



**Audit Report**  
**The Prince's Trust**  
**20 November 2019**

# Contents

<b>1 Background</b>	<b>1</b>
1.1 Scope	1
1.2 Audit Report and Action Plan Timescales	2
1.3 Summary of Audit Issues and Recommendations	3
1.4 Risk Rating of Issues	3
<b>2 Detail of Audit Issues and Recommendations</b>	<b>4</b>
2.1 Issues	4
2.2 Recommendations	4
<b>3 Acceptance of Audit Findings</b>	<b>5</b>

# 1 Background

This was the third audit of The Prince's Trust since it was approved as an awarding body by SQA Accreditation on 16 April 2014. The Prince's Trust is a registered charity, incorporated by Royal Charter.

Through a series of programmes, The Prince's Trust supports 13 to 30 year olds who are unemployed or those struggling at school and at risk of exclusion. 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 Prince's Trust 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 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's Regulatory Principles (2014)*
- ◆ all *Regulatory Principles 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:	20 November 2019
Audit Report approved by Accreditation Co-ordination Group on:	11 December 2020
Audit Report to be signed by the Prince's Trust	4 February 2020
Action Plan to be emailed to <a href="mailto:regulation@sqa.org.uk">regulation@sqa.org.uk</a> by the Prince's Trust:	4 February 2020

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

- ◆ The awarding body will be sent two signed copies of the Audit Report by post.
- ◆ The awarding body must sign both copies of the Audit Report and return one by post to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be emailed a copy of the Audit Report (for information only) and an electronic 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 two signed copies of the approved Action Plan by post.
- ◆ The awarding body must sign both copies of the Action Plan and return one by post 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, one Issue has been recorded and one Recommendation has been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principles 4 and 10	The awarding body currently has no process for assigning time-bound actions to more serious issues and does not risk rate actions it raises.	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 1	As it is heavily reliant on a third party for supplying a critical service it is recommended that the partnership arrangement and need for ongoing collaboration should be included on the awarding body's risk register.

### 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 4. The awarding body shall continually review the effectiveness of its business services, systems, policies and processes.**

and

**Regulatory Principle 10. The awarding body shall ensure that it has the necessary arrangements and resources for the effective delivery, assessment and quality assurance of SQA accredited qualifications.**

During reviews of external moderator reports, the Audit Team noted that the awarding body does not assign time-bound actions where it identifies actions during provider visits. Where learners are not yet at the required standard, external moderators (EMs) normally state that re-submission is required, but do not specify any date for the re-submission. The Audit Team deemed this approach to be acceptable.

However, the Audit Team noted that an action related to the lack of internal moderation at one provider posed a risk to quality assurance and because of that the awarding body should have dealt with it within a time-bound period in order to manage it effectively. The awarding body currently has no process for assigning time-bound actions to more serious issues and does not risk rate actions it raises. This has been recorded as **Issue 1**.

### 2.2 Recommendations

**Regulatory Principle 1. The awarding body shall have clearly defined and effective governance arrangements.**

The Prince's Trust utilises a third party application as its main information technology system and is reliant on another organisation to provide a safe and secure platform for all of its online awarding body activities.

As it is heavily reliant on a third party for supplying a critical service it is recommended that the partnership arrangement and need for ongoing collaboration should be included on the awarding body's risk register. This has been noted as **Recommendation 1**.

### 3 Acceptance of Audit Findings

For and on behalf of the Prince's Trust:

For and on behalf of SQA Accreditation:

**Print name**

**Print name**

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**Signature**

**Signature**

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**Designation**

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