

Audit Report

Education Development International (EDI)

12 December 2012

Note

Restricted or commercially sensitive information gathered during SQA Accreditation monitoring activities is treated in the strictest confidence. However:

- ◆ The findings of this report, and the associated Action Plan, will be presented to SQA's Accreditation Committee and made available to colleagues from the Welsh Government, the Council for the Curriculum, Examinations and Assessment (CCEA) and the Office of Qualifications and Examinations Regulation (Ofqual), with a view to the contents informing future accreditation and re-accreditation submissions by the awarding body
- ◆ The report will be published on SQA Accreditation's website.

Please note that SQA Accreditation monitoring activity is conducted on a sampling basis. As a consequence, not all aspects of an awarding body's performance in quality assurance, contract compliance, implementation, awarding of certificates and fee arrangements have been considered in this report to the same depth.

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Executive summary

This was the 10th audit of EDI since it was approved as an awarding body by SQA Accreditation in 1998 (as London Chamber of Commerce and Industry Examinations Board).

1.1 Scope and approach

The audit was designed to review and evaluate EDI's strategies, policies and procedures to ensure compliance under the *SQA Accreditation Regulatory Principles (2011)*, Regulatory Directives and Awarding Body Agreement including any conditions noted.

As this was a full audit of EDI, all Principles and Directives were included within the scope of the audit.

An issue has been recorded where the Lead Accreditation Auditor found evidence that the awarding body has not met the standards of one of the following:

- *SQA Accreditation Regulatory Principles (2011)*
- Regulatory Directives
- Awarding Body Agreement or any condition(s) noted
- any conditions of the qualification(s) accreditation at the time of approval.

The following timescales apply:

- ◆ SQA Accreditation will issue this report within 30 working days of the audit date.
- ◆ The awarding body must sign, and return, the audit report, and associated Action Plan, within 30 working days of the audit report being issued.
- ◆ SQA Accreditation will confirm whether the Action Plan is appropriate to address the issue within a further 20 working days from the date of receipt. This will be subject to the actions proving appropriate to the issues raised.
- ◆ SQA Accreditation will monitor progress towards completion of the actions identified within the Action Plan.

Recommendations are noted to ensure that, where these are agreed during the audit, they are recorded 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 Awarding body audit report timeline

EDI Audit Date	12 December 2012
SQA Accreditation Audit Report Date Issued	8 February 2013
Date audit report and Action Plan to be signed and submitted by EDI	22 March 2013

1.3 Background

EDI is an international provider of education and training qualifications and assessment services. In the UK, EDI offers a wide range of vocational qualifications, a number of which form part of Modern Apprenticeship frameworks. EDI's headquarters are situated in Coventry.

EDI PLC has recently been acquired by Pearsons Education Ltd. and the awarding body is currently going through a transitional period with respect to policies, processes, procedures and brand identity.

The audit team was provided with full access to the awarding body premises, staff and documentation.

1.4 Overview

As a result of the audit and post-audit activities, two issues have been recorded and five recommendations noted.

The two issues form the basis of the EDI Action Plan. This must be completed and submitted to SQA Accreditation for agreement within 30 working days of this Audit Report being issued. The Action Plan must be submitted by 22 March 2013.

Area of Concern	No. of Issues	No. of Recommendations	Risk rating
Principle No. 2	1	0	Low
Principle No. 5	0	1	n/a
Principle No. 6	1	2	Medium
Principle No. 16	0	1	n/a
Principle No. 19	0	1	n/a
TOTAL	2	5	

2 Audit findings

The following sections detail issues raised and recommendations noted against the the SQA *Accreditation Regulatory Principles (2011)*, Regulatory Directives or Awarding Body Agreement through the course of the awarding body audit.

2.1 Issues

Principle 2. The awarding body must publish clear information on their products, services and associated charges and fees.

EDI has produced a *Vocational Qualifications* brochure which contains details of all vocational qualifications that EDI currently deliver. The brochure contains a section entitled *Scottish Qualifications* (Page 22) and on inspection, it was identified that this section did not list all current qualifications that EDI had been SQA accredited to offer. Prior to the audit, EDI had provided SQA Accreditation with the 2010/11 version of the *Vocational Qualifications* brochure as part of the awarding body's banked documentation. This document was also available on the awarding body website, however it was stated during the audit that the version provided and which was publicly available on the EDI website had now been superseded by another version.

The *EDI Price List – 2012-13* is also publicly available on the awarding body website and this document contains details of all registration and certification costs associated with EDI qualifications. However the document was found to contain numerous inaccuracies with respect to SQA accredited qualification titling and coding.

Hence, the information made publicly available by EDI with respect to SQA accredited qualifications and associated fees was found to be inaccurate and inconsistent (**Issue 1 refers**).

The evidence available indicates that EDI does not meet the requirements of Principle 2. **Issue 1 refers.**

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.

Prior to the audit, EDI had provided SQA Accreditation with a copy of the current *Centre List – Oct 2012*, containing details of all centres approved to offer SQA accredited qualifications. The Lead Auditor had compared the information provided against candidate data returns previously submitted to SQA Accreditation by EDI and had identified that some of the information was inaccurate. Registrations and certifications had been recorded against a qualification that no centre had been approved by EDI to offer according to the information held on the centre list provided. Also, on the day of the audit, the information contained in this document was compared against that held on the awarding body's database (CAMPUS) and a number of discrepancies were identified with respect to the qualifications that centres had been approved to offer and also the current status of certain centres (whether active or inactive).

Hence, the information held and made available by EDI with respect to centres approved to offer SQA accredited qualifications was found to be inaccurate and inconsistent (**Issue 2 refers**).

The evidence available indicates that EDI does not meet the requirements of Principle 6. **Issue 2 refers**.

2.2 Recommendations

Principle 5. The awarding body must promote a culture of continuous improvement within the organisation and throughout their approved centres, and have in place a system which allows them to manage risk.

EDI provided the audit team with a copy of the *EDI – Turnbull Risk Analysis – October 2012* which contains details of the perceived current business risks to EDI along with a rating (on a 5 x 5 scale taking account of financial impact and likelihood) for each individual risk. In rating these risks, EDI had assessed which of those were acceptable business risks (with controls in place) and only those risks which scored nine or higher on the rating scale were considered for additional control measures and contingency plans. However, the Lead Auditor considered that some of the risks which scored less than nine on the scale and which had not been considered worthy of additional control measures or contingency plans could potentially have an effect on awarding operations. For example, one of the risks identified was a potential breach of legal obligations (such as the Data Protection Act) either through an individual misuse of data or a data issue through external hacking. While the Lead Auditor is satisfied that security measures are in place to mitigate this risk, should these control measures be circumvented then access to, and possible misuse of, information (particularly candidate information) could lead to the production of unsafe certifications.

The Lead Auditor is of the opinion that it would be considered prudent to have a contingency plan in place to handle such an eventuality. Hence, it is recommended that EDI gives further consideration to the business risks which are thought to merit the implementation of additional controls and the production of contingency plans (**Recommendation 1 refers**).

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.

EDI sends out a *Centre Approval Confirmation Letter* and a *Centre Approval Certificate* to all centres once they have been approved. However when a centre is approved to offer a specific Scottish Vocational Qualification (SVQ), the *Centre Approval Certificate* generated states that the centre is approved to offer “Scottish Vocational Qualifications” rather than stating the specific qualification(s) that the centre has been approved to offer. This generic statement could be misinterpreted to imply that the centre has been approved to offer all SVQs that EDI are SQA accredited to offer.

While the Lead Auditor acknowledges (from discussions had on the day of the audit) that EDI are intent on changing the format of the *Centre Approval Certificate*, it is recommended that EDI considers removing the generic “Scottish Vocational Qualifications” statement from any approval certificate generated to avoid ambiguity regarding which qualifications any EDI centre is approved to offer (**Recommendation 2 refers**).

EDI provided a copy of the *Quality Assurance Report Guide – June 2012* which provides guidance to external verification staff on the completion of an *EDI Quality Assurance Report* after any verification visit is carried out. Page 3 of the document contains a paragraph regarding portfolio sampling ratios however the information held in this paragraph is confusing. It is recommended that EDI revise the information held in the *Quality Assurance Report Guide – June 2012* with respect to portfolio sampling ratios to ensure it can be clearly understood by external verification staff (**Recommendation 3 refers**).

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).**

EDI provided the Lead Auditor with a copy of the *Education Development Executive Product Development Plan – Scotland*. However, with respect to SCQF Credit Rating, the document still makes reference to the Delegated Credit Rating (DCR) process previously implemented by SQA Accreditation but that is no longer in existence. Hence, it is recommended that EDI remove all references to DCR within the *Education Development Executive Product Development Plan – Scotland* and include details of the revised process for SCQF Credit Rating available through SQA Accreditation (**Recommendation 4 refers**).

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

EDI provided the Lead Auditor with copies of the process maps for those associated with the handling of cases of assessment/examination malpractice and maladministration. The process maps indicated that SQA Accreditation should only be informed of cases where the qualification affected was a SVQ and did not state that SQA Accreditation should be informed where any SQA accredited qualification is involved. Hence, it is recommended that EDI amend the process maps associated with the handling of cases of malpractice and maladministration to indicate that SQA Accreditation should be informed of all cases where SQA accredited qualifications are affected (**Recommendation 5 refers**).

3 Outstanding approval and accreditation conditions

A condition will be recorded at the time of approval of the awarding body or at the time of accreditation for an SQA-accredited qualification. A condition is recorded when SQA's Accreditation Co-ordination Group finds evidence that the awarding body does not fully meet the *SQA Accreditation Regulatory Principles (2011)*, Regulatory Directives or Awarding Body Agreement.

Principle No.	Condition	Date Due
n/a		

4 Risk rating of issues

SQA Accreditation assigns a risk rating to each issue recorded as a result of an awarding body audit activity. The table below illustrates how the rating for an issue is assigned, and identifies the possible impact of the issue on qualifications and/or the learner.

The assignment of a risk rating allows an awarding body to target their resources to areas which have been identified as having a major impact in these areas. The risk rating also allows SQA Accreditation to target its resources to support awarding bodies in improving their performance.

Risk	Impact of issues
Very Low	The issue is 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 issue identified is unlikely to recur once resolved and no long lasting damage would be anticipated.
Low	The issue is of low impact but 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 issue could potentially 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 issue could have a 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 issue will have 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 issue is considered on its own merit, taking account of the context in which it was identified.

5 Table of awards

Accredited qualifications currently offered by EDI

SQA Accredited Qualification Title	Level	Code	Accreditation date	Re-accreditation date
Passenger Carrying Vehicle Driving (Bus and Coach)	SVQ2	G8EM 22	19/12/2006	31/05/2012
SVQ2 Health and Social Care at SCQF Level 6	SCQF6	G9K7 22	05/11/2009	31/03/2013
SVQ3 Health and Social Care at SCQF Level 7	SCQF7	G9K8 23	05/11/2009	31/03/2013
IT Practitioners	SVQ2	G9N6 22	17/03/2010	31/03/2013
IT Professionals	SVQ3	G9N7 23	17/03/2010	31/03/2013
Bus and Coach Engineering and Maintenance (Electrical-Mechanical)	SVQ3	G9PD 23	12/05/2010	30/06/2015
Bus and Coach Engineering and Maintenance (Mechanical)	SVQ2	G9PE 22	12/05/2010	30/06/2015
Bus and Coach Engineering and Maintenance (Mechanical)	SVQ3	G9PF 23	12/05/2010	30/06/2015
Bus and Coach Engineering and Maintenance (Electrical)	SVQ2	G9PG 22	12/05/2010	30/06/2015
Bus and Coach Engineering and Maintenance (Electrical)	SVQ3	G9PH 23	12/05/2010	30/06/2015

SQA Accredited Qualification Title	Level	Code	Accreditation date	Re-accreditation date
Bus and Coach Engineering and Maintenance (Body Cladding)	SVQ2	G9PJ 22	12/05/2010	30/06/2015
Bus and Coach Engineering and Maintenance (Body Cladding)	SVQ3	G9PK 23	12/05/2010	30/06/2015
Communication Technology Practitioners	SVQ2	G9T0 22	09/06/2010	31/03/2013
Communication Technology Professionals	SVQ3	G9T1 23	09/06/2010	31/03/2013
Customer Service at SCQF Level 5	SCQF5	GA43 22	01/02/2011	31/12/2015
Customer Service at SCQF Level 6	SCQF6	GA46 23	01/02/2011	31/12/2015
SVQ4 Business Administration at SCQF Level 7	SCQF7	GA47 24	01/02/2011	29/02/2016
Business and Administration	SVQ1	GA48 21	01/02/2011	29/02/2016
Business and Administration	SVQ2	GA49 22	01/02/2011	31/10/2011
Business and Administration	SVQ3	GA4A 23	01/02/2011	31/10/2011
SVQ2 Warehousing and Storage	SVQ2	GC6J 22	01/06/2011	31/05/2016
SVQ3 in Management at SCQF Level 7	SCQF7	GD18 23	03/08/2011	31/05/2016
SVQ Level 2 in Team Leading at SCQF Level 5	SCQF5	GD19 22	03/08/2011	31/05/2016

SQA Accredited Qualification Title	Level	Code	Accreditation date	Re-accreditation date
SVQ Level 3 in Business and Administration at SCQF Level 6	SCQF6	GD7A 23	01/02/2011	29/02/2016
SVQ Level 2 in Business and Administration at SCQF Level 5	SCQF5	GD7C 22	01/02/2011	29/02/2016
SVQ Level 1 in Retail Skills at SCQF Level 4	SCQF4	GD8H 21	26/10/2011	30/11/2016
SVQ Level 2 in Retail Skills at SCQF Level 5	SCQF5	GD8J 22	26/10/2011	30/11/2016
SVQ Level 3 in Retail Skills (Sales Professional) at SCQF Level 6	SCQF6	GD8K 23	26/10/2011	30/11/2016
SVQ Level 3 in Retail Skills (Visual Merchandising) at SCQF Level 6	SCQF6	GD8L 23	26/10/2011	30/11/2016
SVQ1 in Contact Centre Operations at SCQF Level 4	SCQF4	GF01 21	14/03/2012	31/03/2017
SVQ2 in Contact Centre Operations at SCQF Level 5	SCQF5	GF02 22	14/03/2012	31/03/2017
SVQ3 in Contact Centre Operations at SCQF Level 6	SCQF6	GF03 23	14/03/2012	31/03/2017
SVQ4 in Contact Centre Operations at SCQF Level 8	SCQF8	GF04 24	14/03/2012	31/03/2017
SVQ4 in Health and Social Care at SCQF Level 9	SCQF9	GF3V 24	30/05/2012	31/03/2013
SVQ2 Children's Care, Learning and Development at SCQF Level 5	SCQF5	GF3W 22	30/05/2012	31/01/2013

SQA Accredited Qualification Title	Level	Code	Accreditation date	Re-accreditation date
SVQ3 Children's Care, Learning and Development at SCQF Level 7	SCQF7	GF3X 23	30/05/2012	31/01/2013
SVQ4 Children's Care, Learning and Development at SCQF Level 9	SCQF9	GF3Y 24	30/05/2012	31/01/2013
SVQ4 Leadership and Management for Care Services at SCQF Level 10	SCQF10	GF40 24	30/05/2012	31/01/2013
SVQ2 Passenger Carrying Vehicle Driving (Bus and Coach) at SCQF Level 5	SCQF5	GF42 22	30/05/2012	30/04/2017
Scottish Certificate for Personal Licence Holders (On-Sales and Off Sales)	SCQF6	R018 04	25/07/2007	31/07/2013
EDI Certificate in Customer Services at SCQF Level 5	SCQF5	R028 04	18/06/2008	31/03/2013
EDI Certificate in Customer Services at SCQF Level 6	SCQF6	R029 04	18/06/2008	31/03/2013
EDI National Award in Live Events and Promotions 2	n/a	R044 04	05/11/2009	31/07/2013
EDI National Award in Live Events and Promotions 3	n/a	R045 04	05/11/2009	31/07/2013
EDI National Award in Cultural and Heritage Venue Operations 2	n/a	R046 04	05/11/2009	31/07/2013
EDI National Award in Cultural and Heritage Venue Operations 3	n/a	R047 04	05/11/2009	31/07/2013

SQA Accredited Qualification Title	Level	Code	Accreditation date	Re-accreditation date
EDI National Award in Technical Theatre (Rigging, Lighting and Sound) 2	n/a	R048 04	05/11/2009	31/07/2013
EDI National Award in Technical Theatre (Rigging, Lighting and Sound) 3	n/a	R049 04	05/11/2009	31/07/2013
EDI National Award in Technical Theatre (Costume and Wardrobe) 2	n/a	R050 04	05/11/2009	31/07/2013
EDI National Award in Technical Theatre (Costume and Wardrobe) 3	n/a	R051 04	05/11/2009	31/07/2013
EDI National Award in Music Business (Recording Industry) 2	n/a	R052 04	05/11/2009	31/07/2013
EDI National Award in Music Business (Recording Industry) 3	n/a	R053 04	05/11/2009	31/07/2013
EDI National Award in Community Arts Management 2	n/a	R054 04	05/11/2009	31/07/2013
EDI National Award in Community Arts Management 3	n/a	R055 04	05/11/2009	31/07/2013
EDI Certificate in Retail Knowledge 2	n/a	R063 04	17/03/2010	31/12/2012
EDI Certificate in Retail Knowledge 3	n/a	R064 04	17/03/2010	31/12/2012
EDI Award in Door Supervision (Scotland)	SCQF6	R089 04	01/09/2010	31/12/2013

SQA Accredited Qualification Title	Level	Code	Accreditation date	Re-accreditation date
EDI Award in CCTV Operations (Public Space Surveillance) (Scotland)	SCQF6	R104 04	01/12/2010	31/12/2013
EDI Award in Security Guarding (Scotland)	SCQF6	R105 04	01/12/2010	31/12/2013

6 List of documents reviewed pre-audit and post-audit

Document title	Date of issue	Version number
Policy and Procedures Relating to Communication with Regulators	13/10/2011	Version 01
Adverse Effects and Incident Management Procedure – October 2011	21/10/2011	Version 01
Conflict of Interest Policy	26/10/2011	Version 01
Copy of BCP Risk Assessment Questionnaire	25/08/2011	
Customer Operational Queries (flowchart)	06/05/2010	Version 04
Equality and Diversity Expert Group – Terms of Reference	15/05/2012	Version 01
Investigation Policy and Procedure	21/12/2011	Version 02
Invoicing Policy	23/09/2011	Version 01
Operations Compliance Group	16/12/2011	Version 01
Education Development Executive Product Development Plan – Scotland		
Quality Group Remit		
Sanctions Policy		
EDI – Turnbull Risk Analysis – October 2012		Version 01
UK Price List Development Policy and Procedure	31/10/2011	Version 01
Centre Approval Confirmation Letter		
Centre Approval Certificate (sample)		

Document title	Date of issue	Version number
Testing of Products in CAMPUS Test		Version 02
Additional Awards Approval Application – Guidance Document	15/12/2011	Version 03
Additional Awards Approval Application (UK)	17/04/2012	Version 06
Centre Application and Agreement – Guidance Document	16/12/2011	Version 04
Centre Application and Agreement	15/12/2011	Version 05
Centre Approval and Data Protection	20/10/2010	Version 02
Centre Reports (flowchart)	21/06/2012	Version 04
Certificate Design Specification	09/11/2011	Version 01
Checklist for Selecting Assessment Methodology		
Contract to Provide Assessment Services for Pearson Education Limited - 2012		
Copy of QCF Visit Report		Version 02
Equality and Diversity Expert Group	15/05/2012	Version 01
EDI Moderation Handbook	22/11/2011	
NVQ/QCF Late Candidate Registration Request	05/09/2011	Version 03
Form Par1 – Application for Learners Requiring Reasonable Adjustment	20/06/2012	Version 01
Guidance Notes for Centres on Reasonable Adjustments for Learners for Particular Assessment Requirements – June 2012	20/06/2012	Version 05
UK Centre Particular Assessment Requirements (flowchart)	27/06/2012	Version 01

Document title	Date of issue	Version number
Examination Guide for EDI Centres – October 2012	15/10/2012	Version 06
Working Guide – October 2012	15/10/2012	Version 04
Consultant Terms and Conditions	30/03/2012	Version 11.2
Creating Multiple Choice Tests	28/10/2011	
Procedure for the Development of Externally Set Internally Marked Assessments (flowchart)	20/10/2011	Version 03
Procedure for Enquiries About Multiple Choice Test Results (flowchart)	12/05/2011	Version 01
Procedure for Qualification Technical Review Group – Assessment Review	12/10/2011	Version 01
Quality Assurance Report Guide – June 2012		
Qualification Technical Review Group		
UK Centre Approval (flowchart)	28/05/2009	Version 03
Feedback and Complaints	31/10/2012	Version 02
Suspected Maladministration Within Examinations (flowchart)	27/06/2012	Version 02
Suspected Malpractice and/or Maladministration with Competence Based Qualifications (flowchart)	27/06/2012	Version 01
Suspected Malpractice Within Examinations (flowchart)	27/06/2012	Version 02
EAR Form – Enquiries About Results	01/08/2011	Version 03
UK Centre Enquiry About Results (flowchart)	26/06/2012	Version 05
Centre List – Oct 2012		

Document title	Date of issue	Version number
Vocational Qualifications 2010/11 (brochure)		Issue 3
EDI Price List – 2012-13		
EDI Quality Assurance Report (sample)		



7 Action plan

A separate document in Microsoft Word has been forwarded with this Audit Report.

Areas of Concern	Issue	Risk rating	Proposed action	Target date for completion
Principle no. 2	The information made publicly available by EDI with respect to SQA accredited qualifications and associated fees was found to be inaccurate and inconsistent.	Low		
Principle no. 6	The information held and made available by EDI with respect to centres approved to offer SQA accredited qualifications was found to be inaccurate and inconsistent.	Medium		

Signatures of agreement of action plan

For and on behalf of EDI:

Signature

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Date

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For and on behalf of SQA Accreditation:

Signature

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Date

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8 Acceptance of audit findings

For and on behalf of EDI:

Signature

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Designation

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Date

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For and on behalf of SQA Accreditation:

Signature

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Designation

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Date

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