Audit Report

Associated Sports Qualifications (ASQ)

31 January 2023

Contents

1 Background

This was the fifth audit of ASQ since it was approved as an awarding body by SQA Accreditation in July 2013.

ASQ is an awarding body which has been established to provide qualifications to service the national governing bodies of sports. ASQ currently works primarily with golf coaching qualifications. Its headquarters are at the Belfry, near Sutton Coldfield.

1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This states the type and frequency of our quality assurance activities, describes our reporting procedures and indicates how the awarding body's Quality Enhancement Rating is calculated.

As this was a full remote audit of ASQ, all regulatory requirements were included within the scope of the audit. Our quality assurance activities are conducted on a sampling basis and, consequently, not all aspects of the awarding body's systems, procedures and performance have been considered in this report to the same depth.

SQA Accreditation audit reports are written by exception focusing only on those areas where corrective action is required or recommended. Consequently, this approach to audit reporting does not detail areas where compliance or good practice was found.

The audit was designed to ensure ASQ complies with SQA Accreditation's regulatory requirements namely:

♦ *SQA Accreditation Regulatory Principles* (2021)
♦ all *Regulatory Principle* Directives
♦ the awarding body's Accreditation Licence

Awarding body documentation considered for review by the Audit Team includes all documents banked on ASQ's SharePoint site at the time of audit and information supplied to support audit activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

1.2 Audit Report and Action Plan Timescales

ASQ audit date: 31 January 2023

Audit Report approved by
Accreditation Co-ordination Group on: 22 February 2023

Audit Report to be signed by ASQ: 05 April 2023

Action Plan to be emailed
to regulation@sqa.org.uk by ASQ: 05 April 2023

The process will apply in relation to the timescales specified above:

♦ The awarding body will be sent a signed copy of the Audit Report by email.

♦ The awarding body must sign the copy of the Audit Report and return by email to SQA Accreditation in accordance with the timescale specified above.

♦ The awarding body will also be emailed a copy of the Action Plan.

♦ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and email this in Microsoft Word format to regulation@sqa.org.uk.

♦ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.

♦ Following approval by ACG, the awarding body will be sent a signed copy of the approved Action Plan by email.

♦ The awarding body must sign the copy of the Action Plan and return by email to SQA Accreditation.

The findings of this Audit Report and the associated Action Plan will be published on SQA Accreditation's website following signed agreement.

SQA Accreditation will continually monitor progress towards completion of the proposed actions identified in the Action Plan and update the awarding body's Quality Enhancement Rating as appropriate.

1.3 Summary of Audit Issues and Recommendations

An Issue has been recorded where evidence shows that the awarding body is not compliant with SQA Accreditation's regulatory requirements. The awarding body must address the Issues and specify corrective and preventative measures to address them through its Action Plan.

The Action Plan is emailed to ASQ as a separate document to the Audit Report, and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.
As a result of the audit and post-audit activities, one Issue has been recorded and two Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 9	SQA Accreditation Auditors noted that there was missing documentation and out of date documentation held on SQA Accreditation SharePoint site. The awarding body must ensure that SharePoint is always kept up to date with current documentation and obsolete documentation is archived.	Low

A Recommendation has been noted where SQA Accreditation considers there is potential for enhancement. The awarding body is advised to address any Recommendations in order to reinforce ongoing continuous improvement. However, measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 9	It is recommended that ASQ add additional information to their documentation control register that easily identifies documentation which is due for review. Additionally, it would be useful for ASQ to identify where documentation can be found — for example on their website or in SharePoint.
2. Principle 12	SQA Accreditation Auditors feel that where demand requires the option of online multiple-choice questions this should be made available to all learners.

1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded, depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications and/or the learner. Issues recorded during the audit will count towards ASQ's Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the [SQA Accreditation website](#).

2 Detail of Audit Issues and Recommendations

The following sections detail Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements.

2.1 Issues

Regulatory Principle 9. The awarding body and its providers must maintain accurate documents, records and data.

The Accreditation Auditors reviewed the awarding body's SharePoint site. This review found several out-of-date documents. In addition to this, the Accreditation Auditors noted the following updates required to current documentation:

ASQ Complaints Procedure C1 V8 Oct 22 refers to a whistleblowing policy. It was confirmed at audit that there is no whistleblowing policy and that it is thought of as an extension to the Complaints Procedure and is also included within Maladministration and Malpractice policies.
Internal Quality Assurance of Assessment (Internal Verification) Strategy -SQA E12b V2 June 2018: ASQ should ensure SQA Accreditation is referenced in full.
ASQ Qualification Design and Development Procedure E10 V8.1 October 2022: this procedure should be updated to refer to SQA Regulatory Principles 2021.
Equal Opportunities Policy in Relation to Access to, and Fairness in, Assessment F1 V5 March 2018: the reference to the European Directives on Equal Treatment 2006 should be removed.

It was also noted that the following documents should be uploaded to SharePoint:

ASQ RPL Procedure England / Ireland / Wales / Scotland for ASQ Award / Certificate Golf Coaching Qualifications V4 May 21.
ASQ Level 1 Award in Coaching Golf – Candidate Guidance EWI and Scotland, 2022-23
ADC Guidance for the delivery and assessment of qualifications remotely. – All qualifications V2.1 April 2021
ASQ Requirements for e-assessment V2.0 March 2017
Coaching satellite assessment sites 22-23

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

2.2 Recommendations

Regulatory Principle 9. The awarding body and its providers must maintain accurate documents, records and data.

ASQ discussed the current process used to maintain document control — they have a list of documents and version numbers. They review documents by the dates listed on the documents — documents are reviewed every three years unless changes are prompted by external factors. The SQA Accreditation Auditors recommended adding detail to their document control register that quickly identifies and tracks when documents are due to be reviewed. Additionally, it was recommended that the document control register identifies where these documents are available — for example, ASQ website and/or SQA Accreditation SharePoint site.

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

Regulatory Principle 12. The awarding body and its providers must ensure that they have the necessary arrangements and resources required to manage and administer qualification delivery and assessment.

The Accreditation Auditors and ASQ staff discussed at length the availability of the online multiple-choice questions. Whilst these are available in England, they are not currently an option in Scotland unless offered through the Reasonable Adjustment Policy. It is recommended that ASQ should offer the online multiple-choice questions as an option to Scottish learners where there is demand.

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

3 Acceptance of Audit Findings