



# **Audit Report**

**BIIAB**

**23 November 2017**

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# **1 Background**

This was the sixth audit of BIIAB since it was approved as an awarding body by SQA Accreditation in 2006.

BIIAB is a nationally recognised awarding body and is accredited to offer qualifications in Information Technology and Telecommunications, the full suite of Workplace Core Skills, as well as a number of regulatory qualifications in the licensed retail and security sectors.

BIIAB's headquarters are in Farnborough.

## **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.

This was a scoped audit of BIIAB based upon, but not limited to, the areas identified within SQA Accreditation's awarding body audit and provider monitoring strategic plan for 2017–18. This included aspects of the awarding body's operational activities in respect of Regulatory Principles 1, 8, 11, 14 and 15.

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's Regulatory Principles* (2014)
- ◆ all *Regulatory Principles* 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:	23 November 2017
Audit Report approved by Accreditation Co-ordination Group on:	13 December 2017
Audit Report to be signed by BIIAB:	5 February 2018
Action Plan to be e-mailed to <a href="mailto:regulation@sqa.org.uk">regulation@sqa.org.uk</a> by BIIAB:	5 February 2018

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

- ◆ The awarding body will be sent two signed copies of the Audit Report by post.
- ◆ The awarding body must sign both copies of the Audit Report and return one by post to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be e-mailed a copy of the Audit Report (for information only) and an electronic copy of the Action Plan.
- ◆ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and e-mail this in Microsoft Word format to [regulation@sqa.org.uk](mailto: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 two signed copies of the approved Action Plan by post.
- ◆ The awarding body must sign both copies of the Action Plan and return one by post 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 e-mailed 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, three Issues have been recorded and four Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 11	A review of the <i>Centre Manual for the Administration of BIIAB Qualifications within the Security Portfolio, July 2015</i> , highlighted an incorrect statement regarding the need for candidates to provide their ethnic origin as it is required for statistical purposes by SQA Accreditation.	Low
2. Principle 14	A review of the awarding body's Malpractice and Maladministration Policy detailed in the <i>BIIAB Centre Handbook, March 2016</i> , and the <i>Investigating Malpractice and Maladministration, 17 October 2015</i> , indicates insufficient guidance in respect of the reporting of cases of suspected malpractice and/or maladministration to the qualification regulator.	Low
3. Principle 15 and Regulatory Principle Directive RPDIR – 3	A review of the current qualification certificate template held on SharePoint identifies the awarding body as BIIAB Scotland and uses a different logo from that employed elsewhere by the organisation.  BIIAB Scotland does not exist as an independent business and is not the legal entity identified in the current Accreditation Licence.	Low

A Recommendation has been noted where SQA Accreditation considers there is potential for improvement. The awarding body is advised to address any Recommendations noted as good practice. However, measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 6	BIIAB may wish to ensure a timely review of all documentation held on SharePoint, in respect of accuracy, appropriateness and currency, to ensure ongoing compliance with SQA Accreditation’s regulatory requirements.
2. Principle 9	To enhance BIIAB’s <i>Withdrawal of a Qualification, 19 August 2015</i> , the awarding body may wish to ensure that appropriate consideration is given to the requirements of SQA Accreditation’s <i>Accredited Qualification Zero Uptake Policy, v5, 27 September 2016</i> .
3. Principle 10	BIIAB may wish to review the information contained in the ‘Writing Action Plans’ section of the EQA Handbook, March 2016, to remove superfluous references to SVQ development plans and the SVQ Centre Approval Criteria.
4. Principle 14	<p>BIIAB may wish to ensure that any guidance documentation around malpractice and maladministration adequately and fully reflects the nature and impact of maladministration.</p> <p>It may wish to also review guidance documentation in light of SQA Accreditation guidance document, <i>Regulatory Principles Guidance Note – Principle 14 – Reporting and Managing Cases of Malpractice and Maladministration, 1 June 2017</i>.</p>

## **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 11. The awarding body shall ensure that its qualifications and their assessment are inclusive and accessible to learners.**

A review of the *Centre Manual for the Administration of BIIAB Qualifications within the Security Portfolio, July 2015*, highlighted the following statement regarding the need for candidates to provide their ethnic origin as it 'is required for statistical purposes by the Government's regulatory body Ofqual and the Scottish Authority, SQA, which is monitoring that learners from all ethnic origins have access to qualifications throughout the UK'.

SQA Accreditation does not currently require approved awarding bodies to provide any such information for statistical purposes.

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

**Regulatory Principle 14. The awarding body and its providers shall ensure that it has safeguards to prevent and manage cases of malpractice and maladministration.**

A review of the awarding body's Malpractice and Maladministration Policy detailed within the *BIIAB Centre Handbook, March 2016*, notes insufficient guidance in respect of the reporting of cases of suspected malpractice and/or maladministration to the qualification regulator.

Likewise, the awarding body's *Investigating Malpractice and Maladministration, 17 October 2015*, appears to give no indication that BIIAB would alert the qualification regulator to suspected cases of malpractice and maladministration. In particular, point 4.1.5 which states that consideration should be given to whether 'Ofqual, Qualifications Wales, SQA Accreditation and/or the Police should be notified' of any incidents would suggest that this is not the case.

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

**Regulatory Principle 15. The awarding body and its providers shall have effective, reliable and secure systems for the registration and certification of learners.**

And

**Regulatory Principles Directive RPDIR – 3 Logos and certificate requirements for SQA accredited qualifications.**

A review of the current qualification certificate template held on SharePoint identifies the awarding body as BIIAB Scotland and uses a different logo from that employed elsewhere by the organisation.

Discussions on the day of the audit indicated that the use of this particular name and logo relates back to a period when the British Institute of Innkeepers (BII) had a greater presence in Scotland, including a Scottish office, and supported 'national' branding as part of its marketing strategy.

However, BIIAB Scotland does not exist as an independent business and is not the legal entity identified in the current Accreditation Licence.

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

## **2.2 Recommendations**

### **Regulatory Principle 6. The awarding body and its providers shall maintain accurate documents, records and data.**

A review of information held on SharePoint raised a number of questions around the accuracy, appropriateness and currency of BIIAB documentation held there.

Many of the policies and procedures appeared to be written specifically to meet the requirements of Ofqual's *General Conditions of Recognition*, in a number of cases being referenced to specific Ofqual conditions, but with very few instances of equivalent referencing to SQA Accreditation's regulatory requirements.

Discussions on the day of the audit indicated that the increasing focus on Ofqual requirements. This is a consequence of the awarding body's ongoing reorganisation and restructuring, linked to a potential change of ownership of which SQA Accreditation was alerted in July 2016, and has necessitated a full application for recognition to Ofqual

With this process taking longer than expected and proving to be more resource-intensive, the awarding body's representatives acknowledged that there had been an impact on the process of ensuring that policies and procedures continued to meet SQA Accreditation's regulatory requirements.

BIIAB hope to finally complete the application for Ofqual recognition in early 2018 and, with this in mind, may wish to ensure a timely review of all documentation to ensure ongoing compliance with SQA Accreditation's regulatory requirements.

This has been noted as **Recommendation 1**.

### **Regulatory Principle 9. The awarding body shall ensure that it has robust systems and processes for the identification, design, development, implementation and review of qualifications, which meet the needs of users.**

A review of BIIAB's *Withdrawal of a Qualification, 19 August 2015*, outlined a robust, if somewhat Ofqual-focused, procedure to support the decision-making process around the possibility of withdrawing qualifications.

To further enhance the procedure, the awarding body may wish to ensure that appropriate consideration is given to the requirements of SQA Accreditation's *Accredited Qualification Zero Uptake Policy, v5, 27 September 2016*.

This has been noted as **Recommendation 2**.

**Regulatory Principle 10. The awarding body shall ensure that it has the necessary arrangements and resources for the effective delivery, assessment and quality assurance of SQA accredited qualifications.**

BIIAB may wish to review the information contained in the 'Writing Action Plans' section of the EQA Handbook, March 2016, which references both a need for an SVQ development plan and the need to reference the SVQ Centre Approval Criteria.

This is superfluous as BIIAB does not deliver Scottish Vocational Qualifications (SVQs) and the SVQ Centre Approval Criteria are no longer current.

This has been noted as **Recommendation 3**.

**Regulatory Principle 14. The awarding body and its providers shall ensure that it has safeguards to prevent and manage cases of malpractice and maladministration.**

BIIAB may wish to ensure that any guidance documentation around malpractice and maladministration adequately and fully reflects the nature and impact of maladministration. For example, the audit team noted that despite the title of the awarding body's *Investigating Malpractice and Maladministration, 17 October 2015*, no reference was made to maladministration.

Therefore, BIIAB may wish to review all guidance in light of SQA Accreditation guidance document, *Regulatory Principles Guidance Note – Principle 14 – Reporting and Managing Cases of Malpractice and Maladministration, 1 June 2017*.

This has been noted as **Recommendation 4**.

### **3 Acceptance of Audit Findings**

For and on behalf of BIIAB:

For and on behalf of SQA Accreditation:

**Print name**

**Print name**

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**Signature**

**Signature**

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