



# **Audit Report**

**BIIAB**

**29 July 2014**

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# 1 Background

This was the fifth audit of BIIAB since it was approved as an awarding body by SQA Accreditation in 2006.

BIIAB is a nationally recognised awarding body and is accredited to offer a number of regulatory qualifications in the licensed retail and security sectors. The organisation is recognised for having achieved the ISO 9001:2008 quality standard. BIIAB's headquarters are in Camberley, Surrey. The audit team was provided with full access to the awarding body's staff and documentation.

## 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 BIIAB, 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 BIIAB 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 BIIAB'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

BIIAB audit date:	29 July 2014
Audit Report approved by Accreditation Co-ordination Group on:	27 August 2014
Audit Report to be signed by BIIAB:	8 October 2014
Action Plan to be e-mailed to <a href="mailto:regulation@sqa.org.uk">regulation@sqa.org.uk</a> by BIIAB:	8 October 2014

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](mailto: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 BIIAB 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, two Issues have been recorded and three Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 3	Actions raised during the approval process or as part of BIIAB's ongoing external quality assurance are not adequately recorded and monitored towards completion.	Medium
2. Regulatory Principles Directive 5	The awarding body's complaints policy makes no mention of the circumstances under which any candidate or centre may take their complaint to the Scottish Public Services Ombudsman (SPSO).	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. Principles 3 and 4	It is recommended that BIIAB keeps SQA Accreditation informed of significant developments regarding the projects either by regular keep in touch meetings or bulletins.
2. Principle 6	BIIAB should ensure that it has a clear system for the version control and review of its processes, procedures and policies. In addition, the awarding body should ensure that documents banked on Quickr are banked under the relevant Principle folder.
3. Principle 11	The awarding body should ensure that its guidance on reasonable adjustments makes appropriate reference to SQA accredited qualifications and the Regulatory Principles (2014).

## 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 BIIAB'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. <http://www.sqa.org.uk/sqa/42387.2733.html>

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

During a walkthrough of the awarding body's quality assurance systems, the Audit Team enquired as to how issues raised during the approval process and as part of BIIAB's ongoing external quality assurance cycle were recorded and monitored towards completion.

It was evident that actions which were being raised were not always monitored towards completion and recorded as being closed. In addition, the monitoring of the actions tended to be done via the use of a member of staff's diary which was not centrally accessible to all staff. Furthermore, over a period of time this system had been used by members of staff who had since left the awarding body. This has been recorded as **Issue 1**.

**Regulatory Principles Directive 5 – Complaints Handling.**

The awarding body's complaints policy makes no mention of the circumstances under which any candidate or centre may take their complaint to the Scottish Public Services Ombudsman (SPSO). This is a requirement of SQA Accreditation's *Regulatory Principles Directive 5 – Complaints Handling*.

BIIAB has a number of providers who are classified as public bodies and must therefore take account of Regulatory Principles Directive 5. When updating this policy, BIIAB should also be mindful that its appeals policy will need to be amended as it duplicates the information contained with the complaints policy. This has been recorded as **Issue 2**.

### 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.**

and

**Regulatory Principle 4. The awarding body shall continually review the effectiveness of its business services, systems, policies and processes.**

The awarding body has some significant pieces of work underway which affect its business processes and planning. In particular, the Audit Team noted that the following areas were under development: the formulation of a new five year strategic plan as a result of substantial governance reorganisation; changes to the IT systems that it uses for question papers, and the awarding body's website; and a review of its external quality assurance processes including the management of centre risk.

The awarding body currently has robust systems and procedures in place for the above areas, but the Audit Team recognised that the number of large projects, and the impact they had on key business processes, could pose significant business risk. It is recommended that BIIAB keeps SQA Accreditation informed of significant developments regarding the projects either by regular keep in touch meetings or bulletins. This has been noted as

**Recommendation 1.**

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

The Audit Team reviewed the information banked by the awarding body on Quickr prior to the audit. They noted a number of policies which appeared to not have been reviewed recently as indicated by the date. For example the Control of Documents and Records procedure, which was dated 2007, was on version 3, but it was not apparent from this when the last review date was. BIIAB was advised to make the review date more explicit.

The awarding body also had a number of its documents banked under the wrong Principle, particularly within the last few folders. It was acknowledged that BIIAB had moved documents over recently to ensure that the Audit Team did not need to work between old and new Regulatory Principles. This has been noted as **Recommendation 2.**

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

BIIAB uses a document devised by the Federation of Awarding Bodies as the basis for its guidance on reasonable adjustments. Although it was confirmed that the *Application of Reasonable Adjustments and Special Consideration for BIIAB Qualifications* document covers SQA accredited qualifications, this is not explicit. BIIAB should also make appropriate reference to the Regulatory Principles (2014) where other regulatory codes are mentioned. This has been noted as **Recommendation 3.**

### 3 Acceptance of Audit Findings

For and on behalf of BIIAB:

For and on behalf of SQA Accreditation:

**Signature**

**Signature**

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**Designation**

**Designation**

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**Date**

**Date**

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