



Audit Report

Institute of the Motor Industry (IMI)

03 December 2024

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1 Background

This was the eighteenth audit of the Institute of the Motor Industry (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 Diplomas 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, Hertford, SG13 8PQ.

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 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 Regulatory Principles (2021)*
- ◆ *all Regulatory Principle 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: 03 December 2024

Audit Report approved by
Accreditation Co-ordination Group on: 08 January 2025

Audit Report to be signed by IMI: 19 February 2025

Action Plan to be emailed
to regulation@sqa.org.uk by IMI: N/A

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.

SQA Accreditation will continually monitor progress towards completion of any 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

No Issues have been recorded as there was no evidence showing that the awarding body is not compliant with SQA Accreditation’s regulatory requirements. There is therefore no Action Plan.

As a result of the audit and post-audit activities, no Issues have been recorded and seven Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle	N/A	N/A

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 an Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 4	IMI may wish to consider increasing awareness with providers of when and how to report incidents to the awarding body to ensure timely and effective communication with SQA Accreditation.
2 Principles 5 and 6	It is recommended that IMI dedicate adequate focus and resources to updating their policies and processes post restructure.
3. Principle 11	It is recommended that IMI upload the Product Risk Register document to their SharePoint site to evidence their portfolio is effectively managed, maintained and reviewed.
4. Principle 14	IMI may wish to consider updating the Awarding Organisation Policies and Procedures, Issue 6, Section 1.4 to make it clear SQA Accreditation's accredited qualifications can only be translated into Gaelic or British Sign Language in appropriate cases where authorised.
5. Principle 15	IMI may wish to consider additional approaches to communication with providers when qualifications are nearing their lapsing and certification end dates.
6. Principle 15	It is recommended that IMI gather additional candidate information to ensure they can contact candidates if needed.
7. Principle 15	It is recommended IMI publish clear timescales for issuing certificates to manage candidate expectations and ensure transparency.

1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to any Issues it records, depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications or the learner. Issues recorded during an audit will count towards the awarding body'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 4. The awarding body must demonstrate an effective approach to the identification and management of risk.

The Auditors and IMI representatives discussed a recent reportable incident, and through discussion it was felt that IMI may wish to consider increasing awareness with providers of when and how to report incidents to the awarding body to ensure timely and effective communication with SQA Accreditation.

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

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

Regulatory Principle 6. The awarding body must continually review the effectiveness of its services, systems, policies and processes.

In November of this year IMI introduced a new organisational structure, and as a result, policies and processes which detail job titles are now out of date. The Auditors viewed IMI's document control register, and it was clear that IMI are working through a full review of documents.

It is important that IMI continue to dedicate adequate focus and resources to updating their policies and processes post restructure.

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

Regulatory Principle 11. The awarding body must ensure that its qualifications portfolio is effectively managed, maintained and reviewed.

During the audit IMI representatives presented and discussed the creation of a new document, the Product Risk Register. This document includes all qualifications, their start, lapsing and end dates, and will allow IMI to demonstrate effective management,

maintenance and review of each qualification. The Auditors requested this document be uploaded to IMI's SharePoint site.

This has been noted as **Recommendation 3**.

Regulatory Principle 14. The awarding body and its providers must ensure that its qualifications and their delivery and assessment are fair, inclusive and accessible to learners.

Prior to the audit SQA Accreditation Auditors reviewed documentation on IMI's SharePoint site. When the Auditors reviewed the Awarding Organisation Policies and Procedures, Issue 6 it was felt that within Section 1.4, Translation of the IMI's Material, there was an opportunity to make it clearer that SQA Accreditation's accredited qualifications can only be translated into Gaelic or British Sign Language in appropriate cases where authorised.

This has been noted as **Recommendation 4**.

Regulatory Principle 15. The awarding body must have effective, reliable and secure systems for the registration and certification of learners.

Prior to the audit IMI had submitted several late certification requests for R498 04 Diploma in Light Vehicle Maintenance and Repair Principles at SCQF Level 5. These requests were authorised, and it was noted that IMI had on numerous occasions advised providers of the qualification end date. During discussion with IMI representatives, it was suggested that IMI may wish to consider alternative methods of communication so that providers have to actively engage and acknowledge communication regarding qualifications nearing their lapsing and certification end dates.

This has been noted as **Recommendation 5**.

Regulatory Principle 15. The awarding body must have effective, reliable and secure systems for the registration and certification of learners.

As part of the audit SQA Accreditation Auditors reviewed IMI's registration system. The system clearly and unique identifies candidates, but IMI do not retain any contact information for the candidates. The Auditors recommend IMI consider requesting contact details for candidates, allowing them to be contactable in the event of any queries.

This has been noted as **Recommendation 6**.

Regulatory Principle 15. The awarding body must have effective, reliable and secure systems for the registration and certification of learners.

Providers can see current certification timescales within IMI's portal. However, on discussion with IMI representatives it was established that IMI do not have these published for candidates. Although there is no evidence to indicate candidates are not aware of the

timescales, the Auditors suggest IMI publish clear timescales for issuing certificates to manage candidate expectations and ensure transparency.

This has been noted as **Recommendation 7**.

3 Acceptance of Audit Findings