

Audit Report



Awarding body: Excellence, Achievement & Learning Limited (EAL)

Date of audit: 24 January 2013

Note

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

- ◆ The findings of this report 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

Purpose and scope of audit

This was the 12th audit of Excellence, Achievement & Learning Limited (EAL) since it was approved as an awarding body by SQA Accreditation. The audit was designed to review, evaluate and document EAL's strategies, policies and procedures and ensure compliance with SQAs Accreditation's *Awarding Body Criteria (2007)*. As this was a full audit of EAL all criteria were included in the scope of the audit.

Background

EAL was approved by SQA Accreditation as an awarding body in October 1997. EAL is a nationally-recognised awarding body dealing with qualifications mainly in the engineering industry.

Audit outcome

As a result of the audit and post audit activities, three non-compliances have been recorded and four observations noted.

The three non-compliances and four observations form the EAL action plan: January 2013.

Awarding body feedback

EAL representatives reported that the awarding body's name was still incorrect on Quickr. This has been changed following the audit. EAL also reported SQA Accreditation staff had not been flexible when visiting one centre during the annual monitoring process. This will be raised as an issue within the team.

Audit Summary

The following section details the non-compliances assigned and the observations noted against SQA Accreditation's *Awarding Body Criteria (2007)* through the course of the awarding body audit.

Key Goal 1: The awarding body has robust and transparent governance arrangements

Findings

The Audit Team reviewed the banked documents on governance prior to the audit, particularly for the terms of reference for boards, groups and committees within the EAL structure. It was noted that the terms of reference for the Product Assurance and Compliance Review Panel did not make appropriate reference to SQA Accreditation as a regulatory authority. **This has been noted as observation 1.**

Conclusion

The evidence available confirms that EAL meets the requirements of the criteria under Key Goal 1. One observation has been noted.

Key Goal 5: The awarding body has robust systems in place for the management of the service it offers

Findings

Prior to the audit, quarterly data returns showed that EAL had processed five candidate certificates for SVQs which had expired. This was done because there was no replacement SVQ, and EAL did not wish to disadvantage candidates. **This has been noted as observation 2.**

A non-compliance regarding the relevance, content and coverage of banked documents has also been recorded and is reported separately under Key Goal 6.

Conclusion

The evidence available confirms that EAL does not meet the requirements of the criteria under Key Goal 5. One non-compliance has been recorded and one observation noted.

Key Goal 6: The awarding body has an effective communications strategy that supports its awarding body activities

Findings

The Audit Team reviewed all of the documents banked by EAL prior to the audit. The information banked against many Key Goals was found to be irrelevant, inadequate or not specific to the individual Criteria. This meant that some Key Goals had minimal coverage, and the evidence did not support SQA Accreditation's monitoring activities under Key Goal 6.5.

In addition a large number of the banked documents did not appropriately reference SQA Accreditation as the regulatory authority.

A non-compliance has been recorded as a result of the lack of relevance, content and coverage of banked documents. This non-compliance also applies to the evidence submitted against Key Goals 5, 7, 13, 15, 18, 19, 20 and 21 but, as this is a generic non-compliance, it has not been recorded separately under each Key Goal to which it applies. **This has been recorded as non-compliance 1.**

Conclusion

The evidence available confirms that EAL does not meet the requirements of the criteria under Key Goal 6. One non-compliance has been recorded.

Key Goal 9: The awarding body has open and transparent procedures for complaints and appeals

Findings

Within EAL's *Enquiries and Appeals Policy* and the process map for *Centre Appeals (EAL)*, the Audit Team noted that the latter did not contain appropriate reference for the circumstances under which a candidate or centre may appeal to SQA Accreditation. **This has been noted as observation 3.**

Conclusion

The evidence available confirms that EAL continues to meet the requirements of the criteria under Key Goal 9. One observation has been noted.

Key Goal 10: The awarding body has an effective system for the registration and certification of candidates

Findings

EAL had banked sample copies of its certificates on Quickr for the Audit Team to review prior to the audit. It was noted that Core Skills certificates contain the SVQ logo, which is not permitted on unit certificates and could be misleading. **This has been recorded as non-compliance 2.**

Conclusion

The evidence available confirms that EAL does not meet the requirements of the criteria under Key Goal 10. One non-compliance has been recorded.

Key Goal 13: The awarding body provides clear written guidance for awarding body representatives and prospective or approved centres and their staff

Findings

EAL produces an individual *Qualification Manual* for each SVQ. In both exemplar copies that were banked, the Audit Team found inappropriate references to NVQs, inappropriate references to rules of combination, and missing SCQF credit

and level values. The Audit team also noted that the *EAL Approved Centre* document, which describes the stages for registration and certification, only shows exemplar certificates for NVQs and not SVQs, but is relevant to both types of qualification.

The Audit Team noted that other key EAL documents, such as the *Centre Manual* and guides to approval and verification, which are referred to within documents banked on Quickr, had not been uploaded. These are key documents for SQA Accreditation when carrying out its monitoring activities. **This has been noted as observation 4.**

A non-compliance regarding the relevance, content and coverage of banked documents has also been recorded and is reported separately under Key Goal 6.

Conclusion

The evidence available confirms that EAL does not meet the requirements of the criteria under Key Goal 13. One observation has been noted.

Key Goal 15: The qualification and associated structure has been designed to ensure it is appropriate and meets the needs of the occupational sector

Findings

The evidence provided under Statement of Excellence 4 — Qualification Development and Design, was not sufficient to show the systems and processes that EAL has in place for the development, design and review of its qualifications. EAL currently only offers SVQs that are developed by Sector Skills Councils. However, there was a lack of evidence to show how EAL SVQs are designed, developed and reviewed. A qualification business case and product development checklist were supplied, but both referred to another regulator's qualification.

This has been recorded as non-compliance 3.

A non-compliance regarding the relevance, content and coverage of banked documents has also been recorded and is reported under Key Goal 6.

Conclusion

The evidence available confirms that EAL does not meet the requirements of the criteria under Key Goal 15. One non-compliance has been recorded.

Conclusion

This was the 12th audit of EAL, and the audit team was provided with appropriate access to the awarding body's documentation.

It was evident that, since the last audit of EAL, the awarding body had not maintained its focus on ensuring that it remained compliant with the *Awarding Body Criteria (2007)*. The relevance, content and coverage of banked documents in Quickr was also noted as a significant issue.

As a result the Audit Team noted that there are several areas where significant improvement is required and that, moving forward, EAL must take time to ensure that it meets the requirements of the new *SQA Accreditation Regulatory Principles (2011)*.

Appendices

Appendix 1: Current year non-compliances, observations and action plan

Non-compliances

A non-compliance will be recorded where the Lead Accreditation Auditor finds evidence that the awarding body fails to meet any of *Awarding Body Criteria (2007)* or any of the conditions attached to qualification accredited by SQA Accreditation at the time of accreditation. When recording any non-compliance, the Lead Accreditation Auditor will agree the action to be taken by the awarding body and a timetable for resolving the issue.

Once agreed, the action plan is signed by representatives from both SQA Accreditation and the awarding body and will inform the agenda for the next scheduled audit.

| Non-compliance recorded | Agreed action and date | Key Goal/criterion | Risk rating |
|---|---|---|-------------|
| 1. Information banked against many Key Goals was found to be either irrelevant, inadequate or not specific to the individual Criteria. In addition, a large amount of the banked documents did not appropriately reference SQA Accreditation as the regulatory body within documentation. | EAL must bank documents in Quickr against the Regulatory Principles by 1 April 2013. The information banked must follow the titling conventions specified by SQA Accreditation and be appropriate to all Principles. EAL must also ensure that banked documents make reference to SQA Accreditation, where appropriate, by 1 April 2013. Extended to 31 May 2013. Closed 29 May 2013. | Key Goals 5.1, 6.5, 7, 13, 15, 18, 19, 20, 21 | 4 |
| 2. The SVQ logo cannot be used on unit certificates. | The awarding body must remove the SVQ logo from unit certificates by 1 April 2013. Extended to 31 May 2013. Closed 29 May 2013. | Key Goal 10.3 | 3 |
| 3. The Audit Team were unable to see evidence of how EAL's systems for the design, development and delivery of SQA accredited qualifications. | The awarding body must produce evidence which defines the systems and processes for its qualification design, development and review of SQA accredited qualifications by 1 April 2013. Extended to 31 May 2013. Closed 29 May 2013. | Key Goal 15 | 4 |

Observations

An observation will be noted to ensure that any recommendations agreed during the audit are recorded for future reference. As observations are recorded for awarding body consideration only, it is not necessary to agree a timescale to resolve the observation in the awarding body action plan.

| Observations noted | Action recommended | Key Goal/criterion |
|--|---|--------------------|
| 1. The terms of reference for the Product Assurance and Compliance Review Panel did not make appropriate reference to SQA Accreditation as a regulator. | EAL should review its governance documents to ensure that appropriate reference to SQA Accreditation is made. | Key Goal 1 |
| 2. EAL has certificated candidates for SVQs which have expired. | EAL should contact SQA Accreditation where it requires to certificate candidates on expired awards to ensure it is appropriate to do so and so that relevant staff in SQA Accreditation are informed. | Key Goal 5 |
| 3. The process map for <i>Centre Appeals (EAL)</i> does not contain appropriate reference for the circumstances under which a candidate or centre may appeal to SQA Accreditation. | EAL should review the content of its appeals documentation to ensure that the stages within documentation are consistent and that there is appropriate reference to appeals to SQA Accreditation. | Key Goal 9 |
| 4. Qualification Manuals contain inappropriate references to SVQs and missing credit rating. | EAL should review the content of its Qualification Manuals for SVQs and the shell it uses. Where SVQs have been credit rated, this information should be added. | Key Goal 13 |

Appendix 2: Risk-rating of non-compliances

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

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

| Rating | Risk | Impact of non-compliance |
|--------|-----------|--|
| 1 | Very Low | The non-compliance 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. |
| 2 | Low | The non-compliance 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. |
| 3 | Medium | The non-compliance 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. |
| 4 | High | The non-compliance could have a high impact on the integrity and reliability of the qualification or the effective operation of 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. |
| 5 | Very High | The non-compliance 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 non-compliance is considered on its own merit, taking account of the context in which it was identified.

Appendix 3: Table of awards

Accredited qualifications currently offered

| Award title | Level | Code | Accreditation date | Re-accreditation date |
|---|-------|---------|--------------------|-----------------------|
| Level 3 SVQ in Electrical And Electronic Engineering | N/A | G7PX 23 | 22/03/2005 | 31/03/2010 |
| Level 2 SVQ in Plant Operations (Construction) | N/A | G8RJ 22 | 07/11/2007 | 30/06/2011 |
| SVQ 3 in Management | N/A | G854 23 | 11/01/2006 | 31/08/2010 |
| SVQ 4 in Learning and Development | N/A | G6XM 24 | 07/11/2002 | 31/10/2009 |
| SVQ 4 in Engineering Management | N/A | G7K6 24 | 07/10/2004 | 31/10/2009 |
| SVQ 1 in Performing Engineering Operations | N/A | G8EP 21 | 19/12/2006 | 31/10/2011 |
| Level 3 SVQ in Engineering Toolmaking (Toolroom NC/CNC Machining) | N/A | G839 23 | 02/11/2005 | 30/11/2010 |
| Level 3 SVQ in Engineering Toolmaking (Toolmaker) | N/A | G83A 23 | 02/11/2005 | 30/11/2010 |
| Level 3 SVQ in Engineering Toolmaking (Mould, Tool And Die Equipment Maintenance) | N/A | G83C 23 | 02/11/2005 | 30/11/2010 |
| Level 3 SVQ in Engineering Toolmaking (Jig And Fixture Manufacture) | N/A | G83D 23 | 02/11/2005 | 30/11/2010 |
| Level 3 SVQ in Engineering Toolmaking (Toolroom Manual Machining) | N/A | G83E 23 | 02/11/2005 | 30/11/2010 |
| SVQ 2 in Performing Manufacturing Operations | N/A | G7E1 22 | 22/04/2004 | 31/01/2012 |
| SVQ 1 in Performing Manufacturing Operations | N/A | G7E2 21 | 22/04/2004 | 31/01/2012 |
| Level 2 SVQ in Mechanical Manufacturing Engineering | N/A | G7C7 22 | 29/01/2004 | 31/03/2012 |
| SVQ 5 in Engineering Management | N/A | G7TN 25 | 19/04/2005 | 30/04/2010 |
| SVQ 2 in Business Improvement Techniques - Process Improvement | N/A | G8KE 22 | 26/06/2007 | 30/04/2012 |
| SVQ 2 in Business Improvement Techniques - Quality Improvement | N/A | G8KG 22 | 26/06/2007 | 30/04/2012 |
| SVQ 4 in Management | N/A | G853 24 | 11/01/2006 | 31/08/2010 |
| Level 2 SVQ in Engineering Technical Support (Technical Services) | N/A | G8WL 22 | 01/03/2008 | 31/03/2013 |
| Level 2 SVQ in Engineering Technical Support (Inspection & Testing) | N/A | G8WK 22 | 01/03/2008 | 31/03/2013 |
| Level 2 SVQ in Engineering Technical Support (Engineering Drawing) | N/A | G8WM 22 | 01/03/2008 | 31/03/2013 |
| SVQ 3 in Business Improvement Techniques - Process Improvement | N/A | G8KJ 23 | 26/06/2007 | 30/04/2012 |

| Award title | Level | Code | Accreditation date | Re-accreditation date |
|--|-------|---------|--------------------|-----------------------|
| SVQ 3 in Business Improvement Techniques - Quality Improvement | N/A | G8KK 23 | 26/06/2007 | 30/04/2012 |
| Level 2 SVQ in Engineering Maintenance And Installation | N/A | G7K7 22 | 07/10/2004 | 31/10/2013 |
| Level 3 SVQ in Engineering Maintenance | N/A | G79P 23 | 11/09/2003 | 31/03/2012 |
| SVQ 4 in Business Improvement Techniques - Process Improvement | N/A | G8KF 24 | 26/06/2007 | 30/04/2013 |
| SVQ 4 in Business Improvement Techniques - Quality Improvement | N/A | G8KH 24 | 26/06/2007 | 30/04/2013 |
| Problem Solving (SCQF Level 6) | 6 | FT97 04 | 10/08/2011 | N/A |
| Working with Others (SCQF Level 6) | 6 | FT9A 04 | 10/08/2011 | N/A |
| Numeracy (SCQF Level 6) | 6 | FT9G 04 | 10/08/2011 | N/A |
| Information and Communication Technology (SCQF Level 6) | 6 | FT9L 04 | 10/08/2011 | N/A |
| Communication (SCQF Level 6) | 6 | FT9R 04 | 10/08/2011 | N/A |
| SVQ 3 in Business Improvement Techniques (Process Improvement) at SCQF Level 6 | 6 | GA15 23 | 03/11/2010 | 31/03/2015 |
| SVQ 3 in Business Improvement Techniques (Quality Improvement) at SCQF Level 6 | 6 | GA16 23 | 03/11/2010 | 31/03/2015 |
| SVQ 3 in Installation and Commissioning (Commissioning) at SCQF Level 6 | 6 | GC75 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Installation and Commissioning (Commissioning) at SCQF Level 6 | 6 | GC75 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Installation and Commissioning (Hydraulic Lift Installation) at SCQF Level 6 | 6 | GC76 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Installation and Commissioning (Equipment Installation) at SCQF Level 6 | 6 | GC77 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Installation and Commissioning (Traction Lift Installation) at SCQF Level 6 | 6 | GC78 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Fabrication and Welding Engineering (Sheet Metalworking 3 mm or less) at SCQF Level 6 | 6 | GC7H 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Fabrication and Welding Engineering (Structural Steelwork) at SCQF Level 6 | 6 | GC7J 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Fabrication and Welding Engineering (Welding Machine Setting and Operating) at SCQF Level 6 | 6 | GC7K 23 | 15/06/2011 | 30/06/2016 |

| Award title | Level | Code | Accreditation date | Re-accreditation date |
|---|-------|---------|--------------------|-----------------------|
| SVQ 3 in Fabrication and Welding Engineering (Composite Fabrication) at SCQF Level 6 | 6 | GC7L 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Fabrication and Welding Engineering (Manual Welding) at SCQF Level 6 | 6 | GC7M 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Fabrication and Welding Engineering (Pipe and Tube Fabrication) at SCQF Level 6 | 6 | GC7N 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Fabrication and Welding Engineering (Plateworking 3mm upwards) at SCQF Level 6 | 6 | GC7P 23 | 15/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Technical Support (Computer Control Programming) at SCQF Level 6 | 6 | GC89 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Technical Support (Technical Services) at SCQF Level 6 | 6 | GC8A 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Technical Support (Engineering Drawing) at SCQF Level 6 | 6 | GC8C 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Technical Support (Quality Control) at SCQF Level 6 | 6 | GC8D 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Technical Support (Non-Destructive Testing) at SCQF Level 6 | 6 | GC8E 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Mechanical Manufacturing Engineering (Composite Manufacture Engineering) at SCQF Level 6 | 6 | GC8F 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Mechanical Manufacturing Engineering (Pipe Fitting and Assembly) at SCQF Level 6 | 6 | GC8G 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Mechanical Manufacturing Engineering (Fitting and Assembly) at SCQF Level 6 | 6 | GC8H 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Mechanical Manufacturing Engineering (Machine Tool Setting) at SCQF Level 6 | 6 | GC8J 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Mechanical Manufacturing Engineering (CNC Machining) at SCQF Level 6 | 6 | GC8K 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Mechanical Manufacturing Engineering (Machining) at SCQF Level 6 | 6 | GC8L 23 | 22/06/2011 | 30/06/2016 |

| Award title | Level | Code | Accreditation date | Re-accreditation date |
|---|-------|---------|--------------------|-----------------------|
| SVQ 3 in Mechanical Manufacturing Engineering (Mechanical Overhaul and Test) at SCQF Level 6 | 6 | GC8M 23 | 22/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Mechanical) at SCQF Level 6 | 6 | GC8Y 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Electrical) at SCQF Level 6 | 6 | GC90 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Electronic) at SCQF Level 6 | 6 | GC91 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Fluid Power) at SCQF Level 6 | 6 | GC92 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Engineered Systems) at SCQF Level 6 | 6 | GC93 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Services Maintenance) at SCQF Level 6 | 6 | GC94 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Lift Servicing) at SCQF Level 6 | 6 | GC95 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Lift Repair) at SCQF Level 6 | 6 | GC96 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Communication Electronics) at SCQF Level 6 | 6 | GC97 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Servicing Medical Equipment) at SCQF Level 6 | 6 | GC98 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Engineering Maintenance (Instrumentation and Control) at SCQF Level 6 | 6 | GC99 23 | 29/06/2011 | 30/06/2016 |
| SVQ 3 in Aeronautical Engineering (Aircraft Mechanical Component Overhaul) at SCQF Level 6 | 6 | GC54 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Aeronautical Engineering (Aircraft Technical Design and Development) at SCQF Level 6 | 6 | GC55 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Aeronautical Engineering (On Aircraft Maintenance) at SCQF Level 6 | 6 | GC56 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Aeronautical Engineering (Avionics Maintenance) at SCQF Level 6 | 6 | GC57 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Aeronautical Engineering (Aircraft Engine Overhaul) at SCQF Level 6 | 6 | GC58 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Aeronautical Engineering (Aircraft Manufacture Mechanical) at SCQF Level 6 | 6 | GC59 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Aeronautical Engineering (Aircraft Mechanical Maintenance) at SCQF Level 6 | 6 | GC5A 23 | 01/07/2011 | 30/06/2016 |

| Award title | Level | Code | Accreditation date | Re-accreditation date |
|---|-------|---------|--------------------|-----------------------|
| SVQ 3 in Aeronautical Engineering (Aircraft Power Plant Assembly, Installation and Testing) at SCQF Level 6 | 6 | GC5C 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 Marine Engineering (Structural Steelwork) at SCQF Level 6 | 6 | GC5D 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Sheet Metalwork) at SCQF Level 6 | 6 | GC5E 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Woodwork/Outfitting) at SCQF Level 6 | 6 | GC5F 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Electrical/Electronic Installation and Testing) at SCQF Level 6 | 6 | GC5G 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Mechanical Installation) at SCQF Level 6 | 6 | GC5H 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Mechanical Maintenance) at SCQF Level 6 | 6 | GC5J 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Composites) at SCQF Level 6 | 6 | GC5K 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Marine Welding) at SCQF Level 6 | 6 | GC5L 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Mechanical Overhaul) at SCQF Level 6 | 6 | GC5M 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Electrical Maintenance and Overhaul) at SCQF Level 6 | 6 | GC5N 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Pipework) at SCQF Level 6 | 6 | GC5P 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Rigging) at SCQF Level 6 | 6 | GC5R 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Marine Engineering (Coating) at SCQF Level 6 | 6 | GC5T 23 | 01/07/2011 | 30/06/2016 |
| SVQ 3 in Electrical Manufacture (Manufacturing Electrical Control Systems Equipment) at SCQF Level 6 | 6 | GE6F 23 | 14/12/2011 | 31/12/2016 |
| SVQ 3 in Electrical Manufacture (Testing Electrical Equipment) at SCQF Level 6 | 6 | GE6G 23 | 14/12/2011 | 31/12/2016 |
| SVQ 3 Engineering Leadership at SCQF Level 6 | 6 | GE6H 23 | 14/12/2011 | 31/12/2016 |
| Problem Solving (SCQF Level 5) | 5 | FT96 04 | 10/08/2011 | N/A |
| Working with Others (SCQF Level 5) | 5 | FT9C 04 | 10/08/2011 | N/A |
| Numeracy (SCQF Level 5) | 5 | FT9F 04 | 10/08/2011 | N/A |
| Information and Communication Technology (SCQF Level 5) | 5 | FT9K 04 | 10/08/2011 | N/A |
| Communication (SCQF Level 5) | 5 | FT9P 04 | 10/08/2011 | N/A |
| SVQ 2 in Business Improvement Techniques (Process Improvement) at SCQF Level 5 | 5 | G9N9 22 | 17/03/2010 | 31/03/2015 |

| Award title | Level | Code | Accreditation date | Re-accreditation date |
|--|-------|---------|--------------------|-----------------------|
| SVQ 2 in Business Improvement Techniques (Quality Improvement) at SCQF Level 5 | 5 | G9NA 22 | 17/03/2010 | 31/03/2015 |
| SVQ 2 in Fabrication and Welding Engineering (Structural Steelwork) at SCQF Level 5 | 5 | GC79 22 | 15/06/2011 | 30/06/2016 |
| SVQ 2 in Fabrication and Welding Engineering (Manual Welding) at SCQF Level 5 | 5 | GC7A 22 | 15/06/2011 | 30/06/2016 |
| SVQ 2 in Fabrication and Welding Engineering (Pipework Fabrication) at SCQF Level 5 | 5 | GC7C 22 | 15/06/2011 | 30/06/2016 |
| SVQ 2 in Fabrication and Welding Engineering (Welding Machine Operating) at SCQF Level 5 | 5 | GC7D 22 | 15/06/2011 | 30/06/2016 |
| SVQ 2 in Fabrication and Welding Engineering (Brazing and/or Soldering) at SCQF Level 5 | 5 | GC7E 22 | 15/06/2011 | 30/06/2016 |
| SVQ 2 in Fabrication and Welding Engineering (Plateworking 3mm upwards) at SCQF Level 5 | 5 | GC7F 22 | 15/06/2011 | 30/06/2016 |
| SVQ 2 in Fabrication and Welding Engineering (Sheet Metalworking 3mm or less) at SCQF Level 5 | 5 | GC7G 22 | 15/06/2011 | 30/06/2016 |
| SVQ 2 in Aeronautical Engineering (Aircraft Systems Maintenance) at SCQF Level 5 | 5 | GC52 22 | 01/07/2011 | 30/06/2016 |
| SVQ 2 in Aeronautical Engineering (Composite Manufacture) at SCQF Level 5 | 5 | GC53 22 | 01/07/2011 | 30/06/2016 |
| SVQ 2 in Marine Engineering (Mechanical Installation and Maintenance) at SCQF Level 5 | 5 | GC5V 22 | 01/07/2011 | 30/06/2016 |
| SVQ 2 in Marine Engineering (Yacht and Boat Building, Servicing, Maintenance and Repair) at SCQF Level 5 | 5 | GC5W 22 | 01/07/2011 | 30/06/2016 |
| SVQ 2 in Marine Engineering (Rigging) at SCQF Level 5 | 5 | GC5X 22 | 01/07/2011 | 30/06/2016 |
| SVQ 2 in Marine Engineering (Yacht and Boat Equipment Installation) at SCQF Level 5 | 5 | GC5Y 22 | 01/07/2011 | 30/06/2016 |
| SVQ 2 in Marine Engineering (Yacht and Boat Painting/Finishing) at SCQF Level 5 | 5 | GC60 22 | 01/07/2011 | 30/06/2016 |

| Award title | Level | Code | Accreditation date | Re-accreditation date |
|--|-------|---------|--------------------|-----------------------|
| SVQ 2 in Marine Engineering (Yacht and Boat Woodwork/Outfitting) at SCQF Level 5 | 5 | GC61 22 | 01/07/2011 | 30/06/2016 |
| SVQ 2 in Performing Engineering Operations at SCQF Level 5 | 5 | GC9W 22 | 06/07/2011 | 30/06/2016 |
| SVQ 2 in Performing Manufacturing Operations at SCQF Level 5 | 5 | GE7J 22 | 25/01/2012 | 30/01/2017 |
| Problem Solving (SCQF Level 4) | 4 | FT94 04 | 10/08/2011 | N/A |
| Working with Others (SCQF Level 4) | 4 | FT99 04 | 10/08/2011 | N/A |
| Numeracy (SCQF Level 4) | 4 | FT9E 04 | 10/08/2011 | N/A |
| Information and Communication Technology (SCQF Level 4) | 4 | FT9J 04 | 10/08/2011 | N/A |
| Communication (SCQF Level 4) | 4 | FT9N 4 | 10/08/2011 | N/A |
| SVQ 1 Performing Engineering Operations at SCQF level 4 | 4 | GE76 21 | 11/01/2012 | 30/01/2017 |
| Problem Solving (SCQF Level 3) | 3 | FT93 04 | 10/08/2011 | N/A |
| Working with Others (SCQF Level 3) | 3 | FT98 04 | 10/08/2011 | N/A |
| Numeracy (SCQF Level 3) | 3 | FT9D 04 | 10/08/2011 | N/A |
| Information and Communication Technology (SCQF Level 3) | 3 | FT9H 04 | 10/08/2011 | N/A |
| Communication (SCQF Level 3) | 3 | FT9M 04 | 10/08/2011 | N/A |

Appendix 4: 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 SQA's *Awarding Body Criteria (2007)*.

| Condition | Agreed action and date | Key Goal/criterion |
|-----------|------------------------|--------------------|
| N/A | | |

Appendix 5: List of documents reviewed pre-audit and post-audit

| Document title | Date of issue | Version number | Comments |
|--|----------------|----------------|----------|
| EAL Board Terms of Reference | December 2012 | 1.4 | |
| EAL Heads of Department Meetings Terms of Reference | | | |
| Product Assurance and Compliance Review Panel - Terms of Reference | October 2012 | 1 | |
| Conflict of Interest Policy | December 2012 | | |
| Strategic Framework 2012/13 | | | |
| The Journey to ServiceMark | | | |
| Board Meeting Agenda and Minutes | Various | | |
| EAL Customer Satisfaction Survey 2012 | | | |
| Customer Satisfaction Improvement Plan | September 2012 | | |
| Dashboard Spreadsheet | | | |
| HR Policies - Staff Development | April 2012 | 2.0 | |
| EAL Vision | | | |
| EV Action Plan | | | |
| Centre Internal Verification Sampling Summary | | | |
| Assessor Performance Monitoring Checklist | | | |
| Business Plan 13/14 - Marketing | January 2013 | | |
| EAL Scotland Proposed Strategy | | | |
| Assessment Report EMTA Awards Limited | September 2011 | | |
| Investors in People Review Report | May 2011 | | |
| EAL Management Self Evaluation and Improvement Process | May 2012 | | |
| Quality Audit Reports | Various | | |

| Document title | Date of issue | Version number | Comments |
|--|---------------|----------------|----------|
| SEMTA ISO Quality Policy | June 2010 | | |
| EAL price list | | | |
| EAL' Smarter Touch | | | |
| Centre Appeals process map | March 2012 | 2.11 | |
| Safeguarding Learners during centre/qualification withdrawal process map | March 2012 | 1.0 | |
| Centre Risk Assessment/Management process map | February 2012 | 1.0 | |
| Monitoring Centre process map | February 2012 | 1.0 | |
| Malpractice and Maladministration process map | March 2012 | 1.0 | |
| Managing Conflicts of Interest process map | March 2012 | 1.0 | |
| Complaints process map | March 2012 | 1.0 | |
| Centre Recognition process map | March 2012 | 1.0 | |
| Registering a candidate | | | |
| Late Registration Request (Appeal) | January 2012 | 1.00 | |
| 10 Week Rule (Appeal) | January 2012 | 1.00 | |
| Organisational chart | January 2013 | | |
| Event agendas, attendee lists and minutes | Various | | |
| EAL data submissions | Various | | |
| EAL correspondence | Various | | |
| Centre Recognition Requirements | January 2012 | 1 | |
| External Verification Reports | Various | | |
| Customer Service Statement | | | |
| EAL Complaint and Malpractice Management System | | | |
| Malpractice and Maladministration Policy | November 2011 | 1 | |
| Complaints Policy | March 2012 | 2 | |

| Document title | Date of issue | Version number | Comments |
|---|----------------|------------------|----------|
| Appeals, Complaints, Malpractice and Issues log | | | |
| EAL Price List 2012 | | | |
| Enquiries and Appeals Policy | November 2011 | 1 | |
| Sample complaints | Various | | |
| EAL Registration and Certification Guidance for Online Services | | Issue 10 (10/08) | |
| Sample Qualification and Unit certificates | | | |
| Customer Services process map | May 2010 | 3.2 | |
| Record search forms | | | |
| Complaints Policy | November 2011 | 1 | |
| Data Protection Induction Briefing | September 2009 | | |
| Business Improvement Techniques Assessment Route Summary | 2011 | | |
| Qualification Manual SVQ2 Business Improvement Techniques | | | |
| Governance Newsletter | | | |
| Centre Guidance - Being a Centre Co-ordinator | July 2012 | 1 | |
| Centre Guidance - Engaging with Recognised Centre | July 2012 | | |
| User Guide for online and paperbased Candidate Registration (CRF1) and Certification Application Form (CAF1A) | August 2008 | 6.0 | |
| Centre Guidance Malpractice and Maladministration | July 2012 | 1.0 | |
| Centre Guidance Safeguarding Learners/Candidates during Centre/Qualification withdrawal | July 2012 | 1 | |
| How to prevent and deal with malpractice and maladministration - a guide for centres | | | |
| | | | |

| Document title | Date of issue | Version number | Comments |
|---|----------------|----------------|----------|
| Staff Guidance Identifying and Managing Adverse Events and Effects | April 2012 | | |
| Data Protection Policy | September 2012 | | |
| EAL Records Management Policy | April 2011 | 1 | |
| Product Innovation Process | | | |
| Product Development Analysis | | | |
| Product Development Checklist | | | |
| Organisation Business Case | February 2009 | | |
| Procedures for Conducting the Exam Component within EAL Qualifications (EAF1) | October 2010 | | |
| Reasonable Adjustments and Special Considerations | November 2011 | 1 | |
| Qualification Manuals | | | |
| Code of Practice for External Verifiers | | | |
| Creating Centre Sub-users with access to EAL exams | April 2010 | 1 | |
| On Demand exam dates | | | |
| Assessor Performance Monitoring Checklist | March 2009 | 1.1 | |
| Internal Verification Progress Plan | | | |
| Assessor Training Needs Analysis | | | |
| Internal Verification Standardisation Form | | | |
| Job Descriptions | | | |
| EV Competence and Conflict of Interest Declaration | | | |
| CPD Log | | | |
| Compliance and Risk Update | December 2012 | | |
| EV Guidance Advising Centres on Managing Conflicts of Interest | | | |
| SVQ Centre Information | | | |

Appendix 6: Signatures of agreement to action plan

For and on behalf of EAL

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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