



# **Audit Report**

**Institute of the Motor Industry (IMI)**

**30 March 2022**

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# 1 Background

This was the seventeenth audit of the IMI since it was approved as an awarding body by SQA Accreditation in 1995.

IMI is a nationally recognised awarding body providing a range of competence-based qualifications which include Scottish Vocational Qualifications (SVQs) and Vocationally Related Qualifications (VRQs) in support of the automotive industry. The awarding body has also been accredited to deliver Workplace Core Skills units.

IMI's headquarters are in Brickendon in Hertford, SG13 9PG. Due to the ongoing COVID-19 pandemic, the audit was conducted remotely.

## 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 remote audit of IMI, all specific 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 the awarding body's systems, procedures and performance have been considered in this report to the same depth.

SQA Accreditation audit reports are written by exception, focusing only on those areas where corrective action is required or recommended. Consequently, this approach to audit reporting does not detail areas where compliance or good practice was found.

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

- ◆ *SQA Accreditation's Regulatory Principles* (2021)
- ◆ *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 IMI's SharePoint site 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**

IMI audit date: 30 March 2022

Audit Report approved by  
Accreditation Co-ordination Group on: 11 May 2022

Audit Report to be signed by IMI: 24 June 2022

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

- ◆ The awarding body will be sent a signed copy of the Audit Report by email.
- ◆ The awarding body must sign the copy of the Audit Report and return by email to SQA Accreditation in accordance with the timescale specified above.

The findings of this Audit Report will be published on SQA Accreditation's website following signed agreement.

### 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.

A Recommendation has been noted where SQA Accreditation considers there is potential for enhancement. The awarding body is advised to address any Recommendations in order to reinforce ongoing continuous improvement. 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 9	It is recommended that when documentation is reviewed, any reference to a specific SQA Accreditation Regulatory Principle is to the SQA Accreditation Regulatory Principles (2021).
2. Principle 16	<p>It is recommended that the wording of the Complaints Policy be amended to ensure a clear process is apparent to those who wish to refer any complaints to the appropriate regulator.</p> <p>It is also recommended to include SQA Accreditation's contact details within this section.</p>

## **1.4 Risk Rating of Issues**

SQA Accreditation assigns a rating to each Issue recorded, depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications and/or the learner. Issues recorded during the audit will count towards IMI'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**

There were no Issues recorded against this audit.

### **2.2 Recommendations**

**Regulatory Principle 9. The awarding body and its providers must maintain accurate documents, records and data.**

The Accreditation Auditors reviewed all documentation held on SQA Accreditation's Share Point site. It was noted that some documentation referred to a specific SQA Accreditation regulatory principle. SQA Accreditation Regulatory Principles (2014) were revised and subsequently replaced by SQA Accreditation Regulatory Principles (2021). It is therefore recommended that, when documentation is reviewed in line with IMI's review schedule, any references to Regulatory Principles are updated to refer to SQA Accreditation Regulatory Principles (2021).

This has been noted as **Recommendation 1**.

**Regulatory Principle 16. The awarding body and its providers must have open and transparent systems, policies and procedures to manage complaints.**

The SQA Accreditation Auditors reviewed the IMI Complaints Policy (Issue Number 7, 17 Aug 2020). Page 4 of this policy states that the 'determination of a complaint against a member or professionally registered individual of IMI is final and there is no further right of appeal'. The next paragraph does state the right to refer to the relevant regulatory authority but it was discussed that the previous statement might be misleading. It is recommended that the wording of the Complaints Policy be amended to ensure a clear process is apparent to those who wish to refer any complaints to the appropriate regulator.

It is also recommended to include SQA Accreditation's contact details within this section.

This has been noted as **Recommendation 2**.