Revised SSP Quarterly Audit Checklist

1. Auditor Details

- **Auditor Name**:
- **Audit Type**: ☐ Annual ☐ Quarterly
- **Date**: _____
- **Scope**: Compliance with CITB ITC Scheme Rules, QMS, and Safer Greens policies.

2. Key Policies & Procedures

Ensure the following policies are reviewed and accessible:

1. Quality Management System (QMS)
2. Booking Process (48hr rule, extenuating circumstances)
3. Safeguarding Policy (if applicable)
4. Appeals & Complaints Policy
5. Reasonable Adjustments & Special Considerations Policy
6. Invigilation of Testing Policy
7. Malpractice, Maladministration, and Counter-Fraud Policy
8. Data Protection/GDPR Policy
9. Conflicts of Interest Policy & Register

3. Risk & Compliance Key

- **CITB Risk**:
    - CAR = Corrective Action Required
    - IAR = Immediate Action Required
- **Compliance Status**:
    - C = Compliant | PC = Partially Compliant | NC = Non-Compliant

Section 1: Management Systems & General Governance

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
1.1	Annually reviewed policies, QMS in place	CAR	QMS Documentation, Annual Review Logs, Updated Policies (EO&D, Data Protection, etc.)		
1.2	Insurances in place (Public £5m, Employer Liability)	IAR	Insurance Certificates (Public Liability, Professional Indemnity £2m)		
1.3	Due diligence on staff (qualifications, COI checks)	CAR	COI Register, Staff Certificates, Malpractice Training Records		
1.4	CITB updated on material changes (within 20 days)	CAR	Change Notification Logs, CITB Correspondence		
1.5	Accurate, auditable records maintained	IAR	Record Retention Logs, Candidate ID Copies, CCTV Access Logs		

Section 2: Resources

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
2.1	Sufficient qualified staff (per Scheme Rules)	IAR	Organizational Chart, Staff CPD Records, CITB Trainer Certificates		
2.2	Roles defined, CPD recorded	CAR	Job Descriptions, Training Logs		
2.3	Physical resources meet CITB/PVTC specs	CAR	PVTC Compliance Reports, Maintenance Records, H&S Risk Assessments		
2.4	H&S/welfare systems reviewed & maintained	IAR	H&S Policy, Fire Drill Logs, Welfare Checklists		

Section 3: Candidates

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
3.1	Special requirements recorded	CAR	Reasonable Adjustments Log, Booking Forms		

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
3.2	ID verified, accurate records kept	CAR	ID Verification Logs, Candidate Personal Details Handling Procedure		
3.3	Appeals/complaints procedure accessible	CAR	Appeals & Complaints Policy, Pre-Test Information Guides		

Section 4: Test Delivery

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
4.1	Standard test delivery procedures followed	CAR	Invigilation Policy, Test Session Logs		
4.2	Qualified admin present, no self-proctoring	IAR	Staff Attendance Logs, CCTV Footage		
4.3	Secure environment (1.25m spacing, no walk-ins)	CAR	Room Layout Plans, Booking Process Documentation		

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
4.4	Candidate rules shown, ID/photo standards met	CAR	Pre-Test Instructions, ID Verification Checklist		
4.5	Incidents reported promptly	IAR	Incident Reports (ServiceDirect), Malpractice Logs		

Section 5: Internal Quality Assurance

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
5.1	QMS covers all processes	CAR	QMS Manual, Internal Audit Schedules		
5.2	QA records maintained (audits, observations)	CAR	Audit Reports, Corrective Action Logs		
5.3	CCTV checks conducted monthly	IAR	CCTV Maintenance Logs, Footage Samples		

Re f	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
5.4	CITB feedback actioned	CAR	CITB Action Plans, Meeting Minutes		

Section 6: Candidate & Employer Experience

Re f	Criteria/Requirement	Ris k	Evidence to Check	C/PC/NC	Auditor Notes/Actions
6.1	Complaints resolved within 5 working days	CAR	Complaint Resolution Logs, Feedback Forms		
6.2	Feedback reviewed for improvements	CAR	Delegate Feedback Analysis Reports		

Section 7: ITC Scheme Rules & PVTC Compliance

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
7.1	Compliance with CITB updates	CAR	QMS Change Control Logs, Updated Procedures		
7.2	ICO registration, CCTV compliance	CAR	ICO Certificate, CCTV Retention Logs (30 days)		

Section 8: Records & Data Protection

Ref	Criteria/Requirement	Risk	Evidence to Check	C/PC/NC	Auditor Notes/Actions
8.1	2-year record retention	CAR	Archival Logs, Digital Backup Records		
8.2	Data protection compliance	IAR	GDPR Policy, Secure Storage Evidence		

Section 9: Corrective Actions Summary

Non-Compliance Ref	Issue Identified	Corrective Action Required	Due Date	Responsible Person	Follow-Up
e.g., 4.5	Incomplete ID verification	Capture both sides of BRP for ID checks	20/01/2025	ITC Administrator	Y

Overall Audit Conclusion

- **Summary Notes**:
- **Key Strengths**:
- **Key Areas for Improvement**:
- **Next Steps**:

Auditor Signature: _____

Date: _____

Chief Administrator Signature: _____

Date: _____

Instructions:

1. Retain completed checklists for **3 years**.
2. Escalate IAR issues to CITB within 24 hours.
3. Update QMS with corrective actions.

This checklist ensures alignment with CITB ITC Scheme Rules and Safer Greens QMS. All sections map to the SSP Audit Booklet requirements.