



# **Audit Report**

**The Prince's Trust**

**27 February 2024**

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# 1 Background

This was the fourth audit of The Prince's Trust since it was approved as an awarding body by SQA Accreditation in 2014.

The Prince's Trust is a registered charity, incorporated by Royal Charter. Through a series of programmes, The Prince's Trust helps young people from disadvantaged communities and those facing the greatest adversity by supporting them to build the confidence and skills to live, learn and earn. The Prince's Trust offers SQA accredited qualifications in Personal Development and Employability Skills at Award and Certificate levels, which are delivered in schools, colleges and The Prince's Trust's centres throughout Scotland. The organisation's main office is in London with regional centres and offices throughout the UK.

## 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 The Prince's Trust, 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 The Prince's Trust 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 The Prince's Trust'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**

The Prince's Trust audit date: 27 February 2024

Audit Report approved by  
Accreditation Co-ordination Group on: 21 March 2024

Audit Report to be signed by The Prince's Trust: 7 May 2024

Action Plan to be emailed  
to [regulation@sqa.org.uk](mailto:regulation@sqa.org.uk) by The Prince's Trust: 7 May 2024

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](mailto:regulation@sqa.org.uk).
- ◆ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.
- ◆ Following approval by ACG, the awarding body will be sent 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 The Prince's Trust 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, three Issues have been recorded and no Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principles 7 and 9	The Prince's Trust is not following its own processes for document control, with some uncontrolled documents on Prince's Trust SharePoint site and website. There are errors in some documents, which include broken links and incorrect references.	Low
2. Principle 15 and Regulatory Principles Directive (RPDIR) – 3	The statement detailing the credit rating body of the qualification was missing from the awarding body's certificates.	Low
3. Principles 7, 9 and 16	A review of The Prince's Trust's Complaint Policy noted no appropriate reference of how and when a complainant can escalate their complaint to the Scottish Public Services Ombudsman (SPSO).	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
No Recommendations recorded	N/A

## **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 The Prince's Trust'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 7. The awarding body must have an effective approach for communicating with its staff, stakeholders and SQA Accreditation.**

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

Prior to the audit, SQA Accreditation Auditors reviewed documentation uploaded to The Prince's Trust's SharePoint site. It was noted that The Prince's Trust is not following its own processes for document control. SQA Accreditation Auditors found various issues with documentation uploaded to SharePoint and to The Prince's Trust's website.

Multiple documents had incomplete or no document control such as:

- ◆ No version control on the document but contained a date and/or version number in the SharePoint title:
  - Feedback and Complaint Policy - June 23
  - Enquires and Appeals Policy - 23 May 2022 - V2.1
  - Malpractice and Maladministration Policy and Procedures V2
  - QSP04 Qualifications Support Pack - External Moderation V1
- ◆ No date or version in the SharePoint title or on the document:
  - MRF1 – Learner Reporting form — No document control
  - MRF2 – Centre Reporting form — No document control
  - MRF3 – AO Staff Reporting form — No document control
  - Organisation Chart — No document control
  - Qualifications Support Pack 3 – Making Claims and Results — No version control
  - QSP 01 Qualifications Support Pack 1 – Building a portfolio and assessment — No version control
  - QSP 02 Qualifications Support Pack 2 – Internal Quality Assurance — No version control
- ◆ Centre Handbook — Different versions are uploaded on the website and SharePoint. No version control on the website but V3 on SharePoint. Link in the Centre Handbook to SPSO is broken on page 25.
- ◆ There are broken hyperlinks within the Qualification Specification: Personal Development and Employability Skills 2023 - Scotland – V3 August 2023 on the following pages:
  - Page 15: link to tracking worksheet – also recommend removing date reference on page 15
  - Page 16: link for making claims
  - Page 17: link to The Prince's Trust's website

- ◆ PTQ Statement – SQA Accreditation is referred to initially, but the rest of the document refers to SQA.

It should be noted that The Prince's Trust were aware of the documentation control issue at the time of the audit and are currently working through all documentation as part of their improvement process. The Prince's Trust must review all documentation to ensure they are current and valid.

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.**

**Regulatory Principles Directive (RPDIR) – 3 Logos and certificate requirements for SQA accredited qualifications.**

SQA Accreditation Auditors reviewed a copy of the commemorative certificate uploaded to The Prince's Trust's SharePoint site. The commemorative certificate template has no reference to the SCQF level in the main title of the award. Regulatory Principles Directive (RPDIR) – 3 states the certificate must have '*The title of the qualification/Unit in the format agreed at the time of accreditation*'. The qualification title is correct on the transcript page of the certificate. Further discussion with The Prince's Trust showed this to be the case on all certificate templates for SQA Accredited qualifications. The Prince's Trust have confirmed this is a software issue — the correct information has been input by the user but is not being pulled onto the candidate certificate by the software.

Following the audit, The Prince's Trust provided figures for the certificates affected by this error. The error commenced in September 2023 following a change of accountable officer. 229 certificates across eight centres were affected. There is no requirement to recall these certificates however The Prince's Trust should contact the eight centres making an amended certificate available to candidates should they want it. If the candidates choose to request a new certificate, then a return of the original is required.

The Prince's Trust must ensure that any commemorative certificates issued reflect the qualification title fully.

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

**Regulatory Principle 7. The awarding body must have an effective approach for communicating with its staff, stakeholders and SQA Accreditation.**

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

**Regulatory Principle 16. The awarding body and its providers must have open and transparent systems, policies and to manage complaints.**

While reviewing The Prince's Trust's Feedback and Complaints Policy, it was noted that there was no reference as to how and when a complainant can escalate their complaint to the Scottish Public Services Ombudsman (SPSO).

The Prince's Trust must update the Feedback and Complaints Policy to reflect this.

This has been recorded as **Issue 3**.

## **2.2 Recommendations**

There were no Recommendations made.

## **3 Acceptance of Audit Findings**