Audit Report

BIIAB

15 December 2022

Contents

1 Background

This was the seventh audit of BIIAB since it was approved as an awarding body by SQA Accreditation in 2006. However, this was the first audit since BIIAB was acquired by Skills for Education Group.

BIIAB is a nationally recognised awarding body and is accredited to offer a number of regulatory qualifications in the licensed retail and security sectors.

1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This states the type and frequency of our quality assurance activities, describes our reporting procedures and indicates how the awarding body's Quality Enhancement Rating is calculated.

As this was a full remote audit of BIIAB, all regulatory requirements were included within the scope of the audit. Our quality assurance activities are conducted on a sampling basis and, consequently, not all aspects of the awarding body's systems, procedures and performance have been considered in this report to the same depth.

SQA Accreditation audit reports are written by exception focusing only on those areas where corrective action is required or recommended. Consequently, this approach to audit reporting does not detail areas where compliance or good practice was found.

The audit was designed to ensure BIIAB complies with SQA Accreditation's regulatory requirements namely:

♦ *SQA Accreditation Regulatory Principles* (2021)
♦ all *Regulatory Principle* Directives
♦ the awarding body's Accreditation Licence

Awarding body documentation considered for review by the Audit Team includes all documents banked on BIIAB's SharePoint site at the time of audit and information supplied to support audit activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

1.2 Audit Report and Action Plan Timescales

BIIAB audit date: 15 December 2022

Audit Report approved by
Accreditation Co-ordination Group on: 10 May 2023

Audit Report to be signed by BIIAB: 27 June 2023

Action Plan to be emailed
to regulation@sqa.org.uk by BIIAB: 27 June 2023

The process will apply in relation to the timescales specified above:

♦ The awarding body will be sent a signed copy of the Audit Report by email.
♦ The awarding body must sign the copy of the Audit Report and return by email to SQA Accreditation in accordance with the timescale specified above.
♦ The awarding body will also be emailed a copy of the Action Plan.
♦ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and email this in Microsoft Word format to regulation@sqa.org.uk.
♦ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.
♦ Following approval by ACG, the awarding body will be sent a signed copy of the approved Action Plan by email.
♦ The awarding body must sign the copy of the Action Plan and return by email to SQA Accreditation.

The findings of this Audit Report and the associated Action Plan will be published on SQA Accreditation's website following signed agreement.

SQA Accreditation will continually monitor progress towards completion of the proposed actions identified in the Action Plan and update the awarding body's Quality Enhancement Rating as appropriate.

1.3 Summary of Audit Issues and Recommendations

An Issue has been recorded where evidence shows that the awarding body is not compliant with SQA Accreditation's regulatory requirements. The awarding body must address the Issues and specify corrective and preventative measures to address them through its Action Plan.

The Action Plan is emailed to BIIAB as a separate document to the Audit Report, and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.
As a result of the audit and post-audit activities, four Issues have been recorded and zero Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 2	There were no specifics in BIIAB's business plan relating to Scotland or SQA accredited qualifications. Key committee meetings do not appear to address regulatory commitments to SQA Accreditation as a standing agenda item, where other UK Regulators are addressed.	Medium
2. Principles 6, 16, 18	The awarding body was unable to filter their complaints and malpractice/maladministration tracker to show only those records relating to SQA accredited qualifications.	Very Low
3. Principles 8, 9	The awarding body is not maintaining SharePoint sufficiently and general version control of documentation is not robust.	Medium
4. Principles 10,11	The awarding body qualification development and review documentation was not appropriate nor relevant to SQA accredited qualifications.	Medium

1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded, depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications and/or the learner. Issues recorded during the audit will count towards BIIAB's Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the [SQA Accreditation website](#).

2 Detail of Audit Issues and Recommendations

The following sections detail Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements.

2.1 Issues

Regulatory Principle 2. The awarding body must demonstrate clearly defined business planning processes which show evidence of management commitment and decision making and ongoing review.

The Accreditation Auditors discussed with awarding body representatives the process for business planning and, although content with the process generally, it was identified that there were no specifics in their business plan in relation to Scotland or SQA Accredited qualifications. Awarding body representatives did note that they were already aware of this, and that work was planned to produce a UK strategy document to address their future plans in the various nations of the UK.

Additionally, post-audit documentation supplied in the form of key committee meetings agendas/minutes, specifically the *Group Senior Management Team Meeting, Terms of Reference, V4 2018*, do not appear to address regulatory commitments to SQA Accreditation, whereas other regulators in the UK were noted as a standing item.

This has been recorded as **Issue 1.**

Regulatory Principle 6. The awarding body must continually review the effectiveness of its services, systems, policies and processes.

Regulatory Principle 16. The awarding body and its providers must have open and transparent systems, policies and procedures to manage complaints.

Regulatory Principle 18. The awarding body and its providers must ensure that it has safeguards to prevent and manage cases of malpractice and maladministration.

The awarding body outlined their complaints and malpractice/maladministration process to the Accreditation Auditors. They evidenced the spreadsheet tracker that they use to record and track these. However, when asked to filter the tracker to show only those records relating to SQA Accredited qualifications, it was not able to filter, though the awarding body representatives knew which were concerned with SQA Accredited qualifications and therefore would know when to contact and/or escalate to SQA Accreditation. However, the Accreditation Auditors don't consider this a robust method of identification and consider it difficult to evidence as a robust auditable process.

This has been recorded as **Issue 2.**

Regulatory Principle 8. The awarding body must ensure that SQA Accreditation is granted access to all information relating to accredited qualifications.

Regulatory Principle 9. The awarding body and its providers must maintain accurate documents, records and data.

In advance of the audit, the Accreditation Auditors reviewed the documentation banked on SharePoint by the awarding body. However, it was identified that there had been minimal activity to date on BIIAB's SharePoint site. This has resulted in the documentation not being current and not assigned to the correct regulatory principles, despite the awarding body having been asked and reminded by SQA Accreditation to do so when the new Regulatory Principles 2021 were launched, and the new SharePoint sites having been updated to reflect this change at the end of 2021.

Additionally, the version control document supplied to the Accreditation Auditors after the audit suggest there are various documents that have not been uploaded onto SharePoint and which also appear not to contain version numbers of the documents, only review dates, which may pose issues with tracking most current documents when minor changes are made. Additionally, some of the documents reviewed do contain version numbers that don't appear to be being recorded centrally.

The Accreditation Auditors understand that BIIAB internally has been going through a process of change with the new management and understand that certain areas, such as SharePoint maintenance obligations, may not have been properly understood prior to the audit.

This has been recorded as **Issue 3.**

Regulatory Principle 10. The awarding body must ensure that its systems and processes for the identification, design, development, implementation and review of qualifications and assessments are fit for purpose.

Regulatory Principle 11. The awarding body must ensure that its qualifications portfolio is effectively managed, maintained and reviewed.

The qualification development and review documentation reviewed by the Accreditation Auditors was not appropriate or relevant to SQA accredited qualifications. For example, incorrect terminology is used, and there was no process or timeframes noted within the document for engaging with SQA Accreditation or SQA accredited qualifications. It was confirmed by awarding body representative that since BIIAB was recently taken over by the Skills and Education Group, they made the decision to utilise the Skills and Education Group Awards qualification development and review documentation and process, which they acknowledge is Anglocentric and not yet amended to take into account of SQA Accreditation.

This has been recorded as **Issue 4.**

2.2 Recommendations

No recommendations were recorded.

3 Acceptance of Audit Findings