



**ISO 9001:2015**  
**ASSESSMENT REPORT**

**K2 Development**

**July 24<sup>th</sup> 2017**

CCAS House  
20 Morston Court  
Kingswood Lakeside  
Cannock  
Staffordshire  
WS11 8JB  
Tel: 01543 509533 Fax 01543 577070  
Email: [ukhq@ccas.org.uk](mailto:ukhq@ccas.org.uk)  
Website: [www.ccas.org.uk](http://www.ccas.org.uk)

<b>Certificate No:</b>	2016/823	<b>Certificate Expiry Date:</b>	25 <sup>th</sup> August 2019
<b>Date of Assessment:</b>	July 24 <sup>th</sup> 2017	<b>Total Auditor hours spent at client premises:</b>	8
<b>Date of previous audit:</b>	July 27 <sup>th</sup> & 28 2016	<b>Agreed date for next audit:</b>	July 23 <sup>rd</sup> 2017

<b>Type of assessment</b>	
<input type="checkbox"/> Stage 2 Assessment <input checked="" type="checkbox"/> Surveillance Assessment <input type="checkbox"/> Reassessment <input type="checkbox"/> Transfer Assessment	
<b>Address of Organisation</b>	<b>Other Location(s)/Sites Visited</b>
CTC Kingshurst Academy, Cooks Lane, Solihull, B37 6NU	Not Applicable
<b>CCAS Team Leader:</b>	<b>Name &amp; Role of CCAS Assessment Team Member(s):</b>
Tom Kirby	Not Applicable
<b>Assessment Standard/Criteria:</b>	<b>Justification for any requirement of ISO 9001:2015 that the organisation determines is not applicable to the scope of its quality management system</b>
ISO 9001 : 2015	8.3 Design Product Design is excluded and this was found to be justified.

<b>Audit Objective</b>
<p><b>Surveillance Assessment</b></p> <p>The purpose of this surveillance visit is to conduct onsite audits, but not necessarily full system audits, and shall be planned together with the other surveillance activities so that CCAS can maintain confidence that the certificated management system continues to fulfil requirements between recertification audits.</p>

**Scope of assessment:**

Training, Development and Awarding of Vocational and Nationally Recognised Qualifications related to a Pre-Apprenticeship course.

**EA Code:** 37

**EXECUTIVE SUMMARY/OVERALL CONCLUSIONS**

K2 Development was founded in 2014. They are a provider of a 20 week work based Pre-Apprenticeship programme. K2 Development offices are located in Solihull; Birmingham in the West Midlands and is a faculty of the CTC Kinghurst Academy. K2 Development since it's started business they have educated and qualified over 200 students. The Awarding body that the company use is NCFE.

K2 have excellent facilities both in terms of buildings, classrooms, equipment and external facilities which their students have full access to. They encourage and deliver excellent programmes in a very well-crafted learning environment.

The teacher's course delivery, exam results etc. are subjected to performance evaluation, and the results at present are impressive. K2 have set challenging, targets above the national metrics and are meeting/exceeding them.

The company have excellent controls in place to meet the requirements of the appropriate awarding bodies and student needs.

The company have now expanded the business and are now opening an additional business provision in Blue Coats School, Coventry. This will be a mirror image of the services and facilities they provide in Solihull. This new facility will have its own dedicated staff managed from Solihull. The company continue to invest in developing the business and staff with the aim of providing an excellent service for their students. This provision will start in September 2017 and the company will look to include this site into their existing certification at the next audit.

Whilst, the organisation and staff are clearly professional and dedicated to creating a thriving learning environment, they also manage this within a collegiate, supportive, family culture approach.

All staff are committed to delivering a first class learning experience for the student and giving the necessary skill sets to make informed decisions about their future.

All staff were friendly, co-operative, knowledgeable and competent about their respective duties.

They currently have a 100% success rate of student placement into apprenticeship schemes or alternatives e.g. armed forces or other further education.

It is a rare pleasure to audit a company that not only meets the requirements of the standard but also enters into the spirit of it as well.

One NCN was raised in relation to the Management review content and setting target dates for actions identified.

One OFI was raised in relation to documenting detailed KPI/Objectives in the Quality Manual.

**RECOMMENDATION**

To continue with their existing certification.

Total No. of Non Conformity/findings raised:	1	No. of Opportunities for improvement:	1
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**Definition of a non-conformity:** is the non-fulfilment of a specified requirement; this could include a breach of:

- a requirement of the assessment standard/criteria;
- a regulatory requirement;
- a specified requirement of a clients documented policy or procedure;
- a customer requirement relating to a product/service.

**Definition of an Opportunity For Improvement** – an area of the management system that could be improved.

**Caveat**

It should be noted that this assessment has been based on sampling; therefore, there may be non-conformities within the management system which have not been identified at this assessment.

**Details of Nonconformities Raised**

Nonconformity Number	Description	ISO Clause Number
01	<p>Management Review does not always clearly show that all requirements are reviewed e.g. Internal Audits.</p> <p>Also the actions identified in the Management Meeting May 5<sup>th</sup> did not all have clear target dates.</p>	9.3

**Details of Opportunities for Improvement Raised**

<b>Opportunity for Improvement Number</b>	<b>Description</b>	<b>ISO Clause Number</b>
<b>01</b>	<b>The company include the detailed KPI's and objectives for the year 2017/18. Consideration could be given to removing the detailed KPI's and just giving a generic comment that KPI's and objectives are set and reviewed by Senior Management. The reason for this is that the Quality Manual will have to be updated each year to reference the new KPI's.</b>	<b>4.4</b>

<b>Company staff seen/interviewed during this assessment</b>			
<b>Name</b>	<b>Job Title</b>		
Allan Jones	Director		
Gary Morgan	Business Development Manager		
Danny Dempsey	Data & Social Media Analyst		
<b>Total Number of full time equivalent staff employed within the scope of assessment:</b>	19	<b>Number of remote workers:</b>	0

<b>Audit Opening Meeting</b>
<p>An opening meeting was carried out by the Team Leader which included introduction of other Team Members (if applicable). The Team Leader explained the roles and responsibilities of each Team Member (if applicable) and explained the confidentiality arrangements of CCAS which are defined at the end of this report. The pre issued visit plan was discussed for adequacy with management by the Team Leader including auditor split (if applicable) availability of auditee staff members, audit start and close times, any unforeseen issues, areas of sensitivity, arrangements for undertaking site visits including Health &amp; Safety requirements e.g. Personal Protective Equipment (PPE) (if applicable).</p> <p>The Team Leader also explained the CCAS method of reporting, including raising and closure requirements of nonconformities and opportunities for improvement (if applicable).</p>

<b>Audit Closing Meeting</b>
<p>The Team Leader held a formal closing meeting at the end of the assessment with management and where appropriate those responsible for the functions or processes audited. The audit conclusions were presented by the Team Leader including recommendation regarding certification. Any nonconformities identified have been presented and were explained in a manner that they were understood by the organisations management team and timeframes for responding has been explained and agreed.</p> <p>The Team Leader advised the audit evidence collected was based on sample information thereby introducing an element of uncertainty, the method and timeframe of reporting including a timeframe and plan for correction and</p>

corrective action for any nonconformities identified during the audit, CCAS post audit activities and information about the complaint handling and appeal processes.

### **Statement of Confidentiality/Impartiality**

With regard to this assessment, the CCAS Assessor/Assessment Team agree to treat as secret and confidential and not at any time for any reason to disclose or permit to be disclosed to any person the contents of this report including any notes completed during the audit except as required by the accreditation authorities for their assessment of CCAS accreditation scheme.

I confirm that I have not been involved providing any consultancy services to the client in question, or to any company related to the client, within the last two years. I have not provided consultancy as part of the assessment.

### **Close out of previous nonconformities**

NCN 01 & 02 were reviewed and the corrective actions was found to have been implemented effectively.

### **Use of certification marks**

Currently not used

### **Context of the organisation (4)**

The organisation is part of the Kinghurst Academy. The context which they operate within is an autonomous part of the Academy in relation to Pre-Apprenticeship courses. They have identified their Internal and External interested parties, along with the information that both parties require. Internal Parties include K2 staff, Governors, and CTC Academy examples of External Parties include external awarding bodies e.g. NCFE, students etc.

### **Leadership (5)**

Management Review is held on a monthly basis and its agenda addresses the requirements of the standard. The company have a Quality Policy which is signed by the organisation's Director.

The organisation have performed four Internal Audits these were to a good standard, all processes have been audited.

The company have a number of metrics set by OFQUAL all are met or exceeded. All metrics are above National average achievement figures/targets. The company have deployed stretch targets i.e. above national minimum targets e.g. pass rates etc. and these are either met or exceeded.

### **Planning (6)**

OFQUAL  
NCFE Awarding Body  
OFSTED  
Business Innovation Skills  
Department of Education

K2 Development, do not outsource any processes.

The organisation was found to have effective Planning controls in place. The Planning process covers all aspects of the operation from initial interviewing and evaluating the potential students, through to referencing, sending offers of places, delivering course (s) and striving to effect a successful completion result of the course for the students.

K2 Development, have key metrics in place that are measured and the results indicate the effectiveness of the respective processes.

### **Support (7)**

The company have 19 full time staff and 0 Part time member of staff/remote workers. The company have excellent facilities including a number of class rooms and break out rooms. The rooms are decorated with material/subject content to aid teaching. There are a variety of learning aids that the company deploy to aid the learning experience of the students. All rooms are bright and adequately lit and well-furnished to create an excellent learning environment. All staff are clearly competent delivering the outcomes and aims of the courses they provide. All staff were found to have had excellent feedback from OFQUAL evaluations of witnessed session deliveries.

The company continually develop training, knowledge etc. and CPD programmes for al staff with the aim of creating and delivering a first class learning environment with positive outcomes for all students.

### **Operations (8) processes assessed at this assessment – (detailing evidence of information/records checked for each process audited in accordance with visit plan/client scope)**

Quality Manual – Version 3

Main Process Flow Document (contained in Quality Manual- covers whole student processes from Selection to exam and awards processes) Version 2

Absence Procedure - Version 2.1  
Academic Honesty Policy - Version 1.5  
Appeals Procedure - Version 2.3  
Attendance Procedure - Flowchart - Version 1.1  
Behaviour and Discipline Policy - Version 1  
Construction Area Risk Assessment - Version 1  
Exam Booking Process – Flowchart - Version 1  
Management Reviews of Systems and Policies - Version 1  
Marking and Assessment Policy - Version 1  
Misconduct Procedure - Version 1.5  
Observation Policy - Version 2  
Recognition of Prior Learning Policy - Version 1.1  
Risks to K2 as a Business - Version 2  
Student Handbook - Version 1

### **Course Start/Induction/Person Profile/ Student Streaming Process**

K2 send information to the students about the course start date, where to report to on the start date etc. All students receive a full Induction programme that covers health and safety protocols and details of how the course will run.

The company run an innovative personal profiling (via software) psychometric testing to demonstrate to the student their strengths and weaknesses. Importantly, what it does is also identify jobs/professions/careers that the student would be suitable for. This is an innovative approach to help the student decide on a career path. The company also use other innovative software e.g. Future Wise this enables the student to practice their English, Maths and Numeric skills and identify their strengths and weaknesses in the specific subjects.

K2 also deploys strategies to stream students with a view of selecting class groups to enable students that work well together to be paired, again as a positive focus on promoting student learning and maximising all potentials to enhance the learning outcomes for the students. This is about the focus on harmony of the group(s) as well as academic ability.

### **Student Selection/Assessment/Interview/Offer Process**

The company have a rigorous selection process to ensure they can meet the student needs and expectations. They are very focused on how they can identify individual student learning plans.

The Students are assessed prior to the interview process this is all focused to ensure they can meet the students needs.

Once they have successfully passed these processes then an offer of a place on the course is made “subject to satisfactory references being received”. This is an effective process and offers have been rescinded on some occasions where the references have not been satisfactory. Staff work relentlessly to give the student every possible chance to succeed and gain work placements or further education opportunities, as appropriate.

### **Performance Evaluation (9)**

### **Review of Staff Reviews/Award Body SLA reviews & interfaces with Regulatory Bodies. Process**

K2 Review Staff Performance; the teachers have individual performance targets which are all geared to student



outcomes. Staff are set annual KPI's and objectives, progress against these targets are reviewed 3 times per year via an appraisal process which also identifies training and development needs. The company use a Blue Sky software package for tracking progress of the teachers and all other staff. K2 are also held to account by the Governors and CTC Academy.

The company have regular SLA reviews with the Awarding Body NCFE they have meetings every 6 months. K2 are very pleased with the performance of NCFE as an Awarding body. They had to change their previous awarding body due to poor performance on their behalf. They have good relations with regulatory bodies e.g. Good assessment results, the OFSTED feedback is very good.

Students progress is continually evaluated throughout the course but have formal evaluations at 8 weeks and also final exams.

### **Improvement (10)**

No formal complaints have been received, since the Stage 1 audit. However, there is an adequately defined process that is followed.

The company have numerous Improvements deployed that include the continual improvement of their course provision including delivery, also facilities including the new Hair Dressing Salon which is now up and running and has delivered new programmes since September 2016. Also the company continue to develop staff with extensive CPD programmes being in place.

### Certification Audit Plan for Next Visit

Assessment Standard:	ISO 9001:2015		
Type of Assessment:	Surveillance		
Audit Objective:	<p><b>Surveillance Assessment</b>                  The purpose of this surveillance visit is to conduct onsite audits, but not necessarily full system audits, and shall be planned together with the other surveillance activities so that CCAS can maintain confidence that the certificated management system continues to fulfil requirements between recertification audits.</p>		
Date of Audit:	July 23 <sup>rd</sup> 2018		
Audit Duration:	1 day		
Time	Activity/Process	Auditor Name	Audit Role on Assessment (QMS, EMS, OHSAS)
09.30	Opening Meeting with senior management to confirm method of reporting, adequacy of audit plan.	TK	Lead
	Closure of previous nonconformities (if applicable)		
	Context		
	Leadership		
	Planning		
	Support		
	Performance Evaluation		
12.30	Improvement		
13.00	Lunch		
13.30	Operations		
	Course Delivery/Lesson Plans/8Week Assessment Review/Final Assessment/Exit Interviews/Awards		
	Review of Staff Reviews/Award Body SLA reviews & interfaces with Regulatory Bodies.		
17.00	Closing Meeting with senior management to confirm findings/recommendations including post audit activities.		

## Appendix A

### Certification Assessment Programme

<b>Company Name:</b>	K2 Development
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Month	July	July	July	July	July	July
Year	2016	2017	2018	2019	2020	2021
Type of Assessment	Initial Stage 2 Assessment	Surv 1	Surv 2	Re - Assessment	Surv 1	Surv 2
<b>Mandatory Areas to be assessed at each assessment.</b>						
Closure of previous nonconformities	X	0	X	X	X	X
Context (4)	X	0	X	X	X	X
Leadership (5)	X	0	X	X	X	X
Planning (6)	X	0	X	X	X	X
Support (7)	X	0	X	X	X	X
Performance Evaluation (9)	X	NC	X	X	X	X
Improvement (10)	X	0	X	X	X	X
Use of certification Marks	X	0	X	X	X	X
<b>Operations (8) Other Selected Areas/Processes to be assessed including locations and site visits</b>						
Course Start/Induction/Person Profile/Student Streaming	0	NP	X	X	NP	X
Student Selection/Assessment/Interview/Offer	0	NP	X	X	NP	X
Course Delivery/Lesson Plans/8Week Assessment Review/Final Assessment/Exit Interviews/Awards	NP	X	X	NP	X	X
Review of Staff Reviews/Award Body SLA reviews & interfaces with Regulatory Bodies.	NP	X	X	NP	X	X

<b>Listed below are the locations approved/registered within the company scope of certification</b>			
<b>Location</b>		<b>Location</b>	
A	Single Site CTC Kingshurst Academy, Cooks Lane, Solihull, B37 6NU	E	
B		F	
C		G	
D		H	

<b>Key for scheduling ongoing surveillance and re- assessment visits/audits:</b>
X = Process Planned/scheduled to be audited.
NP –Not planned to be audited.
NC = Nonconformity Raised.
0 = No nonconformities raised.
OFI = Opportunity For Improvement