



Centre Monitoring Report

Scottish Bakers

6 March 2014

Note

Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence. However, please note the following:

- ◆ The findings of this report and the associated Action Plan will be presented to SQA's Accreditation Committee.
- ◆ The report and Action Plan will be published on SQA Accreditation's website following receipt of the signed acceptance of audit findings.
- ◆ The contents will contribute towards the Quality Enhancement Rating which will, in turn, contribute towards the quality assurance activity and timescales.

Please note that SQA Accreditation's quality assurance activities are conducted on a sampling basis. Consequently, not all aspects of an awarding body's performance in quality assurance, contract compliance, implementation, awarding of certificates and fee arrangements (not an exhaustive list) may have been considered in this report to the same depth.

Contents

1	Introduction	1
1.1	Scope and approach of centre monitoring	1
1.2	Centre monitoring report timeline	2
1.3	Centre monitoring dates	2
1.4	Overview	2
2	Centre monitoring findings	3
2.1	Areas of good practice	3
2.2	Requirements	3
2.3	Recommendations	5
3	List of documents reviewed during centre monitoring	6
4	Risk rating of Requirements	8
5	Action Plan	9
6	Acceptance of centre monitoring findings	11

1 Introduction

1.1 Scope and approach of centre monitoring

SQA Accreditation conducts quality assurance activities of all awarding bodies offering SQA accredited qualifications or Units. This involves monitoring a sample of the awarding body's approved centres/providers or assessment sites. All centre monitoring will be conducted in a consistent manner within and between centres. The aim of monitoring is to:

- ◆ Ensure compliance under **SQA Accreditation's *Regulatory Principles (2011)*, Regulatory Principles Directives, the requirements of the clauses within and any conditions attached to the approved awarding body agreement and the Criteria for Accredited Qualifications.**
- ◆ Confirm that quality assurance arrangements are being conducted by the awarding body in accordance with its prescribed arrangements.
- ◆ Ensure that quality assurance arrangements are being conducted in a consistent manner, within and between centres.
- ◆ Inform future audit and monitoring activity for the awarding body.

All Principles were included within the scope of the monitoring activity.

A Requirement has been raised where SQA Accreditation found evidence that the awarding body has not met SQA Accreditation's regulatory requirements.

The following timescales apply:

- ◆ SQA Accreditation will issue this report within 30 working days of the final centre monitoring date.
- ◆ The awarding body must sign and return the report and associated Action Plan within 30 working days of the centre monitoring report being issued.
- ◆ Within a further 20 working days of receiving the proposed action plan, SQA Accreditation will confirm whether the Action Plan is appropriate to address the Requirements. This will be subject to the actions proving appropriate to the Requirements raised.
- ◆ SQA Accreditation will monitor progress towards completion of the actions identified in the Action Plan.

A Recommendation may be recorded in instances where SQA Accreditation considers there to be scope for improvement. Where these are agreed during centre monitoring, they are recorded on the report for future reference. As Recommendations are recorded for awarding body consideration only, it is not necessary to agree either actions or timescales to resolve these in the awarding body Action Plan.

1.2 Centre monitoring report timeline

SQA Accreditation centre monitoring report date	9 April 2014
Date centre monitoring report and Action Plan to be signed and submitted by Scottish Association of Master Bakers	26 May 2014

1.3 Centre monitoring dates

One centre was monitored on 6 March 2014.

1.4 Overview

As a result of the centre monitoring activities, three Requirements have been raised and one Recommendation has been recorded.

The three Requirements form the basis of the Scottish Association of Master Bakers Action Plan. This must be completed and submitted to SQA Accreditation for agreement within 30 working days of the centre monitoring report being issued. The Action Plan must be submitted by 26 May 2014.

Outcome(s)	Area(s) of concern	Risk rating
Requirement 1	Principles 3 and 6	Medium
Requirement 2	Principles 12 and 17	Medium
Requirement 3	Principle 20	Medium
Recommendation 1	Principle 6	N/A

2 Centre monitoring findings

The following sections detail Requirements raised and Recommendations recorded against SQA Accreditation's *Regulatory Principles (2011)*, Regulatory Principles Directives, the requirements of the clauses within and any conditions attached to the Approved Awarding Body agreement and the Criteria for Accredited Qualifications.

2.1 Areas of good practice

The following area of good practice was noted by centre 1:

- ◆ The Awarding Body's expertise in the field is second to none.

2.2 Requirements

Principle 3: The awarding body must ensure that they employ robust processes to protect their own business interests as well as the interests of their approved centres and learners.

Principle 6: The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.

On the day of the visit, the Accreditation Auditor noted that important guidance documents which are expected to be provided for the benefit of centre and management staff were not available to the centre. In particular, there were no guides to approval and re-approval of both centre and qualifications; registration; and certification. The only guidance available to centres currently is the *Awarding Body Customer Service Statement*, which has very brief notes on processes for centre approval, registration and certification, but this is largely in relation to timeframes as opposed to in-depth centre management guidelines.

The evidence available indicates that Scottish Association of Master Bakers Association does not meet the requirements of Principles 3 and 6. This has been raised as **Requirement 1**.

Principle 12: The awarding body must ensure that assessments are accessible and produce results that are valid, reliable, transparent and fair.

Principle 17: The awarding body must:

- a. **make clear how pass marks and any grade boundaries are determined, or specify the grading scale or the criteria against which learners' performance will be differentiated**
- b. **clearly state the form in which the qualification and/or Unit results will be reported**
- c. **ensure that learners receive accurate and timely results**

The Accreditation Auditor sampled candidate portfolios on the day of the visit — three were reviewed. Of those three it was evidenced that one unit, within the portfolio sampled, had

been assessed by the assessor on 22 November 2013 and subsequently signed off as complete by both the candidate and the assessor. However, an element of the unit (an observation) had not been assessed until 4 January 2014. Therefore, the unit had been signed off prematurely by the assessor and candidate. Moreover, the internal verifier had verified this unit on the 13 February 2014 and had not noticed the discrepancy. The Accreditation Auditor notes that this appears to be an isolated incident. However, still a fundamental oversight.

The evidence available indicates that Scottish Association of Master Bakers does not meet the requirements of Principles 12 and 17. This has been raised as **Requirement 2**.

Principle 20: Where a centre undertakes any part of the delivery of a qualification which an awarding body makes available, the awarding body must keep under review the arrangements put in place by that centre for preventing malpractice and maladministration.

The Accreditation Auditor, on the day of the centre visit, could not find evidence of a maladministration policy or a comparable awarding body policy. However, it was established that the centre had a malpractice policy, though there was no mention of maladministration. Since malpractice and maladministration are distinct and different, the Auditor would have expected to see both referenced.

The evidence available indicates that Scottish Association of Master Bakers does not meet the requirements of Principle 20. This has been raised as **Requirement 3**.

2.3 Recommendations

Principle 6: The awarding body and their approved centres must have the relevant expertise, quality assurance procedures, technological, financial, human resources and other physical resources, to carry out their regulated functions, during the life of the qualifications and Units they offer.

The Accreditation Auditor was presented with the *Centre Sign-Up Pack*, which is given to every candidate upon initial assessment with the Training Advisor. There is no option for the candidate at this point to confirm any reasonable adjustments, nor is there a policy informing candidates of this option. The Accreditation Auditor can confirm that an appropriate centre devised Reasonable Adjustment policy was reviewed during the centre visit. However, it doesn't currently appear in the sign-up pack, which the Accreditation Auditor believes would be an appropriate place for such a policy to appear — particularly from a candidate's perspective.

It was noted by the Accreditation Auditor when reviewing staff Continual Professional Development (CPD) records that various staff records were not up to date. In discussion with the Centre Co-ordinator, it emerged that current CPD was recorded electronically for some and that records would be forwarded to the Accreditation Auditor in due course. However, the centre co-ordinator noted their own CPD was not up to date. Furthermore, the inaccessibility of the staff CPD during the visit was the overriding factor, and it should be available for review to the Qualification Regulator at the time of the visit.

This has been recorded as Recommendation 1.

3 List of documents reviewed during centre monitoring

Document title	Date of issue	Version number
Notes for Guidance 2014 forms Policies and Procedures		
Induction Checklist		
Sub contract Induction Checklist		
Company Learning Agreement		
Data Protection		
Post Start Questionnaire		
IV Observation of an Assessor note for guidance		
Portfolio Control Document		
Senior advisor assurance of assessment note for guidance		
Procedure for recording APL		
Quality policy 2014		
Safeguarding policy		
Disclosure policy		
Candidate complaints and appeals procedure		
Equality and Diversity policy		
Suspected malpractice in assessment policy		
Reasonable adjustment and special considerations policy		
IV policy	Dec 2013	
Training Advisor induction policy		
Site selection checklist		

Minutes of TA meetings	Dec 13 Sep 13 Aug 13	
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4 Risk rating of Requirements

SQA Accreditation assigns a risk rating to each Requirement recorded as a result of awarding body quality assurance activity. The table below illustrates how the rating for a Requirement is assigned. A weighting is applied that depends on the risk identified and the possible impact on qualifications and/or the learner of failure to implement that Requirement.

The assignment of a risk rating allows an awarding body to assign their resources to areas which have been identified as having a major impact on the qualifications and/or the learner. The risk rating also allows SQA Accreditation to assign its resources to support awarding bodies in improving their performance.

Risk	Impact of Requirements identified through quality assurance activity
Very Low	The Requirement has been identified as likely to cause minimal concern and would not threaten the integrity of the qualification or impact adversely on the learner. Any overall effect is likely to be small scale and/or localised, rather than widespread. The identified Requirement is unlikely to recur once resolved and no long lasting damage would be anticipated.
Low	The Requirement has been identified as low impact but is of sufficient importance to merit intervention, with a low threat to the systems or procedures associated with the qualification and/or impact on the learner. Disruption may not just be localised but more widespread and would possibly cause residual damage; however, this could be easily corrected without further consequence.
Medium	The Requirement has been identified as having the potential to damage the credibility of the qualification and/or be detrimental to the learner. There may be some impact to the systems or procedures that support the qualification or the operational effectiveness of the awarding body.
High	The Requirement has been identified as having a potentially high impact on the integrity and reliability of the qualification, or the effective operation of the awarding body as a whole, if corrective action is not quickly taken. There is a high probability that the qualification and/or learner will be negatively affected.
Very High	The Requirement has been identified as having a serious impact on the integrity and reliability of the qualification or the effective operation of the awarding body if corrective action is not immediately taken. There is a very high probability that the qualification and/or learner will be negatively affected.

In assigning a risk rating, each Requirement is considered on its own merit, taking account of the context in which it was identified.



5 Action Plan

A separate document in Microsoft Word has been forwarded with this centre report.

Areas of concern	Requirement	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
Principles 3 and 6	The Awarding Body must ensure that centres are provided with appropriate materials in order to function efficiently as an Awarding Body Centre.	Medium		
Principles 12 and 17	The Awarding Body must ensure centres are carrying out thorough portfolio checks.	Medium		
Principle 20	The Awarding Body must ensure that all centres have key policies in place.	Medium		

Signatures of agreement of action plan

For and on behalf of Scottish Bakers:

Signature

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Date

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For and on behalf of SQA Accreditation:

Signature

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Date

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6 Acceptance of centre monitoring findings

For and on behalf of Scottish Bakers:

Signature

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Designation

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Date

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For and on behalf of SQA Accreditation:

Signature

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Designation

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Date

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