

## Audit and Verification Activity 2023/2024

Date	Subject	Type of Scrutiny	Mode	Contact		Outcomes	
				UHI Shetland	Verifier	Actions	Good Practice
20/03/2023	Student Recruitment	Internal Audit		Laura Burden	BDO	<p>That UHI Shetland proceed with the financial analysis exercise to determine the cost and income of courses and, where courses are loss making, UHI Shetland should document the justification for continuing to run the courses; and agreed actions to address the issues leading to the loss. This should form part of the annual portfolio review going forward.</p>	<p>UHI Shetland takes a proactive approach in providing information to potential applicants through making presentations at schools, attending parents' evenings and career events, briefing local careers advisors on course provision, and hosting open days/evenings.</p> <p>Updates, such as changes in courses or finance cut off dates, are communicated through social media or directly with applicants/students as appropriate.</p> <p>Comprehensive information for each course is available on the SUHI website.</p> <p>UHI Shetland receives monthly updates from UHI on the level of interest shown and how this</p>

						<p>converts into formal applications. We found that UHI Shetland's conversion rate was consistently above the average for the academic partners.</p> <p>As part of the process for proposing a new course, a Course Costing Template must be completed which calculates the minimum viable number of students. Various options are considered where there are low recruitment numbers, such as re-recruiting, embedding the programme within another course, or running the course remotely with another partner.</p> <p>There are annual academic portfolio review meetings which look at the health and viability of taught courses.</p> <p>The Learning, Teaching and Research Committee receives reporting on student recruitment at each of their quarterly meetings. This report then forms part of the Principal's Report which</p>
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							goes to each Board Meeting.
03/04/2023	Health and Safety	Internal Audit		Gemma MacGregor	BDO	<p>Review Risk Assessment procedures, timescales and documentation.</p> <p>Tighten procedures and documentation of legionella checks.</p> <p>That participation in, monitoring and recording of Health and Safety awareness training be tightened.</p> <p>Risk Assessment, Safe Systems of Work and Health and Safety policies to be monitored in a timely manner and formally approved; periodic monitoring to be instituted.</p> <p>Display Screen Assessment completion rates to be monitored and failure to complete highlighted to the appropriate individual/line manager.</p> <p>The Operations and Estates Committee Terms of Reference to be amended to state the frequency of meetings.</p>	<p>There are clear and concise roles and responsibilities in relation to health &amp; safety, which have been formally documented within the Health &amp; Safety Policy.</p> <p>There is a suite of health &amp; safety policies and procedures made available to staff via SharePoint.</p> <p>A high volume of risk assessments has been recorded on Peninsula.</p>

17/04/2023	BCP	Internal Audit		Gemma MacGregor	BDO	<p>Perform a risk assessment to identify business-critical function and systems, and minimum resources required to operate these.</p> <p>Undertake impact assessments for each and develop clear action plans for each system.</p> <p>Identify and document the incidents that could cause the BCP to be invoked, including key roles and responsibilities.</p> <p>Core roles and responsibilities to be documented in detail in the BCP.</p> <p>The policy should be regularly reviewed.</p> <p>A testing schedule should be drawn up for business continuity, reflecting likelihood and impact of each risk, and ensuring a strategic approach to testing is developed and regular tests carried out. The plan should be reviewed to reflect the outcomes of each test.</p>	
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						<p>Business continuity training to implemented for relevant staff and a regular refresher programme put in place. Compliance to be monitored.</p> <p>BCP to be approved by committee and the decision documented in the minutes.</p> <p>Manager to consider business continuity risks, and to document and manage them in line with risk management processes.</p>	
June 2023	Administration G99P 45 F59P 11 F59L 11 F5AO 11	External Verification	Virtual	Laura Burden	Wendy McEwan	High Confidence in the maintenance of SQA standards within this verification group on all criteria assessed.	Provide the following: Evidence of re-assessments for this unit (it is confirmed in your IV paperwork that these exist) Evidence that the combined assessments themselves were put through your internal IV process and the IV agreed that they are valid, reliable, practicable, equitable and fair. The agreed action date for uploading of this evidence was subsequently amended to Wednesday 31

							<p>August 2022, due to academic holidays starting and staff changes in the centre. Provide the following: Evidence of re-assessments for this unit (it is confirmed in your IV paperwork that these exist) Evidence that the combined assessments themselves were put through your internal IV process and the IV agreed that they are valid, reliable, practicable, equitable and fair. The agreed action date for uploading of this evidence was subsequently amended to Wednesday 31</p> <p>August 2022, due to academic holidays starting and staff changes in the centre.</p> <p>IV to produce written evidence using the appropriate IV paperwork to document that this assessment is valid, reliable, practicable, equitable and fair. It was</p>
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							agreed with the IV that the evidence will be uploaded to the SharePoint folder by Tuesday 28th June to allow this evidence to be further reviewed.
July 2023	SCQF	External Verification	Blended	Kevin Briggs	Helen Murdoch	<p>Review process to be finalised, documented and forwarded to SCQF.</p> <p>Annual monitoring and review activity to be identified within the policy document; paperwork to be retained to support review processes.</p> <p>Institute review of programmes that fall outwith the annual review cycle.</p> <p>Inform SCQF of implementation of centralised recording for credit rated programmes.</p> <p>Review certificate and use of the term 'rated'.</p> <p>Detailed recommendations relating to certain courses.</p>	
September 2023	Seafish	External Verification	In Person	Laura Burden	Lee Haigh		The college in Scalloway is a shining example of good management

							<p>providing an excellent learning environment.</p> <p>The college has approvals from a number of other awarding bodies, e.g.MCA, RYA and SQA, this along with Seafish, helps to ensure that standards are maintained to the highest level at all times.</p> <p>It was a pleasure to visit UHI Shetland, keep up the excellent work, well done.</p>
September 2023	Learning and Development	External Verification	Virtual	Vicki Nairn	Heather Fotheringham	<p>High Confidence in the maintenance of SQA standards within this verification group on all criteria assessed.</p> <p>I provided feedback to the centre on the quality of the Workplace Assessor and Internal Verifier portfolios. The delivery team over the 13 partners work well together and there is a firm, fair and full-proof approach to ensuring assessor-candidates and verifier candidates work to gather robust evidence of</p>	<p>Following on from the above comments re Shetland - 'I would suggest if this system continues that all evidence is numbered as outlined in the portfolio of contents. Also, that the evidence matrix should reflect performance, knowledge and evidence requirements to ensure completeness.' Consider these comments to standardise recording of assessment decisions.</p>



						performance, knowledge and evidence requirements.	
September 2023	SVQ Hospitality and Professional Cookery	External Verification	Virtual	Laura Burden	Vanessa Lawrance	High Confidence in the maintenance of SQA standards within this verification group on all criteria assessed.	<p>To make clear folders for each candidate and relabel the scanned documents to ensure they are matched to the relevant candidate for both evidence and unit record. Submit evidence to SQA.</p> <p>To make clear folders for each candidate and relabel the scanned documents to ensure they are matched to the relevant candidate for both evidence and unit record. Submit evidence to SQA.</p> <p>Unit records to have candidate name on them or the file to be labelled clearly so they can be identified - Associated evidence to be labelled clearly so they can be easily mapped to the relevant unit record for the candidate.</p> <p>Confirmation that the actions raised by the IV have been completed. Submit this evidence to SQA.</p>

							<p>Associated evidence to be labelled clearly so they can be easily mapped to the relevant unit record for the candidate.</p> <p>Confirmation that the actions raised by the IV have been completed. Submit this evidence to SQA.</p> <p>To confirm the procedure that is followed (and documented in a policy) for the dissemination of QV reports. Submit this evidence to SQA.</p>
October 2023	<p>Healthcare Support GL41 23</p> <p>HC6J 04 HD10 04 HC7H 04 HD18 04 HC7J 04 HC5Y 04 HD3D 04 HC62 04</p> <p>GL3Y 23</p> <p>HD4E 04 HD3T 04 HC5M 04 HD0W 04 HC95 04</p>	External Verification	Virtual	Susan Menary	Marion Gates	<p>The centre has excellent partnership/professional relationships within the SVQ Teams of both Moray College and Orkney College.</p> <p>Internal Verification for the two specific units applied for in this approval process will be undertaken by IVs within Moray College and Orkney College who meet the requirements of the Assessment Strategy for the award units.</p> <p>The centre has robust internal assessment and verification procedures which will ensure 100%</p>	Approved to assess and internally verify inline with the requirements of the qualification.

	HD0G 04 HC8V 04 HC64 04 HD45 04 HD3D 04 HC62 04 HC61 04					<p>Internal Verification as these are new units within the award. Good evidence of standardisation has been provided by the centre in support of this approval process.</p> <p>The Learning Assistant ePortfolio system automatically retains the candidate evidence for a year following resulting of completion of the award with SQA. This is in excess of the requirements set down by SQA.</p> <p>The Centre is considered to have the potential to deliver the qualification satisfactorily and may enter candidates immediately.</p>	
November 2023	SQA Systems Verification	External Verification	In-Person	Laura Burden	Fiona McKenzie	<p>The professional discussion we had was focused on the chosen sample of criteria provided to you in a planning email, prior to my visit. I had ensured I had chosen all criteria that you had rated amber, to further understand the reasoning behind your decisions. Discussion on these areas confirmed that your initial ratings were based on some of the structural and procedural changes you have been diligently working</p>	Data on candidate entries submitted by centres to SQA must accurately reflect the current status of the candidate and the qualification.

					<p>through since your phoenix merger of three organisations, back in 2021. I was satisfied by evidencing what you had in place, that you are fully meeting the quality assurance standards under systems verification, and by SQA. This allowed us to agree on amendment to these criteria from amber to green: 1.4, 4.8 and 6.3, which is noted throughout your report. I was extremely impressed by the methods you utilise in your candidate and staff induction, and your effective review and feedback, and have noted this as good practice for both these criteria.</p> <p>You have one required action for 6.2 following discussion and review of some of your data. I would like to commend you on the detailed and methodical work you are doing in this area, and there certainly is improvement in your numbers of entries past their expected end dates.</p> <p>I concluded from my sample, and discussion had on the day, that the remaining fully compliant criteria were safe to remain so, as per your completed Self-Assessment.</p> <p>Final Comment: May I take this opportunity to thank you Laura, for your preparation, kind hospitality,</p>	
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						and frank and open discussion on the day. I would also like to express my thanks to Gemma and Kevin, whose contributions were extremely informative, and helped me gain perspective on your organisation as a whole. I was very impressed by the systems you have in place to ensure consistent, quality delivery of your qualifications, and I was extremely encouraged to hear about how you gather and analyse feedback, from both staff and your students.	
November 2023	SQA Systems Verification  Agreement of final report	External Verification	In-Person	Laura Burden	Fiona McKenzie	Incorporate a clear instructive stage/directive within your draft data management procedures, to ensure this issue is understood and addressed in your operational procedures. Significant progress has been made in ensuring all data is maintained in a current time-frame and the historical problem is expected to be resolved with the improvement in management procedures.	
November 2023	ECITB Validation visit	External Verification	In Person	Howard Thomson	Martin Barton		The auditor would like to thank Howard and UHI for accommodating this visit and the previous induction session. The MO would

							<p>like to commend the provider for their support for the programme and for the good communication with this Monitoring Officer since being allocated. The Monitoring Officer (MO) has found on both visits the group to be enthusiastic and engaging. In 1-1 interviews it is obvious they are finding the programme to be challenging and enjoyable. The scholars also reported that sessions proceed as planned and that their timetable and the assigned tutors have been stable throughout. The MO conducted a walkthrough observation of the group participated in a welding session. The workshop is highly conducive to learning and has been fitted with Local Area Extraction, as well as the scholars all using air fed light reactive helmets. The MO viewed a range of scholars work and it is obvious there is a well planned programme in place.</p>
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							Attendance overall is good; however, one scholar is proving to be unreliable and is at risk. Howard has identified the scholar to be at risk and is currently embarking on a range of interventions including parental. It is noticeable to the MO that there has been very little employer engagement at this provider which has lead to many of the previous cohort progressing out of the ECI from 1-1 interviews there is a danger that this trend with the current cohort unless addressed by the ECITB. Two of the scholars unfortunately undersized themselves when ordering PPE. The MO has subsequently placed a reorder for these two.
December 2023	Research Governance and Management	Internal Audit	Virtual	Gemma MacGregor	BDO	<p>Areas for improvement identified in the following processes:</p> <ul style="list-style-type: none"> <li>- Performance Monitoring</li> <li>- Audit Evidence</li> <li>- Research Strategy</li> </ul>	Quarterly Principal's Reports are presented to the Board which provide an update on the progress of all research projects across the College's research clusters.

						<ul style="list-style-type: none"> <li>- Risk Register Monitoring</li> <li>- Funding submission process</li> </ul>	<p>The College has a project management tool in place that allows staff to monitor the status of active, closed and developing internally and externally funded research projects.</p> <p>The College has an advance notification process for staff applying for externally funded research projects, which are documented on forms and signed-off by heads of departments.</p>
19 <sup>th</sup> February 2024	Business and Administration	External Verification	Virtual	Laura Burden	Donnie Carthew	Feedback Session 29.04.2024	
16 <sup>th</sup> April 2024	Business and Administration GM26 23 SCQF 7 GM27 24 SCQF 9 GM25 25 SCQF 11	External Verification	Virtual	Laura Burden	Caroline McFarlane		
13 <sup>th</sup> May 2024	Hairdressing	External Verification	Virtual	Laura Burden	Julie Fotheringham		
15 <sup>th</sup> May 2024	Care and Child Care	External Verification	Visit	Laura Burden	Maxine McBrier		



5 <sup>th</sup> June 2024	Hospitality and Professional Cookery GM2H 21 SCQF 4; GM2K 22 SCQF 5; GM2J 23 SCQF 6	External Verification	Visit	Laura Burden	Vanessa Lawrance		
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