

Audit Report

Awarding body: Engineering Construction Industry Training Board
Date of audit: 21 March 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 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 eleventh audit of the Engineering Construction Industry Training Board (ECITB) since it was approved as an awarding body by SQA Accreditation. The audit was designed to review, evaluate and document ECITB strategies, policies and procedures and ensure compliance with SQA Accreditation's *Awarding Body Criteria (2007)*.

As this was a full audit of ECITB, all criteria were included within the scope of the audit.

Background

ECITB was approved by SQA Accreditation as an awarding body during 1993. ECITB is a nationally recognised awarding body dealing with Competence Based Qualifications (CBQs) in engineering construction and one Scottish Vocational Qualification (SVQ) in Management. ECITB holds ISO 9001 status.

Audit outcome

As a result of the audit and post audit activities, two non-compliances have been recorded and one observation was noted.

The two non-compliances and one observation form the ECITB action plan: March 2012.

Statement of Excellence 3: Administration and Support

'The awarding body's administrative and support arrangements have been designed to reduce bureaucracy, are responsive to stakeholders' needs and are cost effective. The awarding body continually reviews its qualification provision to ensure it has, and deploys, sufficient resources for the administration and support of its qualification provision.'

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

Findings

The ECITB website contains a listing of all of the awarding body's latest accredited qualifications. However, the information is out of date with reference to SVQs, and no CBQ information is listed. The awarding body is aware of this and is currently updating its website. **See observation 1.**

Conclusion

The evidence available confirms that ECITB continues to meet the requirements of the criteria under Key Goal 6. One observation has been noted.

Observation 1. Information on ECITB's website relating to SQA accredited qualifications is not current.

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

Findings

ECITB's main operating document, the *Quality Assurance Procedures Manual*, contains sections for complaints and appeals. The information contained in the appeals section is compliant, but the guidance on complaints does not state the circumstances under which centres or candidates can complain to SQA Accreditation. **See non-compliance 1.**

Conclusion

The evidence available confirms that ECITB does not meet the requirements of the criteria under Key Goal 9. One non-compliance has been recorded.

Non-compliance 1. ECITB's procedures on complaints do not make appropriate reference to SQA Accreditation.

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

Findings

The Lead Auditor had reviewed certificates banked by the awarding body prior to the audit. It was noted that the certificate of Unit credit contained the SVQ logo. Under guidance produced to support SQA Accreditation's *Awarding Body Criteria (2007)* this is not permissible. **See non-compliance 2.**

Conclusion

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

Non-compliance 2. The ECITB certificate of Unit credit contains the SVQ logo.

Conclusion

This was the eleventh audit of ECITB and the audit team was provided with full access to the awarding body staff and documentation.

ECITB continues to operate in compliance with SQA Accreditation's *Awarding Body Criteria (2007)*. ECITB staff should be commended on the manner in which they presented relevant information to the Lead Auditor and on their housekeeping of banked documents.

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.

Non-compliance recorded	Agreed action and date	Key Goal/criterion	Risk rating
1. ECITB's procedures on complaints do not make appropriate reference to SQA Accreditation.	ECITB must update its complaints procedures and policy to clarify the circumstances under which centres and candidates can complain to SQA Accreditation by 30 June 2012. Closed out 30 June 2012.	Key Goal 9.1.4	3
2. The ECITB certificate of Unit credit contains the SVQ logo.	ECITB must remove the SVQ logo from its certificates of unit credit by 30 June 2012. Closed out 30 June 2012.	Key Goal 10.3	3

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.

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 annual audit meeting.

Observations noted	Action recommended	Key Goal/criterion
1. Information on ECITB's website relating to SQA accredited qualifications is not current.	ECITB should review the content and accuracy of information on its website relating to SQA accredited qualifications.	Key Goal 6

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
Diploma in Welding Engineering Construction Pipework	SCQF level 7	R137 04	15/06/2011	30/06/2016
Diploma in Welding Engineering Construction Plate	SCQF level 7	R138 04	15/06/2011	30/06/2016
Diploma in Erecting Engineering Construction Capital Plant Steel Structures	SCQF level 6	R139 04	15/06/2011	30/06/2016
Diploma in Moving Engineering Construction Loads	SCQF level 6	R140 04	15/06/2011	30/06/2016
Diploma in Maintaining Engineering Construction Plant and Systems – Mechanical	SCQF level 7	R141 04	15/06/2011	30/06/2016
Certificate in Supporting Engineering Construction Welding Activities	SCQF Level 5	R163 04	17/08/2011	30/06/2016
Certificate in Supporting the Installation of Engineering Construction Plant and Systems - Mechanical Fitting	SCQF Level 5	R164 04	17/08/2011	30/06/2016
Diploma in Supporting the Fabricating of Engineering Construction Steel Structures - Plating	SCQF Level 5	R165 04	17/08/2011	30/06/2016
Diploma in Supporting the Installation of Engineering Construction Plant and Systems - Pipefitting	SCQF Level 5	R166 04	17/08/2011	30/06/2016

Award title	Level	Code	Accreditation date	Re-accreditation date
Certificate in Supporting Engineering Construction Activities	SCQF level 5	R133 04	15/06/2011	30/06/2016
Diploma in Installing Engineering Construction Plant and Systems – Electrical	SCQF level 7	R134 04	15/06/2011	30/06/2016
Diploma in Installing Engineering Construction Plant and Systems – Pipefitting	SCQF level 6	R135 04	15/06/2011	30/06/2016
Diploma in Installing Engineering Construction Plant and Systems – Mechanical Fitting	SCQF level 6	R136 04	15/06/2011	30/06/2016
Diploma in Maintaining Engineering Construction Plant and Systems – Electrical	SCQF level 7	R142 04	15/06/2011	30/06/2016
Diploma in Maintaining Engineering Construction Plant and Systems – Instrument and Controls	SCQF level 7	R143 04	15/06/2011	30/06/2016
Diploma in Fabricating Engineering Construction Steel Structures – Plating	SCQF level 7	R144 04	15/06/2011	30/06/2016
Diploma in Engineering Construction Non Destructive Testing	SCQF level 6	R145 04	15/06/2011	30/06/2016
Diploma in Engineering Construction Design and Draughting	SCQF level 6	R146 04	15/06/2011	30/06/2016
Diploma in Project Control, Estimating, Planning and Cost Engineering	SCQF level 5	R147 04	15/06/2011	30/06/2016
Diploma in Project Control	SCQF level 6	R148 04	15/06/2011	30/06/2016

Award title	Level	Code	Accreditation date	Re-accreditation date
Management	SVQ 3	GE4H 23	23/11/2011	31/05/2016

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
No outstanding conditions		

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

The following documents were reviewed by the Lead Auditor as part of the audit activity. The documents were banked on Quickr by ECITB up to 23 March 2012.

ECITB 2011-2015 Strategic and Operating Plan Final - Approved April 2011
 EV Sampling Plan SVQ 21 Oct 11
 AB Continuous Improvement Action Plan 2010
 AB Customer Service Statement 2010 Report
 AB Monthly Report stats (various dates)
 Approved Centres Risk Assessment Guidance
 Approved Centre Standardisation Presentation 2011
 Approved Centre Visit Reports (various dates)
 Approved Centre Visit dates
 Qualifications and Awards Committee Meeting Agenda and minutes (various dates)
 ICT Code of Practice Feb
 Personal Development Support Policy issue 1 Apr 10
 SCQF Level to CBQs
 Assessment team member qualification and registration
 Standardisation Meeting minutes (various dates)
 Awarding Body Customer Service Statement Audit Review (various dates)
 Awarding Body reports (various dates)
 Awarding Body Strategy and Implementation Plan 2011
 Centre details
 EV Visit checklist
 Customer service statement
 Performance Indicators
 Diversity, Equal Opportunities, Reasonable Adjustments and Special Considerations
 DQ QAC Terms of Reference
 Chair of the Qualifications and Award Committee brief
 ECITB Credit Accumulation and Transfer Policy (SQA)
 ECITB Data Return Sept 2011
 ECITB SCQF Web pages
 ECITB Web site
 Enquiries, complaints, appeals and feedback
 EV Contract Review Document 2009
 EV CPD
 EV CPD Exercise 2011
 EV new - Procedures
 External Quality Assurance Policy
 Fee structure for Qualification activities
 Final Craft Tech Assess Strategy Oct10

The following documents were reviewed by the Lead Auditor as part of the audit activity. The documents were banked on Quickr by ECITB up to 23 March 2012.

Full Risk Register
Full Sector profiles May 9 2011(1)
IV Code of Practice
Malpractice
Assessment Guidance docs
Post approval monitoring of Approved Centres
Procedure for achieving Approved Centre status
Procedure for the development of assessment materials
Approval Visit Checklist
Quality Audit Reports (various dates)
Record keeping
Scotland ECI Activity
Registration & Certification procedure
Risk Assessment Questionnaire
Risk Management Policy Jan 2010
Sample SVQ Certificate
Sampling Planning
Sampling Record and Monitoring
SCQF Certificate
SCQF Credit Certificate
SCQF L5 CBQ submission
SCQF Moving Loads Assessment Guidance Booklet CD Mar11
SCQF Presentation
Self Assessment Strategy
SQA reg data Q1
SQCF Qualifications Development Process v1
SVQ Unit Cert sample
VQ Centre Approval visit short report v2
VQ Quality Assurance Procedures Manual 2011 V9
VQ001 Centre Approval Application Form
VQ001b AC Application LV Checklist 10-11-11
VQ003 Candidate Registration Form
VQ003 NSVQ Candidate Registration Form
VQ004 Certificate Application Form
VQ005 Unit Certificate Application Form
VQ020 SCQF CBQ FO Centre Approval completed 10Nov11 CW16Nov11
VQ020 SVQ Centre Approval Checklist
VQ025a EV - EV Audit Monitoring Form
Organisation Chart

Appendix 6: Signatures of agreement to action plan

For and on behalf of ECITB

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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