



Centre Monitoring Report

The Worshipful Company of Spectacle Makers

11 December 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 in 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 22 January 2014

Date centre monitoring report and Action Plan to be signed and submitted by WCSM

5 March 2014

1.3 Centre monitoring dates

One examination centre visit was conducted on 11 December 2013.

1.4 Overview

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

The one Requirement forms the basis of the Worshipful Company of Spectacle Makers 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 **5 March 2014**.

Outcome(s)	Area(s) of concern	Risk rating
Requirement 1	Principle 22 Regulatory Principles Directive 3	Low
Recommendation 1	Principle 1	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 it, 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:

- ◆ The invigilators highlighted the quick response from WCSM in attending to discrepancies in the examination schedule.

2.2 Requirements

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.

Regulatory Principles Directive 3: Logos and certificate requirements for SQA accredited qualifications

Regulatory Principles Directive 3, initiated on 4 December 2012, states that all non-SVQ awarding bodies must use the SQA accreditation logo on certificates for SQA accredited qualifications.

The certificate uploaded to Quickr in February 2013 by WCSM, after the creation of the Regulatory Principles Directive, still shows the previous SQA approved awarding body logo in use.

WCSM must use the SQA accreditation logo on certificates for SQA accredited qualifications.

The evidence available indicates that WCSM does not meet the requirements of Principle 22 and Regulatory Principles Directive 3. This has been raised as **Requirement 1**.

2.3 Recommendations

Principle 1: The awarding body must deal with SQA Accreditation in an open and co-operative way, and disclose anything which SQA Accreditation would reasonably expect to be made aware.

The Auditor noted that the *WCSM Examination Handbook and Regulations*, February 2013, as uploaded to Quickr, has been superseded by a later version dated August 2013 on the WCSM website. In addition, the *WCSM Regulations for Examination Venues*, February 2013, which the Auditor obtained from the invigilators at the examination centre visit, has not been uploaded to Quickr.

WCSM should ensure that all relevant documentation is uploaded to Quickr and that all versions are current.

This has been recorded as Recommendation 1.

3 List of documents reviewed during centre monitoring

Document title	Version number (if known)	Issue date (if known)
WCSM Regulations for Examination Venues		February 2013
WCSM Examination Handbook and Regulations		February 2013
WCSM Standard Operating Procedures		February 2012
SCQF Level 5 Certificates in Optical Care		March 2012
SCQF Level 7 Certificate in Optical Care Qualification Handbook	Version 1	March 2012
Candidate certificate		
WCSM Guidance notes for Invigilators		11 December 2013
WCSM Invigilators' checklist		11 December 2013
Invigilators' seating plan		11 December 2013
Candidate details and ID check list		11 December 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 22 Regulatory Principles Directive 3	<p>Regulatory Principles Directive 3, initiated on 4 December 2012, states that all non-SVQ awarding bodies must use the SQA accreditation logo on certificates for SQA accredited qualifications.</p> <p>The certificate uploaded to Quickr in February 2013 by WCSM, after the creation of the Regulatory Principles Directive, still shows the previous SQA approved awarding body logo in use.</p> <p>WCSM must use the SQA accreditation logo on certificates for SQA accredited qualifications.</p>	Low		

Signatures of agreement of action plan

For and on behalf of WCSM:

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 Worshipful Company of Spectacle Makers:

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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