

# Centre auditing

Policy and procedures

# Contents

## Centre auditing policy

<b>Effective from:</b>	September 2023
<b>For the attention of:</b>	Heads of Centre / ASDAN QA

<b>Policy owner</b>	<b>Policy approver</b>
Compliance Manager	Head: Quality and Qualifications

Review history		
Date	Version	Reviewed by
June 2018	Draft created and approved	Head: Quality Assurance and Qualifications
November 2018	Versions 2 – 6 updated	Compliance Manager
May 2019	Version 7	Compliance Manager
November 2021	Version 8	Compliance Officer
November 2022	Version 9	Quality Assurance Manager
September 2023	Version 10 – detail added regarding QA Reviews (3.1).	Compliance Manager
Next review: August 2025	To be reviewed by Compliance Manager and approved by Head: Quality and Qualifications .	

# Contents

<b>1</b>	<b>Introduction</b>	<b>4</b>
<b>2</b>	<b>Centre auditing policy</b>	<b>4</b>
<b>3</b>	<b>Centre audits</b>	<b>5</b>
3.1	Quality Assurance (QA) reviews	5
3.2	Sanctions	5
<b>4</b>	<b>The centre audit and QA review process</b>	<b>6</b>
<b>5</b>	<b>Associated policies and procedures</b>	<b>7</b>

# 1 Introduction

This document specifically relates to Conditions A8 malpractice and maladministration, C1 Arrangements with third parties, C2 Arrangements with centres, H1 Marking the assessment.

As an awarding organisation, regulated by Ofqual, Qualifications Wales and CCEA<sup>1</sup>, ASDAN is required to ensure that all centres registered to deliver qualifications fully meet ASDAN's terms and conditions and our Centre Agreement.

The regulators require all awarding organisations to monitor centres delivering their qualifications in order to ensure that the systems, policies and procedures centres have in place meet the awarding organisation's requirements for continuing compliance.

Centre auditing is the process of evaluating a centre's systems and procedures to ensure they are robust and effective and meet ASDAN's requirements for the delivery of qualifications.

This is done by one of four ways:

- an approval visit for new, upgrading or returning centres
- through a review of a sample of learners work (external moderation)
- by a full audit
- a quality assurance (QA) review.

## 2 Centre auditing policy

All centres are required to meet ASDAN's centre approval criteria by providing key policies and procedures for checking. These should ensure that the centre delivers ASDAN qualifications in an effective manner and with integrity.

Centres are identified for audit through a risk-based process. We aim to ensure an audit visit is a supportive process and we will provide feedback to this end, in order to provide centres with the information they need to allow all candidates the greatest chance of success. The visit will focus solely on the quality assurance systems and procedures used in the delivery and assessment of the qualification outlined above; however, the focus of the visit may vary, depending on the circumstances. Although candidate portfolios may be looked at, no moderation of the work will be carried out.

---

1 [gov.uk/guidance/ofqual-handbook](https://www.gov.uk/guidance/ofqual-handbook) (2023),  
Standard Conditions of Recognition, Qualifications Wales (2023)

## 3 Centre audits

When selected for audit, centres will be contacted by an ASDAN External Quality Assurer (EQA) and sent detailed information about the audit process. Centres will be provided, in advance, with an outline of the process and a copy of the centre audit planner with examples of the kind of evidence the auditor will wish to see. At the visit the auditor will meet with the centre's quality representative in order to briefly explain the process and answer any initial questions. Audits can take place via a remote or face-to-face meeting.

The auditor will give brief verbal feedback on the findings and any recommendations/requirements.

An official written report will be sent to the centre within 10 working days. This may include an action plan and follow-up for any additional evidence that the auditor needs to see.

### 3.1 Quality Assurance (QA) reviews

Centres will be selected for a QA Review every two to three years, depending on the following:

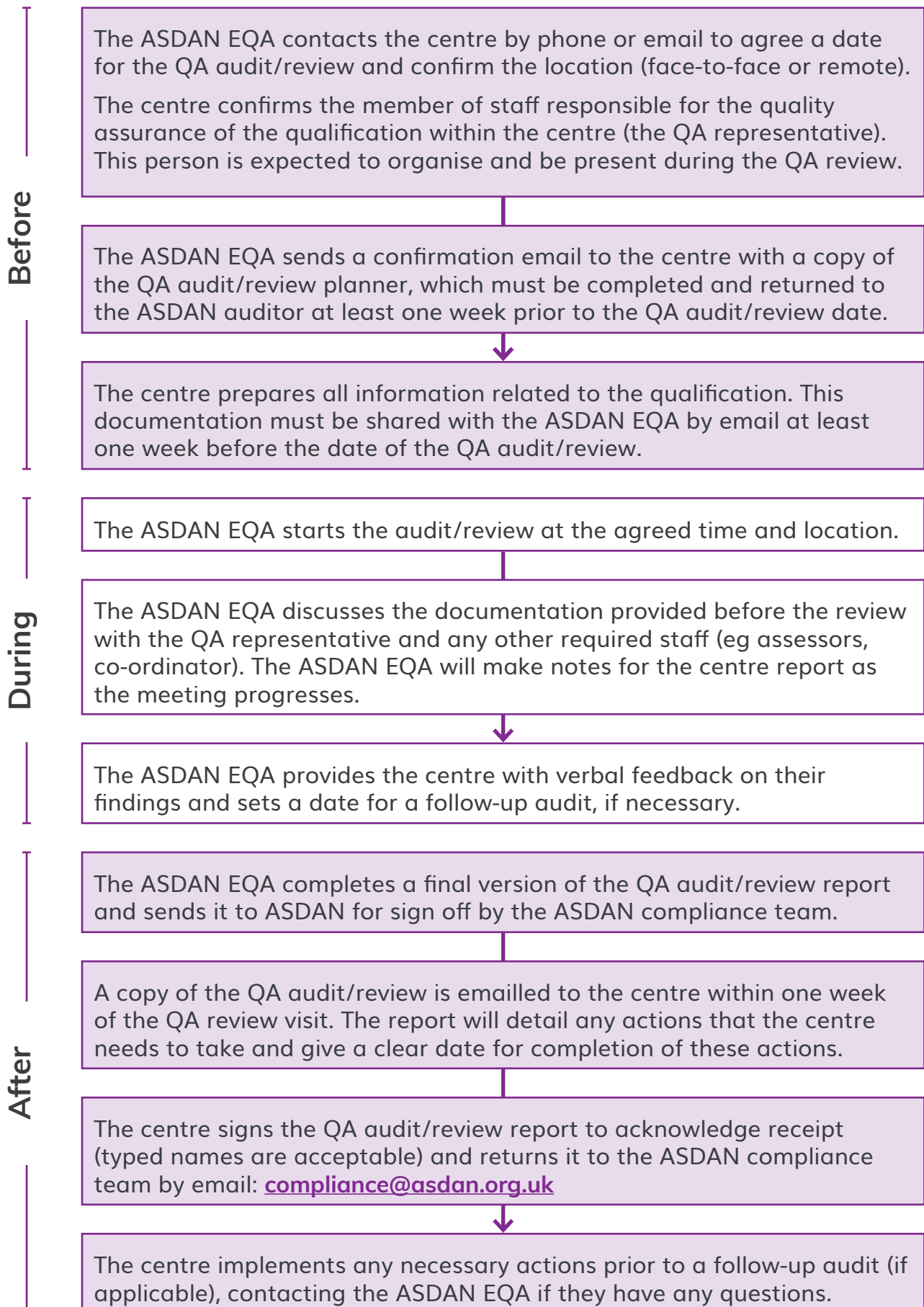
- General administrative non-compliance Centres. This is where the centre has missed deadlines, cancelled moderations, requested changes to samples, etc.
- EQA identified. ASDAN has been notified by the EQA that the centre may require a review following issues identified at moderation but is not malpractice.

Centres will be contacted by an ASDAN EQA to set a mutually convenient date. Centres will be provided with detailed information about the process. A planner will be sent which lists examples of evidence that the EQA will be reviewing. The EQA will provide support and guidance during the call and set any appropriate actions for revisions or additions required.

### 3.2 Sanctions

Centres that fail to respond to requests for an audit visit, or to address resulting action points within a specified timescale, may be subject to sanctions. These may include, where we are not able to confirm that a centre is fully meeting ASDAN's requirements, removal of the centre's approval status.

## 4 The centre audit or QA review process



## 5 Associated policies and procedures

Document name	Responsible person
Centre Approval Policy	Qualification Manager
Malpractice and Maladministration Policy	Compliance Manager
Retention of Assessment Materials Policy	Compliance Manager
Sanctions Policy	Compliance Manager
QA Review Non-communication Policy	Compliance Manager



© ASDAN September 2023 | [www.asdan.org.uk](http://www.asdan.org.uk)  
Wainbrook House, Hudds Vale Road, St George, Bristol BS5 7HY  
t: 0117 941 1126 | e: [info@asdان.org.uk](mailto:info@asdان.org.uk) |    @ASDANeducation