



# **Audit Report**

**EduQual Ltd**

**13 June 2019**

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# **1 Background**

This was the first audit of EduQual since it was approved as an awarding body by SQA Accreditation on 21 March 2018.

EduQual is an awarding body operating internationally and delivering qualifications in Business Skills, Business Management, Medical Technology and Healthcare, as well as Islamic Finance. Current SQA accredited provision relates solely to the Medical Technology and Healthcare sectors.

EduQual is based in London.

## **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 EduQual, 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 EduQual 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 EduQual'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**

EduQual: audit date:	13 June 2019
Audit Report approved by Accreditation Co-ordination Group on:	24 July 2019
Audit Report to be signed by EduQual:	4 September 2019
Action Plan to be e-mailed to <a href="mailto:regulation@sqa.org.uk">regulation@sqa.org.uk</a> by EduQual:	4 September 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 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 EduQual 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.

<b>Issue</b>	<b>Detail of Issue recorded</b>	<b>Risk rating</b>
1. Principle 6	EduQual must review and maintain the currency of policies, procedures and other documentation held on SQA Info Centre.	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.

<b>Recommendation</b>	<b>Detail of Recommendation noted</b>
1. Principle 6	EduQual may wish to consider the inclusion of an additional step in the document review process, evidencing the relevant actions through the inclusion of an additional column within the document review log, as a means of ensuring currency and relevance of documentation held within SQA Info Centre.
2. Principle 9	EduQual may wish to revise its qualification review process to ensure that any forthcoming reviews of SQA accredited provision incorporate a check on the SCQF credit rating, where appropriate.
3. Principles 12 and 13	EduQual may wish to ensure that approved centres fully understand its policies and procedures for complaints and appeals.

## **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 EdQual'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 and its providers shall maintain accurate documents, records and data.**

Prior to the post-approval development visit undertaken by SQA Accreditation on 27 September 2018, it was noted that EduQual had not updated SQA Info Centre in respect of policies and procedures and other supporting documentation as previously requested.

SQA Accreditation representatives highlighted the need to address this lack of information as a matter of urgency but noted that EduQual representatives had been experiencing difficulties in accessing SharePoint. All parties agreed to resolve the issue as soon as possible to ensure that the documentation submitted as part of awarding body approval and initial accreditation was available by the end of October 2018.

SQA Info Centre was duly populated by the agreed deadline of 31 October 2018. However, a pre-audit check of what was available on SQA Info Centre revealed that a small number of Regulatory Principles lacked sufficient supporting documentation and there remained a few minor issues around currency of policies and procedures.

For example, no information was provided in respect of Regulatory Principle 2, with only a single document being available for Regulatory Principles 3, 4 and 8.

In the case of Regulatory Principle 5, a range of documentation was provided, some of which was perhaps more pertinent to Regulatory Principle 10. Examples include the awarding body's *Assessment Submission Declaration and Outcome, Issue 1.0, June 2018*, *Assignment Brief Cover Sheet, Issue 1.1, January 2018*, and the *CAAP Guidance and Procedures for Centres, Issue 2.1, January 2018*.

In terms of currency, the audit team noted a number of documents that contained references to data protection legislation that suggested a lack of review in line with the introduction of the General Data Protection Regulations (GDPR) in May 2018. Examples include the awarding body's *Centre Agreement, Issue 9.3, January 2018*, and the *Confidentiality and Privacy Policy, Issue 5.1, January 2018*.

A range of documentation is included which does not appear to be relevant to SQA Accreditation or SQA accredited provision. Examples include the awarding body's *Adoption Leave Policy, Issue 5.1, January 2018* and the *EduQual Customised Qualifications Service (ECQS), Guidance for Centres Handbook, v3.1, March 2018*, with associated forms for completion.

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

## 2.2 Recommendations

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

As part of the discussions around Issue 1, EduQual representatives provided the audit team with a document review log which noted the status of relevant policy and procedure updates that had taken place in 2019.

The audit team noted no concerns around the review process and the documented updates, but were of the opinion that the process would benefit from an additional step determining whether there was a need to upload revised policies and procedures to SQA Info Centre.

Therefore, EduQual may wish to consider adding such a step to the review process, evidencing the relevant actions in an additional column within the document review log, as a means of ensuring the currency and relevance of documentation held within SQA Info Centre.

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.**

During the audit, possible amendments were discussed to both the *Certificate in Clinical Aesthetic Injectable Therapies at SCQF level 11, R571 04*, and the *Diploma in Clinical Aesthetic Injectable Therapies at SCQF level 11, R572 04*. As a part of the process, and prior to submission to SQA Accreditation, EduQual were advised to check if there was any potential impact upon the relevant SCQF credit rating for each qualification.

More generally, EduQual may wish to revise its qualification review process to ensure that any forthcoming reviews of SQA accredited provision incorporate a check on the SCQF credit rating, where appropriate.

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.**

Discussion took place around a possible complaint/appeal that was noted by an approved EduQual centre as part of SQA Accreditation's provider monitoring activities in 2019.

No concerns were identified by the audit team around how the matter identified had been addressed by the awarding body, but it was noted that it had not been recorded in the

awarding body's complaints or appeals logs. This appeared to be an oversight on the part of the awarding body, and SQA Accreditation considered raising an Issue to this effect.

However, upon revisiting the matter at the closing meeting, it became apparent that it had not formally been logged by the approved centre as either a complaint or an appeal. It was in fact a notification of a possible candidate enquiry to this effect, as well as a request for reassurance that appropriate steps to address the matter had been taken by centre personnel. This took the form of direct e-mail correspondence with EduQual's CEO, and as no appeal or complaint was subsequently forthcoming from the candidate, the matter was closed at this stage.

Nonetheless, given the fact that the approved centre highlighted to SQA Accreditation that a candidate complaint or appeal had occurred and had been identified to EduQual, the awarding body may wish to ensure that approved centres fully understand its policies and procedures for complaints and appeals.

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

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

For and on behalf of EduQual:

For and on behalf of SQA Accreditation:

**Print name**

**Print name**

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**Signature**

**Signature**

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**Document control and revision history**

<b>Version</b>	<b>Date</b>	<b>Author</b>	<b>Amendment Details</b>
11	18 March 2019	Senior Regulation Manager	Removal of the wording reference to 'good practice' under recommendations Footer updated.