Audit Report

First Aid Awards Ltd.

20 February 2014

Note

Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence. However, please note the following:

♦ The findings of this report and the associated Action Plan will be presented to SQA's Accreditation Committee.

♦ The report and Action Plan will be published on SQA Accreditation's website following receipt of the signed acceptance of audit findings.

♦ The contents will contribute towards the Quality Enhancement Rating which will, in turn, contribute towards the quality assurance activity and timescales.

Please note that SQA Accreditation's quality assurance activities are conducted on a sampling basis. Consequently, not all aspects of an awarding body's performance in quality assurance, contract compliance, implementation, awarding of certificates and fee arrangements (not an exhaustive list) may have been considered in this report to the same depth.

Contents

1   Executive summary

This was the second audit of First Aid Awards Ltd. (FAAL) since it was approved as an awarding body by SQA Accreditation on 29 September 2010.

1.1   Scope and approach

The audit was designed to review and evaluate FAAL's strategies, policies and procedures to ensure compliance under **SQA Accreditation's *Regulatory Principles (2011),* Regulatory Principles Directives, the requirements of the clauses within and any conditions attached to the approved awarding body agreement and the Criteria for Accredited Qualifications.**

As this was a full audit of FAAL, all Principles were included within the scope of the audit.

A Requirement has been raised where SQA Accreditation found evidence that the awarding body has not met SQA Accreditation's regulatory requirements.

The following timescales apply:

♦   SQA Accreditation will issue this report within 30 working days of the audit date.

♦   The awarding body must sign and return the audit report and associated Action Plan within 30 working days of the audit report being issued.

♦   Within a further 20 working days of receiving the proposed action plan, SQA Accreditation will confirm whether the Action Plan is appropriate to address the Requirements. This will be subject to the actions proving appropriate to the issues raised.

♦   SQA Accreditation will monitor progress towards completion of the actions identified in the Action Plan.

A Recommendation may be recorded in instances where SQA Accreditation considers there to be scope for improvement. Where these are agreed during the audit, they are recorded on the report for future reference. As Recommendations are recorded for awarding body consideration only, it is not necessary to agree either actions or timescales to resolve these in the awarding body Action Plan.

1.2   Awarding body audit report timeline

FAAL audit date   20 February 2014

SQA Accreditation audit report date   28 March 2014

Date audit report and Action Plan to be signed and
submitted by FAAL   14 May 2014

1.3   Background

FAAL is a nationally recognised awarding body with approved centres operating throughout the United Kingdom. FAAL has been accredited to offer a range of first aid related qualifications, including Emergency First Aid at Work (EFAW), First Aid at Work (FAW) and Paediatric First Aid. FAAL's headquarters are situated in St. Austell, Cornwall.

The audit team was provided with full access to the awarding body's St. Austell premises, staff and documentation.

1.4   Overview

As a result of the audit and post-audit activities, five Requirements have been raised and five Recommendations have been recorded.

The five Requirements form the basis of the FAAL Action Plan. This must be completed and submitted to SQA Accreditation for agreement within 30 working days of the audit report being issued. The Action Plan must be submitted by 14 May 2014.

Outcome(s)	Area(s) of concern	Risk rating
Requirement 1	Principle 2 and Principle 3	Very High
Requirement 2	Principle 3 and Principle 6	Medium
Requirement 3	Principle 6	Very High
Requirement 4	Principle 6	Medium
Requirement 5	Principle 6, Principle 22 and Regulatory Principles Directive 3	Medium
Recommendation 1	Principle 3	n/a

Recommendation 2	Principle 6	n/a
Recommendation 3	Principle 8	n/a
Recommendation 4	Principle 18	n/a
Recommendation 5	Principle 23	n/a

2   Audit findings

The following sections detail Requirements raised and Recommendations recorded against SQA Accreditation's *Regulatory Principles (2011),* Regulatory Principles Directives, the requirements of the clauses within, and any conditions attached to the Approved Awarding Body agreement and the Criteria for Accredited Qualifications.

2.1   Requirements

Principle 2. The awarding body must publish clear information on their products, services and associated charges and fees.

and

Principle 3. The awarding body must ensure that they employ robust processes to protect their own business interests as well as the interests of their approved centres and learners.

As part of the audit activity, the Lead Auditor inspected the range of documentation and information publicly available on the FAAL website. The *Qualifications* page of the FAAL website was found to contain a list of 'SQA Awards' which the awarding body was advertising as currently available. However, the list contained the following qualification titles which had not been SQA accredited, and for which SQA Accreditation had not confirmed the Scottish Credit Qualifications Framework (SCQF) Credit Rating:

♦ Good Nutrition (Level 5 in Scotland)
♦ Health and Safety in the Workplace (Level 5 in Scotland)
♦ Health and Safety in the Workplace (Level 6 in Scotland)
♦ First Aid Risk Assessment - Principles and Practice (Level 5 in Scotland)
♦ FAW Re-qualification (Level 6 in Scotland).

Given that these qualifications have not been SQA accredited nor had the implied SCQF Credit Ratings confirmed by SQA Accreditation (or any other Credit Rating Body), the advertised information was inaccurate and misleading. No qualification can be advertised with an SCQF credit rating if it has not yet had that credit rating confirmed by an approved credit rating body.

The evidence available indicates that FAAL does not meet the requirements of Principle 2 and Principle 3. This has been raised as **Requirement 1.**

FAAL must ensure that all SQA accredited and SCQF Credit Rated qualification information held on the awarding body website is accurate and that no qualification is advertised as:

♦ SQA accredited without that status having been confirmed by SQA Accreditation
♦ SCQF Credit Rated which has yet to have the rating confirmed by an approved Credit Rating Body.

The qualification entitled *FAW Re-qualification (Level 6 in Scotland)* is a two-day FAW course offered by FAAL. The qualification is aimed at candidates currently holding a certificate which is about to expire (three years from the date of issue) for the SQA accredited *Award in First Aid at Work at SCQF Level 6*. Given that *FAW Re-qualification (Level 6 in Scotland)* was not the correct SQA accredited title, the Lead Auditor enquired about the information that was printed on certificates generated by FAAL for candidates.

Despite the retitling of the qualification for advertising purposes, copy certificates provided by FAAL representatives confirmed that candidates completing the two-day FAW course were receiving certificates with the correct accredited qualification title and group award code (*Award in First Aid at Work at SCQF Level 6*, R269 04).

Principle 3. The awarding body must ensure that they employ robust processes to protect their own business interests as well as the interests of their approved centres and learners.

and

Principle 6. The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.

On a quarterly basis, SQA approved awarding bodies are required to submit candidate registration and certification data for all SQA accredited qualifications to SQA Accreditation's Research and Information Team. Prior to the audit, the Lead Auditor had been provided with the total candidate registration and certification figures for SQA accredited qualifications that FAAL had submitted during 2013. FAAL had also submitted a document to the awarding body's Quickr place (a document repository) which displayed candidate registration and certification totals over the same time period. However, the totals displayed on this document were significantly different to quarterly totals submitted by FAAL.

On the day of the audit, the Lead Auditor requested an explanation from FAAL representatives for the discrepancies between the quarterly data and the data submitted to the Quickr place. FAAL representatives stated that when approved centres initially book a course through the FAAplus online course management system, the total number of candidates will be requested for the purposes of sending out examination materials. FAAL representatives stated that FAAL's quarterly data submissions were calculated from these initial totals. However, they conceded that these initial totals could be subject to alteration, depending on course drop outs and/or late entries. They also stated that the candidate data uploaded to the Quickr place had been produced after these alterations had been made.

Prior to the audit, FAAL had also uploaded a list to the awarding body's Quickr place displaying the details of all centres approved to offer SQA accredited qualifications. On the day of the audit, the Accreditation Auditors were given access to the FAAL approved centre files held at the awarding body's premises. On inspection of a sample of these files, it was identified that one of the centres on the list uploaded to Quickr had submitted an approval application but that approval had not yet been confirmed by FAAL.

Therefore, the evidence obtained at audit indicates that FAAL has submitted inconsistent and/or inaccurate data on approved centres, and candidate registration and certification, to SQA Accreditation. The evidence also indicates that the reporting methods currently employed by FAAL are not robust enough to ensure that the required data are submitted to SQA Accreditation consistently and accurately.

The evidence available indicates that FAAL does not meet the requirements of Principle 3 and Principle 6. This has been raised as **Requirement 2.**

FAAL must ensure that:

♦ any reporting methods employed are capable of producing consistent and accurate approved centre and candidate registration and certification data
♦ consistent and accurate data is being submitted to SQA Accreditation.

Principle 6. The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.

The *FAA Quality Assurance Audit & External Verifier Manual* is a guidance document for those carrying out external quality assurance visits at FAAL approved centres. The section entitled *FAA Management and Control of Quality Assurance Audits* outlines the awarding body's policy for carrying out quality assurance activity, and the stages at which quality assurance audits should be carried out for each approved centre throughout the approval lifespan. Besides the initial approval visit, it says that quality assurance audits should take place:

♦ within three months of approval in principle and, for centres seeking to offer Scottish (SCQF) qualifications, before the centre commences certification
♦ within two and a half years after centre approval
♦ at least every five years following the first subsequent visit

It is also stated that 'ad hoc visits may be required according to circumstances at any time' and that desktop audits will be carried out annually to augment audits by visit.

The Accreditation Auditors inspected a sample of the approved centre files held at FAAL premises with a view to checking the reports generated from external verification visits and desktop audits. Reports generated from initial centre approval visits were available, but no other reports from any other external verification visits or desktop audits were available. FAAL representatives confirmed to the Accreditation Auditors that no external verification visits or desktops audits had been carried out after the initial approval visits for any centre approved to deliver SQA accredited qualifications.

Therefore, FAAL are not carrying out quality assurance activity in line with the awarding body's own policy for the management and control of quality assurance audits.

The evidence available indicates that FAAL does not meet the requirements of Principle 6. This has been raised as **Requirement 3.**

FAAL must ensure that quality assurance activity is carried out in line with the awarding body's own policy for the management and control of quality assurance audits.

Principle 6. The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.

On the day of the audit, the Accreditation Auditors were given access to copies of minutes from FAAL internal group and committee meetings. However, no minutes were available from any standardisation meetings held for external verification staff. The Lead Auditor asked FAAL representatives to confirm how changes to policies and processes were rolled out to approved centres and external verification staff. It was stated that updates to FAAL policies and processes were provided by newsletters and by e-mails. However when asked how FAAL ensured the standardisation of operation of external verification staff, FAAL representatives could provide no evidence or indication of any meetings or any other mechanism that facilitated the standardisation of operation and conceded that the awarding body had no such measure in place.

The evidence available indicates that FAAL does not meet the requirements of Principle 6. This has been raised as **Requirement 4.**

FAAL must implement a method or mechanism which facilitates the standardisation of operation of external verification staff.

Principle 6. The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.
and
Principle 22. The awarding body must ensure that qualification and Unit certificates meet SQA Accreditation's minimum requirements, reflect learner achievement, are only issued on the basis of a valid claim, and are supplied within a reasonable and clearly communicated timescale.
and
Regulatory Principles Directive 3 – Logos and certificate requirements for SQA accredited qualifications

FAAL provided a copy of the *Terms and Conditions for use of FAAplus,* including the *Course Management System, 'Course Finder'* and *Learner database.* Section 8.2 of the document, relating to certification, states that: 'Approved Centres may request to have their own logo printed on their FAA certificates. FAA reserves the right not to include logos that may be considered inappropriate or below quality standard for printing or do not comply with FAA standards and expectations.'

Prior to the audit, the Accreditation Auditors had also been provided with a copy of an e-certificate which had been generated for a candidate who had completed the Award in First Aid at Work at SCQF Level 6. The e-certificate displayed the name and logo of the approved centre at which the candidate had undertaken the qualification. The inclusion of the centre name and logo in the certificate format is contrary to the requirements of Regulatory Principles Directive 3 (RPD3), which states that 'it is not permitted for certificates to include centre names, co-branding logos or logos from other organisations, professional bodies and SSCs other than the Awarding Body(s).'

RPD3 also requires that certificates generated for the EFAW and FAW qualifications display a statement confirming that the certificate is valid for three years from the date of issue, but this statement of validity had been omitted from the e-certificate format.

Therefore, the e-certificates being generated by FAAL do not meet the minimum requirements of SQA Accreditation.

The evidence available indicates that FAAL does not meet the requirements of Principle 6, Principle 22 and RPD3. This has been raised as **Requirement 5.**

FAAL must ensure that all e-certificates produced meet the requirements of RPD3 and that FAAL approved centres are not given the opportunity to include either the centre name or logo on any e-certificate.

2.2   Recommendations

Principle 3. The awarding body must ensure that they employ robust processes to protect their own business interests as well as the interests of their approved centres and learners.

FAAL issues a *Contract of Engagement for External Verifiers/Quality Assurance Auditors* to all staff employed to undertake external verification activity. However, the contract does not make any specific reference to the management and reporting of conflicts of interest that may arise during any individual's period of employment.

FAAL may wish to revise the content of the *Contract of Engagement for External Verifiers/Quality Assurance Auditors* to include specific reference to the management and reporting of conflicts of interest with a view to protecting the awarding body's own business interests and that of the individual.

This has been recorded as Recommendation 1.

Principle 6. The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.

Section 11 of the *FAAL Operational Manual for Approved Centres* contains information regarding internal and external quality assurance systems and the standards of operation that the awarding body expects from approved centres. With respect to the annual monitoring of Instructors, Section 11.11.4 states that 'the annual monitoring exercise should take place within 12 months of the anniversary of the date on which the Instructor qualified or re-qualified or the date on which he/she was last monitored internally or monitored by an FAA External Verifier.' This sentence is confusing as, should the monitoring activity be carried out within 12 months of the anniversary of the date on which any Instructor qualified, then it may actually be carried out less frequently than annually.

FAAL may wish to reword the sentence in Section 11.11.4 of the *FAAL Operational Manual for Approved Centres* referring to the frequency of Instructor monitoring to ensure that it clearly states that the activity must take place on an annual basis.

This has been recorded as Recommendation 2.

Principle 8. The awarding body must ensure that the identification, design, development and review of qualifications and Units, meet the needs of the users of qualifications.

FAAL had provided the Lead Auditor with a copy of a document that contained details of the meetings that the awarding body previously had with Sector Skills Councils (SSCs) regarding qualification design and development and associated issues. However despite FAAL having provided evidence to support recent qualification submissions which indicated the awarding body had engaged with SSCs and other relevant stakeholders, the final entry on the document (entitled *Internal Summary of Current and Emerging Engagement with SSCs*) was made in 2009.

FAAL may wish to ensure that the *Internal Summary of Current and Emerging Engagement with SSCs* document is updated on a regular basis to include the details of all meetings and other key communication the awarding body has with SSCs.

This has been recorded as Recommendation 3.

Principle 18. The awarding body and their centres must deal with complaints on a fair and equitable basis, in line with their published procedures and timescales, and without unreasonable delay. The awarding body, their centres and learners must be made aware of how and when they can complain to SQA Accreditation. Where a complaint is upheld, the awarding body and/or centre must take appropriate, corrective and/or preventative action.

Appendix 7 of the *FAA Operational Manual for Approved Centres* contains the awarding body's *Maladministration and Malpractice Policy and Procedure.* However, prior to the audit, the Lead Auditor had obtained a copy of the awarding body's *Malpractice Policy* from the FAAL website and this version was notably different from that held in the operational manual submitted by the awarding body. On the day of the audit, FAAL representatives confirmed that the *Malpractice Policy* was the most recent document and that Appendix 7 should have been updated to include this within the operational manual.

FAAL may wish to ensure that Appendix 7 of the *FAAL Operational Manual for Approved Centres* is revised to include the most recent version of the *Malpractice Policy*.

This has been recorded as Recommendation 4.

Principle 23. The awarding body and their centres must publish clear, fair and equitable procedures and timelines for dealing with enquiries about results and appeals. They must take appropriate, corrective and/or preventative action for all learners and centres affected.

The *FAA Enquiries, Complaints and Appeals Policy and Procedures* document is publicly available on the awarding body's website and is also held within the *FAAL Operational Manual for Approved Centres*. The policy includes details of the awarding body's processes and associated timescales for handling any appeal lodged. Section 5.6 of the Policy states that 'the decision of the FAA Appeals Panel will be final'. However Section 6.1, which outlines what steps the appellant should take should they wish to seek further review from a regulatory body, also states that 'the decision of the Regulatory Body will normally be final.'

Further to this, Section 6.2 of the Policy outlines the circumstances under which any appellant may refer their appeal to the Scottish Public Sector Ombudsman (SPSO), a stage

which would normally follow the regulatory body review, the decision from which is stated as 'final' in Section 6.1 of the Policy.

FAAL may wish to remove the sentences from Section 6.1 and 6.2 of the awarding body's *Appeals Policy* which indicate that the decisions made by the FAA Appeals Panel and, subsequently, any regulatory body are final.

This has been recorded as Recommendation 5.

3   Outstanding approval and accreditation conditions

A condition will be recorded at the time of approval of the awarding body or at the time of accreditation for an SQA accredited qualification. A condition is recorded when SQA Accreditation's Co-ordination Group (ACG) finds evidence that the awarding body does not fully meet the requirements under SQA Accreditation's *Regulatory Principles (2011),* Regulatory Principles Directives, the requirements of the clauses within and any conditions attached to the Approved Awarding Body agreement and the Criteria for Accredited Qualifications.

Principle no.	Condition	Date due
n/a		

4   Risk rating of Requirements

SQA Accreditation assigns a risk rating to each Requirement recorded as a result of awarding body quality assurance activity. The table below illustrates how the rating for a Requirement is assigned. A weighting is applied that depends on the risk identified and the possible impact on qualifications and/or the learner of failure to implement that Requirement.

The assignment of a risk rating allows an awarding body to assign their resources to areas which have been identified as having a major impact on the qualifications and/or the learner. The risk rating also allows SQA Accreditation to assign its resources to support awarding bodies in improving their performance.

Risk	Impact of Requirements identified through quality assurance activity
Very Low	The Requirement has been identified as likely to cause minimal concern and would not threaten the integrity of the qualification or impact adversely on the learner. Any overall effect is likely to be small scale and/or localised, rather than widespread. The identified Requirement is unlikely to recur once resolved and no long lasting damage would be anticipated.
Low	The Requirement has been identified as low impact but is of sufficient importance to merit intervention, with a low threat to the systems or procedures associated with the qualification and/or impact on the learner. Disruption may not just be localised but more widespread and would possibly cause residual damage; however, this could be easily corrected without further consequence.
Medium	The Requirement has been identified as having the potential to damage the credibility of the qualification and/or be detrimental to the learner. There may be some impact to the systems or procedures that support the qualification or the operational effectiveness of the awarding body.
High	The Requirement has been identified as having a potentially high impact on the integrity and reliability of the qualification, or the effective operation of the awarding body as a whole, if corrective action is not quickly taken. There is a high probability that the qualification and/or learner will be negatively affected.
Very High	The Requirement has been identified as having a serious impact on the integrity and reliability of the qualification or the effective operation of the awarding body if corrective action is not immediately taken. There is a very high probability that the qualification and/or learner will be negatively affected.

In assigning a risk rating, each Requirement is considered on its own merit, taking account of the context in which it was identified.

5   Table of awards

Accredited qualifications currently offered by STA

SQA-accredited qualification title	Level	Code	Accreditation date	Re-accreditation date
Award in Activity First Aid at SCQF Level 5	SCQF Level 5	R330 04	10/07/2013	31/03/2017
Award in Cardiopulmonary Resuscitation & Automated External Defibrillation at SCQF Level 5	SCQF Level 5	R149 04	06/07/2011	31/03/2017
Award in Emergency First Aid at Work at SCQF Level 5	SCQF Level 5	R270 04	01/01/2013	31/03/2017
Award in Fire Safety at SCQF Level 5	SCQF Level 5	R326 04	02/07/2013	30/06/2018
Award in Fire Safety Awareness at SCQF Level 4	SCQF Level 4	R325 04	02/07/2013	30/06/2018
Award in First Aid at Work at SCQF Level 6	SCQF Level 6	R269 04	01/01/2013	31/03/2017
Award in Food Safety in Catering at SCQF Level 5	SCQF Level 5	R377 04	12/02/2014	28/02/2019

SQA-accredited qualification title	Level	Code	Accreditation date	Re-accreditation date
Award in Health and Safety in the Workplace at SCQF Level 4	SCQF Level 4	R376 04	12/02/2014	28/02/2019
Award in Health and Safety in the Workplace at SCQF Level 5	SCQF Level 5	R225 04	13/06/2012	31/03/2017
Award in Manual Handling Principles and Practice at SCQF Level 5	SCQF Level 5	R306 04	20/03/2013	31/03/2018
Award in Paediatric First Aid at SCQF Level 5	SCQF Level 5	R124 04	12/01/2011	31/03/2017

6   List of documents reviewed pre and post audit

Document title	Date of issue	Version number
FAA Operational Manual for Approved Centres	January 2014	
Minutes of FAA Governing Body Meeting – 31 January 2014		
Malpractice Policy	19/08/2010	
FAA Enquiries, Complaints and Appeals Policy and Procedures		
FAA Review and Advisory Group – Meeting Minutes – 28th March 2013		
FAA Standards and Quality Assurance Group – Meeting Minutes – 16 October 2012		
FAA Review and Advisory Group – Meeting Minutes – 27th February 2013		
Minutes of FAA Governing Body Meeting – 03 February 2014		
Memorandum of Integrity between First Aid Awards Ltd and Nuco Training Ltd. (including integrity agreement)		
First Aid Awards Ltd. – Register of External Verifiers and Quality Assurance Auditors		

Document title	Date of issue	Version number
Roles and Responsibilities of First Aid Award (FAA) Personnel		
Awarding Body Centre Details	May 2013	
First Aid Awards Ltd. – Organisational Chart	Feb 2013	
First Aid Awards Ltd. – Regulatory and Advisory Groups (descriptions)		
Product Sheet – Food Safety in Catering	05/12/2013	
Product Sheet – Manual Handling	21/01/2013	
Product Sheet – EFAW	31/01/2013	
Product Sheet – Health and Safety in the Workplace	30/01/2014	
Approved Centre Newsletter – 12 April 2013		
Approved Centre Newsletter – 09 May 2013		
First Aid Awards Ltd. – Customer Charter		
First Aid Awards Ltd. – Reasonable Adjustments (Including Special Consideration) Policy		
Application for Approved Centre Registration	Jan 2014	

Document title	Date of issue	Version number
Continuous Quality Improvement		
Draft Product Sheet – Fire Safety Awareness		
FAA Contingency Plan		
FAA Data Protection Policy		
FAA Equal Opportunities Policy		
Health and Safety Policy Statement of Intent		
FAA Price List	2013	
Learner Registration Form – Fire Safety Awards		
Multi-choice Test – Results Summary (Shell Document)		
Assessment Paper – Food Safety in Catering		
Assessment Paper – Food Safety in Catering – Instructor Guidance		
Health and Safety - Test Paper		
Health and Safety - Test Paper – Instructor Guidance		

Document title	Date of issue	Version number
Learner Registration Form – Emergency First Aid at Work		
Learner Registration Form – Food Safety in Catering		
Course Evaluation – Emergency First Aid at Work		
Course Evaluation – Food Safety in Catering		
Internal Summary of Current and Emerging Engagement with SSCs		
FAA Award in Paediatric First Aid – Letter of Support – Skills for Care and Development	02 September 2010	
Multiple Choice Question Paper 1 – Emergency First Aid at Work	02 November 2012	
Multiple Choice Question Paper 1 – Emergency First Aid at Work – Marking Sheet	08 January 2013	
Contract of Engagement for External Verifiers/Quality Assurance Auditors	January 2013	
Instructor Guidance Notes	January 2013	
Learner Registration Form – Manual Handling Awards	05.03.13	
Quality Assurance Audit and External Verifier Manual	March 2013	
Instructor Guidance – Fire Safety Awareness		

Document title	Date of issue	Version number
Fire Safety Awareness – Test Paper 1	05 June 2013	
Emergency First Aid at Work – Multiple Choice Question Paper – Learner Guidance	11/04/2013	
Course Evaluation Form – Fire Safety Awareness		
First Aid Awards Ltd. – Provision of Electronic Certificates		
Secure Arrangements for Certification		
Terms and Conditions for use of FAAplus, including the Course Management System, 'Course Finder' and Learner database	04/03/2014	
Course Register – Award in Fire Safety		
Registration and Certification of Learners		
Sample Certificates		
FAA Centres Delivering SCQF Qualifications	Feb 2014	
Post Course Results – Guide for Administrators		
Data Protection Policy		
First Aid Awards Ltd. - Regulatory and Advisory Groups		

Document title	Date of issue	Version number
Equal Opportunities Policy		
Health and Safety Letter of Support - Nuco Training	03 April 2012	
Activity First Aid Letter of Support – Nuco Training	12 July 2010	
Paediatric First Aid Letter of Support – Nuco Training	12 July 2010	
Emergency First Aid at Work Letter of Support – Nuco Training	12 July 2010	
Emergency First Aid at Work – Ongoing Assessment Matrix		
Course Session Plans		
Emergency First Aid at Work – Multiple Choice Question Paper 1	06 October 2011	
Introducing FAAplus – Approved Centre Guide		
Guide to External Verifier Audits		
Health and Safety in the Workplace – Multiple Choice Question Paper		
Manual Handling - Principles and Practice (Paper 1) – Instructor Guide on Administering the Written Test and Answer Sheet	Jan 2013	
Pricing Policy and Structure 2012		

Document title	Date of issue	Version number
Rationale and Business Plan		
Emergency First Aid and Activity First Aid Letter of Support – Skills for Health	29 April 2010	
Award in Paediatric First Aid Letter of Support – Skills for Care and Development	02 September 2010	
Manual Handling Letter of Support – Proskills	22 October 2012	

7   Action Plan

A separate document in Microsoft Word has been forwarded with this Audit Report.

Areas of concern	Requirement	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
Principle 2 and Principle 3	**Requirement 1** FAAL must ensure that all SQA accredited and SCQF Credit Rated qualification information held on the awarding body website is accurate and that no qualification is advertised as • SQA accredited without that status having been confirmed by SQA Accreditation • SCQF Credit Rated which has yet to have the rating confirmed by an approved Credit Rating Body.	Very High		

Areas of concern	Requirement	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
Principle 3 and Principle 6	**Requirement 2** FAAL must ensure that • any reporting methods employed are capable of producing consistent and accurate approved centre and candidate registration and certification data • consistent and accurate data is being submitted to SQA Accreditation.	Medium		
Principle 6	**Requirement 3** FAAL must ensure that quality assurance activity in carried out line with the awarding body's own policy for the management and control of quality assurance audits.	Very High		

Principle 6	**Requirement 4** FAAL must implement a method or mechanism which facilitates the standardisation of operation of external verification staff.	Medium		
Principle 6, Principle 22 and Regulatory Principles Directive 3	**Requirement 5** FAAL must ensure that all e-certificates produced meet the requirements of RPD3 and that FAAL approved centres are not given the opportunity to include either the centre name or logo on any e-certificate.	Medium		

Signatures of agreement of action plan

For and on behalf of First Aid Awards Ltd.:

For and on behalf of SQA Accreditation:

Signature

Signature

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Date

Date

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8   Acceptance of audit findings

For and on behalf of First Aid Awards Ltd.:   For and on behalf of SQA Accreditation:

Signature   **Signature**

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Designation   **Designation**

....

Date   **Date**

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