

CRITERIA FOR THE RECOGNITION OF AWARDING BODIES

Standard 1: Governance

Criterion Statement: The awarding body's corporate governance, strategic aims, objectives and policies are appropriate and are understood by all who refer to them.

Standard 1.1	The awarding body has been established in accordance with the regulatory requirements of the country of origin
Indicator	Institution followed the appropriate legislation in its establishment
Examples of Evidence	Necessary documentation establishing the institution
Standard 1.2	The awarding body has robust and transparent governance arrangements
Indicators	<p>Governance arrangements must include:</p> <ol style="list-style-type: none"> 1. A clear distinction between the organisation's role as an awarding body and any other functions ensuring that: <ul style="list-style-type: none"> • Multiple roles do not constitute a barrier to access or restrictive practice. • Effective measures have been taken to manage the potential for conflicts of interest. 2. A mechanism to notify the BAC, in writing, of any change to: <ul style="list-style-type: none"> • The governance arrangements. • Any partnership arrangements and associated partnerships agreement.
Examples of Evidence	<ul style="list-style-type: none"> ○ Organisational chart(s) illustrating independence and separation between awarding body and other functions. ○ Terms of reference for committees and board showing independent element on board and/or the most senior committee. ○ Job descriptions illustrating reporting lines, roles and responsibilities. ○ Written agreements, memoranda of understanding, franchise arrangements etc to illustrate areas of responsibility and indicate review of, and changes to, responsibilities. ○ Documentation that demonstrates that adequate measures have been put in place to ensure that any conflicts of interest are suitably managed.
Standard 1.3	The awarding body's leadership is effective
Indicators	<p>The awarding body's leadership must ensure that:</p> <ol style="list-style-type: none"> 1. The management of the organisation is defined by evidence-based decision making. 2. The organisation has a clear strategic vision for the future that is based upon the needs of its stakeholders. 3. Employees and customers are aware of the strategic vision for the organisation's future. 4. The organisation's leadership encourages continuous

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	<p>improvement to meet customer needs.</p> <p>5. Staff, at all levels, are encouraged to maintain and enhance levels of professional competence.</p>
Examples of Evidence	<ul style="list-style-type: none"> ○ Documentation that illustrates that the organisation actively seeks feedback from others, for example, staff opinion surveys, customer surveys, complaints procedures etc ○ The organisation's published strategic or mission statement. ○ Notes of meetings with customers and staff where the strategic vision has been discussed. ○ Policy for continual professional development of staff. ○ Performance management and training records. ○ Action resulting from internal reviews of key performance indicators.
Standard 1.4	The awarding body has an effective business planning process
Indicators	<p>The awarding body records and documents the outcome of its business planning process. The business plan should include:</p> <ol style="list-style-type: none"> 1. Provision for all its accredited qualifications. 2. Is communicated to all internal and external stakeholders that have a legitimate interest in it. 3. Contains aims (goals) and objectives, which relate to the current and future needs of the awarding body, its stakeholders and BAC accredited qualifications. 4. Is formally evaluated, at least, on an annual basis with a view to improvement. 5. Includes a policy for marketing its BAC accredited qualifications that is effective and takes into account the present and future needs of the awarding body and its stakeholders. 6. The awarding body has the financial capacity to sustain its operations. 7. The awarding body is supported by adequate physical and information technology infrastructure.
Examples of Evidence	<ul style="list-style-type: none"> ○ Procedure for business planning. ○ Copies of agendas and minutes from planning meetings. ○ Policies register showing the marketing policy. ○ Market research materials. ○ Income and expenditure statements ○ Budget demonstrating commitment to developing capacity within and across the organisation ○ Financial statements that demonstrate financial solvency ○ Website containing marketing information and business plan that is regularly updated. ○ Business plan document. ○ Copies of reviews of the effectiveness of the organisation's policy, standards and quality. ○ Action plan linked to the evaluation of the business plan.

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	<ul style="list-style-type: none"> ○ Analysis of centre approval rates, qualifications uptake etc. ○ Strengths, weaknesses, opportunities and threats (SWOT) analysis. ○ A customer profile. ○ Evidence that the business plan has been agreed to and signed off by the main board or Chief Executive. ○ Documented processes for acquisition, maintenance and replacement of physical resources. ○ Dedicated and secure information technology to support administration, client databases and monitoring and evaluation.
Standard 1.5	The awarding body assigns a single, named point of accountability for maintaining the quality of all qualifications
Indicators	<p>The awarding body has assigned:</p> <ol style="list-style-type: none"> 1. Individual with specific responsibility for the maintenance of quality and standards 2. A department or team who reports to the designated person on the quality and standards of all qualifications
Examples of Evidence	<ul style="list-style-type: none"> ○ Organisational chart showing the structure of the section with responsibility for the maintenance and enhancement of quality and standards ○ Job descriptions ○ Copies of reviews of qualifications ○ Copies of reviews of policies and procedures for the quality maintenance of qualifications ○ Documented processes for the preparation and delivery of programmes ○ Documented processes for administration of examinations ○ Documented processes for the assessment of examinations ○ Documented processes for the verification of awards

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Standard 2:

Quality Enhancement

Criterion Statement:

The awarding body has developed and implemented a robust quality framework that ensures a quality product is delivered to the candidates. The awarding body and its staff are committed to a quality culture of continuous improvement through review and evaluation.

Standard 2.1	The awarding body has a culture of continuous quality improvement
Indicators	<p>The awarding body must:</p> <ol style="list-style-type: none"> 1. Have procedures for acquiring and analysing feedback on the effectiveness of the awarding body service form key stakeholders and customers against the awarding body's key performance indicators. 2. Documented internal quality assurance system to monitor compliance with BAC's criteria. 3. Conduct a review at least once per year which covers the following as a minimum: <ul style="list-style-type: none"> ○ Administrative arrangements. ○ Registration and certification. ○ Appeals, complaints and equal opportunities policies. ○ Quality assurance of BAC accredited qualifications. ○ Provision of data required by BAC. ○ Customer service statement against its key performance indicators. ○ Staffing levels. ○ Competence and deployment of external verifiers. ○ Risk assessment process. ○ Monitoring system for approved centres. 4. Implement improvements as a result of the review which ensure that: <ul style="list-style-type: none"> ○ Bureaucracy is kept to a minimum. ○ The allocation of resources is sufficient to meet the needs of the organisation and its customers. ○ The service for the design and delivery of accredited qualifications is responsive to the needs of customers. ○ Costs associated with the delivery of accredited qualifications are minimised. ○ The systems and procedures in place meet the criteria of BAC
Examples of Evidence	<ul style="list-style-type: none"> ○ Customer feedback forms, surveys etc that seek the views of customers and other stakeholders. ○ Evidence that the organisation, on a regular basis, evaluates its performance against the customer service statement and where necessary take improvement action.

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	<ul style="list-style-type: none"> ○ SWOT and/or Political, Economic, Social and Technological (PEST) analyses. ○ Evaluation of the awarding body key performance indicators. ○ Self-assessment reports. ○ Report detailing the outcomes of the review of systems and procedures and identifying key target areas for improvement and development. ○ Analysis of resource levels against current and projected workload. ○ Pricing policy and structures and a rationale for any changes made to the pricing structure. ○ Analysis of the costs associated with the delivery of the qualifications. ○ Analysis of external verifier reports, identifying issues across centres and action taken due to the analysis
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Standard 3: Administration and Support

Criterion Statement: The awarding body’s administrative and support arrangements have been designed to reduce bureaucracy, are responsive to stakeholders needs, and are cost effective. The Council continually reviews its qualification provision to ensure it has, and deploys, sufficient resources to administer and support its qualification provision.

Standard 3.1	The awarding body has robust systems in place for the management of the services it offers
Indicators	<p>The Council must have systems in place to:</p> <ol style="list-style-type: none"> 1. Support the design and delivery of qualifications. 2. Ensure that staffing levels are sufficient to support the Council’s activities in the design and delivery of qualifications. 3. Ensure that staff are trained to support the organisation’s activities in the design and delivery of qualifications. 4. Deploy sufficient resources to administer and support the design and delivery of qualifications. <p>The Council’s management information system(s) must have:</p> <ol style="list-style-type: none"> 5. Security measures in place to prevent unauthorised use. 6. Controls in place to ensure that unauthorised certificate printing cannot take place. 7. Been designed to meet the requirements of all relevant legislation.
Examples of Evidence	<ul style="list-style-type: none"> ○ Reports and/or evidence of review of management on the effectiveness of resources such as Information Technology (IT), staffing levels etc

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	<ul style="list-style-type: none"> ○ Action plan detailing improvements to systems. ○ Analysis of resource levels against current and projected workload. ○ Training needs analysis. ○ Job specifications and recruitment policy and procedures. ○ Organisational chart. ○ Evidence of compliance with the Health and Fire regulations. ○ Evidence of compliance with the Data Protection Act.
Standard 3.2	The awarding body has effective communications strategy that supports its awarding body activities.
Indicators	<p>The Council must:</p> <ol style="list-style-type: none"> 1. Work to ensure ongoing development, currency and credibility of the qualifications. 2. Communicate to its approved centres, external verifiers and other key stakeholders, any pertinent information in connection with BAC accredited qualifications and the awarding body activities. 3. Ensure that internal communication systems allow for the dissemination of information relating to the awarding body's activities or the accreditation of qualification. 4. Ensure that BAC is granted access to the following from awarding body and approved centres: assessment locations, candidates, premises, meetings, documents, data, analysis, and evaluation activities. 5. Have processes in place to ensure BAC is sent data in the agreed format and by agreed timescales.
Examples of Evidence	<ul style="list-style-type: none"> ○ Minutes of awarding body forum. ○ Communications between centres and the awarding body ○ Communications between BAC and the awarding body. ○ Evidence of attendance at relevant BAC meetings and events. ○ Internal newsletters, flyers, etc ○ Notes/agenda for internal and/or external training events. ○ Quarterly registration and certification returns are sent to BAC by agreed timescales. ○ Data requested for audit and centre monitoring purposes is sent to BAC by the agreed time.
Standard 3.3	Where applicable, the awarding body has systems and procedures for approval of centres
Indicators	<p>The awarding body must:</p> <ol style="list-style-type: none"> 1. Ensure that all centres within which assessment will take place are capable of meeting the full requirements of the centre approval criteria prior to any candidates being assessed or certificated for an accredited qualification. 2. Seek BAC's written approval for any amendments to the centre approval criteria prior to their implementation. 3. Ensure that each centre identifies a single named point of

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	<p>accountability.</p> <ol style="list-style-type: none"> 4. Require all potential centres to make a formal approval application that demonstrates the centres' compliance. 5. Ensure that where a partnership or consortium is seeking centre approval that the roles and responsibilities in relation to the linked centres are clearly set out in a written agreement. 6. Require a centre to declare, in its centre approval application, if it has had approval refused, suspended or withdrawn. 7. Inform a centre that applies for centre or qualification approval of its approval decision in writing. 8. Inform a centre of its right to appeal an approval decision made by the awarding body. 9. Ensure that an external verifier visits approved centres before the first candidate is certificated. 10. Ensure that centres not previously approved to offer BAC accredited qualifications receive an external verification visit prior to approval. 11. Provide potential centres with appropriate guidance and support on the awarding body's approval process. 12. Ensure that a centre provides evidence of approval of assessment/satellite sites and demonstrates that the quality assurance arrangements are consistent with those of the main centre. 13. Require approved centres to inform it of any key changes. 14. Retain and make to BAC on request: <ol style="list-style-type: none"> a. Approval applications. b. Approvals visit reports. c. Details of the outcome of such visits. 15. Have and maintain an accurate register of its approved centres and the qualifications each centre has been approved to offer. 16. The awarding body must inform its approved centres that they must provide BAC with timely access to locations and records for monitoring purposes.
<p>Examples of Evidence</p>	<ul style="list-style-type: none"> ○ Published centre approval criteria. ○ Centre approval applications. ○ Approved centre files. ○ Reports that illustrate how new centres are being visited prior to approval by an external verifier. ○ Awarding body feedback to centres on the outcome of the centre and qualification approval process. ○ Evidence that any action plan agreed at the time of centre approval has been achieved in full prior to first candidate certification. ○ Copies of written agreements between linked centres. ○ Copies of checklists against which assessment locations have been approved. ○ Evidence of the centre informing the awarding body of changes

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	<p>to its assessors, verifiers and ownership.</p> <ul style="list-style-type: none"> ○ Approval guidance documents. ○ Where appropriate, the awarding body allows credit transfer. ○ Verifier report illustrating that the awarding body has reviewed the potential centre's assessor and verifiers to ensure occupational competence, experience and that they hold or are registered for the relevant assessor and verifier qualifications.
Standard 3.4	The awarding body has a customer service statement and identified service levels
Indicators	<p>1. The customer service statement must be freely available to all who may wish to make use of it. The customer service statement must specify:</p> <ul style="list-style-type: none"> a. The quality of service a customer can reasonably expect. b. Relevant point(s) of contact and communication mechanisms. c. Measurable outcomes, such as timescales and associated performance measures. <p>The customer service statement must specify, or indicate, where information may be found on:</p> <ul style="list-style-type: none"> d. The fees and charges. e. Summary details of the awarding body complaints and appeal procedures. f. Summary details of the awarding body's quality assurance mechanisms for centre approval and external verification.
Examples of Evidence	<ul style="list-style-type: none"> ○ Where the awarding body is part of a partnership or consortium, the customer service statement specifies the main point of contact. ○ Evidence that the customer service statement is made available freely to customers and prospective customers. ○ Evidence that the customer service statement is updated as a result of review and customer feedback. ○ Evidence that the published customer service statement meet policies, timelines and procedures used internationally by awarding bodies. ○ Details of how the customer may communicate with the provider out of office hours. ○ Details of e-mail, fax, telephone and communications facilities.
Standard 3.5	The awarding body has open and transparent procedures for complaints and appeals
Indicators	<p>1. The awarding body must publish and implement an appeals and a complaints procedure which includes:</p> <ul style="list-style-type: none"> a. The system for making a complaint or an appeal. b. A specified point of contact. c. The circumstances under which a centre or candidate is entitled to make an appeal or complaint to the awarding body. d. The circumstances under which a centre or candidate is entitled to make an appeal or complaint to the BAC.

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	<p>e. Response times and anticipated timescales for dealing with complaints or appeals.</p> <p>f. Any charge for making a complaint or an appeal.</p> <p>2. The appeals procedure must be designed to resolve any disputes arising from assessment or verification decisions, centre approval decisions, and certification claims.</p>
Examples of Evidence	<ul style="list-style-type: none"> ○ A published appeals procedure. ○ A published complaints procedure. ○ Evaluation reports. ○ Appeals register. ○ Complaints register. ○ A fees policy and list of fees charged for making an appeal or a complaint. ○ Evidence that the awarding body has kept the complainant or appellant informed of the progress of the appeal or complaint. ○ Evidence that appeals and or complaints are being resolved within specified timescales
Standard 3.6	The awarding body has an effective system for the registration and certification of candidates
Indicators	<p>The awarding body must:</p> <ol style="list-style-type: none"> 1. Make every reasonable effort to collect each candidate's national registration number at the point of registration. 2. Ensure that candidates who complete the requirements for a qualification or unit receive a certificate in the format agreed at the time of recognition by the Council. 3. Ensure that certificates can only be issued when all the requirements for the qualification have been met and the claim authenticated. 4. Recognise the previous achievement of any units that may be common to other qualifications and to uphold the principle of credit transfer. 5. Ensure safeguards are in place to protect against fraudulent, invalid or mistaken claims for certification. 6. Have a system in place for the issuing of replacement certificates. 7. Ensure that replacement certificates are clearly marked as such.
Examples of Evidence	<ul style="list-style-type: none"> ○ Each qualification certificate must include the agreed title, the level, the date of the issue of the certificate, and the logos and credit points (where applicable). ○ Each qualification must include the awarding body designation ○ Evidence that the awarding body offers certificates at unit and whole qualification level. ○ Evidence that the awarding body recognises previous achievement.
Standard 3.7	The awarding body has implemented a diversity and equality strategy

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Indicators	<ol style="list-style-type: none"> 1. The awarding body's diversity and equality strategy, related policies and procedures must comply with all current legislation. 2. The awarding body must have an equal opportunities policy that is freely available to all who may wish to make use of it. 3. The awarding body must ensure that all relevant members of staff receiving training on the organisations equal opportunities strategy, relevant policies and procedures. 4. The awarding body must have a policy and a procedure for special assessment arrangements, which are freely available to all who may request that service.
Examples of Evidence	The awarding body has implemented a diversity and equality strategy
Indicators	<ul style="list-style-type: none"> ○ The awarding body's diversity and equality strategy, related policies and procedures must comply with all current legislation. ○ The awarding body must have an equal opportunities policy that is freely available to all who may wish to make use of it. ○ The awarding body must ensure that all relevant awarding body members of staff receive training on the organisations equal opportunities strategy, relevant policies and procedures. ○ The awarding body must have a policy and procedure for special assessment arrangements, which are freely available to all who may wish to make use of them. The awarding body's policy and procedures for special assessment arrangements must: <ol style="list-style-type: none"> a. State the procedure that centres must follow to apply for special assessment arrangements. b. Ensure that candidates who have taken ill at short notice are given fair access to assessment and verification. c. Ensure that the qualifications assessment specifications are not invalidated. ○ The awarding body must have a policy and procedure for reasonable adjustments, which are freely available to all who may wish to make use of them. The awarding body's policy and procedure for reasonable adjustments must: <ol style="list-style-type: none"> a. State the procedure that centres must follow to apply for reasonable adjustments on behalf of candidates. b. Ensure that the qualification's assessment specifications are not invalidated. c. Ensure that the adjustments take into consideration the current needs of the candidate and do not give the candidate an unfair advantage.