



Centre Monitoring Report

BIIAB

17 May to 24 June 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 centre monitoring 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 within 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

17 July 2013

Date Centre Monitoring Report and Action Plan to be signed and submitted by BIIAB

28 August 2013

1.3 Centre monitoring dates

Four centres were monitored between 17 May and 24 June 2013.

1.4 Overview

As a result of the centre monitoring activities, 5 Requirements have been raised.

The 5 Requirements form the basis of the BIIAB Action Plan. This must be completed and submitted to SQA Accreditation for agreement within 30 working days of the Centre Monitoring Report having been issued. The Action Plan must be submitted by 28 August 2013.

Outcome(s)	Area(s) of Concern	Risk Rating
Requirement 1	Principle 6	Medium
Requirement 2	Principle 16	Medium
Requirement 3	Principle 18 & 23	Medium
Requirement 4	Principle 19	Medium
Requirement 5	Principle 22	Medium

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 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 by centres:

Centre 1 highlighted the accessibility of awarding body personnel and that the speed of certification was commendable.

Centre 2 commented upon the great support received from the awarding body. They also commended the awarding body for listening to their feedback as a centre and acting upon it.

Centre 3 further commended BIIAB for their excellent support and approachability where problems arise. Additional comments were made concerning the excellence of CentreZone and comprehensive tutor materials provided.

Centre 4 remarked on the excellence of CentreZone in providing up to date documentation and noting BIIAB's good practice of sending e-mail alerts regarding appropriate updates.

2.2 Requirements

Principle 6: The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.

Centre 2 confirmed that during all BIIAB examinations, the Centre Manual was not available in the examination room for invigilators to refer to. They were unaware this was a requirement within BIIAB guidance. Therefore, it has been evidenced that the centre is not fully conversant with BIIAB policies.

BIIAB must provide guidance to approved centres on the importance of current guidance documentation in an operational context relative to the delivery of SQA accredited qualifications.

The evidence available indicates that BIIAB does not meet the requirement of Principle 6.

This has been raised as Requirement 1.

Principle 16: Qualification title:

The awarding body must ensure that qualifications and Unit titles:

- a. are clear, meaningful and consistent**
- b. specify the relevant subject area**
- c. include the SCQF level of the qualification or Unit (where relevant).**

At centres 3 and 4, the Accreditation Auditor was shown centre devised induction materials issued to candidates. The Auditor noted that the SQA accredited qualification was referenced inaccurately within those materials with a QCF title. This means that candidates are being misinformed about the qualifications they are undertaking.

BIIAB must emphasise to centres the importance of correct and accurate qualification titling and ensure that qualifications which are SQA accredited are referenced by the full SQA accredited qualification title and the relevant SCQF level where appropriate.

The evidence available indicates that BIIAB does not meet the requirement of Principle 16.

This has been raised as Requirement 2.

Principle 18: The awarding body and their centres must deal with complaints on a fair and equitable basis, in line with their published procedures and timescales, and without unreasonable delay. The awarding body, their centres and learners must be made aware of how and when they can complain to SQA Accreditation. Where a complaint is upheld, the awarding body and/or centre must take appropriate, corrective and/or preventative action.

Principle 23: The awarding body and their centres must publish clear, fair and equitable procedures and timelines for dealing with enquiries about results and appeals. They must take appropriate, corrective and/or preventative action for all learners and centres affected.

At centre 1 and centre 4, the Accreditation Auditor was shown induction materials issued to candidates. The Auditor noted the Complaints and Appeals policies of both centres failed to appropriately reference SQA Accreditation as the Qualifications Regulator for SQA accredited qualifications and the circumstances under which it would be appropriate to progress an appeal to SQA Accreditation.

BIIAB must ensure centres using centre-devised appeals and complaints procedures include details of the circumstances under which a candidate can make an appeal to SQA Accreditation in its role as Qualifications Regulator. BIIAB must also ensure that all centre-devised policies and procedures are adequately reviewed as part of the awarding body's quality assurance arrangements.

The evidence available indicates that BIIAB does not meet the requirement of Principle 18 and 23.

This has been raised as Requirement 3.

Principle 19: The awarding body must ensure that steps are taken to prevent malpractice and maladministration, inform SQA Accreditation when any cases, or suspected cases, of malpractice and/or maladministration are discovered, and implement corrective action plans to prevent further occurrence.

Centre 4 disclosed that they did not have a standalone malpractice/maladministration policy. Thus, it has been evidenced that the centre is unaware of the obligation set by BIIAB within their Quality Manual that each centre should have a devised malpractice/maladministration policy.

This has been raised as Requirement 4.

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.

Centre 4 noted that the centre only certificates for the full course and not the individual units within it. Therefore, it has been demonstrated that the centre is unfamiliar with BIIAB's Quality Manual which details this obligation.

BIIAB must make clear to all centres that where a learner has achieved only some of the units that make up the qualification, these learners must be able to obtain unit certification and this should be made clear to them, where such circumstances arise.

The evidence available indicates that BIIAB does not meet the requirement of Principle 22.

This has been raised as Requirement 5.

2.3 Recommendations

No recommendations were recorded.

3 List of documents reviewed during centre monitoring

Document title	Date of issue	Version number
Centre 1 Agreement and Confirmation Letter	04/04/2012	
Centre 1 Original Qualification Approval Letter	17/11/2000	
Centre 1 Assessment Inspection Report	10/08/2008	
Centre 1 Form CR1 – Removal of Tutor	04/09/2012	
Centre 1 Door Supervisors Master Pack including Examination Procedures, Documentation and required Equipment	Dec 2012	
Centre 1 Invigilator Checklist	Aug 2006	
Centre 1 BIIAB Candidate Nominal Roll Form	Various	
Centre 1 BIIAB Security Qualification Standardisation Meeting Minutes	14/12/2012 20/08/2012 16/01/2012	
Centre 1 Equal Opportunities (Students) Policy	July 2012	
Centre 1 Equal Opportunities & Diversity Policy	July 2012	
Centre 1 Health and Safety Policy	March 2012	
Centre 1 Complaints Policy	February 2012	
Centre 1 Inclusiveness Policy	July 2012	
Centre 1 Malpractice Policy	July 2012	
Centre 1 BIIAB Annual Monitoring Reports	Various	
Centre 1 Annual Monitoring Confirmation Letter	11/10/2012	
Centre 1 Assessment Inspection Report Form	11/12/2012 20/03/2012	
Centre 1 BIIAB Application for Further Qualifications	03/09/2012	
Centre 1 BIIAB Approval Letter to Administer BIIAB Qualifications	09/01/2007	
Centre 1 BIIAB Qualification Approval Letter – Door Supervision	14/12/2010	
Centre 1 Self-Assessment Report Form	19/12/2011	
Centre 1 Recognition/Information Update CR1 Form		
Centre 1 Staff Meeting Minutes	15/04/2013	

Document title	Date of issue	Version number
Centre 1 Trainer Meeting Minutes	15/05/2013 28/01/2013 24/10/2012	
Centre 1 Nominated Tutor Form NT/DS	16/02/2012	
Centre 1 BIIAB Annual Monitoring Reports	Various	
Centre 1 BIIAB Candidate Nominal Role Form	Various	
Centre 1 CPD Tutor Records	April 2012 – Present	
Centre 1 Tutor Qualifications		
Centre 2 Invigilator Checklist	06/05/2013	
Centre 2 Health and Safety Policy	06/05/2013	
Centre 2 Equal Opportunities Policy	06/05/2013	
Centre 2 Appeals Procedure	06/05/2013	
Centre 2 Complaints Procedure	06/05/2013	
Centre 2 Malpractice Policy	06/05/2013	
Centre 2 Quality Assurance Policy	06/05/2013	
Centre 2 Risk Assessment Manual	March 2008	
Centre 2 Satellite Centre Checklist		
Centre 2 Learner Introduction		
Centre 2 Exam Results and Candidate Nominal Role Forms	22/01/2011 – 01/03/2013	
Centre 3 Complaints Policy		
Centre 3 Health and Safety Policy		
Centre 3 Risk Assessment Policy		
Centre 3 Quality Policy		
Centre 3 Pre-Course Letter		
Centre 3 Annual Monitoring Report	08/10/2012	
Centre 3 Approved Sites List		
Centre 3 Approval and Confirmation Certificate	17/12/2007	
Centre 3 List of Examination Centres	03/06/2013	
Centre 4 Risk Assessment Form – HS007		
Centre 4 Equality and Diversity Policy	April 2013	V1

Document title	Date of issue	Version number
Centre 4 Complaints Policy	August 2011	
Centre 4 Academic Appeals Procedure	September 2012	
Centre 4 Disciplinary Procedure		
Centre 4 Health and Safety Policy	December 2012	
Centre 4 Annual Monitoring Report	Various	
Centre 4 Quality Policy		
Centre 4 Course Approval Procedure	September 2012	
Centre 4 Assessment and Verification	August 2012	
Centre 4 Monitoring and Evaluation	September 2012	
Centre 4 Course Joining Letter – Door Supervision	09/04/2013	
Centre 4 Course Joining Letter – Physical Intervention	10/04/2013	

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 a 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 a 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 Monitoring 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 6	During all centre 2 BIIAB examinations, the Centre Manual was not available in the examination room for invigilators to refer to. They were unaware this was a requirement within BIIAB guidance. Therefore, it has been evidenced that the centre is not fully conversant with BIIAB policies.	Medium		
Principle 16	The Accreditation Auditor was shown induction materials issued to candidates at centres 3 and 4. The Auditor noted that the SQA accredited qualification was referenced inaccurately within those materials with a QCF title. This means that candidates are being misinformed about the qualifications they are undertaking.	Medium		

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 18 and 23	The Accreditation Auditor was shown induction materials which are issued to candidates. The Auditor noted the Complaints and Appeals policies of both centres 1 and 4 failed to appropriately reference SQA Accreditation as the Qualification Regulator for SQA accredited qualifications and the circumstances under which it would be appropriate to progress an appeal to SQA Accreditation.	Medium		
Principle 19	Centre 4 disclosed that they did not have a standalone malpractice/ maladministration policy. Thus, it has been evidenced that the centre is unaware of the obligation set by BIIAB within their Quality Manual that each centre should have a devised malpractice/maladministration policy.	Medium		

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	Centre 4 is only certificating for the full course and not the individual units within it. Therefore, it has been demonstrated that the centre is unfamiliar with BIIAB's Quality Manual which details this obligation.	Medium		

Signatures of agreement of Action Plan

For and on behalf of BIIAB:

Signature

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Date

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For and on behalf of SQA Accreditation:

Signature.....

Date

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6 Acceptance of centre monitoring 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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