Audit Report

Engineering Construction Industry Training Board (ECITB)

14 March 2019

Contents

1 Background

This was the 14th audit of the Engineering Construction Industry Training Board (ECITB) since it was approved as an awarding body by SQA Accreditation in 1993.

ECITB is a nationally recognised awarding body that deals with competence-based qualifications in engineering construction. Its headquarters are in Kings Langley.

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 audit of ECITB, 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 ECITB 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 ECITB'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

ECITB audit date: 14 March 2019

Audit Report approved by
Accreditation Co-ordination Group on: 3 April 2019

Audit Report to be signed by ECITB: 20 May 2019

Action Plan to be e-mailed
to regulation@sqa.org.uk by ECITB: 20 May 2019

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 emailed 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 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 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 ECITB 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, one Issue has been recorded and three Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 15, RPDIR 3	The awarding body's certificate and unit transcript templates does not include a statement regarding the credit rating body.	Low

A Recommendation has been noted where SQA Accreditation considers there is potential for enhancement. The awarding body is advised to address any Recommendations in order to reinforce ongoing continuous improvement. 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. Principles 5, 6	It is recommended that, for the purposes of accuracy, the awarding body review all policies and documents within their review cycle and update the references from SCQF to SQA accredited qualifications where appropriate.
2. Principles 10, 6, 4	Given the imminent changes to external quality assurance activity, it is recommended that documentation, policies and processes be updated to reflect all of the new EQA aspects.
3. Principles 12, 13	The specific contact information for SQA Accreditation within complaints and appeals policies was incorrect; SQA Awarding body's phone number and website link was listed, rather than SQA Accreditation's. This is being recorded as a Recommendation, as the recently produced Provider Monitoring Report is dealing with similar issues that the awarding body will address through the Provider Monitoring Visit (PMV) report action plan process.

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 ECITB'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 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

The Accreditation Auditors reviewed the awarding body's certificate and unit transcript templates, neither of which included a statement regarding the credit rating body.

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

2.2 Recommendations

Regulatory Principle 5. The awarding body shall provide clear information on its procedures, products and services and ensure that they are accurate and appropriate to SQA accredited qualifications.

And

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

Awarding body documents and policies frequently refer to 'SCQF qualifications', where the correct terminology is SQA accredited qualifications. SCQF is the qualification framework; it is independent and in no way affiliated with SQA Accreditation. Therefore, it is recommended that, for the purposes of accuracy, the awarding body review all policies and documents within their review cycle and update the references where appropriate.

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

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.

And

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

And

Regulatory Principle 4. The awarding body shall continually review the effectiveness of its business services, systems, policies and processes.

The awarding body discussed the new external quality assurance (EQA) model being rolled-out for providers with the Accreditation Auditors. These changes include EQA visits dropping from two to one per year, with the addition of a virtual visit to review certain aspects of provider quality assurance remotely. In addition, the awarding body is transitioning to a risk-based approach for scheduling provider visits. Given these imminent changes, it is recommended that documentation, policies and processes, be updated to reflect all of the new EQA aspects.

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

Regulatory Principle 12. The awarding body and its providers shall have open and transparent systems to manage complaints.

And

Regulatory Principle 13. The awarding body and its providers shall have clear, fair and equitable procedures to manage appeals.

The Accreditation Auditors reviewed the awarding body policies on complaints and appeals. The specific contact information for SQA Accreditation contained within these policies was incorrect; SQA Awarding body's phone number and website link, rather than SQA Accreditation's. This is being recorded as a Recommendation, as the recently produced Provider Monitoring Report is dealing with similar issues that the awarding body will address through the PMV report action plan process.

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

3 Acceptance of Audit Findings

For and on behalf of ECITB: For and on behalf of SQA Accreditation:

Print name   **Print name**

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Signature   **Signature**

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Designation   **Designation**

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Date   **Date**

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