Audit Report

First Aid Awards Ltd (FAA)

10 October 2023

Contents

1 Background

This was the sixth audit of the First Aid Awards Ltd (FAA) since it was approved as an awarding body by SQA Accreditation on 29 September 2010.

FAA is a nationally recognised awarding body with approved centres operating throughout the United Kingdom. FAA has been accredited to offer a range of first aid related qualifications, including Emergency First Aid at Work (EFAW), First Aid at Work (FAW) and Paediatric First Aid. FAA's headquarters are situated in St Austell, Cornwall.

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.

This was a remote audit of FAA; 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 FAA 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 FAA'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

FAA audit date: 10 October 2023

Audit Report approved by
Accreditation Co-ordination Group on: 24 October 2023

Audit Report to be signed by FAA: 06 December 2023

Action Plan to be emailed
to regulation@sqa.org.uk by FAA: 06 December 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 FAA 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, two Issues have been recorded and one Recommendation has been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principles 6 and 9	SQA Accreditation Auditors noted that there were policies and processes missing from FAA's Document Control Register and out-of-date documentation held within SharePoint.	Low
2. Principle 15	Certification validation content must replicate that of the qualification certificate.	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 6	It is recommended that FAA undertakes regular review of policies and processes to ensure accurate documentation is maintained.

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 FAA's Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the SQA Accreditation website.

2 Detail of Audit Issues and Recommendations

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

2.1 Issues

Regulatory Principle 6. The awarding body must continually review the effectiveness of its services, systems, policies and processes.

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

As part of the preparation for FAA's audit, SQA Accreditation Auditors reviewed documentation held within FAA's SharePoint. A few of the policies and processes did not have version control, for example:

♦ First Aid Awards Limited Organisational Chart
♦ FAA Risk & Incident Management
♦ Learner Registration and Certification Procedure
♦ Qualification Development Form - SQA Accreditation
♦ Qualification Design, Review and Withdrawal Policy

Additionally, some of the additional content within SharePoint required updating; for example, Principles 12 and 13 overarching information documents were out of date and job descriptions required updating due to staff changes.

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

Regulatory Principle 15. The awarding body must have effective, reliable and secure systems for the registration and certification of learners.

Prior to the audit, SQA Accreditation Auditors reviewed candidate certificates and noted that the qualification name within the certification validation did not match that on the certificate. For example, in the certification validation of the Award in Leading First Aid for Mental Health at SCQF level 6, the award is titled 'Leading First Aid for Mental Health - Level 6 Award Scotland - 2 Day'.

This has been recorded as **Issue 2**.

2.2 Recommendations

Regulatory Principle 6. The awarding body must continually review the effectiveness of its services, systems, policies and processes.

Discussion between FAA representatives and SQA Accreditation Auditors established that there is no set time frame to review policies and processes; changes happen on a reactive basis when something prompts the change. SQA Accreditation Auditors suggested that to ensure accuracy and validity of documentation content, it would be recommended that a timeframe was added to review these periodically.

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

3 Acceptance of Audit Findings