

Action Plan

This Action Plan must be completed electronically and submitted in Microsoft Word format to regulation@sqa.org.uk by 2 February 2018.



Issue number	Detail of Issue recorded	Risk rating	Proposed action and evidence to be provided (Failure to include a description of your intended methodology AND details of the evidence that you will provide could result in your Action Plan not being approved by ACG.)	Target date for completion by awarding body ¹	Date Issue closed out by SQA Accreditation ²
1. Principle 1	In order to demonstrate compliance with regulatory principles, the Accreditation Auditors discussed the need to see the evidence and output of key committees, and the respective terms of reference, in order to help determine the timeframes in which they convene, the quorum, and the composition of the committees. This	Low	<p>The overall governance of 1st4sport Qualifications falls under the UK Coaching Board. The Board delegates certain responsibilities to sub-committees:</p> <ul style="list-style-type: none"> • Finance, Audit & Risk Committee • Governance Committee • Human Resources & Remuneration Committee • Nominations Committee <p><i>Evidence:</i> Terms of Reference and membership lists for the board and each sub-committee are included in this submission.</p>	2 February 2018	16/3/2018

¹ If the awarding body believes it has completed the action prior to approval of the Action Plan by ACG, insert the considered date of completion. The date will be subject to review depending on the quality of the evidence supplied.

² Issues can only be closed out once the evidence to complete the action has been quality reviewed and the Action Plan has been approved by ACG. The period of time between ACG approval and the date the Issue is closed out is not necessarily reflective of any quality issues.

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	evidence was not provided despite being requested at the time of the discussions.		Also included is a redacted copy of the Board minutes which is published on the UK Coaching website for transparency.		
2. Principle 3, 8	The Accreditation Auditors asked to review the awarding body business plan, strategic direction and operational plans in order to evidence business planning, decision making and management commitment to Scotland and SQA Accreditation. The awarding body representative explained that due to being in the role for only a short period, he was unsure whether he had the authority to evidence the overarching business plan	Medium	Historically, the 1st4sport Qualifications business plan has focused predominantly on England. 1st4sport Qualifications currently only has one qualification recognised in Scotland which has a very low demand. This combined with the administrative burden that is placed on the awarding organisation to comply with four different regulators across the home nations has caused the 1st4sport Qualifications Strategic Management Team to make the decision to withdraw the qualification and subsequently withdraw recognition status in Scotland. Based on the predicted completion of current learners this is likely to be completed by late 2018.	31 August 2018 Extension to 28 February 2019	

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	and strategic direction of the organisation without prior permissions from higher level business representatives. Furthermore, it was stated that even if they were able to evidence, it would not make reference to Scotland or SQA Accreditation at all as the business's focus was elsewhere.				
3. Principle 4, 5, 6	Awarding body representatives explained that a major review of their Quality Management System (QMS) — including policies and procedures — had been instigated and was in progress. Unfortunately, as the awarding body did not make the	Medium	1st4sport utilised the EFQM quality model and as indicated at the audit we are now in process of transitioning to ISO9001:2015 and our policy review is in progress. A number of policies have been rewritten and are awaiting sign off by SMT. Other rewrites are in progress.	1 April 2018. Extension to 31 May 2018.	11/6/2018

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	Accreditation Auditors aware of this prior to the audit, the policies used to inform the audit were significantly out of date and many processes were no longer relevant, nor followed.		<p><u>Evidence:</u> Once the policies have been written, reviewed and approved they will be published to the 1st4sport website, stored in Athena and shared with the Regulator via Sharepoint. Currently rewritten and awaiting sign off:</p> <ul style="list-style-type: none"> • Scope of Recognition Statement • Conflicts of Interest • Malpractice and Maladministration • Sanctions • Vexatious and Persistent Behaviour • Appeals against 1st4sport Procedural Decisions • Learner Appeals against Recognised Centre Decisions • Access Arrangements • Customer Service Complaints against 1st4sport Qualifications • Languages <p>Still to rewrite:</p> <ul style="list-style-type: none"> • Qualification Withdrawal Process • Complaints against a Recognised Centre • Data Protection • Learner Addresses • RPL 		

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			<ul style="list-style-type: none"> • Safeguarding • Whistleblowing • Equality and Diversity • Customer Service • Invoicing <p>An example of the new format of policy/position statement (Access Arrangements) is included in this submission.</p>		
4. Principle 6	The documents reviewed prior to the audit evidenced the awarding body utilising document version control systems. Documents stated the version number and date of when the particular version became live. However, there was no review date noted on the policy or contained centrally.	Low	<p>The old policies included the awarding organisation's Scope of Recognition within each document. This has now been extracted to a separate document which is referenced within each policy for ease of amendment. This Scope of Recognition states:</p> <p><i>'1st4sport Qualifications Position Statements and Policies are reviewed annually unless legislation or regulation requires amendments in the meantime. All position statements and policies include version control that details any amendments made.'</i></p> <p><u>Evidence:</u> A copy of this document has been included in this submission.</p>	2 February 2018	16/3/2018

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5. Principle 10	In reviewing the external verification activities, it was identified that non-compliances were raised in several annual external verification reports from 2014, one of which was then subsequently closed out in 2016. This could not be substantiated by evidence. There was no evidence banked nor a rationale as to why the actions were eventually closed out. Additionally, records reviewed from the sample provider evidenced an action point that should have been closed out on 1/10/2017, but which remained outstanding as of the date of audit (25/10/17), with no notification as to why it had not been closed out	Medium	<p>An Internal Audit of current and outstanding actions across all home nations is scheduled to start in February 2018 to identify:</p> <ul style="list-style-type: none"> • The number of actions that have reached their review deadline. • What activities need to take place to close the outstanding actions. • What changes need to be made to processes in order to better manage actions against centres. • Analysis of reasons that deadlines have passed and identification of lessons learned/amendments to processes required. <p><i>Evidence: Internal Audit report.</i></p>	1 May 2018. Extension to 31 May 2018.	11/6/2018

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	or if any evidence had since been received.				
6. Principle 10	<p>The documents provided on SharePoint prior to the audit did not clarify the annual quality assurance cycle of providers, either in terms of the timescales of monitoring, or the types of monitoring activity undertaken. No External Verification (EV) guidance could be evidenced to clarify this regime.</p> <p>Furthermore, the provider monitoring system, 'Athena', had various quality assurance reporting inputs, however it was not easy to distinguish what</p>	Medium	<p><u>Evidence:</u> A copy of the current EQA/Lead EQA/Apprenticeship EQA Supply of Service is included with this submission which detailed their roles and responsibilities.</p> <p>1st4sport Qualifications is reviewing the EQA Process and Management in order to increase awarding organisation control of EQA activity and to reduce the financial impact on the awarding organisation. This review will be completed and changes implemented by 1 April 2018.</p> <p><u>Evidence:</u> We are in the process of recruiting an EQA Manager in order to bring the management of the EQA process centrally to give us more control. Job description included in this submission.</p> <p>EQA's have also been tasked with updating their CV's/certificates/CPD records on Athena. Going</p>	1 April 2018 Extension to 3 August 2018	28/09/2018

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	<p>monitoring activity had occurred.</p> <p>Additionally, the Accreditation Auditors could not identify any document or policy that set out the expectations of EVs and Co-ordinating EVs (CEVs) in relation to ongoing performance reviews and CPD requirements.</p>		<p>forward this will be carried out annually at the point of performance review.</p> <p>Athena Forms do currently distinguish between the following types of visit:</p> <ul style="list-style-type: none"> • Recognition and Approval • Visit to a course/cohort • Desk-based review • Advisory visit <p>The type of form is included in the title and forms can be searched by type, centre, qualification etc.</p>		
7. Principle 10	The Accreditation Auditors identified that there was no centralised awarding body oversight with regards to EV scheduling. Each EV is responsible for scheduling their own provider allocation. The awarding body does not appear to review this periodically to	Medium	<p>1st4sport currently have an EQA structure where a Lead EQA is assigned to a suite of qualifications and they produce an overarching sampling plan for that suite which is communicated to the EQA team allocated to the suite.</p> <p>The Lead EQA monitors the team to ensure that the sampling plan is adhered to. We have identified that this does not provide the awarding organisation with sufficient control over the EQA process and have instigated a full review of EQA</p>	1 April 2018 Extension to 3 August 2018	28/09/2018

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	ensure that EVs are conducting their allocation within a reasonable timescale. Therefore, there is a potential financial and staff resourcing risk to the awarding body.		<p>processes and management. This review will be completed and changes implemented by 1 April 2018.</p> <p>We are in the process of recruiting an EQA Manager in order to bring the management of the EQA process centrally to give us more control.</p> <p><u>Evidence:</u> Job description included in this submission.</p>		
8. Principle 10	It appears the EV is not able to navigate the e-portfolio system independently of provider navigation, as a consequence, the quality assurance element may be compromised and therefore may not be considered robust. Secondly, an action point should not have been placed on the provider for a failure of awarding body EV knowledge. This is a	Medium	<p>1st4sport Qualifications do not contract directly with E-portfolio providers.</p> <p>1st4sport have identified that Scottish centres that use e-portfolio systems are using 'OneFile'.</p> <p>A guidance document has been sourced from the makers of OneFile and has been adapted for use by 1st4sport EQA's. All EQA's linked to Scottish centres using OneFile will be provided with this guidance document.</p> <p><u>Evidence:</u> A copy of the document is included in this submission.</p>	2 February 2018	16/3/2018

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	<p>knowledge gap of the EVs that should have been addressed at awarding body level, through adequate training and/or support — whichever the awarding body deemed fit for purpose and robust. To compound the issue, the action point raised was closed off in June 2016, but there was no evidence/statement or audit trail to demonstrate sufficiently closing out the action point.</p>				

Action Plan approved by ACG on 21 February 2018