

BRITISH ACCREDITATION COUNCIL INSPECTION REPORT

Short Course Provider (SCP) Full Inspection

ORGANISATION: Knightsbridge Trading Academy

ADDRESS: 5th Floor
Tower 42
25, Old Broad Street
London
EC2N 1HQ

HEAD OF ORGANISATION: Mr James Lawrence

DATE OF INSPECTION: 5-6 June 2018

ACCREDITATION STATUS AT INSPECTION: Unaccredited

DECISION ON ACCREDITATION:

- Accreditation awarded for the full four-year period.
- Probation accreditation.
- Decision on accreditation deferred.
- Award of accreditation refused.

Date: 19 July 2018

1. Background to the organisation

Knightsbridge Trading Academy (KTA/the Provider) is a private limited company with a single shareholder, who is also the Chief Executive Officer (CEO). It offers short accredited and non-accredited courses in financial trading. The Provider is located in Old Broad Street in the centre of the City of London and is surrounded by financial institutions. The company employs a Relationship Manager who also has significant administrative duties and a Chief Analyst.

The aim of the Provider is to provide the highest calibre of financial trading learning by equipping the participants with the latest financial skills, strategies and understanding of technology with a vision to become the sector leader.

KTA supports a number of universities and business schools to assist students in gaining the Chartered Institute of Securities and Investment (CISI) Level 3 Introduction to International Securities and Investment examination through online and classroom based learning. KTA has also signed the Armed Forces Covenant and is committed, through its provision, to supporting ex-service men and women in their re-integration into civilian life.

KTA has provided training overseas in the past. It currently has no plans to repeat this and is, for the foreseeable future, likely to deliver training only in the United Kingdom (UK).

2. Brief description of the current provision

KTA offer four training programmes. These are a five week Master Trader Programme, which is supported by online videos, multiple choice tests and live trading webinars; an Accredited Online Trader Programme offered in association with the London Stock Exchange Academy; a Forex Bootcamp where live trades are conducted to enable participants to learn how to read the markets and the Institutional Trader Programme, which is recognised by CISI for Continuing Professional Development (CPD) purposes. All of the first three courses can be studied as a preparation for the Institutional Trader Programme at the discretion of KTA.

KTA offers training to participants from the UK and from around the world at the London Stock Exchange (LSE), the David Game College and online. Participants are carefully vetted, particularly in relation to their financial security and their reasons for wanting to participate in the programmes of study. The trainers are accredited LSE Academy trainers and have wide experience and expertise in the world of financial trading. The face to face training is delivered at the LSE and at the David Game College. Both are prestigious City of London locations and the LSE is one of the world centres for financial trading.

During the inspection, KTA was running their five-day Institutional Trader Programme at the London Stock Exchange and at David Game College. There were twelve participants, all of whom were over the age of 18. Most participants were male. The majority of participants were from the UK and others were from Asia and Africa.

3. Inspection process

The inspection was conducted by one inspector over two days. Meetings were held with the CEO, the Relationship Manager, the tutor and the participants. The inspector visited the Provider's offices at Old Broad Street, the training room and other facilities at the London Stock Exchange and the David Game College. Classroom observations were carried out. The inspector also reviewed the documentation provided by KTA. All information required by the inspector was readily available and the organisation cooperated very well with the inspection.

PART B - JUDGEMENT AND EVIDENCE

The following judgements and comments are based upon evidence seen by the inspector(s) during the inspection and from documentation provided by the provider.

INSPECTION AREA - MANAGEMENT, STAFFING AND ADMINISTRATION

1. The provider is effectively managed

- | | | | |
|-----|---|--------------------------------------|--------------------------|
| 1.1 | The management structure is clearly defined, documented and understood, including the role and extent of authority of any owners, trustees or governing body. | <input checked="" type="radio"/> Yes | <input type="radio"/> No |
| 1.2 | The head of the provider and other senior managers are suitably qualified and experienced, understand their specific responsibilities and are effective in carrying them out. | <input checked="" type="radio"/> Yes | <input type="radio"/> No |
| 1.3 | There are clear channels of communication between the management and staff and those working at the delivery venue/s. | <input checked="" type="radio"/> Yes | <input type="radio"/> No |

This standard is judged to be: Met Partially Met Not Met

Comments

There is a clearly defined management structure in place. The CEO and the Relationship Manager work very well together as a team. The CEO is very well qualified in understanding the markets and the needs of the participants because of his extensive experience and knowledge of the sector. The CEO has a clear vision for the future of the business and knows how to lead the organisation in an appropriate direction.

The team is small and there is good communication and excellent relationships between the CEO, the Relationship Manager and the tutors. There is also good communication between the CEO and the staff and managers he liaises with at both David Game College and the London Stock Exchange.

Purposeful meetings are held weekly and are documented. Meetings also take place with one of the stakeholder organisations, Infinox, which is a trading platform provider. These meetings are documented by each organisation with a final agreed record. The CEO and the relationship manager visit the delivery venues on a daily basis when courses are running and discuss and resolve any on-going issues quickly and appropriately.

2. The administration of the provider is effective

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|-----|---|---|
| 2.1 | Administrators are suitably qualified or experienced and understand their specific responsibilities and duties. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| 2.2 | The size of the administrative team is sufficient to ensure the effective day-to-day running of the provider. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| 2.3 | The administrative support available to the management is clearly defined, documented and understood. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| 2.4 | Policies, procedures and systems are well documented and effectively disseminated across the provider. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| 2.5 | Data collection and collation systems are effective. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| 2.6 | Administrative offices are adequate in size and resources for the effective administration of the provider. | <input checked="" type="radio"/> Yes <input type="radio"/> No |

This standard is judged to be: Met Partially Met Not Met

Comments

The CEO and the Relationship Manager carry out many of the administrative tasks. They understand the parameters of their roles well and, as a result, the administration of the organisation is effective and efficient. The Relationship Manager has clarity regarding her duties and what is expected of her in her role. She has received good developmental support from the CEO. This means that she understands her role, the policies, procedures and systems well and has developed her skills and expertise during her time with the Provider.

The majority of policies and procedures are both appropriate and relevant to support the effective operation of the organisation. They are well documented although some of the wording relates to activity that may take place as the organisation develops but is not specific to the current work of KTA.

The administrative function benefits from the very effective use of technology, social media and sophisticated Customer Relationship Management (CRM) systems. Data collection is extremely efficient, well organised and collated using effective CRM tools.

The administrative offices are of an appropriate size. Further rooms can be booked in the building for larger meetings if required.

3. The provider employs appropriate managerial and administrative staff

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|-----|--|---|
| 3.1 | There are appropriate policies and effective procedures for the recruitment and continuing employment of suitably qualified and experienced staff. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| 3.2 | Experience and qualifications claimed are verified before employment. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| 3.3 | There is an effective system for regularly reviewing the performance of staff. | <input checked="" type="radio"/> Yes <input type="radio"/> No |

This standard is judged to be: Met Partially Met Not Met

Comments

Appropriate staff recruitment policies and procedures are in place for when the Provider expands. Considerable thought has been given to creating appropriate policies on, for example, employee relations, equal opportunities, business ethics including confidentiality, data protection and workplace conduct.

The Relationship Manager has mainly trained on the job through the support of the CEO. She is enthusiastic and is committed to fulfil her role well. The CEO carries out an appropriate formal performance review with the Relationship Manager every six months and, because of the close working relationship, there is also a supportive ongoing dialogue and review. As a result, they are quickly able to address any issues that may arise.

4. **Publicity material, both printed and electronic, gives a comprehensive, up-to-date and accurate description of the provider and its programmes**

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|-----|--|---|
| 4.1 | Text and images provide an accurate depiction of the provider's location, premises, facilities and the range and nature of resources and services offered. | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| 4.2 | Information on the courses available is comprehensive, accurate and up to date. | <input checked="" type="radio"/> Yes <input type="radio"/> No |

This standard is judged to be: Met Partially Met Not Met

Comments

Publicity materials, both printed and on the website, are excellent and provide clear and succinct information, advice and guidance. Information on the courses is comprehensive, accurate and up-to-date. Much use is made of social media in targeting information to appropriate potential participants.

Enrolment information is clearly explained and there is a series of frequently asked questions on the website to help prospective participants. The highly regulated nature of financial trading is effectively brought to the attention of potential participants.

5. **The provider takes reasonable care to recruit and enrol suitable participants for its courses**

- | | | |
|-----|---|--|
| 5.1 | Entry requirements for each course, including those relating to language ability, are set at an appropriate level and clearly stated in the course descriptions seen by prospective participants. | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA |
| 5.2 | A formal application process ensures that participants meet the entry requirements and any claimed qualifications are verified. | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA |
| 5.3 | The provider replies to all application enquiries promptly and appropriately and briefs all stakeholders properly on the nature and requirements of its programmes. | <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA |
| 5.4 | Any overseas recruitment agents are properly selected, briefed, monitored and evaluated. | <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> NA |

This standard is judged to be: Met Partially Met Not Met

Comments

The Relationship Manager provides good specific advice and guidance, by means of e-mail and telephone conversations, so that prospective participants understand the nature of the course requirements and whether the courses will meet their needs. If required, the Relationship Manager or CEO conduct more formal interviews online or by telephone. All communications are recorded. All international students are required to be fluent in the English language.

Prospective participants are given extensive feedback regarding whether the programme of study is relevant and appropriate for them during the enrolment processes, particularly if they are progressing from an online programme to the Institutional Trader Programme. This has a positive impact on their ability to succeed on the programme, which leads to very high pass rates. Before the course begins, participants who are ill-suited are not enrolled or are placed on the free online trader programme to enable them to gain insights and knowledge which may allow them to progress.

Application procedures for the Institutional Trader Programme include obtaining information on the financial status of the applicant so that there are no misunderstandings regarding the nature of the course and what the qualification provides to the participant. Due to the closely regulated nature of financial trading, the Provider is careful to ensure that all the information regarding their courses is realistic and gives an honest appraisal of what participants might expect from the programme and what they will be equipped to do on completion.

Responses to application enquiries are prompt, appropriate and specific to the applicant.

6. **There is an appropriate policy on participant attendance and effective procedures and systems to enforce it**

- 6.1 There is a clear and published policy on participant attendance and punctuality. Yes No
- 6.2 Accurate and secure records of attendance and punctuality at each session are kept for all participants, collated centrally and reviewed. Yes No NA
- 6.3 Participant absences are followed up promptly and appropriate action taken. Yes No

This standard is judged to be: Met Partially Met Not Met

Comments

The clear and appropriate attendance policy is clearly explained to all participants at the beginning of the face-to-face programmes and they receive the written policy.

Due to the intensive nature of the programme, any non-attendance would put the successful completion of the programme and the final examination at risk and participants are made aware of this. At all morning and afternoon sessions there is an attendance check. As a result, attendance rates are very high.

7. **The provider regularly obtains and records feedback from participants and other stakeholders and takes appropriate action where necessary**

- 7.1 The provider has effective mechanisms for obtaining feedback from participants and other stakeholders (such as staff, partner providers and employers) on all aspects of the provider's provision, including formal participant representation where appropriate. Yes No
- 7.2 Feedback is obtained, recorded and analysed on a regular basis. Yes No
- 7.3 The feedback is reviewed by management and action is taken where necessary. Yes No
- 7.4 There is a mechanism for reporting on the provider's response to the feedback to the participant body. Yes No

This standard is judged to be: Met Partially Met Not Met

Comments

The senior managers consider that participant feedback is central to the continued success of their programmes. Participants provide feedback electronically at the end of the course. They use an online review process which is facilitated by an independent reviewing organisation. The results are electronically evaluated and made public on KTA's website. The feedback is very positive. Informal feedback is also obtained, during the course, through questioning of participants by the CEO.

Feedback on the Institutional Trader Programme is evaluated by KTA and the London Stock Exchange. As a result, the content of the programme is reviewed by both these stakeholders and the content or the structure of the programme are amended where appropriate. Recent changes, following such a review, have included the reduction of the delivery of the programme to five days and the introduction of mock assessments on the final day followed by a weekend to allow participants to revise for the final formal examinations on the following Monday.

8. **The provider has effective systems to review its own standards and assess its own performance with a view to continuing improvement**

- 8.1 There are effective systems for monitoring and periodically reviewing all aspects of the provider's performance. Yes No
- 8.2 Reports are compiled which present the results of the provider's reviews and incorporate action plans. Yes No
- 8.3 Action plans are implemented and regularly reviewed. Yes No

This standard is judged to be: Met Partially Met Not Met

Comments

KTA monitors, assesses and evaluates its own performance by using online project management tools and an online notes system. This creates an action plan, which is automatically divided into organisational priorities. An online productivity tool is used to help produce longer term organisational plans with input from both the CEO and the Relationship Manager. These online planning tools are used to identify on-going issues and developments. Priorities are identified through a traffic light system and different aspects of business development are recorded and identified.

Both the CEO and the Relationship Manager have access to the online planning tools. This use of technology enables KTA to identify areas for continuous improvement and to respond quickly to changes of circumstance.

INSPECTION AREA - TEACHING, LEARNING AND ASSESSMENT

9. **Programme management is effective**

- 9.1 There is a suitably qualified and experienced programme manager or management team with responsibility for teaching, learning and assessment and the management of the body of trainers. Yes No NA
- 9.2 Classes are timetabled and rooms allocated appropriately for the courses offered. Yes No NA
- 9.3 The allocation of trainers to classes provides for a consistent learning experience and delivery is monitored to ensure consistency. Yes No NA
- 9.4 There is an appropriate policy and effective procedures for the acquisition of teaching and learning resources. Yes No NA

This standard is judged to be: Met Partially Met Not Met

Comments

One of the tutors on the Institutional Trader Programme acts as head of the faculty. He provides feedback comments on the teaching, learning and assessment approaches to the other tutors and the CEO. This means that any adjustments to the programme can be made very quickly and the collective needs of each cohort of participants can be effectively met.

The CEO liaises with the London Stock Exchange and the David Game College to ensure appropriate rooms and resources are available at each venue.

Tutors meet regularly with the senior tutor to discuss the delivery of the programme in order to maintain a consistency of approach and content. Tutors are all experts in their fields and, therefore, there is a collegiate approach to the delivery of the programme and a desire for continuous improvement.

Participants use up-to-date resources with CISI providing updated editions to the workbooks.

10. **The courses are planned and delivered in ways that enable participants to succeed**

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|------|---|--------------------------------------|--------------------------|--------------------------|
| 10.1 | Courses are designed and delivered in ways that allow participants to develop the knowledge and skills which will be required for final examinations or assessments or which meet stakeholders' requirements. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |
| 10.2 | Lessons and assessments maintain an appropriate focus on any assessment objectives or statement of learning outcomes established by the awarding body. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |
| 10.3 | Formative assessments appropriately reflect the nature and standards of summative examinations. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |
| 10.4 | Participants are encouraged and enabled to develop independent learning skills. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |
| 10.5 | The academic backgrounds and particular needs of participants are taken into account in the classroom delivery of the course. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | |

This standard is judged to be: Met Partially Met Not Met

Comments

The online courses include multiple choice questions at the end of each video to help participants build upon their knowledge and understanding. Participants progress can be monitored electronically so that if they are seen to be having difficulties they can be appropriately supported.

The Institutional Trader Programme provides the participants with discrete elements of learning, which are assessed at the end of each section of the course. These elements correspond to the chapters in the CISI workbook. These formative assessments happen throughout and at the end of each day of the programme. On the final day, participants take a series of mock assessments that mirror the requirements of the final examination.

Each cohort of participants share, with each other, their mock examination results, peer mark each others' papers and discuss their answers to help them embed the knowledge they have acquired.

Participants are expected to work independently over the weekend to prepare for their final examinations and are provided with strategies to help them do this. Although participants come from a variety of academic backgrounds, they are very carefully vetted to ensure that they will benefit from and be successful in the programme.

11. **Trainers are suitable for the courses to which they are allocated and effective in delivering them**

- 11.1 Trainers are appropriately qualified and experienced. Yes No
- 11.2 Trainers have a level of subject knowledge, pedagogic and communicative skill which allows them to deliver the content of courses effectively. Yes No
- 11.3 The appraisal procedures for trainers incorporate regular classroom observation. Yes No
- 11.4 Trainers are supported in their continuing professional development and enabled to develop further pedagogic techniques to enhance the learning of participants. Yes No
- 11.5 Trainers respond to different learning needs of participants where appropriate, taking various learning styles into account in their planning and delivery of lessons. Yes No
- 11.6 Trainers employ effective strategies to involve all participants in active participation and to check their understanding of concepts and course content. Yes No

This standard is judged to be: Met Partially Met Not Met

Comments

The trainers on the Institutional Trader Programme are experts in their field. They have led large national and multi-national financial organisations in many different areas of financial trading or have wide experience in financial education and training. All trainers are approved by the London Stock Exchange Academy.

Trainers are highly professional and have an approachable manner when dealing with the participants. As a result, in training sessions, all participants are appropriately engaged with the learning process and were enjoy their learning. Good question and answer sessions were held to check the understanding of the information and concepts.

Trainers meet to discuss the programmes among themselves and with the CEO. During these meetings, the effectiveness of the delivery of the units and continuing development of pedagogic techniques are discussed and suggested amendments are made for the next course. The CEO regularly sits in the sessions to observe the teaching and learning taking place. Feedback on these observations is given to the trainers and sessions are amended based on this feedback discussion. Classroom observations are not formally recorded.

12. **The provider provides participants and trainers with access to appropriate resources and materials for study**

This standard is judged to be: Met Partially Met Not Met

Comments

Trainers bring their own expertise gained from many years working in the sector. They also contribute to the rewriting of the course materials. Participants have up-to-date course workbooks, online demonstrations and an online library available through a video sharing site.

A unique resource for the participants of the Institutional Trader Programme is the London Stock Exchange where most of the programme is held. Participants are able to see the trading floor, the opening or closing of the markets and gain an insight into the world of trading.

13. **Participants receive appropriate assessment and feedback on their performance and progress, which are effectively monitored**
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|------|---|--------------------------------------|---|
| 13.1 | Feedback is given to individual participants tailored to meet their specific needs and constructive in its nature and delivery. | <input checked="" type="radio"/> Yes | <input type="radio"/> No |
| 13.2 | Courses are planned to include a schedule of assessments, the procedures and criteria for which are available in writing and in advance to participants and trainers. | <input checked="" type="radio"/> Yes | <input type="radio"/> No <input type="radio"/> NA |
| 13.3 | Assessment outcomes are monitored to enable the identification of participants who are not making satisfactory progress and prompt intervention where appropriate. | <input checked="" type="radio"/> Yes | <input type="radio"/> No <input type="radio"/> NA |
| 13.4 | Participants are made aware of how their progress relates to their targeted level of achievement. | <input checked="" type="radio"/> Yes | <input type="radio"/> No <input type="radio"/> NA |
| 13.5 | Additional support or advice on alternative courses is provided to participants who are judged not to be making sufficient progress to succeed. | <input checked="" type="radio"/> Yes | <input type="radio"/> No <input type="radio"/> NA |
| 13.6 | Participants have appropriate access to trainers outside class time. | <input checked="" type="radio"/> Yes | <input type="radio"/> No <input type="radio"/> NA |

This standard is judged to be: Met Partially Met Not Met

Comments

All the courses include appropriate assessments, which support learning and for which learning objectives are clearly stated. On the Institutional Trader Programme, assessment and feedback happen after every sub-section of the course.

Participants are made aware of their progress through peer assessment, tutor feedback, question and answer sessions, mock assessments and examination preparation support. Throughout all the courses, either online processes or the trainers make the participants aware of the level of understanding required to succeed.

The Relationship Manager supports online learners through e-mail, telephone calls and electronic messaging.

14. **The provider offers courses leading to accredited awards granted by recognised awarding bodies wherever appropriate**

This standard is judged to be: Met Partially Met Not Met NA

Comments

All accredited courses are granted by recognised awarding bodies.

15. **There is a clear rationale for courses leading to unaccredited or internal awards**

- | | | | | |
|------|---|---------------------------|--------------------------|--------------------------|
| 15.1 | There is a clear statement of the level claimed relative to the NQF/QCF and evidence that participants who receive the award meet the stated requirements for that level. | <input type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |
| 15.2 | There is evidence of the extent to which the awards are accepted for the purposes of employment or further study. | <input type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |
| 15.3 | External moderators are involved in the assessment process where appropriate. | <input type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |

This standard is judged to be: Met Partially Met Not Met NA

Comments

16. **There are satisfactory procedures for the administration of examinations and other means of assessment**

16.1 The provider complies with the requirements of the relevant awarding bodies in terms of examination security and administration where appropriate. Yes No NA

16.2 For internal assessments and awards, there are effective systems in place for examination security and administration, and clear procedures for participants to appeal against their marks. Yes No NA

This standard is judged to be: Met Partially Met Not Met NA

Comments

For the online assessments, participants complete multiple choice questions online. These are marked electronically and participants receive certification following successful completion. For the CISI Institutional Trader accredited programme, CISI conduct the examinations under their own strict conditions.

INSPECTION AREA - PARTICIPANT WELFARE

17. Participants receive pastoral support appropriate to their age, background and circumstances

- | | | | | |
|------|---|--------------------------------------|-------------------------------------|-------------------------------------|
| 17.1 | There is at least one named staff member responsible for participant welfare who is suitably trained, accessible to all participants and available to provide advice. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |
| 17.2 | Participants receive appropriate advice before the start of the programme. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | |
| 17.3 | Participants receive an appropriate induction and relevant information at the start of the programme. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | |
| 17.4 | Participants are issued with a contact number for out-of-hours and emergency support. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | <input type="radio"/> NA |
| 17.5 | The provider has policies in place to avoid discrimination and a published procedure for dealing with any abusive behaviour. | <input checked="" type="radio"/> Yes | <input type="radio"/> No | |
| 17.6 | Effective safeguarding arrangements are in place and are regularly reviewed to keep all participants safe. | <input type="radio"/> Yes | <input type="radio"/> No | <input checked="" type="radio"/> NA |
| 17.7 | Effective arrangements are in place to protect participants from the risks associated with radicalisation and extremism. | <input type="radio"/> Yes | <input checked="" type="radio"/> No | |

This standard is judged to be: Met Partially Met Not Met

Comments

The CEO and the Relationship Manager provide advice and support, prior to a course, to ensure that all participants understand the financial risks and obligations that go with financial trading and have a realistic approach to the activities associated with the financial markets.

Participants receive intensive pre-course inductions, which include information on their likely career prospects following successful completion of the courses.

All participants and those considering enrolling onto programmes of study have access to an out of hours telephone number and e-mail contact.

All employees and trainers are provided with information on discrimination and unacceptable behaviour and the ethos of the organisation is one of respect and professionalism. The employees and trainers model the type of behaviour they wish to see in their participants in line with the professional requirements, such as dress code, appropriate behaviour and conduct, of the profession.

17.7 Although the CEO is very well aware of the risks associated with radicalisation and extremism and participants are carefully selected for the face to face courses, there is no formal policy in place.

18. **International participants are provided with specific advice and assistance**

- 18.1 International participants receive appropriate advice before their arrival on travelling to and staying in the UK. Yes No
- 18.2 International participants receive an appropriate induction upon arrival covering issues specific to the local area. Yes No
- 18.3 Information and advice specific to international participants continues to be available throughout the course of study. Yes No
- 18.4 Provision of support takes into account cultural and religious considerations. Where possible, participants have access to speakers of their own first language. Yes No

This standard is judged to be: Met Partially Met Not Met NA

Comments

Prospective international participants are provided with appropriate support before and during their course. Any issues, such as those relating to visas, are addressed. Travel and accommodation, if needed, are outsourced to a specialist agency.

A high level of personalised induction support is provided to international participants, which meets their needs well.

Prayer rooms are not provided as a matter of course as numbers on the course are usually small. However, appropriate arrangements are made on request. All international participants have English as their first or second language and need to be proficient in Business English to be successful in their programme of study. As a result, they can communicate well between themselves.

19. **The fair treatment of participants is ensured**

- 19.1 Participants apply for and are enrolled on courses under fair and transparent contractual terms and conditions. Yes No
- 19.2 Participants have access to a fair complaints procedure of which they are informed in writing at the start of the course. Yes No

This standard is judged to be: Met Partially Met Not Met

Comments

All of the terms and contractual conditions are clear and transparent and are available to potential participants on the website.

Participants receive a copy of the appropriate complaints and grievance procedures at induction and these are made clear in the further documentation participants receive at the beginning of the course.

20. **Where residential accommodation is offered, it is fit for purpose, well maintained and appropriately supervised**

- 20.1 Any residential accommodation is clean, safe and of a standard which is adequate to the needs of participants. Yes No
- 20.2 Any residential accommodation is open to inspection by the appropriate authorities, including Ofsted where participants under 18 are accommodated. Yes No NA
- 20.3 Clear rules and fire, health and safety procedures are in place, with appropriate precautions taken for security of participants and their property. Yes No
- 20.4 A level of supervision is provided appropriate to the needs of participants. Yes No
- 20.5 Separate accommodation blocks are provided for participants under 18. Yes No NA

This standard is judged to be: Met Partially Met Not Met NA

Comments _____

21. **Where home-stay accommodation is organised, the welfare of participants is ensured and the provider's relationship with hosts is properly managed**

- 21.1 Due care is taken in selecting home-stay accommodation which both provides a safe and comfortable living environment for participants and is appropriately located for travel to the provider and back. Yes No
- 21.2 Any home-stay accommodation is inspected before participants are placed and is subject to regular re-inspection by a responsible representative or agent of the provider. Yes No
- 21.3 The provider has appropriate contracts in place with any hosts, clearly setting out the rules, terms and conditions of the provision. Yes No
- 21.4 Appropriate advice and support is given to both hosts and participants before and during the placement. Yes No
- 21.5 Clear monitoring procedures are in place with opportunities for participant feedback and prompt action taken in the event of problems. Yes No

This standard is judged to be: Met Partially Met Not Met NA

Comments _____

22. **The provider provides an appropriate social programme for participants and information on leisure activities in the area**

- 22.1 Participants are provided with appropriate information on opportunities for participation at events and other leisure activities which may be of interest. Yes No
- 22.2 The social programme is responsive to the needs and wishes of participants. Yes No NA
- 22.3 Any activities within the social programme have been chosen with consideration for their affordability by the majority of participants. Yes No NA
- 22.4 Any activities organised by the provider are supervised by a responsible representative with suitable qualifications and experience. Yes No NA

This standard is judged to be: Met Partially Met Not Met NA

Comments _____

INSPECTION AREA - PREMISES AND FACILITIES

23. **The provider has secure possession of and access to its premises**

- 23.1 The provider has secure tenure on its premises. Yes No NA
- 23.2 Where required, the provider has access to suitable external premises for training purposes of a temporary or occasional nature. Yes No NA

This standard is judged to be: Met Partially Met Not Met

Comments _____

The Provider has appropriate contractual arrangements to ensure the security of tenure at its head office and at the London Stock Exchange and the David Game College. Additional accommodation can be used at the head office or at the training venues if required.

24. **The premises provide a safe, secure and clean environment for participants and staff**

- 24.1 Access to the premises is appropriately restricted and secured. Yes No
- 24.2 The premises are maintained in an adequate state of repair, decoration and cleanliness. Yes No
- 24.3 There are specific safety rules in areas of particular hazard (e.g. science laboratories), made readily available to participants, staff and visitors. Yes No NA
- 24.4 General guidance on health and safety is made available to participants, staff and visitors. Yes No
- 24.5 There is adequate signage inside and outside of the premises and notice boards for the display of general information. Yes No
- 24.6 There is adequate circulation space for the number of participants and staff accommodated, and a suitable area in which to receive visitors. Yes No
- 24.7 There are toilet facilities of an appropriate number and level of cleanliness. Yes No
- 24.8 There is adequate heating and ventilation in all rooms. Yes No

This standard is judged to be: Met Partially Met Not Met

Comments

Access to all KTA's accommodation is secure and restricted to authorised personnel only. The head office is secured by permanent security staff and a front reception where authorised visitors are required to sign in. The David Game College has security on the front doors and is an enclosed site. Security at the London Stock Exchange is strict. All participants on courses are required to wear identification badges.

All the premises have high levels of cleanliness, decoration and are well maintained. Part of the added value of attending a KTA programme and its unique selling point is the opportunity to study in highly prestigious premises.

Appropriate health and safety information is clear in all the venues and there is clear and adequate signage. Ventilation and heating are appropriate and there is excellent circulation space for participants at both training venues.

25. **Training rooms and other learning areas are appropriate for the courses offered**

- 25.1 Training rooms and other learning areas provide adequate accommodation in size and number for the classes allocated to them. Yes No
- 25.2 Training rooms and any specialised learning areas (e.g. laboratories, workshops, studios) are equipped to a level which allows for the effective delivery of each course. Yes No NA
- 25.3 There are facilities suitable for conducting the assessments required on each course. Yes No NA

This standard is judged to be: Met Partially Met Not Met

Comments

The training room at the London Stock Exchange provides an exceptional learning environment for the participants. It is an appropriate size for the numbers in the group. In addition, participants have the opportunity to visit some of the iconic spaces in the Stock Exchange including the trading floor. At the David Game College, participants have the use of a lecture theatre, which supports participants' engagement with the programme and adds to the academic ethos of the course.

26. **There are appropriate additional facilities for participants and staff**

- 26.1 Participants have access to sufficient space and suitable facilities for private study, including library and IT resources. Yes No NA
- 26.2 Trainers have access to sufficient personal space for preparing lessons, marking work and relaxation. Yes No NA
- 26.3 Participants and staff have access to space and facilities suitable for relaxation and the consumption of food and drink where appropriate. Yes No NA
- 26.4 Participants and staff have access to storage for personal possessions where appropriate. Yes No NA
- 26.5 There are individual offices or rooms in which trainers and senior management can hold private meetings and a room of sufficient size to hold staff meetings. Yes No

This standard is judged to be: Met Partially Met Not Met

Comments

There is sufficient space of high quality at both training venues for both participants and trainers. Trainers stay in the building at lunch time and are available at breaks to answer participants' queries. Participants use their own tablet computers, mobile telephones and laptops at both venues. Appropriate library resources, including videos, are available online.

There is a refectory available to participants at the David Game College and a restaurant at the London Stock Exchange.

Participants and trainers keep their possessions with them during training. Office premises are locked and secure at break times when staff are not in the office.

Further office space can be made available at both training venues or at head office for staff meetings.

COMPLIANCE WITH STATUTORY REQUIREMENTS

Declaration of compliance has been signed and dated. Yes No

PART C - SUMMARY OF STRENGTHS AND ACTION POINTS

Numbering of action points aligns with that of the minimum standards

MANAGEMENT, STAFFING AND ADMINISTRATION

Provider's strengths

Very clear vision of what the company aims to achieve in the short to medium term and how it plans to develop in the future.

Highly ethical approach to the business and strong corporate social responsibility.

Actions required	Priority H/M/L
None	<input type="radio"/> High <input type="radio"/> Medium <input type="radio"/> Low

TEACHING, LEARNING AND ASSESSMENT

Provider's strengths

Outstanding tutors with very wide experience.

Very well-planned teaching and learning with regularly updated resources.

Actions required	Priority H/M/L
None	<input type="radio"/> High <input type="radio"/> Medium <input type="radio"/> Low

PARTICIPANT WELFARE

Provider's strengths

Outstanding personalised support for participants and potential participants on the courses.

Actions required	Priority H/M/L
17.7 The Provider must formalise arrangements to protect participants from radicalisation and extremism.	<input checked="" type="radio"/> High <input type="radio"/> Medium <input type="radio"/> Low

PREMISES AND FACILITIES

Provider's strengths

World-class premises and facilities. Unique opportunity to study in an iconic building.

Actions required	Priority H/M/L
None	<input type="radio"/> High <input type="radio"/> Medium <input type="radio"/> Low

RECOMMENDED AREAS FOR IMPROVEMENT (to be reviewed at the next inspection)

It is recommended that KTA update the policies and procedures so that the wordings are consistent across all the documents and they are relevant to the current work of KTA.

It is recommended that KTA keep all copies of classroom observations in order to provide evidence of continuing quality

improvement and the sharing of good and excellent practice.

COMPLIANCE WITH STATUTORY REQUIREMENTS