



# **Provider Monitoring Report**

**Scottish Bakers**

**31 January 2018**

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# 1 Background

One provider was monitored on 31 January 2018.

## 1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This involves monitoring a sample of the awarding body's approved providers or assessment sites. Provider monitoring visits will be conducted in a consistent manner within and between providers.

The aim of monitoring is to:

- ◆ ensure the awarding body's compliance with SQA Accreditation's regulatory requirements
- ◆ 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 providers
- ◆ ensure that providers are receiving the appropriate guidance, support and documentation from the awarding body in order to facilitate a high standard of qualification delivery
- ◆ inform future audit and monitoring activity for the awarding body

All Principles may be included within the scope of the provider monitoring activity.

Awarding body documentation considered for review includes all documents banked on the awarding body's SharePoint Place at the time of provider monitoring and information supplied by providers to support provider monitoring activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

SQA Accreditation provider monitoring reports are written by exception focusing only on those areas where corrective action is required or recommended. Consequently, this approach to provider monitoring reporting will not detail areas where compliance or good practice was identified by SQA Accreditation.

## 1.2 Provider Monitoring Report Timescales

Scottish Bakers provider monitoring date:	31 January 2018
Provider Monitoring Report approved by	
Accreditation Co-ordination Group on:	21 February 2018
Provider Monitoring Report to be signed by Scottish Bakers:	07 April 2018
Action Plan to be e-mailed to <a href="mailto:regulation@sqa.org.uk">regulation@sqa.org.uk</a> by Scottish Bakers	07 April 2018

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

- ◆ The awarding body will be sent two signed copies of the Provider Monitoring Report by post.
- ◆ The awarding body must sign both copies of the Provider Monitoring 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 Provider Monitoring 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](mailto: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 Provider Monitoring 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 Provider Monitoring 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 Provider Monitoring Report and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.

As a result of the provider monitoring activity, three Issues have been recorded and no Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 6	The policies and procedures at the provider showed no evidence of version control.	Low
2. Principle 8	The provider's 'Data and Records Management Policy' does not sufficiently reference SQA Accreditation's right to request data in order to fulfil its regulatory functions.	Low
3. Principle 12	The provider's complaints procedure did not adequately reference SQA Accreditation.	Low

## 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 provider monitoring will count towards Scottish Baker's 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: the [SQA Accreditation website](#).

## 2 Issues and Recommendations

The following sections detail:

- ◆ Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements

### 2.2 Issues

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

On the day of the visit, the provider supplied a number of policies that had been collected into one document, which was dated January 2018. The provider also stated that these policies were reviewed on an annual basis in line with the 'Scottish Bakers Awarding Body Quality Cycle' but did not provide any evidence to support this.

There was no evidence of version control or deadlines for future review for any of the individual policies. As such there is no clear way to distinguish between more recent and previous versions of these policies within the document.

The awarding body should ensure that its providers not only produce and review their policies and procedures but also have processes in place to evidence this.

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

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

The Accreditation Auditor noted that the provider's 'Data and Records Management Policy' lists third parties with whom they may share candidate data. The document states that 'These parties are the relevant funding body and awarding organisation'. The policy makes no reference to SQA Accreditation's right to request data in order to fulfil its regulatory functions.

The supplementary information for Principle 8 states 'The awarding body must also make all providers, delivering accredited qualifications, aware of SQA Accreditation's right of access.'

The awarding body must make its providers aware of SQA Accreditation's right to request candidate data and should also make sure that its providers make candidates aware of this.

This has been recorded as **Issue 2**

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

The provider's complaints procedure makes no mention of escalation to SQA Accreditation.

The supplementary information for principle 12 states 'Awarding body personnel, providers and learners must be made aware of how and when they can complain to SQA Accreditation and where appropriate the Scottish Public Services Ombudsman (SPSO)'.

The awarding body must ensure that its providers make candidates aware of how and when they can escalate complaints.

This has been recorded as **Issue 3**

## 2.3 Recommendations

There were no recommendations.

### 3 Acceptance of Provider Monitoring Findings

For and on behalf of Scottish Bakers:

For and on behalf of SQA Accreditation:

**Print name**

**Print name**

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**Signature**

**Signature**

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