p>April 2014</p> <p>Submission to Board for consideration 7th May 2014</p> <p>Notification of new procedure to centres 9th May 2014</p> <p>Upload of new procedure to Quickr 9th May 2014</p>