

Action Plan



This Action Plan must be completed electronically and submitted in Microsoft Word format to regulation@sqa.org.uk by 9 June 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	Declarations of interest forms for staff members and contractors have not been updated since initial employment.	Low	We will send out declarations of interest forms to all staff members to update and return. Evidence: <ul style="list-style-type: none"> • Completed Declaration of Interest Form • List of all individuals within organisation that require to complete a declarations of interest form. 	28 th Sept 2018 Extension to 31 October 2018	5/11/2018

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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2. Principle 6	<p>SharePoint is still not being updated with all relevant awarding body policies and documents.</p> <p>Additionally, a number of policies provided to the Lead Auditor prior to the audit, which were current and valid, did not cross reference correctly with the awarding body version control register, whereby older versions were erroneously listed.</p>	Low	<p>We will review all documents on SharePoint and update all versions which will be cross referenced these to an updated version control register. This new updated document control register will be uploaded to SharePoint.</p> <p>Evidence:</p> <ul style="list-style-type: none"> • Completed Version Control Register • 2 examples of updated documents uploaded to SharePoint 	<p>28th Sept 2018</p> <p>28th Sept 2018</p> <p>Extension to 31 October 2018</p>	31/10/2018
3. Principle 9	<p>A Condition and Issue was previously placed upon the awarding body. They did not have an appropriate qualification development and review policy and process, and evidence to indicate its use prior to a recent</p>	Medium	<p>To complete the qualification development document and submit evidence of the form being used in the last qualification renewal.</p> <p>Evidence:</p> <ul style="list-style-type: none"> • Completed Qualification Development Document 	<p>28th Sept 2018</p> <p>Extension to 31 December 2018</p>	22/3/2019

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	reaccreditation submission. This could still not be evidenced.		<ul style="list-style-type: none"> Completed Qualification Development Form showing use of the process 		
4. Principle 10	<p>Information captured within the <i>Action Point Sign off</i> document is not detailed enough, as there are no identifiable target dates for closing out provider actions, or recording any evidence which may be submitted.</p> <p>The <i>Action Point Sign off Record</i> template submitted to the Lead Auditor in order to close out an audit Issue from the 2017 report, contained a column for assigning a risk status to providers. However, when reviewing the operational</p>	Medium	<p>We will include the target dates for closing out conditions and record evidence submitted.</p> <p>Evidence:</p> <ul style="list-style-type: none"> Completed Action Sign Off Record with Risk Rating <p>We will include risk rating on action point sign off record and operational document.</p> <p>Evidence:</p> <ul style="list-style-type: none"> Completed Action Sign Off Record with Risk Rating Completed Operational Document with Risk Rating 	<p>28th Sept 2018</p> <p>28th Sept 2018</p> <p>Extension to 31 October 2018</p>	31/10/2018

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	document at the current audit, there was no risk rating status column.				

Action Plan approved by ACG on 20 June 2018