



Audit Report

Excellence, Achievement and Learning Limited (EAL)

1 February 2023

Contents

1 Background	1
1.1 Scope	1
1.2 Audit Report and Action Plan Timescales	2
1.3 Summary of Audit Issues and Recommendations	3
1.4 Risk Rating of Issues	4
2 Detail of Audit Issues and Recommendations	5
2.1 Issues	5
2.2 Recommendations	5
3 Acceptance of Audit Findings	6

1 Background

This was the fifteenth audit of the EAL since it was approved as an awarding body by SQA Accreditation in October 1997.

EAL is a specialist skills partner and awarding body for industry. EAL is part of Enginuity – the Enginuity Group which is a not-for-profit organisation responsible for engineering skills for the future of the UK's most advanced sectors. EAL's head office is in Watford.

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 EAL, 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 EAL 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 EAL'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

EAL audit date:	1 February 2023
Audit Report approved by Accreditation Co-ordination Group on:	15 March 2023
Audit Report to be signed by EAL:	2 May 2023
Action Plan to be emailed to regulation@sqa.org.uk by EAL:	2 May 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 EAL 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, two Issues have been recorded and zero Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 6	The awarding body’s SharePoint site was not fully up to date.	Low
2. Regulatory Principles Directive (RPDIR) – 3: Logos and certificate requirements for SQA accredited qualifications. And Principle 15	The statement detailing the credit rating body of the qualification was missing from the awarding body’s certificate template.	Low

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

In advance of the audit, the Accreditation Auditors reviewed documentation banked on EAL's SharePoint site. However, there were various documents that appeared out of date. This was subsequently confirmed by awarding body representatives during audit discussions and updated or changed documents were highlighted throughout the day.

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

Regulatory Principles Directive (RPDIR) – 3: Logos and certificate requirements for SQA accredited qualifications

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

The Accreditation Auditors reviewed the certificate template uploaded onto EAL's SharePoint site and it was identified that the certificate did not contain the mandatory credit rating body statement. SQA Accreditation's Regulatory Principles Directive 3 states, '*The following requirements must be recorded on either the commemorative/Unit certificate or the transcript....Where the qualification has been credit rated, a statement must also be included to acknowledge the Credit Rating Body*'.

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

2.2 Recommendations

Zero Recommendations have been recorded.

3 Acceptance of Audit Findings