



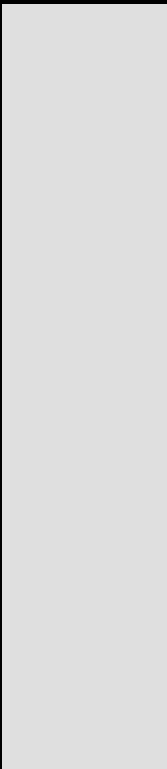
Action Plan

This Action Plan must be electronically completed and submitted in Microsoft Word format to regulation@sqa.org.uk by 28 August 2014.

Issue number	Detail of Issue recorded	Risk rating	Proposed action (Please include a description of your intended methodology and details of the evidence that will be provided.)	Target date for completion	Date Issue closed out (SQA use)
1. Principle 5	The status of the ASQ administrative headquarters in Scotland is unclear.	Medium	ASQ Strategic Board have agreed that 'Approved Centre' would be the preferred status for the Gleneagles site. Strategic Board minutes of 23 July meeting to be uploaded to Quickr. Extension to 30 January 2015.	30 September 2014	
2. Principle 10	The awarding body is not visiting assessment locations over a period of time to witness candidate assessments.	Medium	Improved EV activity will commence at the earliest opportunity 24 th and 25 th October in conjunction with 2014-2015 delivery plan. ASQ will look at having a bank of EV consultants in addition to current EV's to support the external verification requirements, ASQ will put in place a robust EV plan based on 2014-2015 course delivery, a sample plan and accompanying EV notes from first visit to be submitted to SQA as evidence via Quickr. ASQ have amended EV strategy to confirm the amount of visits we aim to achieve and the methodology of this underpinning the delivery plan Revised EV strategy to be uploaded to Quickr Extension to 30 January 2015.	31 October 2014 31 October 2014 30 September 2014	

Issue number	Detail of Issue recorded	Risk rating	Proposed action (Please include a description of your intended methodology and details of the evidence that will be provided.)	Target date for completion	Date Issue closed out (SQA use)
3. Principle 10	The awarding body does not have a process in place for ensuring that actions raised during external verification visits are monitored and closed. In addition it is not carrying out external verification visits in line with its own policy.	Medium	ASQ to devise form and accompanying process (added to existing E11 and E12 strategy) for use by EV's of approved centre and assessment sites Strategy E12 and Excel spreadsheet action log created. Extension to 30 January 2015.	30 September 2014	
4. Principle 10	The awarding body holds incomplete records on the qualifications and continuing professional development of its External Verifiers as required by its own qualification specifications.	Medium	ASQ to compile CPD records and hold centrally at ASQ. Template for recording CPD has been devised by senior EV for ongoing use within QA team where relevant. Template uploaded to Quickr Closed out 18 November 2014.	30 September 2014	

5. Principle 12 and Regulatory Principles Directive 5.	The awarding body's <i>Enquiries and Appeals Procedure</i> requires clarification on the process for complaints and appeals and the circumstances under which complaints and appeal reviews can be made to SQA Accreditation and with appropriate reference to the Scottish Public Services Ombudsman with regards to complaints.	Low	ASQ will review the complaints and appeals procedures to differentiate between the two and provide more clarity. Both processes to be revised to ensure all steps of both procedures can be easily identified to centers, candidates and regulators Agenda for Oct 23 meeting board discussion note to ascertain if any public courses to be run in the future (eg colleges, universities,) to identify if ref to SPSO (Scottish Ombudsman) escalation of complaints process needs to be documented within our ASQ complaints process. ASQ will minute discussion outcome and provide minutes as evidence to SQA. Process will revised to reflect outcome Extension to 31 December 2014.	31 October 2014	
6. Principle 15	The awarding body does not have effective, reliable and secure systems for the registration and certification of learners.	Very High	ASQ will adapt current process Registration and certification to ensure approved centres provide registration data and certificate claims in a format required by ASQ. (Template and process revised for center use.). This information will be stored on ASQ systems (password protected) in an Excel format. Closed out 18 November 2014.	30 Sep 2014	

<p>7. Principle 15</p>	<p>The awarding body is not ensuring that certificates are issued on the basis of a valid claim.</p>	<p>High</p>	<p>In the short term ASQ will continue to validate all parts of the qualification to approve claims using current remote access to scanned assessment results. These will continued to be quality assured by internal QA and then external desk top sampling by Lead EV, along with further increased EV visits to assessment locations. Going forward ASQ aim to have remote access to new 'One file' system to verify each assessment to ensure claims are valid. ASQ will now print and issue certificates for valid claims at ASQ head office, Belfry, Sutton Coldfield. Approved centres (upon receipt of printed certificates) will then distribute to candidates once updating candidate center files. ASQ will retain records of the certificate numbers and registration numbers using Excel. A copy of the registration and certification template, and scanned assessment results along with the revised process to reflect the above certificate process change will be submitted to SQA for evidence Closed out 18 November 2014.</p>	<p>30 November 2014</p>	
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