

Audit Report

Scottish Bakers

30 March 2015

Contents

1	Background	1
1.1	Scope	1
1.2	Audit Report and Action Plan Timescales	2
1.3	Summary of Audit Issues and Recommendations	3
1.4	Risk Rating of Issues	5
2	Detail of Audit Issues and Recommendations	6
2.1	Issues	6
2.2	Recommendations	8
3	Acceptance of Audit Findings	12

1 Background

This was the twelfth audit of Scottish Bakers since it was approved as an awarding body by SQA Accreditation in June 1992.

Established in 1891 as the Scottish Association of Master Bakers, Scottish Bakers is a trade association representing and promoting the interests of the bakery trade in Scotland, through the provision of advice, information, assistance and skills development for bakers throughout Scotland.

Scottish Bakers' headquarters are in Halbeath, Dunfermline.

1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This states the type and frequency of our quality assurance activities, describes our reporting procedures and indicates how the awarding body's Quality Enhancement Rating is calculated.

As this was a full audit of Scottish Bakers, all regulatory requirements were included within the scope of the audit. Our quality assurance activities are conducted on a sampling basis and, consequently, not all aspects of the awarding body's systems, procedures and performance have been considered in this report to the same depth.

The audit was designed to ensure Scottish Bakers complies with SQA Accreditation's regulatory requirements namely:

- ◆ *SQA Accreditation's Regulatory Principles (2014)*
- ◆ all *Regulatory Principles Directives*
- ◆ the awarding body's Accreditation Licence

Awarding body documentation considered for review by the Audit Team includes all documents banked on Scottish Bakers' Quickr Place at the time of audit and information supplied to support audit activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

1.2 Audit Report and Action Plan Timescales

Scottish Bakers audit date:	30 March 2015
Audit Report approved by Accreditation Co-ordination Group on:	13 May 2015
Audit Report to be signed by Scottish Bakers:	24 June 2015
Action Plan to be e-mailed to regulation@sqa.org.uk by Scottish Bakers	24 June 2015

The process will apply in relation to the timescales specified above:

- ◆ The awarding body will be sent two signed copies of the Audit Report by post.
- ◆ The awarding body must sign both copies of the Audit Report and return one by post to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be e-mailed a copy of the Audit Report (for information only) and an electronic copy of the Action Plan.
- ◆ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and e-mail this in Microsoft Word format to regulation@sqa.org.uk.
- ◆ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.
- ◆ Following approval by ACG, the awarding body will be sent two signed copies of the approved Action Plan by post.
- ◆ The awarding body must sign both copies of the Action Plan and return one by post to SQA Accreditation.

The findings of this Audit Report and the associated Action Plan will be published on SQA Accreditation's website following signed agreement.

SQA Accreditation will continually monitor progress towards completion of the proposed actions identified in the Action Plan and update the awarding body's Quality Enhancement Rating as appropriate.

1.3 Summary of Audit Issues and Recommendations

An Issue has been recorded where evidence shows that the awarding body is not compliant with SQA Accreditation's regulatory requirements. The awarding body must address the Issues and specify corrective and preventative measures to address them through its Action Plan.

The Action Plan is e-mailed to Scottish Bakers as a separate document to the Audit Report, and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.

As a result of the audit and post-audit activities, four Issues have been recorded and seven Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 4	The <i>Awarding Body Self-Assessment Report Compiled for Scottish Bakers Awarding Body, January 2015</i> , whilst of an acceptable standard, requires some additional information and more obvious links between identified areas for improvement and associated actions.	Low
2. Principle 6	Scottish Bakers must ensure that information provided within a centre list regarding centres and accredited qualifications is both current and appropriate, reflecting only those accredited awards for which the organisation is either solely approved to deliver or is the lead partner in an awarding partnership arrangement.	Low
3. Principle 6	Scottish Bakers must endeavour to resolve the discrepancies in respect of candidate registrations and certifications within documentation to ensure that the information presented to SQA Accreditation is accurate and fit for purpose.	Medium
4. Principle 8	Scottish Bakers was unable to evidence a process for measuring its effectiveness in meeting the stated timescales and response times within the <i>Scottish Bakers (SAMB) Awarding Body Customer Service Statement, June 2014</i> .	Low

A Recommendation has been noted where SQA Accreditation considers there is potential for improvement. The awarding body is advised to address any Recommendations noted as good practice. However, measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 4	As neither the Accreditation nor Regulation teams were aware of recent developments around the updating of the Joint Certification Agreement between Scottish Bakers and SQA Awarding Body, the former may wish to keep either their appointed Accreditation Manager or Regulation Manager up to date with future actions in this area.
2. Principle 5	Scottish Bakers may wish to consider breaking down the <i>Scottish Bakers Centre Guide to Policies & Procedures, May 2014</i> , into smaller and more policy- or procedure-focused sections as a means of ensuring that new centres understand key areas of responsibility.
3. Principle 5	<p>A review of a range of Scottish Bakers documentation noted that two acronyms, SAMB and SBAB, were used interchangeably.</p> <p>The awarding body may wish to review the use of such acronyms as part of any process surrounding version control of documentation to ensure consistency of understanding amongst stakeholders.</p>
4. Principle 6	Scottish Bakers may wish to formalise its process of version control underpinning the ongoing review of the awarding body's policies, procedures and documentation.
5. Principle 11	Scottish Bakers may wish to ensure consistent references to the range of protected characteristics, as defined by the Equality Act (2010), across and within documentation as a means of effectively ensuring that all relevant protected characteristics are reviewed as part of future equal opportunities monitoring.
6. Principle 12 and 13	Scottish Bakers may wish to review and revise all documentation used in respect of complaints and appeals to ensure that it remains consistent, current and fit for purpose.
7. Principle 15	Scottish Bakers may wish to upload a copy of the Unit certificate template to Quickr.

1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded, depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications and/or the learner.

Issues recorded during the audit will count towards Scottish Bakers' Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the SQA

Accreditation website:

http://accreditation.sqa.org.uk/accreditation/Regulation/Quality_Assurance/Quality_Enhancement_Rating

2 Detail of Audit Issues and Recommendations

The following sections detail Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements.

2.1 Issues

Regulatory Principle 4. The awarding body shall continually review the effectiveness of its business services, systems, policies and processes.

The awarding body submitted a self-assessment report titled *Awarding Body Self-Assessment Report Compiled for Scottish Bakers Awarding Body, January 2015*, on 17 December 2014.

Feedback was provided by the Lead Auditor on 3 March 2015. This noted that, whilst of an acceptable standard, the self-assessment report and action plan would benefit from some additional information and more obvious links between identified areas for improvement and associated actions.

For example, the summary of the self-assessment report makes reference to the awarding body's annual cycle for strategic planning and development, which culminates with strategic away days each November.

Outputs from the away days in November 2014 include a risk assessment strategy and SWOT analysis. These documents are the foundation of the awarding body's business plan. As such, the Lead Auditor expected more detailed references to both documents within the self-assessment report itself.

The bulk of the self-assessment appears to constitute some kind of regulatory statement across the 15 Regulatory Principles. The Accountable Officer has added a column against each regulatory principle in respect of areas for improvement. However, a number of the columns are blank for some principles. This might indicate that no improvements are required but it is difficult to ascertain without the relevant contextual information.

Regulatory Principle 4 is a case in point with three pieces of evidence identified, one of which is a Risk Management Policy. This policy was devised as a consequence of an issue raised at the previous awarding body audit held on 23 January 2014.

During the audit, the audit team was able to review a document titled *Scottish Bakers Awarding Body Risk Register Management Summary, v2 March 2015*, which identified three main areas of risk following November's away days. There is an expectation that the three areas of risk would have been identified in some respect under areas for improvement.

In respect of the action plan itself we have a number of identified actions, identified officer with responsibility for the action, but no specified timescales for completion.

This has been recorded as **Issue 1**.

Regulatory Principle 6. The awarding body and its providers shall maintain accurate documents, records and data.

The awarding body's centre list uploaded to Quickr in January 2015 provides incorrect information regarding its accredited qualifications.

The list erroneously provides information on a range of Scottish Vocational Qualifications (SVQs), Professional Development Awards (PDAs), Higher National (HN) Units and Workplace Core Skills Units that are offered as part of the current SQA Awarding Body and Scottish Bakers partnership agreement.

The information regarding these awards should be noted in the centre list provided by SQA Awarding Body only.

The centre list also lacks information in respect of Scottish Bakers' most recently accredited SVQ, the *SVQ 2 in Food and Drink Operations (Automated Plant Bakery Skills) at SCQF Level 5, GJ3M 22*.

Therefore, Scottish Bakers must ensure that information provided within a centre list regarding centres and accredited qualifications is both current and appropriate, reflecting only those accredited awards for which the organisation is either solely approved to deliver or is the lead partner in an awarding partnership arrangement.

This has been recorded as **Issue 2**.

Again in respect of the centre list, the Auditors noted that the statistical information regarding registrations and certifications over the previous 12 months, January 2014 to January 2015, did not match that provided by Scottish Bakers in their quarterly returns to SQA Accreditation for the same period.

For example, in respect of *SVQ 2 in Food and Drink Operations (Craft Bakery Skills) at SCQF Level 5, GG5Y 22*, the quarterly returns stated a total of 47 registered candidates compared to 88 in the centre list. For the same qualification, the quarterly returns indicated a total of 52 candidate certifications compared to 56 in the centre list.

Likewise in respect of the *SVQ 2 in Food and Drink Operations (Food Sales and Service Skills) at SCQF Level 5, GG61 22*, for which the quarterly returns indicate a total of 66 candidate registrations compared to 142 in the centre list. In terms of certifications, the relevant quarterly returns show a total of 171 candidates completing in contrast to 178 as specified in the centre list.

Therefore, Scottish Bakers must endeavour to resolve the discrepancies in respect of candidate registrations and certifications within documentation to ensure that the information presented to SQA Accreditation is accurate and fit for purpose.

This has been recorded as **Issue 3**.

Regulatory Principle 8. The awarding body shall ensure that SQA Accreditation is granted access to all information pertaining to SQA accredited qualifications.

A review of the *Scottish Bakers (SAMB) Awarding Body Customer Service Statement, June 2014*, highlighted a number of concerns around the awarding body's ability to measure the effectiveness of any customer-focused activity.

The statement provides an overview of awarding body activities including centre approval, quality assurance and appeals, as well as customer enquiry response timescales. The statement also outlines different areas of responsibility for both the awarding body and centres in respect of specific activities.

The Auditors sought clarification on how the awarding body was able to measure its effectiveness in meeting the stated timescales and response times. Awarding body representatives indicated that they were unaware of any formal process for doing so at this time.

This has been recorded as **Issue 4**.

2.2 Recommendations

Regulatory Principle 4. The awarding body shall continually review the effectiveness of its business services, systems, policies and processes.

The *Awarding Body Self-Assessment Report Compiled for Scottish Bakers Awarding Body, January 2015*, submitted to SQA Accreditation 17 December 2014, notes that the Joint Certification Agreement with SQA Awarding Body, which it describes as a partnership agreement, is currently under review to ensure that it remains fit for purpose.

Discussions between both awarding bodies extend back before the previous Scottish Bakers audit meeting in January 2014. Therefore, the Auditors were pleased to note that the date of completion for the review was specified in the self-assessment action plan as March 2015.

However, discussions during the current audit revealed that the action had yet to be completed and the date for completion would need to be revised accordingly.

As neither the Accreditation nor Regulation teams were aware of recent developments around the updating of the Joint Certification Agreement, Scottish Bakers may wish to keep either their appointed Accreditation Manager or Regulation Manager up to speed with future actions in this area.

This has been noted as **Recommendation 1**.

Regulatory Principle 5. The awarding body shall provide clear information on its procedures, products and services and ensure that they are accurate and appropriate to SQA accredited qualifications.

Following the awarding body audit of January 2014, Scottish Bakers devised a comprehensive and overarching document titled *Scottish Bakers Centre Guide to Policies & Procedures, May 2014*.

Subject to awarding body review in December 2014, the Auditors were impressed by its all-encompassing nature and content but would suggest that, totalling 224 pages, it may be just too comprehensive for new centres to take on board at approval stage.

Therefore, Scottish Bakers may wish to consider breaking down the guide into smaller and more policy- or procedure-focused sections as a means of ensuring that new centres understand key areas of responsibility.

This has been noted as **Recommendation 2**.

A review of a range of Scottish Bakers documentation noted the use of two acronyms, SAMB and SBAB, interchangeably.

The former acronym is associated with the organisation's previous title of The Scottish Association of Master Bakers. The latter acronym appears to be informal shorthand for Scottish Bakers Awarding Body.

Scottish Bakers may wish to review the use of such acronyms as part of any process surrounding version control of documentation to ensure consistency of understanding amongst stakeholders.

This has been noted as **Recommendation 3**.

Regulatory Principle 6. The awarding body and its providers shall maintain accurate documents, records and data.

Although a review of Scottish Bakers' policies, procedures and documentation showed evidence of ongoing revision and updating, this appeared to be an informal and piecemeal process.

Scottish Bakers may wish to formalise the process of version control to ensure that policies, procedures and documentation remain current, robust and fit for purpose.

This has been noted as **Recommendation 4**.

Regulatory Principle 11. The awarding body shall ensure that its qualifications and their assessment are inclusive and accessible to learners.

Across the range of policies and procedures relating to the equality of opportunity, including the awarding body's *Equality and Diversity Policy, December 2014*, and the *Training Equal Opportunities Policy*, the Auditors were able to see appropriate references to the relevant protected characteristics as defined by the Equality Act (2010).

However, such referencing was not always consistent within or between documentation. For example, in the *Equality and Diversity Policy, December 2014*, the awarding body notes its commitment to providing learning and working opportunities for all, listing the nine protected characteristics as defined within the Equality Act (2010). Unfortunately, it omits certain protected characteristics when describing and acknowledging the reasons that individuals are incorrectly denied equality of access to opportunity.

Within the same policy, there is clear and correct reference to religion or belief as a protected characteristic. However, within the *Training Equal Opportunities Policy* this has become two separate characteristics, religion and political beliefs.

Therefore, Scottish Bakers may wish to ensure consistent references to the range of protected characteristics across and within documentation as a means of effectively ensuring that all relevant protected characteristics are reviewed as part of future equal opportunities monitoring.

This has been noted as **Recommendation 5**.

Regulatory Principle 12. The awarding body and its providers shall have open and transparent systems to manage complaints.

And

Regulatory Principle 13. The awarding body and its providers shall have clear, fair and equitable procedures to manage appeals.

Within the awarding body's *Candidate Complaints/Appeals Procedure*, the Auditors noted a reference to complainants/appellants raising their concerns with the qualification regulator should they be dissatisfied about a decision made by Scottish Bakers. The reference implies that the relevant qualification regulator is defined on geographical grounds: SQA Accreditation in Scotland and Ofqual in England. This statement is not strictly accurate as provision can be offered under the auspices of either qualifications regulator across the United Kingdom.

The Auditors also noted that two versions of the above policy appear to exist. Ostensibly the same policy, one version contains no reference to the Scottish Public Sector Ombudsman (SPSO), whilst the another version, dated October 2014, contains a statement to the effect that complainants/customers of further education colleges can escalate complaints to the SPSO as the final arbiter once all previous stages in the complaints process have been exhausted.

Lastly, both versions of the policy note that any complaint/appeal should be recorded on Form CAP1. On reviewing the form, *Candidate Appeals Procedure Recording Document CAP1, December 2012*, the Auditors noted that the form largely addressed candidate appeals with no significant space given to recording equivalent complaints.

Therefore, Scottish Bakers may wish to review and revise all documentation used in respect of complaints and appeals to ensure that it remains consistent, current and fit for purpose.

This has been noted as **Recommendation 6**.

Regulatory Principle 15. The awarding body and its providers shall have effective, reliable and secure systems for the registration and certification of learners.

The Auditors were provided with a copy of Scottish Bakers' Unit certificate during the audit.

As no issues were identified with the certificate, the awarding body may wish to upload a copy of the certificate template to Quickr.

This has been noted as **Recommendation 7**.

3 Acceptance of Audit Findings

For and on behalf of Scottish Bakers:

For and on behalf of SQA Accreditation:

Print name

Print name

GEORGE BROWN

.....

.....

Signature

Signature

.....

.....

Designation

Designation

HEAD OF ACCREDITATION

.....

.....

Date

Date

13 MAY 2015

.....

.....