



Action Plan

This Action Plan must be electronically completed and submitted in Microsoft Word format to regulation@sqa.org.uk by 03 September 2014

Issue number	Detail of Issue recorded	Risk rating	Proposed action (Please include a description of your intended methodology and details of the evidence that will be provided.)	Target date for completion	Date Issue closed out (SQA use)
1. Principles 2 and 6	The centre and qualification approval processes with which SafeCert currently operate are neither robust nor fit for purpose.	Very High	<p>SafeCert acknowledge the system examined by the SQA Accreditation audit team was flawed. As discussed with the audit team measures were being developed which will be put in place prior to any further centres being approved.</p> <p>A process diagram has been developed identifying the roles involved in the approval and the processes they will complete.</p> <p>SafeCert are in the process of documenting the processes and procedures which will be shared with those involved. A tracking document will be produced to be completed at each stage to ensure that no approval can be given before each step is completed.</p> <p>If necessary training will be provided to individuals unsure of their role in the process.</p> <p>Final documentation will be shared with the SQA Accreditation team for confirmation that the process meets the requirements of Principle 2 and 6</p> <p>Closed out 12 November 2014.</p>	30/10/14	

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2. Principle 5	SafeCert has produced a range of SQA accredited qualification marketing and guidance documentation which contains SQA accredited qualification and Unit titles that are incorrect.	Low	<p>SafeCert are in the process of reviewing all of their marketing and guidance documents to ensure that each SQA accredited qualification title is correct and match those listed on the accreditation document.</p> <p>The final changed documents will be reviewed by the management team before being submitted to SQA Accreditation for agreement.</p> <p>In future no document will be published or finalised until the General Manager has confirmed that the qualification titles are the same as those published on the SQA accredited qualification list.</p> <p>Closed out 12 November 2014.</p>	15/10/14	
3. Principles 6 and 7	<p>SafeCert has not</p> <ul style="list-style-type: none"> • maintained an appropriate level of communication with SQA Accreditation • maintained the awarding body's Quickr place appropriately to 	Medium	<p>SafeCert is putting procedures in place to ensure the issues identified are managed and appropriate contact is maintained. SafeCert will put in place instructions to ensure that staff are aware of the requirements to maintain a level of communication with SQA Accreditation.</p> <p>The General Manager will ensure that SafeCert's Quickr place in maintained and updated as required. Documentation will be uploaded to the appropriate section of the Quickr area to ensure that SafeCert meets the Regulatory principles.</p>	15/10/14	

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	<p>hold current documentation relevant to awarding body operations</p> <ul style="list-style-type: none"> provided SQA Accreditation with an approved centre list in the appropriate format. 		<p>SafeCert has taken note of the comments made by the SQA Accreditation audit team and have started to modify their template for centre details.</p> <p>The management team will ensure that future submissions of approved centre lists hold the relevant detail and information required by SQA Accreditation.</p> <p>Closed out 12 November 2014.</p>		
4. Principle 10	<p>SafeCert does not have EQA</p> <ul style="list-style-type: none"> guidance documentation in place which would aid in clarifying the role and responsibilities and facilitate standardisation visit planning forms which are appropriate in 	High	<p>While SafeCert had EQA documentation and visit forms these were not being used at the time of the audit. SafeCert are using this opportunity to review its guidance documentation to ensure that EQAs are provided with clear information on how carryout their duties while understanding their role in the delivery and awarding of the qualification.</p> <p>Templates will be provided to ensure that all centres receive the same level of detail and contact while understanding what they in turn are require to provide the EQA in relation to the visit.</p>	<p>Drafted and submitted for agreement Before the 15/10/14</p> <p>Available to EQAs by 30/10/14</p>	

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	format and content to support the EQA visit process.		This documentation will be reviewed by the Quality Assurance manager and the General Manager prior to it being provided to the EQAs and SQA Accreditation. Closed out 12 November 2014.		
5. Principle 11	The SafeCert <i>Equal Opportunities Policy</i> does not cover all appropriate protected characteristics as required by the Equalities Act 2010 (Specific Duties) (Scotland).	Low	SafeCert are in the process of reviewing the Equalities act 2010 (Specific Duties Scotland) to ensure that its documentation clearly identifies and covers all of the appropriate protected characteristics. The finalised document will be reviewed by the management team prior to submission for review by the SQA Accreditation team. Closed out 12 November 2014.	15/10/14	
6. Principle 12 and Regulatory Principles Directive 5	The SafeCert <i>Enquiries and Appeals Policy & Procedures</i> document does not meet the requirements of SQA Accreditation's <i>Regulatory Principles Directive 5 – Complaints Handling</i> .	Low	SafeCert is will review its Enquiries and Appeals Policy & Procedures document to ensure in encompasses the requirements of the RPD 5 and Principle 12. The General Manager will review the completed document to ensure that it meets the requirements of the Scottish Public Service Ombudsman (SPSO)	15/10/14	

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			<p>The completed document will be published on the website and submitted to the SQA Accreditation team as evidence for the completion of the action plan</p> <p>Closed out 12 November 2014.</p>		
7. Principle 15 and Regulatory Principles Directive 3	<p>The format and content of SafeCert qualification and Unit certificates do not meet the requirements of SQA Accreditation's <i>Regulatory Principles Directive 3 – Logos and certificate requirements for SQA accredited qualifications.</i></p>	High	<p>Having researched possible suppliers for certificates with a hologram. SafeCert has identified a supplier which has a proven track record. Hague print will provide certificates with the hologram security logo.</p> <p>SafeCert will review the certificate shared with the SQA accreditation audit team and modify the design to bring it in line with the Principle 15 and RPD 3.</p> <p>Once a draft has been agreed it will be shared with the SQA Accreditation team for confirmation prior to the final print order being submitted to the suppliers.</p> <p>Closed out 12 November 2014.</p>	<p>Design and proof to be agreed by 15/10/14</p> <p>Completed and printed 30/10/14</p>	