Desktop Audit Report

Awarding body: Lantra Awards
Date of audit: 1 August 2011

Note

Confidential or commercially sensitive information gathered during SQA Accreditation monitoring activities is treated in the strictest confidence. However:

♦ The findings of this report will be presented to SQA's Accreditation Committee and made available to colleagues from the Department for Education and Skills (DfES), the Council for the Curriculum, Examinations and Assessment (CCEA) and the Office of Qualifications and Examinations Regulation (Ofqual), with a view to the contents informing future accreditation and re-accreditation submissions by the awarding body.

♦ The report will be published on SQA Accreditation's website.

Please note that SQA Accreditation monitoring activity is conducted on a sampling basis. As a consequence, not all aspects of an awarding body's performance in quality assurance, contract compliance, implementation, awarding of certificates, and fee arrangements have been considered in this report to the same depth.

Contents

Executive summary

Purpose and scope of audit

This was the tenth audit of Lantra Awards since it was approved as an awarding body by SQA Accreditation. The audit was designed to review, evaluate and document Lantra Award's strategies, policies and procedures and ensure compliance with SQA Accreditation's *Awarding Body Criteria (2007)*.

This was a full audit of Lantra Awards and all criteria were included within the scope of the audit. The audit was carried out as a desktop exercise by analysing banked documents which Lantra Awards had mapped to the Key Goals within SQA Accreditation's *Awarding Body Criteria (2007).* A telephone interview was carried out with the Head of Quality and Services after reviewing the information.

Background

Lantra Awards is a nationally recognised awarding body dealing with qualifications spanning the land-based sector. Lantra Awards has ISO 9001: 2008 Quality Management System certification and Investors in People status.

Audit outcome

As a result of the audit and post-audit activities, one non-compliance has been recorded and four observations have been noted.

The one non-compliance and four observations form the Lantra Awards action plan: August 2011.

Awarding body feedback

The awarding body stated that they were satisfied with the desktop audit approach and found the SQA system for banking documents easy to work with.

Statement of Excellence 1: Governance and Leadership

'The awarding body has effective governance, leadership and management, which supports the delivery of SQA, accredited qualifications. The awarding body's strategic aims, objectives and policies are appropriate and are understood by all who refer to them.'

Key Goal 1: The awarding body has robust and transparent governance arrangements

Findings

Lantra Awards has recently changed its governance arrangements and has sent SQA Accreditation the relevant copies of the new structures and committees to ensure that there is no conflict of interest. SQA Accreditation has confirmed that it is happy with the measures that Lantra Awards has put in place. Although the Lead Auditor had previously seen the conflict of interest documents from Lantra Awards, these were not supplied as banked documents for the audit and, given the key nature of them, it is recommended that these are supplied. **Observation 1 refers**.

Lantra Awards has supplied documents for its Quality Committee but this group is not shown on the Advisory Group Structure. The Awarding Body advised the Lead Auditor that this committee has now become the Audit Committee and terms of reference are still being worked on. **Observation 2 refers**.

Conclusion

The evidence available confirms that Lantra Awards continues to meet the requirements of the criteria under Key Goal 1. Two observations have been noted.

Observation 1: Lantra Awards has not submitted its conflict of interest documentation to show the separation between the Sector Skills Council and awarding body roles.

Observation 2: The role of the Quality Committee and Audit Committee needs to be clarified.

Statement of Excellence 3: Administration and Support

'The awarding body's administrative and support arrangements have been designed to reduce bureaucracy, are responsive to stakeholders' needs and are cost effective. The awarding body continually reviews its qualification provision to ensure it has, and deploys, sufficient resources for the administration and support of its qualification provision.'

Key Goal 6: The awarding body has an effective communications strategy that supports its awarding body activities

Findings

Lantra Awards has used the new SQA Accreditation system for banking documents. Whilst the overall standard of documents is good, it is recommended that Lantra Awards spend some time ensuring that the documents which have been supplied are relevant to the Key Goals and ensure that information is correct. **Observation 3 refers.**

Conclusion

The evidence available confirms that Lantra Awards continues to meet the requirements of the criteria under Key Goal 6. One observation has been noted.

Observation 3

Lantra Awards has not properly referenced some documents to the appropriate Key Goals.

Key Goal 13: The awarding body provides clear written guidance for awarding body representatives and prospective or approved centres and their staff

Findings

The range and standard of Lantra Award's documentation is of a good standard. Centres delivering SVQs can find the majority of information from Lantra Award's document *Competency Based Qualifications — Information for Centres.* However, this document is referred to on the website and in other Lantra Awards guidance by different names therefore it is recommended that Lantra Awards ensures the correct title is used to avoid confusion. **Observation 4 refers.**

Conclusion

The evidence available confirms that Lantra Awards continues to meet the requirements of the criteria under Key Goal 13. One observation has been noted.

Observation 4

Lantra Awards has several titles for its main SVQ operating document.

Statement of Excellence 5: Assessment and Verification

'The awarding body's methodology for assessment and verification is rigorous and has been designed to ensure that only those candidates who have shown competence are awarded a certificate. The awarding body only deploys personnel that are qualified and competent.'

Key Goal 21: The awarding body has systems and procedures for monitoring the quality and consistency of assessment provided at any location. These systems must ensure that assessment is uniformly systematic, valid and to the defined standard

Findings

Lantra Awards has a system for Direct Claims Status (DCS). It is up to the External Verifier if he/she grants DCS after the six month period from the centre's approval, however, there are no criteria which outline the requirements. The decision is based on the External Verifier's judgement of whether the SVQs are running successfully. **Non-compliance 1 refers.**

Conclusion

The evidence available confirms that Lantra Awards does not meet the requirements of the criteria under Key Goal 21. One non-compliance has been recorded.

Non-compliance 1

Lantra Awards has no criteria for Direct Claims Status.

Conclusion

This was the tenth audit of Lantra Awards and the Lead Auditor was provided with access to the relevant documentation in order to carry out a desk audit.

The Lead Auditor has raised one non-compliance and is satisfied that Lantra Awards has robust systems and processes in place for the SVQs which it delivers.

Appendices

Appendix 1: Current year non-compliances, observations and action plan

Non-compliances

A non-compliance will be recorded where the Lead Accreditation Auditor finds evidence that the awarding body fails to meet any of *Awarding Body Criteria (2007)* or any of the conditions attached to qualification accredited by SQA Accreditation at the time of accreditation. When recording any non-compliance, the Lead Accreditation Auditor will agree the action to be taken by the awarding body and a timetable for resolving the issue.

No non-compliances were recorded.

Non-compliance recorded	Agreed action and date	Key Goal	Risk rating
1. Lantra Awards has no criteria for Direct Claims Status.	Lantra Awards must develop and implement criteria for its Direct Claims Status. External Verifiers and centres must be made aware of the criteria by 31 January 2012.	Key Goal 21 refers	4

Observations

An observation will be noted to ensure that any recommendations agreed during the audit are recorded for future reference. As observations are recorded for awarding body consideration only, it is not necessary to agree a timescale to resolve the observation in the awarding body action plan.

Once agreed, the action plan is signed by representatives from both SQA Accreditation and the awarding body, and will inform the agenda for the next annual audit meeting.

Observations noted	Action recommended	Key Goal/criterion
1. Lantra Awards has not submitted its conflict of interest documentation to show the separation between SSC and awarding body roles.	Lantra Awards should submit relevant information which shows the separation between awarding and SSC functions to the banked documents system.	Key Goal 1
2. The role of the Quality Committee and Audit Committee needs to be clarified.	The awarding body should update its documentation and provide up to date terms of reference for the Audit Committee.	Key Goal 1
3. Lantra Awards has not properly referenced some documents to the appropriate Key Goals.	The awarding body should review the relevance of documents submitted to Key Goals within the banked documents system.	Key Goal 6
4. Lantra Awards has several titles for its main SVQ operating document.	Lantra Awards should ensure that it has one title for its main SVQ operating document and that references to this on the website, and within other guidance documents, are consistent.	Key Goal 13

Appendix 2: Risk-rating of non-compliances

SQA Accreditation assigns a risk rating to each non-compliance recorded as a result of an awarding body audit or through our centre monitoring activity. The table below illustrates how the rating for a non-compliance is assigned, and identifies the possible impact of the non-compliance on qualifications and/or the learner.

The assignment of a risk rating allows an awarding body to target their resources to areas that have been identified as having a major impact. The risk rating also allows SQA Accreditation to target its resources to support awarding bodies in improving their performance.

Rating	Risk	Impact of non-compliance
1	Very Low	The non-compliance is 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 issue identified is unlikely to recur once resolved and no long lasting damage would be anticipated.
2	Low	The non-compliance is of low impact but 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.
3	Medium	The non-compliance could potentially 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.
4	High	The non-compliance could have a high impact on the integrity and reliability of the qualification or the effective operation of 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.
5	Very High	The non-compliance will have 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 non-compliance is considered on its own merit, taking account of the context in which it was identified.

Appendix 3: Table of awards

Accredited qualifications currently offered

Award title	Level	Code	Accreditation date	Re-accreditation date
Fencing	2	G8YM 04	11.06.2008	31.12.2012
Fencing	3	G8YP 04	11.06.2008	31.12.2012
Fencing (Vehicle Safety)	2	G8YN 04	30.01.2008	31.12.2012
Fencing Business Management	4	G8VC 04	30.01.2008	31.12.2012

Appendix 4: 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's Accreditation Co-ordination Group finds evidence that the awarding body does not fully meet *SQA's Awarding Body Criteria (2007)*.

Condition	Agreed action and date	Key Goal/criterion
Lantra Awards has no conditions outstanding.		

Appendix 5: List of documents reviewed pre-audit and post-audit

Document title	Date of issue	Version number	Comments
Business Structures			
Committee Structures			
QA Committee Terms of Reference			
Business Plan			
Management Report Dashboard Q1 Targets			
KPIs Target Report 2011–12			
Review of Quarter KPIS			
Campaign Calendar			
Departmental Plan 2011–2012			
Self Assessment Model 2010–11			
Audit Report July 11			
Equal Opportunities Policy			
Enquiries Appeals Policy			
Malpractice Policy			
Reasonable Adjustments			
Compliments and Complaints Procedures			
Data Protection Policy			
Communications Strategy			
Stakeholder Contact Report			
Newsletter			
Handbook for CQQ Centres			
NSVQ Centre Approval Process			
Customer Service Statement			
Report To Quality Committee			

Document title	Date of issue	Version number	Comments
Complaint Tracking			
SVQ certificate			
SVQ Guidance documents			
Unit developments and review			
Assessment Policy			
Person Specifications for Key Members of Staff			
Lead EV and EV Job Description			
EV report form			
List of Scottish centres and visit schedule			

Appendix 6: Signatures of agreement to action plan

For and on behalf of Lantra Awards

Signature

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Designation

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Date

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For and on behalf of SQA Accreditation

Signature

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Designation

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Date

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