

# Inspectors' Handbook

## Guidance on preparing for and conducting BAC inspections



**RAISING STANDARDS IN THE  
GLOBAL EDUCATION MARKET**

This document describes the procedures to be observed by BAC inspectors when visiting organisations to conduct inspections. It is a confidential document, which should not be disclosed to third parties.

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## Introduction

This handbook sets out the rationale and procedures underpinning BAC's inspection system. It is essential that inspectors are thoroughly familiar with these and use this handbook for reference when preparing for and undertaking inspections. Whilst it is accepted that 'one size does not fit all', the guidance provided in this document should be followed in the vast majority of cases. It is accepted that there will always be occasions when a different approach is required in particular circumstances.

BAC is dependent on the experience, expertise and integrity of its inspectors and welcomes suggestions from them for improvements in its inspection processes.

Inspectors are required to be familiar with the information provided on the Inspectors' Gateway section of the BAC website and also the contents of the current Accreditation Handbook and all accreditation scheme documents. The scheme documents set out the inspection areas, standards and key indicators that the inspection team must focus on in order to assess whether the institution meets the standards.

### 1. Inspection rationale

- 1.1 BAC's fundamental purpose is to provide globally respected and rigorous inspection-based accreditation to enhance the standards and quality of the organisations it accredits. One of the principal ways that BAC fulfils this aim is through the inspection and inspection report writing processes, which are carried out by BAC's inspectorate.
- 1.2 The inspection process underpins the BAC accreditation system. The main purposes of BAC accreditation are to provide:
  - A benchmark against a set of internationally recognised British quality standards
  - Market differentiation to stand out in a competitive market and in so doing promote courses and services to stakeholders
  - Assurance and confidence in collaborative partnerships raising profile and promoting trust
  - Assurance and confidence for students and parents that they have selected an educational institute that delivers high quality educational services
  - Assured evidence of BAC accredited status with access to the BAC quality mark to help institutions differentiate themselves in the education market
  - Access to the international student market via the Short-Term Study Visa route (UK providers only)
- 1.3 BAC delegates its authority to make decisions on the award, deferral, refusal or withdrawal of accreditation to its Accreditation Committee (AC). It is essential for their own protection that inspectors remain distant from the final decision on accreditation and should emphasise in feedback to the institutions that they simply report to the AC, which is the only body with authority to make the decision. BAC's professional indemnity insurance policy provides the means for defending both BAC and individual inspectors, but there should be no reason for individuals to be involved in any such liability.

## 2. BAC inspectors: inspectors' general rules and responsibilities

### General

BAC inspectors are contracted to undertake specific tasks on a self-employed basis. Inspectors are issued with an annual Contract for Services in October of each year.

It is essential that inspectors familiarise themselves with the procedures and requirements set out in this handbook, the current Accreditation Handbook and all scheme documents, and ask for clarification where required. Inspectors are also required to keep up to date with changes to legislation and changes made to the requirements imposed by regulatory bodies.

Although BAC makes every reasonable effort to ensure that inspectors are offered regular opportunities to participate in inspections, the frequency with which an inspector is offered work depends to a large extent on the number of applications in the area in which he or she has particular expertise.

Inspection teams are made up of a Lead Inspector (LI), Team Inspectors (TIs) and, for Higher Education (HE) institutions, a Student Inspector (SI). The size of the institution and the breadth of the provision determine the size and make-up of individual inspection teams. It is common for inspections to involve only one inspector.

### 2.1 Responsibilities of inspectors

- 2.1.1** Inspectors should treat documentation and other information supplied by BAC, as well as the outcome of the inspection, with strict confidence. They should also ensure that the contents and format of this handbook are not disclosed to any third party, unless specific authority to do so has been obtained from BAC's Chief Executive or Chief Inspector.
- 2.1.2** Inspectors are responsible for briefing themselves fully on the operations of the inspected institution before the inspection and on BAC's procedures and criteria as set out in the documentation provided.
- 2.1.3** Inspectors are required to complete an annual Declaration of Interest stating any institutions with which they have a connection. In accepting BAC's invitation to participate in a particular inspection, inspectors are declaring that they are not involving themselves or BAC in any possible conflict of interest. They are also asked to state specifically that they have no conflict of interest with regard to each inspection on which they are deployed.

Inspectors sign a code of conduct in October each year, which sets out the high standards of behaviour that are expected from them when accepting an inspection assignment and throughout the inspection process. This code of conduct is supported by BAC's anti-bribery and anti-corruption policy ([Appendix A](#)). Inspectors are expected to familiarise themselves with the content of these documents and ensure that they abide by their terms and conditions at all times.

Inspectors also sign an annual fitness-to-travel form. By signing this, inspectors confirm that they know of no medical reason that prevents them from undertaking inspections that involve international air travel and that they are aware of the potential risks associated with air travel and Deep Vein Thrombosis. They also agree to inform BAC of any medical condition as it arises and on a case-by-case basis that may affect their ability to undertake inspections involving travel.

- 2.1.4** Inspectors are expected to treat staff in the inspected institutions as professional colleagues and to avoid behaviour which could be seen as disrespectful or intimidating. It should be the inspectors' intention to avoid disruption of the institution's normal activities as far as possible during the inspection.

Inspectors are expected to present themselves in a manner which engenders professional respect and avoids negative comment, whether in terms of dress, personal hygiene or behaviour. They should wear their identity badges at all times during the inspection and be courteous especially if their legitimate enquiries appear to be being deliberately frustrated.

- 2.1.5** Many of the institutions inspected by BAC are relatively small but offer courses in a wide range of subject areas. Accordingly, inspectors may at times be required to observe teaching which falls outside their own specialisms.
- 2.1.6** Inspectors should pay particular attention to the avoidance of any behaviour or comment that could be construed to be unlawfully discriminatory or against the legitimate interests of the inspected institution. Inspectors resident in the United Kingdom (UK) are given general protection under BAC's professional indemnity insurance when giving professional advice.
- 2.1.7** During and after an inspection, TIs and Sis should carry out the duties reasonably assigned to them by the LI including, within an agreed time period, the production of a short written report on the areas assigned to them. This may be in the form of notes or bullet points rather than text that can be directly included in the final report.

Institutions are required to complete a self-evaluation report and return this to BAC during the application process. This will be forwarded to the LI by BAC's office. LIs must check that they have received the completed report and contact the office if this is not the case and, if required, chase up its return directly with the institution.

- 2.1.8** Institutions are required to complete a Data Collection Form (DCF) and present this to the LI at least 10 days before the inspection. Alternatively, this document might be sent to inspectors by the BAC office. It is the responsibility of the LI to chase up the return of this document and to check the data provided to ensure that it is accurate and complete and amend it if necessary. The completed form needs to be sent back to the BAC office electronically with the institution report. **The DCF should be completed in word format (rather than PDF) so that it can be amended if necessary.**
- 2.1.9** Any difficulties arising out of an inspection or in connection with the execution of an inspector's duties should be reported to the BAC immediately without delay **and during the inspection itself if necessary and if assistance is required to ensure the integrity and robustness of the inspection.** The LI should ensure that all the members of the inspection team have his/her contact telephone number in case they have any last-minute problems.

## **2.2 Quality assurance of the inspectorate and inspection process**

BAC demonstrates its commitment to the quality assurance of its own processes, not only through regular training and briefing of inspectors and the maintenance of a strong, separate and independent AC but also through inspection monitoring visits carried out by the Chief Inspector and Senior Inspectors.

### **2.2.1 Inspector training**

All inspectors are required to attend an annual inspectors' event that focuses on updating the inspectorate on the latest developments at BAC, both in its promotional work and inspection activity. Training, as appropriate, is also provided in conducting inspections and report writing. The event, which is usually held in October, also provides opportunities for the inspectorate to meet as one body and to interact with the BAC office team.

In addition to the annual event, other training events are organised, some of which are mandatory for inspectors. These include webinars and face-to-face training sessions. Inspectors will be asked to provide feedback on the type of training they would like to undertake, to ensure that it meets their needs.

### 2.2.2 Inspector monitoring

The Chief Inspector and Senior Inspectors conduct monitoring visits whilst an inspection is underway. Inspectors are informed if an inspection is going to be subject to a monitoring visit. A completed report form is made available to the inspector(s) and feedback invited. Inspectors are also required to complete feedback forms after each inspection.

### 2.2.3 Institutional feedback

Institutions are asked to complete a feedback form following an inspection. The questionnaire invites feedback on all stages of the accreditation process including the actual inspection and the inspection team. Any positive or constructive feedback is provided to the inspectors who carried out the inspection. Any resulting additional training or support can then be provided if required.

## 3. Inspection process

The primary purpose of an on-site inspection is to assess whether an institution meets BAC's minimum standards. The inspection process should be seen as supportive and developmental as well as judgmental. It is essential that a positive relationship is established between the institution's staff and the inspection team, particularly as the inspection will be part of the continuing relationship between the institution and BAC.

Inspectors are reminded that the inspection not only assesses what can be observed during the visit but also considers evidence that satisfactory standards are likely to be maintained in the longer term.

Please note that the majority of BAC inspections are carried out by a lead inspector alone, so some of the information below relating to inspection team members is not relevant in those circumstances.

In this handbook, different words, for example 'organisation' and 'institution', are used for the organisations we inspect, and the words students, participants and teaching staff are used. However, please use the following terminology in correspondence, meetings and reports.

Scheme	Name for learning provider	Name for students	Name for teaching staff
Short Course Provider	Provider	Participants	Trainers
Independent Higher Education	Institution	Students	Lecturers/teaching staff
College Scheme	Institution	Students	Teachers
Online, Distance & Blended Learning Scheme	Provider	Learners	Tutors
International Centre	Institution	Learners	Tutors
International English Language Provider	Provider	Learners	Tutors

## 3.1 Full new and re-accreditation inspections

### 3.1.1 Preparing for the inspection

#### 3.1.1.1 Initial contact with the organisation

LIs should make contact with the organisation to be inspected as soon as possible after notification of their deployment. The initial communication between the lead inspector and the organisation is very important as it helps to establish a good relationship, which is key for the successful conduct of the inspection. In addition, it sets the tone for the whole inspection process.

The initial method of communication is by letter, which is sent as an attachment to an e-mail making use of the inspector's BAC e-mail. The letter is drafted using BAC headed paper. This is followed up by a telephone call to ascertain if everything is clear and to resolve any immediate questions/concerns that the organisation may have about the inspection and to continue to build the relationship. **Skype, Microsoft Teams, Zoom or another similar online communication method is a good way to make this call as being able to see the contact can help to build the effective working relationship.**

The purpose of the initial letter is for the LI to introduce him/herself and to start the process of preparing for the inspection. This process includes covering the initial information required for the development of a detailed timetable for the inspection, the first draft of which is put together by the LI for subsequent discussion and agreement with the organisation. It also provides an opportunity for the LI to request any additional information he/she feels is required in advance of the inspection.

The initial contact is also a valuable opportunity for the organisation to highlight any important particular features of the organisation and/or circumstances, of which the LI should be aware.

#### 3.1.1.2 The content of the initial letter

The following items are covered as part of the initial communication, in whatever order seems appropriate to the LI, bearing in mind the size and particular circumstances of the organisation. Inspectors can combine the following areas and/or send the information in more than one e-mail if it is felt that the organisation might, otherwise, be overwhelmed by the amount of information. Although it is recognised that there are a lot of points to cover, once the inspector has drafted the letter, it can be used again as a template and adapted as required:

- Confirmation of the scheme under which the organisation is being inspected
- **Attachment of the blank report template (with the blue text removed)** that is provided by the BAC office, drawing attention to the standards, against which the organisation is to be judged
- Setting out that the task of the LI and the team (if appropriate) is to check the organisation's compliance with the relevant BAC standards and to prepare a report for publication. Decisions about accreditation are taken by the independent AC
- Introducing the names of the other inspectors, if relevant
- Confirmation of the location for the inspection and any other sites to be inspected, including any student accommodation. **If there is any doubt about which sites you need to inspect, please contact the Chief Inspector and, if the Chief Inspector is not available, another member of the BAC office**
- Recommending that the organisation should review, in advance, the contents of their last inspection report (including any actions or recommendations that may have been made) and ensure any outstanding matters have been addressed. Attach a copy of the last report to the e-mail. **In the event that the last report was a Supplementary or Probation inspection report, you may need to refer to and attach the inspection report prior to that report for any outstanding actions or recommendations**



- Confirmation as to whether the organisation enrolls any students/participants who are under the age of 18 and/or vulnerable adults. This has already been checked by the BAC office **and will have been communicated to you as part of the documentation sent by the BAC office** but it is worth checking at this stage and making sure that you have the safeguarding checklist (**Appendix B**) to use during the inspection. It is also useful to send the checklist to the organisation at this stage to ensure that the staff can fully prepare for the inspection. **For international institutions, where the same safeguarding measures may not be in place in their country, they should be advised to review the checklist and address what they can in order to keep young students/participants safe**
- Checking if there have been any changes, about which BAC may not have been advised, for example name changes or changes in the senior management team
- If not already received, confirming the importance of the detailed completion of the self-evaluation and early submission to you so that its content can be appropriately taken into account in preparing for and conducting the inspection
- Attaching the list of documentation (**Appendix C**) to be made available either in advance of the inspection, at the LI's discretion, or at the inspection. The documentation to be made available in advance of the inspection should include performance data for example on qualification success/ feedback/attendance rates etc. The list also includes the documentation that has already been supplied as part of the application and sent to the inspection team in advance of the inspection. **The list makes it clear that there is no need for these documents to be sent again unless there have been changes to any of the documentation because the application form may have been submitted some time before the inspection. The organisation should be asked to ensure that they provide all the documentation that is mentioned in the self-evaluation report**
- Requesting that all documentation to be made available at the inspection is clearly labelled and placed in the base room prior to the start of the inspection. Explain that this will help the smooth running of the inspection and save time during the inspection. In addition, make it clear that it will be useful if appropriate documents are also available to be scrutinised during the meetings with staff. It is perfectly appropriate for documentation to be made available electronically
- In the case of international inspections and where relevant, making sure that key documentation is made available translated into English
- Requesting the class timetable for the days of the inspection, including course titles/subjects being covered/teacher or trainer names/room information/break times/start and end times so that lesson observations and meetings with students and teachers/trainers can be arranged at appropriate times. If the inspector judges that there is insufficient teaching taking place, this should be raised with the Chief Inspector and, if the Chief Inspector is not available, another member of the BAC office
- Explaining that observations of lessons will form part of the inspection. That these will be chosen by the LI but not made specific in the timetable, although time slots will be included. Requesting that a chair be placed at the back of the room and that any lesson-planning documents and the attendance register (if it is available) be placed on the chair for scrutiny by the inspector
- Inspectors are encouraged to offer, to those teachers/trainers who have been observed, a professional discussion of around 5–10 minutes to get some feedback on the views of the inspector on the part of the session observed if the inspector has time to do so
- Requesting the organisation chart showing the names/titles and key responsibilities of the staff linked to the areas covered by the relevant standards so that appropriate meetings can be scheduled as part of the timetable and recognising that one person may well have responsibility for more than one area
- Requesting a list of the students, who will be present during the inspection, including details of their programme of study, how long they have been at the organisation, English language skills if relevant, gender, ethnic background, age so that a cross-section of students/participants can be chosen by the LI for a meeting as part of the inspection. This list of chosen students/participants can be provided to the organisation at the initial meeting or sent in advance **and does not need to include the students' names**. The LI has discretion regarding what to do if some students/participants are not available on the day and to respond to any other unforeseen



circumstances during the inspection. For many inspections, it will be appropriate to interview all the students where there is only a small number.

- Requesting a floor plan including the layout of classrooms, with their room numbers. If they are very small premises, this is not necessary
- **It is important to remember that the premises and facilities standard area requires an inspection of both the administration and classroom areas. Where the administration is carried out from home offices and it is not possible to visit these, it is appropriate to ask for the provision of photographs to help form a judgment about the suitability of these offices for the effective running of the provider**
- Requesting an update on any significant organisational changes since the last inspection
- The need to arrange an interview with the proprietor or representative of the trustee(s), if they are not normally on site. This could be arranged by telephone or other remote means if required.
- Confirming the timings of any normal meetings that will take place during the inspection, which it might be useful for the inspectors to attend
- Confirming that a draft timetable will be sent when the relevant information is supplied and a note to the effect that the timetable may change due to the specific circumstances of the inspection day(s)
- If not already received, requesting the completed DCF in good time before the inspection
- Confirmation of the accuracy of the information provided in the DCF and ensuring that it includes information relevant at the time of the inspection. Alternatively, the DCF can be checked during the inspection
- Sending the Declaration of Compliance with Legal and Statutory Requirements and confirming that it is signed in front of the lead inspector during the inspection. Please note that, when carrying out an international inspection, we have to rely on this to ensure compliance with statutory regulations, etc. However, it is still possible to notice and flag up obvious contrary indicators and to provide advice based on United Kingdom (UK) approaches, where this is felt to be best practice.
- Checking a draft of the introduction to the report (background and current provision), from the application form and self-evaluation report, to ensure it is complete and up to date and in line with the Report Writing Guidelines. Don't just copy and paste from the previous report
- Confirming parking arrangements (if required) and lunch — to be a modest working lunch if it is provided by the organisation
- Confirmation of the base room arrangements to include privacy, a lockable room (if possible), access to the internet/a dedicated printer/shredder/documentation to be placed in the base room so it can be scrutinised when convenient
- Agreement on future communication with deadlines/submission of the inspection timetable/emergency contact number for a senior member of staff at the organisation in case that is required
- **As part of the inspection preparation, inspectors should highlight in advance the key indicators relating to the BAC complaints procedure and radicalisation and extremism. This is so that the institution can put in place what is necessary to meet these key indicators that are easy to meet and, yet, are so often marked as not met in inspection reports.**

The inspectors should, as part of their preparation, scrutinise all the information and paperwork sent by BAC in advance of the inspection. In addition, the BAC office staff may request that inspectors review specific information or documentation during the inspection that was missing or was not clear from the initial documentation sent with the application. **This information is provided on the application sign-off sheet that is sent by the BAC office and should be read carefully as part of the inspection preparation.**

### 3.1.13 The timetable

The LI is responsible for putting together a draft timetable for subsequent discussion and agreement with the organisation being inspected. It is also useful if rooms can be identified, in agreement with the organisation, for the various meetings that will take place.

To make the best use of time, it is appropriate to deploy members of the inspection team to manage different meetings rather than have everyone in the same meeting so that all the standards can be thoroughly inspected.

The inspectors must control the meetings and not allow these to be led by the staff or students so that there is insufficient time to gather the necessary evidence. The meetings are used, as relevant, to triangulate evidence obtained from previous meetings.

It should be flagged up that it may be necessary to flex the timetable, during the inspection, to take account of changes that may happen or areas that emerge during the inspection that require further investigation. In this regard, the sample timetable (**Appendix D**) includes times for additional meetings and/or scrutiny of documentation to facilitate this flexibility. A level of detail is provided in the timetable about the focus for the various meetings to encourage the provider and its staff to prepare for the meeting well to facilitate its success.

The timetable will normally include the following activities, although any specific circumstances will need to be taken into account, including any relating to the timings for each meeting. Such circumstances might include the unavailability of certain members of staff and/or any particular issues that have arisen and need further investigation. Please also see additional information provided below under Conduct of the Inspection:

**Introductory briefing meeting with the inspection team** (if applicable). This meeting provides an opportunity to ensure that the team is clear on their various roles and to clarify any questions or issues and to highlight any recent matters that have arisen, of which the team may be unaware. It is also an opportunity to make it clear that, should any issues arise during the inspection, these should be referred immediately to the LI, who will contact the BAC office for guidance if necessary. Depending on the particular circumstances of the inspection, this meeting may be held off site before the inspection starts. If this is not possible, then it should be included in the timetable so that the organisation being inspected is aware of the need to leave the team alone for that period of time.

**Meeting with the non-academic senior managers** (who may also manage the academic activity depending on the size of the organisation) in relation to the management, staffing and administration of the organisation. This meeting includes an introduction to the inspection team and their individual roles, as well as an outline of the way in which the inspection will be conducted. The timetable will have already been agreed but a check should be made to ensure that it is still secure and that staff and students are still available at the agreed times.

This meeting should also cover the relevant management standards and key indicators from the relevant scheme, including quality assurance, although a separate meeting on quality assurance may be required depending on the organisation and certainly for HE inspections.

The meeting should also include reference to the associated documentation, although that documentation would probably also be subject to separate scrutiny. The organisation's response to any actions or recommendations from the previous relevant inspection should also be discussed, together with any associated documentation.

The LI should use this initial session to gather key evidence, much of which should be triangulated through other meetings and activities, rather than allowing the organisation to 'showcase' its activities with long presentations. If a presentation is suggested by the organisation — make sure the time allotted is appropriately limited.

This meeting would normally last for a maximum of 60-75 minutes.

There is more information below on this initial meeting.

**Meeting with the proprietor/representative of the board of trustees** (this can be included in the above meeting, with senior managers, if the proprietor is a member of the full-time staff) to discuss the overall governance/management of the organisation. This could also take the form of a telephone or video call, if it is not possible for the person to be available on site. This meeting provides a good opportunity to triangulate the evidence gathered during the initial meeting with the senior managers.

This meeting would normally last for a maximum of 30 minutes, if it is a separate meeting.

**Meeting with the academic management staff** (excluding teachers/trainers), in relation to teaching, learning, assessment and quality assurance. This may well involve the same people as those in the meeting with the non-academic managers, especially in small organisations. This meeting should cover the relevant academic standards and key indicators from the relevant scheme and include reference to the associated documentation, although that documentation would probably also be subject to separate scrutiny.

This meeting would normally last for about 45-60 minutes.

**Meeting with the administrative/operational staff**, in relation to the administrative aspects of the organisation, including any databases and other operational systems. This meeting is also used to triangulate evidence obtained from the previous meetings.

This meeting would normally last for about 30-45 minutes.

**A short tour of the premises and facilities**, to include a detailed survey of the library and other academic resources, if applicable. The purpose of this tour is to locate and check all the resources and facilities of the institution, investigate classroom capacities and to check on the fitness for purpose of the premises and the overall maintenance and cleanliness. The tour does not include a full health-and-safety check, as this is covered by the signature of the statutory declaration of compliance form. However, any contrary indicators should be noted and may need to be investigated in more detail.

**Teaching/training reviews.** The LI should plan to carry out a sufficient number of visits to classes so that a good cross-section of programmes, student groups and teachers/trainers is covered. It is also good practice to try to see the beginning, middle and end of different classes, to gather robust evidence.

When only one class is taking place during an inspection, that class can be visited up to three times in the day, or alternatively a single visit could involve more than one inspector if possible. This may need to be explained to the organisation i.e. that the inspectors need to get a complete as possible view of the teaching, in order to make their judgments.

The timetable should not specify which classes are going to be visited but merely show the time slots, in which visits will take place. These visits should normally last for about 30 minutes depending on the class activities that are taking place. It may be appropriate to flex the timetable and go back into a class at a later time in the day in order to view another aspect of the class, if it is judged that this will enable further evidence to be gathered. This will also ensure that inspectors do not see only sessions that are deliberately 'staged' because the teacher/trainer knows that they are going to be observed.

**In the case of online learning, the inspector will arrange to sit it on online sessions, if that is**

possible, and/or listen to recorded sessions.

BAC does not operate a grading system for lesson observations, although such words as 'good' and 'satisfactory' can be used in the final feedback session to describe what has been seen.

Professional discussions with teachers/trainers who would like feedback from a class visit would normally last for 5–10 minutes. These discussions are not mandatory nor are they included in the timetable. Teachers/trainers who ask for this feedback benefit from the feedback and appreciate it. However, they do need to be fitted in at break times and in between meetings.

There is more information about this aspect of the inspection below.

**Meeting with a cross-section of students/participants**, who are chosen by the LI from the information mentioned under Section 3.1.1.2 above. If possible, the group should consist of about 10 to 12 people, to ensure that all get an opportunity to provide their views. Include at least a couple of students/participants who are under the age of 18 if applicable or organise a separate meeting with these students/participants. It should be explained to the attendees that the specific comments made in the meeting will not be attributed to particular individuals to try to encourage them to open up.

This meeting also serves to triangulate the findings from other meetings. It is a good idea to hold this meeting on the first day, so that there is time to raise any issues with the managers. Appropriate questions should be used to achieve this. If appropriate, the LI can speak to students/participants, who are not on site during the inspection, by telephone.

The meeting should last for about 20-30 minutes and will normally take place during the students' lunch break if applicable. The meeting may go on for longer depending on what the students want to feed back.

There is more information about this meeting below.

**A meeting with available teachers/trainers** to obtain their views on the quality of the general and academic management of the organisation and other relevant standards from across the scheme and associated documentation that they specifically use. The meeting should not be attended by any member of the senior management team and is also used to triangulate the evidence from other meetings. It should be explained that the specific comments made in the meeting will not be attributed to particular staff to try to encourage the staff to open up. It is a good idea to hold this meeting on the first day so that there is time to raise any issues with the managers. This meeting also provides an opportunity to triangulate the information provided by the managers. Appropriate questions should be used to achieve this.

This meeting would normally last for about 20-30 minutes and will normally take place during one of the breaks, if applicable.

**A meeting with whoever is responsible for student/participant welfare** (if not already covered in other meetings). This meeting should cover the relevant standards and key indicators from the relevant scheme and include reference to any associated documentation, although that documentation would probably also be subject to separate scrutiny.

This meeting would normally last for about 30–45 minutes.

**Meeting with whoever is responsible for accommodation**, including residential (if that is directly managed by the organisation) and homestay accommodation. This meeting should cover the relevant standards and key indicators from the relevant scheme and include reference to any associated documentation, although that documentation would probably also be subject to separate scrutiny. A visit to the accommodation and/or a sample of homestay should also be arranged if possible.

This meeting would normally last for about 30–45 minutes.

**Scrutiny of the documentation** supplied by the organisation.

**Scrutiny of the website** to include the relevant standards regarding publicity material and to check the use of references to BAC and its logo to ensure accuracy — for example, there should be no inference in the publicity that BAC accredits the institution’s programmes.

**Regular meetings of the inspection team** should take place at appropriate stages during the inspection. These meetings enable the inspection team members to share their views, discuss the evidence gathered, agree how far the organisation meets the minimum standards and to discuss possible actions points and their priority levels and recommendations for quality improvement. They are also used to prepare feedback for the institution’s management team. Use the inspection record or report template to ensure that you discuss all the standards and key indicators systematically.

**Completion of the record of evidence.** The record of evidence is made up of the inspection record form or report template, if preferred, documents seen and interviews conducted form, record of lesson observations and the safeguarding checklist if relevant. Team members should complete their own record of evidence. Some of this work may need to be completed off site.

There is more information on the record of evidence below.

**Feedback to the management team** should be provided as the inspection proceeds and, specifically, at the end of the first day of the inspection and at the end of the inspection when the final feedback is provided. At the end of the first day, emerging findings are fed back, any actions that can be immediately taken by the organisation to make improvements are discussed and the timetable for the following day is agreed.

There is more information about the final feedback meeting below.

The timetable should include a summary of the **standards to be covered** in each meeting although it can be highlighted that other areas may also be covered depending on the progress of the meeting.

### 3.1.14 **Initial contact with the inspection team, if applicable**

The LI should make contact with the inspection team by e-mail, as soon as the details of the inspection team have been communicated.

The following items are covered as part of the initial communication, in whatever order seems appropriate to the lead inspector. NOTE that the use of the term ‘team’ below includes SIs:

- The allocation of duties based on the strengths/experience of the team members and taking into account any preferences/particular experience expressed by the team members. Remember that, in order to make the best use of the available time, different members of the inspection team can be deployed to run or be involved in separate meetings
- Supply of initial information about the nature of the organisation and recommendation for the team members to familiarise themselves with the organisation’s website
- Supply of the organisation’s completed self-evaluation **and other relevant documents, including those sent with the application form. These are sent to the LI by the BAC office.**
- Supply of the inspection timetable when agreed with the organisation
- Reminder of the inspectors’ code of conduct/anti-bribery policy/confidentiality requirement
- Reminder that members of the team should contact the LI immediately if they have any

questions or concerns

- Confirmation of travel arrangements and accommodation (if relevant), time of arrival for the first day of the inspection and where to meet
- Ensuring that contact details between the team and the LI are exchanged
- Confirmation of the ongoing sharing of additional information, as required, prior to the inspection
- Supply of the inspection record form (including the lesson observation record and safeguarding checklist if applicable) and documents seen and interviews conducted form and instruction that these are to be used:
  - Before the inspection — to record some questions they will want to ask under the relevant sections allocated to them drawn from initial documentation and the self-evaluation
  - During the inspection – to record their findings
  - If preferred, the inspection report template can be used to record findings although the lesson observation form and the safeguarding checklist, if relevant, also need to be completed
- Making it clear that team inspectors are not required to prepare report-ready text as part of their inspection duties

### 3.1.2 Conduct of the inspection

#### 3.1.2.1 Focus of the inspection

- The objective of inspections is the rigorous gathering and recording of evidence in order to assess the **effectiveness** of the strategy, administrative support, teaching, assessment, quality assurance and academic and welfare support etc. and their impact on students' or participants' outcomes. Some examples of outcomes can be defined as **the effective running of the organisation, staff knowing and understanding the organisation's priorities and their contribution to achieving them**, success rates in examinations or other assessments, rates of academic progress, enjoyment and/or satisfaction with the course, the extent to which students' or participants' learning objectives are met and the extent to which students or participants feel safe and supported as evidenced through students' or participants' feedback scores and qualitative feedback comments
- The focus should also be on the **impact of the implementation** of policies and/or procedures, where possible, as well as a judgment on the suitability of the policy and/or procedure
- The previous reports, which will have been sent by the BAC office, should be reviewed so that any outstanding action points and recommendations and any other weaknesses that have been mentioned can be followed up during the inspection
- Remember to include good open questions such as 'what is the impact of that on students' outcomes?' to drill down to get the supporting evidence for your judgments
- The LI must work with the inspection team to identify any key issues before the inspection. In addition, the timetable must include regular meetings of the team, throughout the inspection, in order to share findings, identify areas for further investigation and prepare for the final feedback session
- The LI should periodically check the evidence being recorded by the inspection team members to ensure that it is appropriate and sufficiently detailed, and to follow up on any areas of concern
- Throughout the inspection, BAC inspectors should adopt a supportive and collegiate approach rather than an adversarial one. This is the best way to encourage staff to open up so that the relevant evidence can be gathered to make the judgments required

#### 3.1.2.2 Initial meeting

The initial meeting with the non-academic managers (who may also manage the academic aspects of the organisation, depending on its size) should include an introductory session. This should cover the following matters, where applicable:



- A brief introduction to the inspection team members
- A brief introduction from the members of the organisation's management team
- The purpose of the inspection i.e. to gather evidence in order to check compliance and/or continuing compliance with BAC's standards
- An outline of the way that the inspection will be conducted, including highlighting the opportunity for teachers/trainers to get feedback following a visit to a lesson if they wish; that the lesson-planning documentation and the attendance register (if available) should be made available to the inspector; that regular feedback will be provided throughout the inspection and that new evidence can be supplied up to a cut-off point on the last day of the inspection **or, at the inspector's discretion, after the inspection** (the cut-off time/date to be agreed by the LI)
- **Explaining that notes will be taken by the inspector(s) during the meetings so that there is an accurate record of the inspection and for the purposes of the inspection report. Explain that, therefore, eye contact may be interrupted but this will not affect the inspector's ability to listen to the information that is being supplied**
- Checking the timetable is still correct, including the allocation of rooms for the various meetings
- Providing a list of the students for the student meeting (if not already done)
- Handing out the Declaration of Compliance with Legal and Statutory Requirements and asking for this to be read, signed and handed back before the end of the inspection
- Checking the introduction to the report (background and current provision). If this is done during the initial meeting, it can provide a good overview of the organisation. However, if this is likely to take some time, it might be better to set additional time aside for this at a later stage
- Checking the DCF to ensure that it is accurate at the time of the inspection
- Answering any questions that the organisation may have
- Starting discussion of key changes that have taken place since the previous inspection and the relevant management standards and key indicators from the relevant scheme

### 3.123 Lesson reviews

It is a good idea to take the opportunity, when students are doing a self-managed task and as long as it does not disrupt the flow of the class, to talk to the students about what they are learning from the task and the programme of study, as this can provide very good additional evidence on students' progress and enjoyment.

The completed records of lesson observations, the template for which is included at the end of the Inspection Record, should be provided, by the team TIs, to the LI as soon as they have been completed, so that the LI can keep a check on these and clarify any queries/issues. These will include, under the relevant headings, additional evidence gathered during the observation on the quality of the lesson planning and the effectiveness of the attendance monitoring and any issues on attendance/punctuality that are noted.

The professional discussions with teachers/trainers, following a lesson observation, provide an informal opportunity to give feedback and take place at the request of the individual teacher/trainer and if there is time. It is appropriate to start by asking the teacher/trainer how they thought the lesson went before giving your feedback as to what you thought went well and any areas you thought could have been addressed differently. It also provides a good opportunity for the teacher/trainer to explain if there were any specific considerations/context that affected the way the session went. Please let the LI know if any issues arise in providing this feedback.

### 3.124 Meeting with a cross-section of students

Try to make this meeting as informal as possible, for example by avoiding a classroom-style layout. At the start of the meeting, the inspectors should explain their role and the role of BAC. It should be explained that specific comments made in the meeting will not be attributed to particular students, so as to encourage the students to open up.



Inspectors should structure their questions to students so as to follow the 'student journey' i.e. from the point they decided to come to the organisation, through their induction, the quality of the teaching and assessment, progress they are making, the support they are receiving and the resources and premises etc. This is to ensure all relevant standard areas are covered. It is recommended to finish by asking what improvements they would like to see, what they most like about the organisation and whether they would recommend the organisation to others.

A list of suitably probing questions should be prepared for this meeting. These should come from across the standards.

### 3.125 Final feedback meeting

The purpose of the final feedback meeting is to provide an overview of the inspection team's findings. The objective is that, when the organisation receives the draft report, which is sent without Part C with the action points and recommendations, for a factual accuracy check, there are no surprises because there should be no major issues that have not been raised during the inspection. In fact, if possible, there should be no surprises at the final feedback meeting because any issues that have emerged, as the inspection progresses, should have been fed back already. Obviously, this may not always be possible if an issue arises at a very late stage or due to time constraints.

The final feedback meeting should be led by the LI. All other members of the inspection team should be in the meeting.

The meeting should cover the following:

- An acknowledgement of the organisation's hospitality and co-operation with the inspection process
- To note that this is a feedback session and there should not be discussion of the findings at this stage, although of course questions about the next steps can be asked and responded to appropriately
- To note that the decision on whether or not accreditation is awarded is solely at the discretion of the AC. Don't be drawn into a discussion about when that decision may be taken as this will depend on a number of factors, for example how long the report editing takes and the date of forthcoming AC meetings
- As a result of the internal quality assurance of the reports and the judgment of the AC, it is possible, that the inspectors' judgments, as indicated in the final feedback meeting, may change. Therefore, the findings of the inspection are, at this stage, confidential
- Feedback on areas to improve, **possible** action points and recommendations for further improvement. **Although there is a maximum number of seven recommendations that can be included in the inspection report, inspectors can feed back in this meeting more than seven recommendations for further improvement that have been identified during the inspection. If providing feedback on the teaching/training as an area to improve, the LI needs to take care not to reference specific teachers/trainers although it is clear that this is unavoidable when only one teacher is teaching one class. Nevertheless, feedback should be given in a neutral format such as 'teaching requires some improvement ...'**
- It is best not to confirm what will be action points and their priority level or recommendations at this stage, as they may well change during the editing process and as a result of the AC's deliberations
- Feedback on the organisation's strengths
- If providing feedback on the teaching/training as a strength, the LI needs to take care not to reference specific teachers/trainers although it is clear that this is unavoidable when only one teacher is teaching one class. Nevertheless, feedback should be given in a neutral format such as 'teaching is effective...'
- Make it clear that the organisation is expected to respond to the action points and consider the recommendations. These will be looked at during the next inspection and evidence as to what

has been done and the impact of this will be required at that time. **If the organisation decides not to respond to a recommendation, there must be a valid reason for not doing so that the inspector judges to be valid. Otherwise the recommendation should be carried forward and, depending on the impact of it not having been addressed, may become an action point if it leads to a key indicator not being met.** Suggest that the organisation makes an action plan to show what they will do and by when

- To note that the draft report will be sent to the organisation for a factual accuracy check before it is published and that the organisation will then have five working days, within which to return the report to BAC. Please do not make any promises about the timing for this
- Do not initiate a discussion about when the report may be discussed by the AC but note any requests from the organisation in relation to when a decision on accreditation is needed. Do not promise any specific timings and let the BAC office know. If thought appropriate, advise the institution to contact the BAC office

Keep a record of the feedback meeting.

### 3.1.3 Record of evidence

The record of evidence is made up of the completed inspection record form or report template, if preferred, any additional scanned in legible handwritten notes, documents seen and interviews conducted form, record of lesson observations and the safeguarding checklist, if relevant. These documents must be submitted to BAC, with the final draft report or shortly afterwards, by the LI. **If there is more than one inspector, the LI must gather the evidence record from the team inspectors and submit the whole evidence base together.** The purpose of the record of evidence is to ensure that all inspection areas are covered in the required detail, a comprehensive record of judgments is maintained, and evidence is provided on the judgments made.

The record of the inspection should include detailed notes/bullet points relating to the evidence gleaned from the full range of inspection activities and across the individual standards and key indicators. An example of a completed inspection record is included as **Appendix E**.

It is preferable to submit this information electronically although, if this is not possible, it can be submitted in hard copy, either by post or scanning in and sending electronically **as long as it is legible and follows the order of the standards and key indicators.**

## 3.2 Online, Distance and Blended Learning (ODBL) scheme

Note that, for obvious reasons, inspections of ODBL providers will follow a different format although the preparation and general conduct will be as set out in this handbook. The main differences in terms of the conduct of the inspection are likely to be:

- The need to interview the learners/tutors online
- The need to review the learning materials online
- The premises check will only be for administrative purposes **unless the provider also offers face-to-face provision where the training premises will also be inspected**
- As mentioned above, where the administration is carried out from home offices and it is not possible to visit these, it is appropriate to ask for the provision of photographs to help form a judgment about the suitability of these offices for the effective running of the provider.**

Please refer to the ODBL scheme document to ensure that all aspects of this scheme are appropriately covered.

## 3.3 Interim inspections – additional guidance

### 3.3.1 Preparing for the interim inspection

Please follow the guidance below and refer to the relevant guidance under full new and re-

accreditation inspections relating to:

- the focus of the inspection
- the initial meeting
- lesson observations
- meeting with a cross-section of students
- the final feedback meeting

### 3.3.1.1 Initial contact with the organisation

The initial method of communication for an interim inspection is by e-mail. The initial e-mail must set out the purposes of the interim inspection, which are:

- a review of progress made against the actions and recommendations from the relevant previous reports and any other weaknesses highlighted in the previous reports that did not lead to an action point or a recommendation.
- an opportunity for the organisation to provide information about any changes since the last inspection, in matters such as programmes offered, student numbers, staffing, premises, ownership and any proposed future changes
- a spot check of the standards for the relevant scheme to ensure continuing compliance
- confirmation of continuing compliance with all statutory requirements
- defining any continuing and/or new actions and/or recommendations

The following main items are covered as part of the initial communication, in whatever order seems appropriate to the lead inspector — bearing in mind the size and particular circumstances of the organisation:

- inspector introduction and communication details
- confirm date, location and logistics, for example the availability of parking and the fact that the inspection will last for a full day or for whatever other period of time has been agreed
- requesting the information required to put together an inspection timetable — to include the organisation chart with relevant roles identified, class timetable with breaks etc. if appropriate and a list of the students present if appropriate
- requesting an update on any significant organisational changes, including proposed future changes
- requesting an outline of how the organisation has addressed the action points and recommendations from the previous inspection. **Therefore, the inspector should attach a copy of the relevant previous reports to the e-mail and cut and paste the action points and recommendations into the e-mail**
- confirmation as to whether the organisation enrolls any students/participants who are under the age of 18 and/or vulnerable adults and, if so, whether any such students will be present on the day of the inspection. If safeguarding has not been inspected at the previous full or re-accreditation inspection, make sure that you have the safeguarding checklist to use during the inspection and send the checklist to the organisation in advance so that they know what you will be reviewing. **Also, if not covered in the previous inspection report, the inspector must flag up the need to meet the key indicator relating to radicalisation and extremism and set out the three elements required i.e. a policy, a risk assessment and staff training**
- if there are students or participants at the institution on the day of the inspection, explaining that an observation of a lesson will form part of the inspection. Requesting that a chair be placed at the back of the room and that any lesson-planning documents and the attendance register (if it is available) be placed on the chair for scrutiny by the inspector
- obtaining the up to date DCF if this has not already been received
- sending the Declaration of Compliance with Legal and Statutory Requirements and confirming that it is signed in front of the lead inspector during the inspection

- providing a draft of the introduction to the report and asking the head of the institution to check it to ensure that it is complete and up to date and to add any additional information in line with the Report Writing Guidelines. In providing the draft of the introduction to the report, do not just copy and paste from the previous report without checking it
- specifying the supporting documentation to be made available for scrutiny prior to the inspection and/or on site. This must include relevant documentation to support the responses that have been made to the previous actions and recommendations. **It is better not to send the full list of documents that is used for new full and re-accreditation inspections as this may overwhelm the organisation and is not required for an interim inspection. There is more information below regarding what documentation should be made available**
- requesting a private room in which to work to include to include a lockable room (if possible), access to the internet/a dedicated printer/shredder/documentation to be placed in the base room so it can be scrutinised when convenient
- requesting any other information that the inspector considers relevant

If, at any time during the preparation of the inspection, the lead inspector is of the view that the provider is not adequately prepared for the inspection and does not have the necessary evidence available etc, please let the BAC office know so that we can take a view as to whether the inspection should still go ahead.

### 3.3.12 The timetable

The inspection **lasts for a full day unless another period of time has been agreed with the provider**

The inspection timetable will be designed specifically for each organisation, but should include:

- a meeting with the senior managers to include introductions, an outline of the inspection process, a review of the timetable, a discussion of any significant changes since the last inspection and any future proposed changes, agree the report introduction and the DCF and to sign the statutory declaration
- this meeting will also include what has been done in response to any actions and recommendations from the previous inspection and related documentation
- a lesson review and meeting with a cross-section of students/teachers/ trainers if this is possible
- a tour of the premises
- a meeting regarding safeguarding if applicable **and preventing radicalisation and extremism** if these have not been commented on in detail in the previous report. The comments should be made under pastoral support where the relevant indicators sit
- other meetings/follow-up meetings to carry out a spot check of the standards. **There is no expectation that all the standards and key indicators will be covered as part of the spot check. The areas that are inspected as part of the spot check are decided by the inspector. This decision is made on the basis of a number of factors. These include an assessment of risk i.e. any areas that have been identified as weak from the previous inspection report but which did not lead to an action point or recommendation, those areas of the accreditation scheme that the inspector considers to be of particular importance across the standard areas and which are not related to the specific response to the previous action points and recommendations and any other matters that arise during the inspection that require further investigation.**
- some examples of areas that are important are the overall oversight and management of the organisation, the quality assurance policies and procedures, including participant feedback mechanisms, and their implementation, improvement action planning, overall programme management, the quality of the teaching/training and its impact on the participants, general pastoral support provided, advice and guidance provided to participants prior to and on arrival, the overall quality and suitability of the premises and the health and safety information provided to participants, staff and visitors.
- scrutiny of other relevant up-to-date documentation and data collection and collation systems in relation to the spot check

- final oral feedback to outline the general findings of the inspection, which will inform the inspection report

There is a sample interim inspection timetable shown in [Appendix F](#)

### 3.3.2 Conduct of the interim inspection

#### 3.3.2.1 Additional guidance on reviewing what has been done in response to the actions and recommendations from the previous inspection.

Inspectors will review what has been done in response to the actions and recommendations set out in the report of the previous inspection and any other weaknesses that are mentioned in the body of the report. **If the last inspection was a supplementary inspection, the inspector also needs to review the inspection report for the inspection prior to the supplementary inspection. This is because there may be actions and/or recommendations from that report that have not yet been reviewed.**

The response(s) to the previous action points and/or recommendations will be discussed with the relevant staff members and supporting documentation and other evidence will also be reviewed. Where possible, inspectors should ask to see completed templates and reports, etc. For example, in the case of an action point about setting up a formal appraisal process, you would expect to see samples of completed appraisal records carried out since the last inspection. **If an inspector believes that he/she is unable to gather sufficient evidence to judge the response made to an action point and/or a recommendation effectively, for example because there is no teaching/training taking place, please contact the Chief Inspector. If the Chief Inspector is not available, please contact another member of the BAC office.**

In the case of recommendations that have not been addressed, the organisation should provide a robust reason why this is the case. Inspectors will then need to make a judgment about whether the reason is valid or whether the recommendation should be retained. **If the impact of not addressing a recommendation leads to a judgment that a key indicator is now not met, then it should become an action point.**

#### 3.3.2.2 Further information on documentation scrutiny

In deciding on what other documentation you would like to review during the interim inspection, **the following documents, in addition to the those required in relation to the action points and recommendations from the previous inspection(s), can be regarded as guidelines where relevant.** The documentation should be up to date and generated since the last inspection:

- The strategy/development plan
- Risk planning and risk assessment
- Any new key policies, including administrative and welfare policies, and handbooks that have been introduced
- Minutes of board/committee and/or other key staff meetings
- Staff appraisal procedures and completed documentation
- Evidence of continuing professional development/training opportunities and individual development logs
- Performance data maintained by the organisation for example examination pass rates, learners' progress data, stakeholder feedback scores/attendance rates
- Performance reviews against strategic targets
- Samples and summaries of any learner and other stakeholder feedback, including completed feedback questionnaires and related action plans
- External/internal quality assurance documentation and audits
- Completed lesson/tutor observation records
- Samples of marked learners' work with feedback to the learner

- Induction packs
- Initial guidance documents for learners
- Safeguarding policy and other documentation covered by BAC's safeguarding checklist
- Policy/risk assessment/staff training re radicalisation and extremism
- Health-and-safety advice provided to learners, staff and visitors

No record of evidence is required for interim inspections

### 3.4 Staged inspections for new institutions – additional guidance

3.4.1 New institutions, applying for College or Short Course Provider accreditation, which are based in the UK and have been in operation for less than 12 months and have not yet begun teaching/training, are subject to a staged inspection process.

#### 3.4.2 The Stage 2 inspection

The Stage 2 inspection focuses on compliance with the minimum standards for premises and facilities, management, staffing and administration, learner welfare and, where relevant, most of the online distance and blended learning standards.

#### 3.4.3 The Stage 3 inspection

The Stage 3 inspection is effectively a full inspection. It focuses on the standards that were not inspected at the Stage 2 inspection. However, the inspector will also review the standards that were inspected at the Stage 2 inspection in case there have been any changes/developments as well as, specifically, any action points or recommendations and any other areas of concern that were noted at the Stage 2 inspection.

3.4.4 With the above in mind, these inspections are prepared for and conducted in line with the above guidelines for full new inspections.

3.4.5 For Stage 2 inspections particularly, it is the case that the operation of the institution will be in its very early stages. However, inspectors must ensure that the appropriate policies, procedures and systems that the standards require are in place, even if they have not yet been implemented, and judge and comment on these appropriately. It is also appropriate to flag this up as part of the preparation of the Stage 2 inspection to encourage the provider to make sure these are available to inspect and to prevent a long list of action points in the Stage 2 report.

The implementation of these policies, procedures and systems and their impact can be judged fully at the Stage 3 inspection and any on-going deficiencies can be picked up at the first interim inspection.

3.4.6 Following the Stage 3 inspection, a full report is completed to cover the outcomes from both the Stage 2 and Stage 3 inspections.

3.4.7 If inspectors require additional support with Stage 2 and Stage 3 inspections or are of the view that the provider is not in a state of readiness for the Stage 2 inspection, please contact BAC's office.

### 3.5 Supplementary inspections – additional guidance

3.5.1 A supplementary inspection is normally carried out either after the deferral of a decision on accreditation or after a significant change in the premises, management or academic programmes at the institution. The report related to a deferral of a decision is known as a Supplementary Inspection Following a Referral. It may focus on a number of specific issues or it may look at a broader range of areas in line with a standard interim inspection. On occasion, if the timing is appropriate, a supplementary inspection might be combined with an interim inspection.



With the above in mind, these inspections are prepared for and conducted in accordance with the above guidelines for full new and re-accreditation inspections and interim inspections. The exact scope of the preparation and conduct of the inspection will depend on what is required to be covered in the report template, which will be sent to the inspector by BAC's office.

If inspectors require additional support with supplementary inspections, please contact the BAC's office.

### 3.6 **Spot-check inspections – additional guidance**

A spot check is an inspection removed from the normal accreditation process and is not usually arranged with the institution in advance. BAC may or may not give the institution prior notification of an impending spot-check inspection. There are two kinds of spot-check inspection as follows:

1. Spot-check inspections are carried out each year on a number of accredited institutions, selected at random, as part of BAC's ongoing monitoring process of its accredited institutions. The scope of the inspection is similar to that required for an interim inspection.
2. A spot-check inspection may be ordered at the discretion of BAC. The reasons for requesting a spot-check inspection may include:
  - failure to submit an annual return by the deadline
  - failure to notify BAC of a significant change
  - failure to respond promptly to a request for information
  - failure to co-operate fully and promptly with BAC's complaints procedure
  - specific intelligence received from one of the bodies with which BAC shares information
  - receipt of any other evidence that the institution is not maintaining the minimum standards or agreed obligations required for accreditation

On occasions, if the timing is appropriate, a spot-check inspection might be combined with an interim inspection.

The spot-check inspections, which are ordered at the discretion of BAC, require the inspector to inspect only the specific issue that has led to the inspection and to record the findings from his/her investigation into that issue and anything else that comes to light as a result. The inspector is also required to consider any actions or recommendations that arise from the inspection.

With the above in mind, these inspections are prepared for and conducted in accordance with the relevant sections of the above guidelines for full new and re-accreditation inspections and interim inspections. The exact scope of the preparation and conduct of the inspection will depend on what is required to be covered in the report template, which will be sent to the inspector by BAC's office.

If inspectors require additional support with spot-check inspections, please contact the BAC's office.

### 3.7 **Mid-way probation and end of probation reviews – additional guidance**

- The AC may award probation accreditation to existing or new providers following their full/re-accreditation/interim or random spot check inspection. This decision may be taken if the provider has a significant number of high and/or medium priority action points that are considered to require a response within a specified time period rather than waiting for the next scheduled inspection. In these circumstances, the AC may ask for the submission of evidence of compliance with the action points within a specified time period, sometimes with the addition of a supplementary inspection or an early interim inspection.
- If a provider is awarded probation accreditation, the AC decides on the length of the accreditation



period. This could be either for 6 months or 12 months. Providers that are awarded probation accreditation for 6 months are expected to have an end of probation inspection before the probation accreditation comes to an end. For providers awarded probation accreditation for 12 months, there will be two inspections. The first inspection is called a mid-way probation inspection that will be arranged after 5 or 6 months of gaining the probation accreditation. The provider is also expected to have an end of probation inspection one month before the end of the 12-month probation accreditation.

- At the discretion of the AC, providers may be asked to submit an action plan and/or evidence before the mid-way probation inspection and/or the end of probation inspection. The AC makes the decision to ask for this if they judge that certain action points and possibly also recommendations must be addressed by a specific deadline, for example, the AC can request that a provider must address all high priority action points within 2 months of receiving notification of the award of probation accreditation. The AC may also want to see that the provider is able to identify what actions are required to enable the action points/recommendations to be adequately met. These documents will be provided to the inspector carrying out the probation inspection and on occasions an inspector will be asked to review and comment on the action plan on its own.
- At a mid-way probation inspection, inspectors go through all the action points and recommendations identified in the previous inspection report. Although providers are expected to have made progress towards meeting the action points/recommendations by the time of the mid-way probation inspection, if it is judged that providers need more time to address them, they have an opportunity to do this by the end of probation inspection. The inspector can provide guidance on the further action that needs to be taken by the time of the end of probation inspection and this is recorded in the inspection report along with any new action points or recommendations that are identified by the inspector.

If providers that are awarded probation accreditation for 12 months are able to satisfy all the action points identified in the previous inspection report by the mid-way probation inspection, the AC can make a judgment at that stage to award full accreditation instead of waiting until the end of probation inspection.

- At the end of probation inspection, the inspector is expected to go through all the action points and recommendations identified in the previous inspection report as well as carry out a spotcheck in the same way as part of an interim inspection. Again, the inspector can provide guidance on further action that needs to be taken along with any new action points or recommendations that are identified by the inspector.
- The expectation is that all the identified action points and recommendations are addressed appropriately by the end of probation inspection. The end of probation inspection should also capture enough commentary, including as part of the spotcheck, to allow the AC to make a decision on whether to award full accreditation.

### **3.8 Additional evidence supplied after the inspection**

Exceptionally, additional evidence may be accepted after an inspection, up to the submission of the draft report, if the evidence can be assessed effectively after the inspection has finished and a clear judgment made. However, a comment can be made to the effect that it was not possible to judge the effectiveness of the implementation of a policy or procedure at the time of the inspection. In that case, a follow-on action point/recommendation can be made to ensure that the implementation is judged at the next inspection.

### **3.9 Statutory requirements**

In addition to meeting BAC's own requirements, institutions are required to satisfy BAC that they

fully observe statutory requirements in areas such as employment, immigration and visa requirements, copyright, equal opportunities, adherence to the government's Prevent strategy if they are subject to that, planning, fire precautions and health and safety and that they are of sound legal and financial standing. The application form includes declarations to this effect which principals/directors/owners are required to sign. It is the institutions' responsibility and the personal responsibility of the head of the institution to ensure that all requirements are met.

BAC inspectors will not inspect the above areas in detail. Instead, the head of the institution will sign the Declaration of Compliance with Legal and Statutory Requirements during the inspection. However, inspectors will note any obvious breaches of regulations or contrary indicators. These will be discussed with the institution staff during the inspection and, if not satisfactorily resolved, will be included in the report as per the Report Writing Guidelines. These deficiencies may lead the AC to refuse, defer or withdraw accreditation depending on their severity.

BAC inspectors are not expected to give expert advice in such areas and, whilst they should be able to point out apparent deficiencies, they should always recommend that institutions go to appropriate sources of expertise. Advisory information sheets are provided on the provider's section of the BAC website. A list of useful contacts and links is provided at the end of this handbook under Useful Links and Resources and in the Accreditation Handbook.

### 3.10 **Additional guidance on inspecting small and newly set up organisations – all inspection types**

We already have a two-part Stage 2 and Stage 3 inspection system for newly established organisations. As part of the Stage 2 inspection, we look at management, participant welfare, premises and facilities **and the management aspects of online, distance and blended learning if applicable**. The rest of the standards are inspected at Stage 3.

For newly established and other small-scale organisations, the opportunities to obtain sufficient evidence to support the inspection judgments may be limited. This may be because of the small number of students and/or the fact that policies and procedures may be in place, but the organisation has not yet had the opportunity to fully implement them. This may also mean that there is only one group of students, taught by one teacher/trainer. As a result, the gathering of sufficient evidence can be problematic.

#### **Some guidelines to assist in this situation:**

- **Let the organisation know that they should have the necessary written policies and procedures and electronic systems, for example to collect and collate data, available for the Stage 2 inspection even if they have not yet been implemented. Their implementation can be judged at the Stage 3 inspection**
- Let the organisation know that they need to do their best to generate written documentary evidence, for example participant feedback, by the time of the Stage 3 inspection or it may not be possible for the inspector to make a judgment about the provision
- Highlight the need for the teacher/trainer to make their lesson-planning documentation available, in advance, to the observer so that the observer can plan the best time to go back into the classroom, for example when a specific activity is taking place
- Take all opportunities to observe teaching and explain, during the planning of the inspection, that the small sample of classes available to be observed will mean that teachers/trainers may be observed more than once
- Where applicable, ensure that all inspectors observe each teacher in order to maximise the evidence base.
- Carry out observations jointly with another inspector, where possible, in order to obtain two perspectives on the class and communicate that this may happen when planning the inspection—this means fewer occasions when an inspector is in the classroom and, therefore, less stressful for the teacher/trainer

- If appropriate, talk to students during an observation about what they are learning and the progress they think they have made
- Make sure not to observe any one teacher/trainer too frequently or for too long so that the teacher/trainer does not have an opportunity for time without an inspector present
- To gain detailed evidence about students' progress, sample students' marked work and meet with students individually and ask them to share their work with you and talk through what they have learnt
- Meet all the students (if this is possible) and have a general meeting to cover the normal range of questions, and also use it as a subject-specific meeting to check their understanding of their subject
- Look at evidence of the planning of teaching and learning — lesson plans, schemes of work, assessment schedules — do this in relation to the current group but also look at evidence for previous courses that have run since the previous inspection, if current student numbers are small
- Review all the evidence available on students' outcomes for both current and past student groups since the previous inspection
- Review evidence, such as student/participants' feedback, attendance records and examiners' reports generated since the previous inspection

### 3.11 Guidelines for working with new inspectors including SIs

#### Key responsibilities of the LI

- Ensure that the new inspector feels very much part of the inspection team from the start and ensure that their views are actively listened to
- Check the level of inspection and quality assurance experience and confidence of the new inspector and allocate responsibilities accordingly
- Take time to explain methods of working so that new inspectors clearly understand what is expected of them
- Ensure that appropriate opportunities are provided so that the new inspector can contribute fully to the inspection process and provide the necessary support throughout the inspection
- Make sure that suitable arrangements are in place for the inspection team to meet before the inspection so that any questions/concerns can be identified and resolved early on

#### Allocating responsibilities to the new inspector

In discussion with the new inspector, allocate appropriate standards to them. Ascertain what they feel comfortable taking on in the light of their previous experience. If it is their first inspection, you might allocate specific standards from one standard area to focus on, depending on their experience level and areas of interest. An obvious example of an appropriate standard area to allocate to an SI would be student recruitment, support, guidance and progression. The SI could work with a TI on those specific standards but be given overall responsibility for one or two standards. Other areas that might be particularly appropriate for the involvement of an SI are the tour of the premises and of any learner accommodation.

Involve the new inspector in lesson observations with another member of the team to start with so that they can discuss their thoughts and ascertain if the new inspector is picking up relevant points — the lesson observation record template will help with this. The LI or a TI must review the new inspector's lesson observation reports so that any additional advice and guidance can be provided.

If the inspection timetable includes meetings where all the team are together, make sure the new inspector is given appropriate opportunities to ask any additional questions in these meetings. Make sure that the new inspector is aware of what they will cover when they are participating in meetings with other members of the inspection team.

Be prepared to be flexible as the inspection progresses especially if the new inspector demonstrates specific strengths or communicates specific areas of interest

As new inspectors become more experienced, clearly, they can take on responsibility for more standards in the particular scheme.

Suggested standards for new inspectors will depend on the new inspector's areas of expertise and previous experience although it is probably appropriate for the LI to retain overall responsibility for the governance and leadership standards.

Suggested standards for SIs to focus on are:

- Pastoral support for students
- Appropriate guidance for students
- Advice and assistance for international students
- Residential accommodation
- The social programme
- Teaching and learning
- Students' facilities
- The library
- Information technology resources

It is particularly appropriate for SIs to be involved in the meeting(s) with students. Whilst another inspector may well lead the meeting when the SI is new, the SI should be given responsibility for asking a set of questions, with which they feel comfortable, and for taking notes throughout. However, an experienced SI should be asked to lead it, supported by the other inspectors, as appropriate. It would be appropriate to discuss with the SI, prior to the meeting, what questions should be covered and specific areas to discuss with the students, including to triangulate other evidence.

Ensure that the new inspector is clear that they are also to review and make notes on the documentary and written evidence which relates to the standards, which have been allocated to them.

### **Supervision of the new inspector**

One of the inspection team should take responsibility for the overall supervision of the new inspector. The new inspector should have a clear and designated person to go to for advice and guidance. This could be the LI or the TI and the responsibility could be different on different days of the inspection. It is for the LI to decide.

### **Record of evidence**

Ensure that the new inspector has the inspection record and documents seen checklist templates and completes these.

Ask the new inspector to put notes of their findings in the relevant sections — bullet points/notes are fine rather than report-ready text.

Provide the necessary help with this. Check the notes that the new inspector is making and show the new inspector an example of what you are recording, as best practice.

## 4. Making judgments

### 4.1 Inspection outcomes

#### 4.1.1 Assessment

In completing their assessment of the evidence gathered by the inspection team, LIs should ensure that a 'yes', 'no' or 'NA' is assigned to every criterion for each standard. Following on from this, inspectors should make a judgment on whether the standard has been 'met', 'partially met', 'not met' or is 'NA'. Where a key indicator is not met, the standard can at best be only 'partially met'. In this case, inspectors must include comments in the comments boxes in support of their judgments. These comments must lead to action points to be recorded in Part C of the report. Inspectors should rate these actions as 'H' high, 'M' medium or 'L' low according to their priority. The AC will refer closely to the list of action points and their priority status when coming to a decision on the award of accreditation. Further guidance on reporting on these judgments in the report is included in the Inspectors' Report Writing Guidelines.

#### 4.1.2 Guidance on assigning priority levels to action points **High priority action points**

##### **High priority action points**

A high priority action point requires the institution to take action, or at least start to take action if it is a more complex matter, immediately. It refers to a serious deficiency in an institution's provision, which may **jeopardise the safety/security** of staff and/or students/participants, have an **immediate serious adverse effect on the outcomes and/or well-being** of the students/participants and/or may have an **immediate seriously negative impact on the institution's academic standards and/or quality of the provision**.

The deficiencies assessed as requiring high priority actions are serious enough for the AC to consider deferral of a decision on accreditation or refusal/withdrawal of accreditation. All such judgments have to be evidence-based.

##### **Medium priority action points**

A medium priority action point requires the institution to rectify the identified weakness, which is regarded as significant and is likely, **in the medium term**, to have **an adverse effect on the outcomes and/or well-being** of the students/participants and/or a **negative impact on the academic standards and/or quality of the provision**.

Therefore, a medium action point acknowledges that there is less urgency about taking action but that action must be taken by the time of the next inspection. All such judgments have to be evidence-based.

##### **Low priority action points**

Low priority action points should address minor weaknesses, which although unlikely to have an adverse effect on students'/participants' outcomes and/or well-being, do **mean that the organisation is not compliant with BAC's minimum standards and associated key indicators**. Action must be taken by the time of the next inspection. All such judgments have to be evidence-based.

#### 4.1.3 Action points from previous inspections

Make sure that you check the previous report (which you are sent during the inspection planning phase) and inspect any areas covered by the action points or recommendations and report on your findings in the relevant section of the current inspection report. We would routinely look at the previous report for an interim inspection, but we also need to do it for re-accreditation inspections.

In re-accreditation inspection reports, there is no need to reference the specific action point or relating key indicator number or the specific recommendation.

With regard to action points that are in the previous inspection report and have not been satisfactorily addressed by the time of the current inspection, inspectors should normally raise the priority level to the next higher level unless the action is no longer relevant. If an inspector does not judge that this is appropriate, a comment must be included in the most appropriate place in the report that sets out what factors have led to the judgment that the priority level of the action point does not need to be raised. For example, the reason could be that something has changed, such as there has been a reduction in staff/student numbers, which means that the action point would have a very minor impact on the institution.

#### **4.1.4 Key indicator relating to BAC's complaints procedure**

With regard to the key indicator relating to students/participants being advised about the BAC's complaints procedure, inspectors should either raise this before or during the inspection so that it can be rectified and, therefore, does not need to result in an action point (which is the preferred option). If an action point is required, it is set as a medium-level action point. It is important that the students know that they have access to our complaints procedure in the event that they have exhausted the organisation's own complaints procedure.

#### **4.1.5 Recommended areas for improvement**

Inspectors have a wealth of experience and in pursuance of BAC's stated purpose of 'improving and enhancing the standards' of independent FE and HE institutions, it is expected that inspectors will want to make recommendations to the institution as to ways in which they can improve their provision and share best practice. Recommendations, as distinct from action points, may be made in relation to any aspect of the accreditation scheme as a way to improve the provision and when the identified deficiency is not sufficiently severe in its impact to render the key indicator not met.

Recommendations **should be limited to a maximum of seven** and should be offered in a collegiate and supportive manner.

There is no onus placed on the institution to take action on these points if there is a good reason not to. The wording should reflect this i.e. 'It is recommended that' or 'institutions could' are suitable means of wording recommendations for improvement. However, it should be made clear that the response to these recommendations will be assessed at the next inspection.

**In the case of recommendations that have not been addressed, the organisation should provide a robust reason why this is the case. Inspectors will then need to make a judgment about whether the reason is valid or whether the recommendation should be retained. If the impact of not addressing a recommendation means that a key indicator is now not met, then it may become an action point.**

## **5. Reporting on the inspection findings**

### **Inspection report**

The most up-to-date report template will be sent out to inspectors before the inspection. This version must be used.

The inspection report should be completed as soon as possible after the inspection. There is a requirement for the report to be returned to BAC's office within ten working days of the date of the inspection. It is important for inspectors to ensure that the report is judged to be an accurate and detailed record of the inspection and the judgments made. The report is reviewed and edited through a process that is managed by staff in the BAC's office and they will refer back to inspectors if they have any queries or comments about the report contents.

After this check, the report is sent to the institution for a factual accuracy check. The result of this

may necessitate further contact with the inspector.

Please refer to the Report Writing Guidelines and associated webinar for more information about writing the report.

Reports, DCFs and the Declaration of Statutory Compliance (if it is possible to scan it and, if not, it can be posted to BAC's office in hard copy) should be submitted by e-mail to [inspectionreports@the-bac.org](mailto:inspectionreports@the-bac.org).

After a decision on accreditation has been made by the AC, a copy of the report is sent to the organisation. Inspectors are sent a copy of the final report and the letter sent out to the organisation giving details of the AC's decision and reasons for this. It should be emphasised, however, that BAC is responsible for the issue of the report, and inspectors should refer any correspondence arising from the report to BAC, rather than involving themselves directly with the organisation.

BAC's appeals procedure is designed to provide organisations with an efficient and fair means of requesting a review of the decision to withhold or refuse accreditation. One of the two grounds for appeal is 'that the decision was not made in accordance with the procedures or criteria set out in the Accreditation Handbook'. Inspectors may be called on to provide evidence that procedures were carried out in the proper manner and to comment on the organisation's stated grounds for lodging an appeal.

## 6. Remuneration of inspectors

Once an inspection is completed and the inspection report has been submitted to the BAC office, the inspector should send in a claim form for fees and expenses. There are separate claim forms for inspectors, senior inspectors and SIs and for inspections conducted in the UK and overseas and for HE inspections. The appropriate form will have been sent to the inspector by BAC's office. The form, accompanied by relevant receipts, should be submitted either electronically to [inspectorclaims@the-bac.org](mailto:inspectorclaims@the-bac.org) or in hard copy to the BAC office.

Please refer to the Travel and Expenses Guidelines for Inspectors which are available on the website.

Inspectors are advised to check their claim forms carefully before submission, as missing or incorrect information may result in delayed payment. BAC aims to settle claims within one month of receipt once any outstanding queries have been resolved.

The level of inspection fees is reviewed regularly to ensure it remains in line with market rates.

All claims should be submitted no later than one month after the inspection. BAC reserves the right to reject claims for both fees and expenses which are submitted more than three months after the date of the inspection.



## 7. Appendices

### Appendix A

#### Anti-bribery and anti-corruption policy

##### Purpose

BAC recognises that scenarios that involve attempts to bribe or corrupt inspectors are extremely unlikely to occur. Inspectors have received the same guidelines and we are, therefore, sharing these with institutions and providers with a view to complete transparency in this area. We trust that you will view this policy with that in mind.

##### BAC's commitment

The British Accreditation Council (BAC) is committed to maintaining the highest level of ethical standards in the conduct of its activities and to act professionally, fairly and with integrity in all our activities, both in the United Kingdom (UK) and internationally. Therefore, whilst recognising that this presents a very low risk, we are committed to implementing and enforcing effective systems to ensure that bribery and corruption play no part in how we conduct our affairs.

##### Understanding and recognising bribery and corruption

Acts of bribery or corruption are designed to influence an individual in the performance of their duty and incline them to act in a way that a reasonable person would consider to be dishonest in the circumstances.

Bribery can be defined as “offering, promising or giving a financial or other advantage to another person with the intention of inducing or rewarding that person to act or for having acted in a way which a reasonable person would consider improper in the circumstances”. Corruption is any form of abuse of entrusted power for private gain and may include, but is not limited to, bribery.

Bribes are not always a matter of handing over cash. Gifts, hospitality and entertainment can be bribes, if they are intended to influence a decision.

##### BAC's policy

BAC prohibits the offering, giving, solicitation or the acceptance of any bribe or corrupt inducement, whether in cash or in any other form.

##### For inspectors, consultants, agents and contractors such inducements would include the following:

- The acceptance of gifts, other than low value gifts such as branded pens, notebooks and coffee mugs.
- The acceptance of any financial inducement
- The offer of employment or consultancy work in return for interpreting inspection evidence in a favourable (or unfavourable) light
- Offers of hospitality, for example invitations to lunches and dinners, other than a light working sandwich lunch or similar during the inspection. This latter practice also contributes to the effective use of the inspection time and can be combined with meetings with staff and/or students if appropriate. Where possible, inspectors should offer to pay for such hospitality but not to the extent that it causes offence.

Institutions to be inspected will be advised of BAC's policy, in advance of an inspection. BAC will investigate thoroughly any actual or suspected breach of this policy or the spirit of this policy and appropriate action will be taken as required.

##### Monitoring

The effectiveness of this policy will be reviewed annually by the Council and up-dated as required. Internal control systems and procedures will be subject to audit by the Audit Committee.

## Appendix B

### Safeguarding checklist

#### CARE of under 18s – Notes to inspectors

We have seen an increase in the number of applications, particularly for Short Course Provider (SCP) accreditation from providers catering for learners under the age of 18, most typically on 'summer course programmes'. In addition, we are aware that some providers, under other schemes, are also enrolling students under the age of 18.

Whilst we do not generally inspect compliance with legal and statutory requirements, given the importance of this aspect in educational contexts and the fact that we have a duty of care to ensure that such providers are fully compliant with all safeguarding requirements, we are obliged to inspect this aspect of the provision. The institution will still be asked to sign the Declaration of Compliance with Legal and Statutory Requirements, which also covers safeguarding.

#### Key Definitions

**1. Children:** In accordance with the Children Act 1989 and 2004, a child is any person who has not yet reached their 18<sup>th</sup> birthday.

**2. Vulnerable Adults:** A vulnerable adult is generally defined as 'an adult, who is unable to function cognitively or adequately undertake basic day-to-day functions without the help or oversight of someone not impaired in these ways or who is unable to protect him/her self against significant harms or exploitation'.

**During the inspection, please complete the checklist below and use it to identify where there are any areas of non-compliance. Please return the completed checklist to BAC together with your report.**

Is there a suitable policy for the protection of students under the age of 18 and vulnerable adults, that is reviewed at least annually?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is there a named DSL (designated safeguarding lead), who is responsible for implementing this policy and responding to child protection allegations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
The policy should be a working document (regularly reviewed) which sets out an organisation's commitment to protect children from harm and the procedures in place to support this. It should cover: policy statements, codes of conduct, health and safety, safer recruitment, training, welfare provision and child protection procedures (including: awareness, how to raise concerns, responding to disclosure, named person(s) responsible, the decision-making process, systems for recording and reporting information and handling allegations/incidents). The policy should be clear and relevant to the organisation and up-dated at least annually.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the provider made the safeguarding policy known to all adults in contact with under 18s through their role with the organisation (including employees, sub-contractors, homestay hosts, group leaders and volunteers) and provided guidance or training relevant to its effective implementation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is there a code of conduct for staff covering relationships with students under the age of 18 and which includes whistleblowing procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are there arrangements in place to identify any person who is vulnerable and to ensure the right help and support is provided in a reasonable time scale?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are up-to-date contact details recorded for a parent, carer or person acting in loco parentis for students aged under 18 (and under 25 for students with learning difficulties and/or disabilities, if the students wish so)?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Are students aware of how they can access support or complain, if they do not feel safe?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is there an appropriate course of action to follow should a participant/student report abuse or concerns about their well-being? In reports of abuse, the arrangements should indicate how to receive disclosures and pass them on to statutory agencies and deal with staff who are subject to allegations.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do recruitment and selection procedures follow safer recruitment best practice? Do the recruitment and selection procedures and other human resources management processes help to deter, reject, or identify people who might abuse children, or are otherwise unsuited to work with them? Is appropriate information provided to job applicants? Do recruitment materials for roles involving responsibility for or substantial access to under 18s (staff and host families) include reference to the organisation's commitment to safeguarding and inform applicants that suitability checks will be required?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are arrangements made for appropriate checks on staff, including enhanced Disclosure and Barring Service (DBS) checks from 2013 for staff who have regular, unsupervised access to children or vulnerable adults, and where appropriate (based on risk assessment) on proprietor/governors and volunteers.  In accordance with best practice – appropriate DBS checks should be carried out on all and host families. These checks should be carried out prior to their appointment or prior to the start of their regulated unsupervised activities. If a new starter does commence employment prior to clearance being received, they must have signed a self-declaration and their access should be supervised at all times; they must not be left alone with children.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does a single, central record (SCR) exist of all checks on college staff and, where appropriate, proprietor/governors and volunteers?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are references taken up on all staff prior to employment and recorded on the SCR?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do all staff, volunteers and contractors undertake appropriate training on safeguarding which is recorded and monitored for currency? Is this training updated regularly in line with advice from the Local Safeguarding Children Board (LSCB)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
For those working with regularly or hosting under 18s and vulnerable adults, does the training included how to recognise signs of abuse and how to respond to disclosures from students?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is safeguarding training part of the induction training for all staff, temporary staff and volunteers newly appointed? Does this include the safeguarding policy, staff behaviour policy or code of conduct, and the identification and role of the designated safeguarding lead and how to recognise and respond to concerns?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Good practice is that all staff are trained to level 1 (basic); management to level 2 (advanced) and DSL to level 3.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is there a board level lead responsible for safeguarding? Is there a designated senior member of staff responsible for safeguarding arrangements, who has been trained to the appropriate level, (including Inter-agency working) and understands her/his responsibilities with respect to the protection and welfare of students under 18 and vulnerable adults?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is clear information provided to the parents/guardians of under 18s? Does the publicity or other information made available, before enrolment, give an accurate description of the level of care and support given to students under 18, especially concerning any periods when students are unsupervised as well as including sleeping arrangements when accommodated overnight or	<input type="checkbox"/> Yes <input type="checkbox"/> No

Are there safe working arrangements for off-site activities, such as any social programme?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Are effective arrangements made to protect participants from the risks associated with radicalisation and extremism? These include a policy wording, a risk assessment and staff training.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is there an E-Safety policy, that references the staff code of conduct, students' use of social media and devices on site such as mobile phones and cameras?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do managers and staff take action immediately if there are concerns about any form of cyber-bullying or other on-line risks to the students?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are arrangements for accommodation, through homestay, halls of residence or otherwise, appropriately managed and registered in accordance with national requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
When the institution arranges host family accommodation for under 18s, are enhanced DBS and barred list checks made for all permanent residents who are aged 16 or older?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Where under-16s are accommodated, other than with their parents or guardians, for more than 28 days, has the local authority been alerted?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

**Useful websites for obtaining further information and guidance on safeguarding of children**

**The Children Act 2004:** [http://www.legislation.gov.uk/ukpga/2004/31/pdfs/ukpga\\_20040031\\_en.pdf](http://www.legislation.gov.uk/ukpga/2004/31/pdfs/ukpga_20040031_en.pdf)

**Keeping Children Safe in Education 2018** – inspectors should refer to this document as a basis for good practice, although it is our understanding that it is not a legal requirement in the private sector:  
[assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/892394/Keeping\\_children\\_safe\\_in\\_education\\_2020.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/892394/Keeping_children_safe_in_education_2020.pdf)

Safeguarding Children and Safer Recruitment in Education:  
[www.gov.uk/government/publications/safeguarding-children-and-safer-recruitment-in-education](http://www.gov.uk/government/publications/safeguarding-children-and-safer-recruitment-in-education)

**Safeguarding:** <https://www.britishcouncil.org/education/accreditation/information-centres/care-children>

**Prevent:**  
[https://www.britishcouncil.org/sites/default/files/information\\_for\\_providers\\_on\\_prevent\\_obligations\\_0.pdf](https://www.britishcouncil.org/sites/default/files/information_for_providers_on_prevent_obligations_0.pdf)

## Appendix C

List of documentation to be made available (Record of Documents Seen). This form must be sent to the provider and completed in full during/after the inspection and submitted to BAC with the inspection record.

**Please note the below list of documents may not be exhaustive and other documents may be required during the inspection process. Please also be prepared to show the inspector(s) other documentation that you consider to be important even if it is not included above and may not be mentioned by the inspector(s)**

NAME OF INSTITUTION / PROVIDER		Seen	Not available	Not applicable
	<b>DOCUMENTATION</b> <i>(IHE stands for Independent Higher Education scheme)</i>			
	<b>THE APPLICATION STAGE – THE DOCUMENTS UNDER THE APPLICATION STAGE SECTION (A-R and C1-C10) ARE SENT TO INSPECTORS BY THE BAC OFFICE SO NO NEED FOR PROVIDERS TO SEND AGAIN OR HAVE AVAILABLE AT THE INSPECTION UNLESS THERE HAVE BEEN ANY CHANGES MADE TO THEM</b>			
	<b>ALL OTHER RELEVANT DOCUMENTS SHOWN BELOW DO NEED TO BE SENT TO THE INSPECTOR</b>			
<b>A</b>	Documents authenticating the legal status of the organisation, including copies of documents confirming right to operate as an educational or training organisation, registration records for the organisation. For organisations offering degrees, please include the authorisation of degree awarding powers - <b>looked at in the office only unless advised otherwise</b>			
<b>B</b>	Evidence of the ownership or tenure of the premises or evidence of hire or lease agreement			
<b>C</b>	Copies of the last three years' audited annual accounts (if the organisation is still in its early stages, please supply internal accounts, or some other documentation to prove the financial status e.g. bank statements) – <b>looked at in office only unless advised otherwise</b>			
<b>D</b>	Up-to-date organisation chart or outline description of the staff structure, with names of post-holders and individual roles			
<b>E</b>	Detailed job descriptions of management and course tutors <i>Please have all staff CVs available onsite or in a confidential shared folder for online inspections</i>			
<b>F</b>	Staff handbook (including disciplinary and grievance procedures)			
<b>G</b>	Learner/Student/Participant handbook (including appeals and complaints procedures)			
<b>H</b>	Current course brochures and other marketing materials to include clear entry requirements where applicable			
<b>I</b>	Enrolment application form with details of fees and refund policy			
<b>J</b>	Outline curriculum for each training programme, including assessment procedures			
<b>K</b>	Class timetables at the time of the inspection			
<b>L</b>	A policy on preventing radicalisation and extremism			
<b>M</b>	A risk assessment regarding preventing radicalisation and extremism			
<b>N</b>	Evidence of appropriate prevention of radicalisation and extremism training for all staff			
<b>O</b>	Copies of partnership agreements with UK education organisations or chartered bodies - <b>looked at in the office only unless advised otherwise</b>			
<b>P</b>	Copies of partnership agreements with non-UK education organisations or			

	chartered bodies (translated) - <b>looked at in the office only unless advised otherwise</b>			
Q	Copies of audits and academic reviews carried out by or on behalf of the awarding bodies or partnership organisations			
R	Copies of any validation/franchise agreements with degree awarding power universities in the UK and or overseas - <b>looked at in the office only unless advised otherwise</b>			
C1	Safeguarding policy			
C2	Evidence of Disclosure and Barring Service (DBS) checks for all staff or country alternative			
C3	Risk assessments for activities inside premises and for all outdoor activities including excursions			
C4	Evidence of staff training on safeguarding. (For UK providers, please include a copy of the Level 3 Safeguarding training certificate for the Designated Safeguarding Lead)			
C5	Information provided to job applicants			
C6	Information provided to parents/guardians of under 18s			
C7	Information provided to homestay organisations			
C8	Rules regarding care of under 18s in residential accommodation			
C9	Evidence that residential accommodation, where participants under 18 are accommodated, is open to inspection by the appropriate authorities, including Ofsted. (Latest inspection report)			
C10	Job description of post-holder with overall responsibility for safeguarding			
	<b>GOVERNANCE, MANAGEMENT, STAFFING AND ADMINISTRATION, ACADEMIC MANAGEMENT AND QUALITY ASSURANCE</b>			
1M	The strategy/development plan including strategic targets – <b>sent in advance</b>			
2M	List of committees/boards together with their terms of reference and membership – <b>sent in advance</b>			
3M	Detailed job descriptions of administrative, academic and pastoral support staff			
4M	Documentation on risk planning and completed risk assessments – <b>sent in advance</b>			
5M	Documentation explaining the link between governance and management – <b>IHE only – sent in advance</b>			
6M	Programme re-validation reports – <b>IHE only – sent in advance</b>			
7M	Financial planning documentation			
8M	Performance data maintained by the organisation, for example examination pass rates/stakeholder feedback scores/attendance rates - <b>sent in advance</b>			
9M	Annual performance reviews against strategic targets at organisation/ department/course and programme levels – <b>sent in advance</b>			
10M	Responses made as a result of external audits – <b>sent in advance</b>			
11M	Samples and summaries of any learner and other stakeholder feedback, including completed feedback questionnaires			
12M	Action plans for dealing with stakeholder feedback			
13M	Documentation relating to policies and procedures for informing stakeholders of the response made to their feedback			
14M	Internal and external quality assurance documentation including copies of any policies used as a means of quality management, annual reports and action plans			

15M	Key policies underpinning the running of the organisation for example relating to staff recruitment, staff performance monitoring and staff development, quality assurance, assessment and learner welfare etc. – <i>sent in advance</i>			
16M	Staff, including academic and teaching staff, induction programmes			
17M	Minutes of relevant committee and/or board meetings			
18M	Minutes of staff meetings			
19M	Detailed Curricula Vitae (CVs) for all staff including all academic/teaching staff to include evidence of academic and teaching qualifications			
20M	Staff appraisal procedures and completed documentation			
21M	Evidence of continuing professional development/training opportunities and individual development logs			
22M	Samples of administration correspondence with learners			
23M	Completed learner application forms and any learner contracts			
24M	Evidence of attendance monitoring, including class registers for each course/programme			
25M	Learner files with details of registration, enrolment, attendance and qualifications			
26M	Policy on accreditation of prior learning, including experiential learning for prospective learners			
27M	Staff personnel files and records			
28M	Up-to-date signed contracts of employment for all staff			
29M	Self-employment contracts/agreements for all self-employed staff			
30M	Briefing materials for agents			
31M	General management and administrative policies, procedures and systems			
32M	Policies to protect the data of participants and staff			
	<b>TEACHING, LEARNING AND ASSESSMENT</b>			
33T	Detailed up-to-date list of programmes available – <i>taken from the application form and/or data collection form so please just update one of those lists if necessary rather than producing something new</i>			
34T	A detailed timetable of the courses/classes taking place at the time of the inspection			
35T	Agreements with awarding bodies			
36T	Whole course/academic year plans/schemes of work			
37T	Module/course descriptions			
38T	Completed lesson/lecture plans			
39T	A list of learners on site on the day(s) of the inspection, broken down by level of English competence (where relevant), gender, age, country of origin, programme and start date – <i>in order to choose a group to meet with as part of the inspection</i>			
40T	Assessment procedures/schedule of assessments/samples of assessment methods/ assessment tools/statement of intended learning outcomes			
41T	Samples of marked learners' work with feedback to the learner			
42T	Sample placement/initial tests, including completed documentation			
43T	Records of learner progress			
44T	Policies to prevent cheating and plagiarism			



45T	Learners' academic appeals and grievance procedures			
46T	Documents relating to external moderation			
47T	Evidence of monitoring of teaching/training/tutoring staff, including completed classroom observation records			
48T	Summaries of results/grades awarded for previous three years for each academic programme, or from the start date, if the courses have not been available for that time			
49T	Copies of external examiners' reports for the previous three years for each academic programme, or from start date, if the course has not been available for that time			
50T	Copies of annual reports to the awarding bodies for the previous three years for each academic programme, or from start date, if the courses have not been available for that time			
51T	Catalogue of library stock			
52T	Policies and procedures for the acquisition of teaching/training and learning resources and examples of learning resources including online resources			
	<b>LEARNER WELFARE</b>			
53W	Information for learners relating to qualifications and awarding bodies – <i>sent in advance</i>			
54W	Induction packs for home and international learners			
55W	Initial guidance documents for learners			
56W	Complaints policy and procedure documentation including reference to BAC's complaints procedure if relevant			
57W	Policy documents related to discrimination, bullying and abusive behaviour, including cyberbullying			
58W	An e-policy that covers learners' on-site use of social media and devices such as mobile telephones, tablets and cameras			
59W	Documents related to residential accommodation			
60W	Documents related to home-stay accommodation including advice to home-stay learners and organisations			
61W	Learners' social programme			
62W	Off-site social activities risk assessment			
63W	Careers advice and guidance documentation			
64W	For a list of all the safeguarding documentation required, please see the safeguarding checklist. The checklist is sent to providers which enrol any students/participants who are under the age of 18 and/or vulnerable adults by the inspector and is submitted to BAC with this record of documents seen checklist on completion of the inspection			
	<b>PREMISES AND FACILITIES</b>			
65P	Floor plan of each site being inspected			
66P	Health and safety guidance for learners, staff and visitors			
67P	Information relating to the number, specification, location and accessibility of computing and related IT resources			
68P	A guide to the library and IT facilities			

## Appendix D

### Full/re-accreditation inspection timetable – Short Course Provider scheme

#### Inspection timetable – The Training Centre – 8–9 August 2020

**Address** – xxxxxxxx

**Main contact** – Susan Jones – Tel no – xxxxx

**Inspector** – Diana Morriss – Tel no – xxxxx

*Please note that the order of inspection activities and the timings below are indicative only and provided as an example - actual activities and timings will vary according to the specific circumstances*

*If the inspection is being carried out by more than one inspector, Lead Inspectors can, in order to make the best use of the available time and make sure that all the standards are fully covered, deploy the other inspectors to carry out different inspection activities at the same time rather than all meetings involving all the inspectors together*

#### Monday

**8.30** Diana arrives

**8.30 – 8.45** Diana prepares in the base room and checks supplied documentation (if appropriate – this time includes a briefing with other members of the inspection team)

**8.45 – 10.00** Meeting with the **Proprietor** and the **Head of the Provider** - focus on governance, management and quality assurance (standards 1-7 and associated documentation)

Also, to finalise the report introduction (background and current provision), data collection form and signature of the statutory declaration of compliance

**10.00 – 10.15** **Tour of the premises** with the **Health and Safety Manager** – to include review of health and safety guidance for the participants, staff and visitors (standards 22-25)

**10.15 – 10.45** **Lesson observation** - focus on teaching and learning, to include attendance monitoring if possible

**11.00 - 11.45** Meeting with the **Training Manager** - focus on teaching, learning and assessment, to include other areas as required for triangulation, such as management, staffing and administration, quality assurance and associated documentation (standards 8-15 and 26-31)

**11.45 – 12.45** **Document scrutiny**

**12.45 – 13.10** Meeting with a cross-section of **participants** – selected by the Lead Inspector from a list of the participants - focus on participant welfare, to include initial advice and guidance, induction and welfare policies and other areas to triangulate, including teaching learning and assessment and premises and facilities as required (standards 16-21)

**13.10 – 13.40** Working **lunch** in the base room and **document scrutiny**

**13.40 - 14.15** Meeting with **available trainers** - focus on teaching and learning, to include as relevant support provided for continuing professional development, quality of the training resources, their role in course development, how the quality of their training and the relevance of their courses are reviewed and other areas to triangulate, such as communication with the Provider's staff, participant welfare and associated documentation (standards 8-15 and 26-31)

**14.15 - 15.00 Lesson observation** - focus on teaching and learning to include attendance monitoring if possible

**15.00 – 16.30 Document scrutiny and meetings/visits to accommodation** as required, to include review meeting with inspection team, if appropriate, and completion of the Record of Inspection

**16.30 – 17.00 Initial feedback** to the **Head of the Provider** and review of arrangements for day two

**17.00** Diana departs

## Tuesday

**09.00** Diana arrives and prepares in the base room (if appropriate — this time includes a briefing with other members of the inspection team)

**9.15 – 9.30** Meeting with the **Head of the Provider** to agree arrangements for the day and pick up any issues from day one

**9.30 - 10.30** Meeting with the **Administrator** focus on management, staffing and administration and participant welfare to include as relevant a review of the administration systems, how the team communicates, how her performance is monitored and managed, how she is supported to carry out her role effectively, initial advice and guidance, induction and welfare policies and other areas for triangulation as required and associated documentation (standards 1-7 and 16-21)

**10.30 – 11.15 Lesson observation** - focus on teaching and learning to include attendance monitoring if possible

**11.15 – 12.00** Meeting with the **Welfare Manager** regarding participant welfare to include initial advice and guidance, induction, information for international participants, safeguarding, radicalisation and extremism prevention, welfare policies, accommodation, social activities and other areas for triangulation as required and associated documentation (standards 16-21)

**12.00– 13.30 Document scrutiny and meetings** as required (to include review meeting with inspection team, if appropriate, and completion of the Record of Inspection)

**13.30 – 14.00** Working lunch in the base room and **document scrutiny**

**14.00 – 14.30** Continue with **document scrutiny and meetings** as required

**14.30 - 15.00 Lesson observation** - focus on teaching and learning to include attendance monitoring if possible

**15.00– 16.00 Document scrutiny and meetings** as required, to include review meeting with inspection team, if appropriate, completion of the Record of Inspection and review of evidence and summary of findings and feedback

**16.00 – 16.30** Final **feedback** on findings\*

**16.30** Diana departs \*

\* *approximate timings depending on progress made*

## Appendix E

### Extracts from a sample Inspection record – short course provider

This form must be completed in full during/after the inspection and submitted to BAC together with the draft inspection report.

It should be accompanied by the completed ‘Record of Documents Seen’ and the safeguarding checklist, where appropriate.

Inspectors should give an indication of whether each standard is met, partially met or not met

*Note – this record of evidence sample is not intended to be a model to follow in terms of the content to include or the judgments made on the basis of the evidence – it is intended to give an idea about the level of detail to provide*

#### Name of Institution

The Training Provider

#### 1. GENERAL

##### Provider’s strengths – summary

Trainers – from feedback and observations – committed and enthusiastic in the class  
Facilities – simulator and classrooms  
Robust approach to compliance and QA in line with bodies such as CAA etc High pass rates and satisfied participants  
Residential accommodation blocks on site  
Open door and approachability to participants and any concern they have

##### Provider’s weaknesses – summary

No formal written risk management strategy

#### 2. Compliance with BAC minimum standards

##### Management, staffing and administration

##### 1. The provider is effectively managed

- 1.1. The management structure is clearly defined, documented and understood, including the role and extent of authority of any owners, trustees or governing body.
- 1.2. The head of the provider and other senior managers are suitably qualified and experienced, understand their specific responsibilities and are effective in carrying them out.
- 1.3. There are clear channels of communication between management and staff including those working at the delivery venue or remotely.
- 1.4. The provider has a written statement of its mission and goals that effectively guides its activities, is communicated to all stakeholders and is effectively implemented and regularly reviewed.
- 1.5. The provider has a written risk management strategy, which includes financial planning and is effectively implemented and regularly reviewed.

	Met	Partially met	Not met
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<b>This standard is</b>		✓	
<b>Supporting evidence and/or further evidence required</b>			
<p>SFC is regulated by the Civil Aviation Authority (CAA,) which requires substantial rigour in how SFC is managed and run. As a result, all the roles are clearly defined with key responsibilities e.g. for safety/passenger flights etc — called accountable managers etc.</p> <p>It is a family run business. The owner and his daughter who is the CEO have a house on the airfield so knows the business well although acts more as a figurehead and has overall responsibility for financial matters. Day to day responsibilities e.g. for the students and the courses are delegated effectively to the head of training.</p> <p>The senior managers talk to the owner and CEO every day. They have regular informal meetings. They have instructors’ meetings where they discuss operational matters e.g. winter ops/de-icing of planes and other meetings e.g. re the SMS (see below) and quality. Some meetings are recorded. Have rigorous standard operating procedures (SOPs). If they are not adhered to by the staff — this will lead to a disciplinary. Other communication includes regular crew notices and e-mails re any legislation changes.</p> <p>CAA have to approve all manager appointments</p> <p>Seen – minutes of staff meetings – instructors’ meeting/safety working group Ops manual with all responsibilities outlined</p> <p>CVs show good and relevant experience/quals for the job</p> <p>Compliance means they have to be very clear about the specific responsibilities of the staff and it is all recorded rigorously</p> <p>The written statement of the mission and goals is on the website and in handbooks and other documentation so stakeholders can see this – it is effectively implemented and regularly reviewed by the senior managers</p> <p>Didn’t see a written risk management strategy – this is done informally but not written down</p>			
<b>Action points</b>			
The provider must develop a written risk management strategy and communicate it to all stakeholders and review it regularly			

2. *The administration of the provider is effective*

- 2.1 Administrators are suitably qualified and/or experienced, understand their specific responsibilities and duties and are effective in carrying them out.
- 2.2 The size of the administrative team is sufficient to ensure the effective day-to-day running of the provider.
- 2.3 The administrative support available to the management is clearly defined, documented and understood.
- 2.4 Administrative policies, procedures and systems are up-to-date, thorough, well-documented and effectively disseminated across the provider.
- 2.5 Data collection and collation systems are effective in supporting the administration of the provider.
- 2.6 Participants’ and trainers’ personal records are sufficiently detailed and regularly updated.
- 2.7 The provider has a robust security system with policies in place for protecting the data of its participants and trainers.

	<b>Met</b>	<b>Partially met</b>	<b>Not met</b>
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<b>This standard is</b>	✓		
<b>Supporting evidence and/or further evidence required</b>			
<p>Well documented systems such as the SMS (safety management system) — have a very good safety record.</p> <p>There is an on-line reporting system. It is a highly regulated environment. Have rigorous standard operating procedures (SOPs). If they are not adhered to by the staff — this will lead to a disciplinary.</p> <p>Policies and procedures are maintained up to date by the part-time HR person — all are dated so last review is known</p> <p>There is a stable staff — most have been with the organization for at least 10 years</p> <p>Size of admin team is suitable and have recently taken on an extra person — a chief ground officer — CAA have to approve all</p> <p>SMS risk management system is highly robust and includes reporting to the various international/European/ CAA authorities</p> <p>Comprehensive staff handbook includes H&amp;S</p> <p>Seen data base with students’ personal details and progress scores and notes and exam scores</p> <p>Compliance means they have to be very clear about the specific responsibilities of the staff and it is all recorded rigorously</p> <p>Instructors say the admin support is effective — they can now book flight sessions on-line and remotely which is useful</p> <p>Seen ops manual re scheduling instructors — it is all driven by the fact that they have to comply with the international aviation body</p> <p>Seen database with all personal records - they are very detailed and reviewed quarterly. All the personal records are secure and been reviewed recently by an external data compliance expert</p>			
<b>Action points</b>			
None			

**3. The institution employs appropriate managerial and administrative staff**

- 3.1 There are appropriate policies and effective procedures for the recruitment of suitably qualified and experienced staff which include, for self-employed staff, the development of a signed performance service level agreement.
- 3.2 Experience and qualifications are appropriately checked and verified before recruitment and records are accurately maintained.
- 3.3 The recruitment process for trainers working remotely includes a face-to-face online interview.
- 3.4 There is an effective system for regularly reviewing the performance of all staff, which, for trainers, includes regular, scheduled course delivery observations.
- 3.5 Managerial and administrative staff are appropriately supported in their continuing professional development.

	<b>Met</b>	<b>Partially met</b>	<b>Not met</b>
<b>This standard is</b>	✓		
<b>Supporting evidence and/or further evidence required</b>			

<p>SFC generally produces its own instructors as they will have done SFC’s own course or they will have been recommended — the aviation industry is small so people know each other. They have a three months’ probationary. HR deals with staff recruitment. Seen a sample of staff files.</p> <p>Sample instructor staff file shows relevant checks and include passport/medical fitness</p> <p>Other staff file has relevant documentation including holiday requests and contract including for self-employed staff</p> <p>There is a rigorous recruitment process for all new instructors, including those working remotely, and they are on-boarded well and all are interviewed</p> <p>Admin staff are not formally appraised — problems are picked up as they go along and dealt with — these may come from customer feedback but staff have access to training etc to develop their skills.</p> <p>Trainers are regularly observed delivering their courses</p> <p>There are good CPD courses – some of which are offered by bodies like the CAA</p>
<p><b>Action points</b></p> <p>No formal appraisal system for admin staff — this has now been rectified — need to make sure it is rolled out and maintained</p>

- 4. *Publicity material gives a comprehensive, up-to-date and accurate description of the institution and its curriculum*
- 4.1 Text and images provide an accurate depiction of the provider’s location, premises, facilities and the range and nature of resources and services offered.
- 4.2 Information on the courses available is comprehensive, accurate and up to date.
- 4.3 The provider’s key policies are accessible through the website.

	Met	Partially met	Not met
<b>This standard is</b>	✓		
<b>Supporting evidence and/or further evidence required</b>			
Enquiries come through the website or word of mouth - above key indicators are met - brochures and website are OK			
Main policies e.g. staff recruitment, equality and diversity, registration and GDPR are on the website			
<b>Action points</b>			
None			

- 5. *The institution takes reasonable care to recruit and enrol suitable students for its courses*
- 5.1 The provider ensures that the specific courses on which participants are registered are likely to meet the participants’ expectations and needs.
- 5.2 Entry requirements for each course, including those relating to language ability, where applicable, are set at an appropriate level and clearly stated in the course descriptions read by prospective participants.
- 5.3 A formal application and selection process ensures that participants meet the entry requirements.
- 5.4 Applicants are provided with sufficient information to enable them to make a judgment on the suitability of the courses and their delivery methods and can discuss any concerns before registration.
- 5.5 The provider replies to all application enquiries in line with its appropriate target response times and all stakeholders are briefed properly on the nature and requirements of its programmes.
- 5.6 Overseas recruitment agents are properly selected, briefed, monitored and evaluated.



- 5.7 The provider has effective systems to identify participants who have special educational needs and disabilities requiring additional learning support or other assistance.

	Met	Partially met	Not met
<b>This standard is</b>	✓		
<b>Supporting evidence and/or further evidence required</b>			
<p>Entry requirements are on the website and include the need for competence in English — re the language — the CAA operate a 1-6 scale for Aviation English — native speaker is at level 6. If they don't reach this level — they go to a testing centre. They also need to have GCSE level in maths and physics. New students (especially international students) download a revision book — they have two days to 'brush up' their knowledge and then do a test.</p> <p>Student learn about SFC through their research/website or word of mouth — they don't use agents</p> <p>Students were able to easily see what the courses involve and the expectations so they can assess that the programme they are interested in will meet their needs (see also below re pastoral support)</p> <p>Students confirmed that they had initial testing of their maths and physics knowledge and were clear about the level of English required – any special needs are also identified as a result</p> <p>The admin is carried out effectively – students confirmed this to be the case</p> <p>They don't use recruitment agents</p> <p>Some competitors are regarded as 'meat machines' — they try to have an individual ethos — they are a smaller org so can do that more easily — even if they lose the money — they will turn away someone if they are not suitable — some people will self-select out if they have an impairment — they can help if dyslexia comes out under pressure Instructors confirm that students enrolled are suitable</p>			
<b>Action points</b>			
None			

6. *There is an appropriate policy on student attendance and effective procedures and systems to enforce it*
- 6.1 There is a clear and published policy on student attendance and punctuality, which is communicated to all participants and other stakeholders.
- 6.2 Accurate and secure records of attendance and punctuality at each session are kept for all students, collated centrally and regularly reviewed.
- 6.3 Student absences are followed up promptly and appropriate action is taken.

	Met	Partially met	Not met
<b>This standard is</b>	✓		
<b>Supporting evidence and/or further evidence required</b>			
<p>The need to attend is communicated well to the students — also the attendance is part of the qualification requirement. Registers are taken 6 times a day. They are very strict on this.</p> <p>Students confirmed that a register of attendance was taken and that the need to attend was 'drummed' into them</p> <p>Instructor confirmed that he takes a register — they tell the head of training is someone is absent and they will raise any lack of attendance with the student</p> <p>Seen attendance sheet — register is taken 6 times a day and show absences</p>			
<b>Action points</b>			

None

7. *The provider has effective systems to monitor its own standards and assess its own performance with a view to continuous improvement*

- 7.1 There are effective systems for monitoring and periodically reviewing all aspects of the provider’s performance.
- 7.2 The provider has effective mechanisms for obtaining feedback from participants and other relevant stakeholders, such as staff, partners and employers, on all aspects of the provider’s provision, including formal participant representation where appropriate.
- 7.3 Feedback is obtained, recorded and analysed on a regular basis.
- 7.4 The feedback is reviewed by management and appropriate action is taken.
- 7.5 There is a mechanism for reporting to the participants what the provider has done in response to their feedback.
- 7.6 Reports are compiled at least annually, which include the results of the provider’s performance reviews, an analysis of appropriate data, including participant feedback, and action plans.
- 7.7 Action plans are implemented and regularly reviewed with outcomes reported to management.

Met	Partially met	Not met
<b>This standard is</b>		
	✓	
<b>Supporting evidence and/or further evidence required</b>		
<p>There are various ways that the provider ensures that its provision is high quality and that improvements are made as required</p> <p>They get formal student feedback at the end of the course. They have an open-door policy and students can approach anyone with any issues and get them resolved. For example, they can flag up that they don’t like a particular instructor and appropriate action is taken so that their needs are met</p> <p>Seen completed feedback forms – good spread of questions – some areas needing improvement e.g. reception staff being rude – example given about what done in response</p> <p>The feedback is bought together for the instructors’ meetings</p> <p>Detailed data in students’ success is maintained and exam success is a KPI. Pass rate is 98% so the vast majority pass the course. They don’t crunch the data — as the course is very expensive so pass rate is high.</p> <p>CAA do a regular audit</p> <p>Focus on exam pass rate — seen data showing pass rates for the CPL and IR from 2006-2015 (December) showing high pass rates and info re jobs acquired in the airline business and summary of pass rates</p> <p>Seen CAA audit report — June 2014 — includes review of instructional quality — all appears satisfactory</p> <p>Regular meetings ensure that actions are followed up from previous meetings — most action points from the meetings relate to changes to be made which are recorded in the staff briefing notes</p> <p>Management review the progress test results and student feedback/course evaluations and make changes as a result</p> <p>They are audited by CAA which is happy with their operation Seen data on pass rates</p> <p>Seen how progress testing results are maintained on the Pad Pilot database</p> <p>The database shows the on-line questions answered and what scores the students got and can identify any trends and investigate these and do an extra class if required and can change the character of the progress tests</p> <p>They manually look at attendance rates per course</p> <p>There is a group compliance manager – ensures compliance with European body – there is a compliance</p>		

manual and checklists — this role supports the CAA audit

They discuss so that continuous improvement can happen

The head of training signs off the quality audit, allocates actions, which are recorded and reported to the CAA and signed off by the CAA

There is a quality manual which is updated

**Action points**

See completed feedback - now seen

Formal system for communicating what has been done in response to the student feedback? Feedback from other stakeholders?

Do formal feedback earlier?

Do a 'you said we did' poster and positive feedback

Use data from student feedback to evaluate performance and demonstrate success to all the staff

**Observations on teaching/lesson observation**

<b>Subject:</b> Organisational structures	<b>No of students on the register if provided:</b> 22 on register	<b>No of students present</b> 22 All on register and present in the workshop
<b>Observer:</b> DM	<b>Teacher/trainer observed, if known:</b> A Teacher	<b>Observation time:</b> 30 mins
<b>Course/Programme:</b> Principles of Management	<b>Level/Year:</b> Year 2	<b>Session type:</b> Lecture and workshop

Prompts	Strengths/Impact	Areas for improvement/development
<b>Clarity and relevance of intended learning outcomes/are intended learning outcomes communicated to students</b>	Seen syllabus with clear objectives and intended learning outcomes — this has been communicated well to the students — from other evidence	Nothing displayed in the classroom Could display the intended outcomes in the classroom to maintain focus
<b>Planning and organisation/quality of lesson planning (make it clear if a lesson plan and/or class profile was provided)</b>	Detailed and clear lesson plan with detailed class profile Very good management of time re the group exercises — flagging up how much time is left. Following the syllabus and the list of content	
<b>Methods: lecture, seminar, tutorial, practical, laboratory/questioning techniques/checking understanding/use of assessment methods</b>	Excellent methods including input at the start and then doing a relevant group exercise and getting the groups to feed back their thoughts using the whiteboard and involving the other members of the group to check understanding Using good open questions to dig down e.g. what is missing? how else?	The other groups were not asked to feed in their ideas into the group exercise in order to test the learning more widely

	Clear testing of learning and understanding	
<b>Delivery: pace, clarity of oral communication, mannerisms e.g. eye contact, use of appropriate humour</b>	Clear explanations with high levels of energy and a good pace Good use of humour Very engaging	
<b>Relationship/rapport/interaction with students</b>	Good supportive feedback to the students Clear there are positive relationships between the teacher and the students	
<b>Content: currency, accuracy, relevance, use of examples, level, match to students' needs and abilities, subject expertise</b>	Using good relevant examples which engaged the students very well	
<b>Student participation and engagement/ evidence of learning taking place/ outcomes</b>	Excellent – working well in groups and with the teacher Referring to textbooks by students to check what they are doing Groups using the whiteboard to explain their ideas re the ideal structure and demonstrating good levels of learning	
<b>Use of accommodation: layout, suitability for teaching method in use/use of audio-visual and IT aids: used effectively, legibility</b>	Very good classroom space used well for lecture style and small group work Very good robust seating Light and airy Two screens and a whiteboard, which was used well to emphasise key points and for students to present their own work Good clear slides with key points highlighted	

<b>Overall quality of session: strengths &amp; areas for improvement</b>
<p><b>Strengths:</b></p> <p>Excellent engagement with students and good use of group work Teacher moves around to check how the groups are getting on Uses very good open questions Very good teaching style Demonstrates his practical experience Brings the content alive very well</p>
<p><b>Areas for improvement/development:</b></p> <p>Could display the intended outcomes in the classroom to maintain focus He could have ensured that the other groups fed in their ideas into the group exercise to test the learning more widely</p>

## Appendix F

### Interim inspection timetable – Short Course Provider scheme Inspection timetable - The Provider – 8 October 2020

**Address** – xxxxxxxx

**Main contact** – Jane Smith – Tel no - xxxxxxxxxx

**Inspector** – Diana Morriss – Tel no - xxxxxx

*Please note that the order of inspection activities and the timings below are indicative only and provided as an example - actual activities and timings will vary according to the specific circumstances*

*A review of the premises and facilities will take place as part of the activities shown below*

**9.00** Diana prepares in the base room and checks supplied documentation

**9.15-10.45** Meeting with **Head of the Provider** and other relevant additional staff regarding:

- Any **significant changes**, since the last inspection, for example in the provision, staffing and the use of the premises
- Finalisation of the **introduction section of the report** (background and current provision) and data collection form and signature of the statutory declaration of compliance
- **Response to the action point and two recommended areas for improvement** and any other areas of weakness identified in the last report as follows:
  - The Provider must focus more closely, in lesson observations, on how the trainers' actions impact on participants' skill and knowledge development.
  - It is recommended that the Provider formalises the arrangements for using the activity slot, which is identified in participants' timetables, to ensure that full coverage of a good range of equality and diversity, safeguarding, employability and career planning topics can be covered. The Provider should ensure that staff are adequately trained and provided with good quality resources to help them deliver these sessions well.
  - It is recommended that the Provider introduces a marking rubric so that all trainers identify errors in participants' spelling and grammar

Start **spot check** – focus on governance, management and quality assurance (standards 1-7 and associated documentation)

**10.45-11.05 Lesson observation** - focus on teaching and learning to include attendance monitoring if possible

**11.10-11.30** Meeting with a **cross-section of participants** – selected by the Lead Inspector from a list of the participants - focus on participant welfare, to include initial advice and guidance, induction and welfare policies and other areas to triangulate (standards 16-21)

**11.30-12.15** Meeting with **available trainers** - **spot check** of teaching and learning, to include as relevant support provided for continuing professional development, quality of the training resources, their role in course development, how the quality of their training and the relevance of their courses are reviewed and other areas to triangulate, such as communication with the Provider's staff, participant welfare and associated documentation (standards 8-15 and 26-31)

**12.15-12.45 Document scrutiny**, including to support what has been done to respond to the action point and recommendations (as set out above) and other documentation as set out under section 3.3.2.2 of the handbook

**12.45-13.30 Working lunch** in the base room and **document scrutiny**

**13.30-14.15 Meeting with Training Manager - spot check** of teaching, learning and assessment, to include other areas as required for triangulation, such as management, staffing and administration, quality assurance and associated documentation (standards 8-15 and 26-31)

**14.15-15.00 Meeting with the Administrator – spot check** of management, staffing and administration and participant welfare to include as relevant a review of the administration systems, how the team communicates, how performance is monitored and managed, initial advice and guidance, induction and welfare policies and other areas for triangulation as required and associated documentation (standards 1-7 and 16-21)

**15.00-16.30 Document scrutiny and meetings** as required and review of evidence and summary of findings and feedback

**16.30-17.00 Feedback** on findings\*

**17.00 Diana** departs\*

\* approximate timings depending on progress made

## 8. Useful links and resources

The following links are to organisations which provide a valuable resource for information and advice on statutory requirements and good practice relevant to the operations of an independent educational institution.

### ***Government services and information***

Direct Gov: [www.gov.uk](http://www.gov.uk)

### ***Business law, regulations and advice***

Business Gateway Scotland: [www.bgateway.com](http://www.bgateway.com)

Invest Northern Ireland: [www.nibusinessinfo.co.uk](http://www.nibusinessinfo.co.uk)

Companies House: [www.gov.uk/government/organisations/companies-house](http://www.gov.uk/government/organisations/companies-house)

Department for Education:  
[www.gov.uk/government/organisations/department-for-education](http://www.gov.uk/government/organisations/department-for-education)

Charity Commission for England and Wales:  
[www.gov.uk/government/organisations/charity-commission](http://www.gov.uk/government/organisations/charity-commission)

Office of the Scottish Charity Regulator: [www.oscr.org.uk](http://www.oscr.org.uk)

The Charity Commission for Northern Ireland: [www.charitycommissionni.org.uk](http://www.charitycommissionni.org.uk)

### ***Equal opportunity***

Equality and Human Rights Commission: [www.equalityhumanrights.com](http://www.equalityhumanrights.com)

### ***Employment***

ACAS (Advisory, Conciliation and Arbitration Service): [www.acas.org.uk](http://www.acas.org.uk)

### ***International students and immigration***

UK Visas and Immigration: [www.gov.uk/government/organisations/uk-visas-and-immigration](http://www.gov.uk/government/organisations/uk-visas-and-immigration)

UK Council for International Student Affairs: [www.ukcisa.org.uk](http://www.ukcisa.org.uk)

British Council: [www.britishcouncil.org](http://www.britishcouncil.org)

Office of the Immigration Services Commissioner:  
[www.gov.uk/government/organisations/office-of-the-immigration-services-commissioner](http://www.gov.uk/government/organisations/office-of-the-immigration-services-commissioner)

Immigration Law Practitioners' Association: [www.ilpa.org.uk](http://www.ilpa.org.uk)

### ***Planning and building regulations***

The Planning Portal: [www.planningportal.gov.uk](http://www.planningportal.gov.uk)

Ministry of Housing, Communities & Local Government:  
[www.gov.uk/government/organisations/department-for-communities-and-local-government](http://www.gov.uk/government/organisations/department-for-communities-and-local-government)

### ***Programmes and qualifications***

The Office of Qualifications and Examinations Regulation:  
[www.gov.uk/government/organisations/ofqual](http://www.gov.uk/government/organisations/ofqual)



Information on UK equivalency of overseas qualifications: [www.naric.org.uk/naric/](http://www.naric.org.uk/naric/)

Lists of recognised UK qualifications and awarding bodies for degrees:  
[www.gov.uk/guidance/recognised-uk-degrees](http://www.gov.uk/guidance/recognised-uk-degrees)

Information about accredited qualifications: [www.accreditedqualifications.org.uk](http://www.accreditedqualifications.org.uk)

### ***Protection of children and vulnerable adults***

Disclosure and Barring Service: [www.gov.uk/government/organisations/disclosure-and-barring-service](http://www.gov.uk/government/organisations/disclosure-and-barring-service)

Disclosure Scotland: [www.mygov.scot/disclosure-types/?via=https://www.disclosurescotland.co.uk/](http://www.mygov.scot/disclosure-types/?via=https://www.disclosurescotland.co.uk/)

The Children Act 2004: [www.legislation.gov.uk/ukpga/2004/31/pdfs/ukpga\\_20040031\\_en.pdf](http://www.legislation.gov.uk/ukpga/2004/31/pdfs/ukpga_20040031_en.pdf)

Keeping Children Safe in Education 2016 — inspectors should refer to guidelines as a basis for good practice, although it is our understanding that it is not a legal requirement in the private sector:  
[www.gov.uk/government/publications/keeping-children-safe-in-education--2](http://www.gov.uk/government/publications/keeping-children-safe-in-education--2)

Safeguarding children and safer recruitment in education:  
[www.gov.uk/government/publications/safeguarding-children-and-safer-recruitment-in-education](http://www.gov.uk/government/publications/safeguarding-children-and-safer-recruitment-in-education)

British Council:

[www.britishcouncil.org/education/accreditation/information-centres/care-children](http://www.britishcouncil.org/education/accreditation/information-centres/care-children)

### ***Government Prevent Strategy***

Government:

HE: [www.gov.uk/government/publications/prevent-duty-guidance/prevent-duty-guidance-for-higher-education-institutions-in-england-and-wales](http://www.gov.uk/government/publications/prevent-duty-guidance/prevent-duty-guidance-for-higher-education-institutions-in-england-and-wales)

FE: <https://www.gov.uk/government/publications/prevent-duty-guidance/prevent-duty-guidance-for-further-education-institutions-in-england-and-wales>

British Council - information to providers on Prevent obligations:

[www.britishcouncil.org/sites/default/files/information\\_for\\_providers\\_on\\_prevent\\_obligations\\_0.pdf](http://www.britishcouncil.org/sites/default/files/information_for_providers_on_prevent_obligations_0.pdf)



Website: [www.the-bac.org](http://www.the-bac.org)

email: [info@the-bac.org](mailto:info@the-bac.org)

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Charity no: 326652