



Audit Report

Institute of Leadership and Management

4 February 2015

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1 Background

This was the sixth audit of the Institute of Leadership and Management (ILM) since it was approved as an awarding body by SQA Accreditation in 2002. ILM is a nationally recognised awarding body dealing with qualifications spanning the Management and Leadership sector.

1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This states the type and frequency of our quality assurance activities, describes our reporting procedures and indicates how the awarding body's Quality Enhancement Rating is calculated.

As this was a full audit of ILM, all regulatory requirements were included within the scope of the audit. Our quality assurance activities are conducted on a sampling basis and consequently, not all aspects of an awarding body's systems, procedures and performance have been considered in this report to the same depth.

The audit was designed to ensure ILM complies with SQA Accreditation's regulatory requirements namely:

- ◆ *SQA Accreditation's Regulatory Principles (2014)*
- ◆ *all Regulatory Principles Directives*
- ◆ the awarding body's Accreditation Licence

Awarding body documentation considered for review by the Audit Team includes all documents banked on ILM's Quickr Place at the time of audit and information supplied to support audit activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

1.2 Audit Report and Action Plan Timescales

ILM audit date: 4 February 2015

Audit Report approved by

Accreditation Co-ordination Group on: 11 March 2015

Audit Report to be signed by ILM: 24 April 2015

Action Plan to be e-mailed
to regulation@sqa.org.uk by ILM: 24 April 2015

The process will apply in relation to the timescales specified above:

- ◆ The awarding body will be sent two signed copies of the Audit Report by post.
- ◆ The awarding body must sign both copies of the Audit Report and return one by post to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be e-mailed a copy of the Audit Report (for information only) and an electronic copy of the Action Plan.
- ◆ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and e-mail this in Microsoft Word format to regulation@sqa.org.uk.
- ◆ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.
- ◆ Following approval by ACG, the awarding body will be sent two signed copies of the approved Action Plan by post.
- ◆ The awarding body must sign both copies of the Action Plan and return one by post to SQA Accreditation.

The findings of this Audit Report and the associated Action Plan will be published on SQA Accreditation's website following signed agreement.

SQA Accreditation will continually monitor progress towards completion of the proposed actions identified in the Action Plan and update the awarding body's Quality Enhancement Rating as appropriate.

1.3 Summary of Audit Issues and Recommendations

An Issue has been recorded where evidence shows that the awarding body is not compliant with SQA Accreditation's regulatory requirements. The awarding body must address the Issues and specify corrective and preventative measures to address them through its Action Plan.

The Action Plan is e-mailed to ILM as a separate document to the Audit Report and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.

As a result of the audit and post-audit activities, three Issues have been recorded and one Recommendation has been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 5	The SVQ expiry dates listed on ILM's systems for registration and certification must correctly reflect the accreditation dates. ILM must also ensure that providers are informed of the changes.	Medium
2. Principles 5 and 6	ILM must ensure that its data protection policy states the awarding body's own position on the collection and use of data from providers and learners.	Medium
4. Principles 5 and 11	ILM must ensure that its equality and diversity policy adequately reflects the protected characteristics as defined by the Equality Act (2010).	Medium

A Recommendation has been noted where SQA Accreditation considers there is potential for improvement. The awarding body is advised to address any Recommendations noted as good practice. However, measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 3	The awarding body should consider formalising its business planning process and give due consideration to SQA Accreditation within its business continuity plan.

1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded depending on the impact or risk on the awarding body's operations, its SQA accredited qualifications and/or the learner.

Issues recorded during the audit will count towards ILM's Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the SQA Accreditation website.

2 Detail of Audit Issues and Recommendations

The following sections detail Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements.

2.1 Issues

Regulatory Principle 5. The awarding body shall provide clear information on its procedures, products and services and ensure that they are accurate and appropriate to SQA accredited qualifications.

During a demonstration of the awarding body's system for registration and certification it was noted that the expiry dates for the SVQs were incorrect and therefore did not accurately reflect the accreditation dates. All four of ILM's SVQs were listed with an expiry date of 2019.

In the case of the SVQ Level 3, 4 and 5, the expiry date should have been 2020. This could therefore disadvantage a candidate working towards completion by one year. In the case of the SVQ Level 2, the expiry date should have been 2018, and the awarding body was therefore allowing one year beyond the requirement.

As all of the dates are public and visible to centres who use the ILM online system, the dates must be corrected and providers must be notified. This has been recorded as **Issue 1**.

Regulatory Principle 5. The awarding body shall provide clear information on its procedures, products and services and ensure that they are accurate and appropriate to SQA accredited qualifications.

Regulatory Principle 6. The awarding body and its providers shall maintain accurate documents, records and data.

All of the information banked on Quickr was reviewed prior to the audit, including all key policies. The *ILM Data Protection Policy* is clear in terms of what data ILM's providers are required to hold. It also specifies that providers must make learners aware of what personal data is being collected from them and why it is required.

The policy, however, fails to state the awarding body's own position on what data it holds on learners, what it collects from providers and the purposes it is used for. This has been recorded as **Issue 2**.

Regulatory Principle 5. The awarding body shall provide clear information on its procedures, products and services and ensure that they are accurate and appropriate to SQA accredited qualifications.

Regulatory Principle 11. The awarding body shall ensure that its qualifications and their assessment are inclusive and accessible to learners.

In March 2014, ILM was notified that SQA Accreditation did not consider its documentation to pay sufficient regard to all of the protected characteristics as defined by the Equality Act (2010). A recommendation was made that the awarding body seek further guidance from the Equality and Human Rights Commission (EHRC) with a view to updating their documentation, policies and procedures to ensure compliance.

The *ILM Equality and Diversity Policy* was reviewed prior to the audit and it was noted that it was still missing reference to pregnancy and maternity and gender reassignment. This has been recorded as **Issue 3**.

2.2 Recommendations

Regulatory Principle 3. The awarding body shall have clearly defined business planning processes which show evidence of management commitment, decision making and ongoing review.

The Audit Team were given an overview of ILM's business planning process but were unable to find a process for how this is carried out across the organisation. As an area that may form the focus for future audits, it was recommended that ILM produce an overview of its business planning process to include strategic to operational planning.

In addition, it was also recommended that, as ILM has had accredited qualifications for some time now, reference to SQA Accreditation is made within the ILM Business Continuity Plan. This has been noted as **Recommendation 1**.

3 Acceptance of Audit Findings

For and on behalf of ILM:

For and on behalf of SQA Accreditation:

Print Name

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Print Name

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Signature

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Signature

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Designation

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Designation

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Date

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Date

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