

# Operational Guide for Colleges 2004/2005

August 2004

£15.00

Publication code: FA1601

ISBN 1 85969 490 X

Alternative versions of this guide are available for schools (FA1599) and for employers and training providers (FA1602).

Published by the Scottish Qualifications Authority  
Hanover House, 24 Douglas Street, Glasgow G2 7NQ, and Ironmills Road,  
Dalkeith, Midlothian EH22 1LE

*The information in this publication may be reproduced in support of SQA qualifications. If it is reproduced, SQA should be clearly acknowledged as the source. If it is to be used for any other purpose, then written permission must be obtained from the Publications Team, Customer Relations at SQA. It must not be reproduced for trade or commercial purposes.*

© Scottish Qualifications Authority 2004



# Contents

## Introduction

- 1 Contact details for main procedures**
- 2 Your Customer Account Manager**
- 3 Data protection**
- 4 Provision of catalogues, approval files and reference data**
- 5 How to submit data to SQA**
- 6 Candidate registration creation and registration update**
  - 6.1 General
  - 6.2 Registration of candidates
  - 6.3 How to submit registration details to us
  - 6.4 Scottish Candidate Number
  - 6.5 Changes to a candidate's personal details after initial registration
  - 6.6 What we do with the information you send us
- 7 Forms directory**
  - 7.1 Registration
  - 7.2 Entry
  - 7.3 Unit Results
  - 7.4 Standard Grade
  - 7.5 National Courses
  - 7.6 Assessment arrangements for candidates with additional support needs
  - 7.7 Appeals
  - 7.8 Absentees
- 8 Awards reporting**
  - 8.1 Scottish Qualifications Certificate (SQC)
    - 8.1.a Timescales
  - 8.2 Statement of Certificated Results
  - 8.3 Changes to results after issue
  - 8.4 Replacement certificates
  - 8.5 Statistical information
- 9 Core Skills**
  - 9.1 What are Core Skills?
- 10 Scottish Credit and Qualifications Framework (SCQF)**

## National Qualifications

- 11 The route to certification for National Courses**
- 12 Candidate Entries**
  - 12.1 General
  - 12.2 Age and Stage Regulations
  - 12.3 How to submit candidate entries to us
  - 12.4 Target dates
  - 12.5 What information to supply to SQA
  - 12.6 Completion dates
  - 12.7 Late entries
  - 12.8 Changing a candidate's completion date
  - 12.9 Changing a candidate's Course/Unit level
  - 12.10 Withdrawing a candidate's Course/Unit entry
  - 12.11 Entry charges
  - 12.12 Duplicate entries — how we will deal with them
  - 12.13 Partnership arrangements between schools and colleges
  - 12.14 Candidates sitting examinations at another approved centre or venue
  - 12.15 What we do with the information you send us
  - 12.16 What to do if you are notified of errors
  - 12.17 Entering for a National Course and contributing Units

- 13 Assessment arrangements for candidates with additional support needs**
- 14 Submission of Unit Results**
  - 14.1 Unit completion dates and results
  - 14.2 How to submit Unit results
  - 14.3 Final results
  - 14.4 Changing a candidate's Unit level
  - 14.5 Target dates
  - 14.6 What we do with the information you send us
  - 14.7 What to do if you are notified of errors
  - 14.8 Incomplete candidate profiles for National Courses
  - 14.9 Project-based National Courses and Scottish Group Awards
  - 14.10 National Clusters
  - 14.11 Free-standing Units
- 15 Submission of Estimates**
  - 15.1 General
  - 15.2 Standard Grade
  - 15.3 National Courses
  - 15.4 Changing an estimate
  - 15.5 Invalid or missing estimates
- 16 Submission of internal assessment marks/grades**
  - 16.1 General
  - 16.2 Standard Grade
  - 16.3 National Courses
- 17 Submission of coursework**
  - 17.1 General
  - 17.2 Uplift of coursework
- 18 External moderation**
  - 18.1 Selection for moderation
  - 18.2 Retaining evidence
  - 18.3 After the moderation visit
  - 18.4 External Verification of SVQs
    - 18.4a Selection for verification
    - 18.4b Retaining evidence
    - 18.4c After the verification visit
- 19 Absentee candidates**
- 20 How SQA deals with cases of missing scripts**
- 21 Assessment appeals**
- 22 Scottish Group Awards**
- 23 Project-based National Courses**
  - 23.1 The PBNC cycles
    - 23.1.a Candidate registration
    - 23.1.b Entries
    - 23.1.c Key Dates 2004/05
    - 23.1.d Submission of Unit results
    - 23.1.e Submission of estimates
  - 23.2 Awards reporting
  - 23.3 Appeals

## **Higher National Qualifications**

- 24 The Route to Certification for Higher National Qualifications**
- 25 Candidate entry for Higher National Qualifications**
  - 25.1 How to enter candidates for Higher National Qualifications
  - 25.2 How to submit candidate entries to us
  - 25.3 Higher National Qualifications — what information to supply
  - 25.4 Free-standing Units
  - 25.5 Duplicate entries — how we deal with them
  - 25.6 Changing level of entry

- 25.7 What we do with the information you send us
- 25.8 Checks and error reports
- 26 Assessment arrangements for candidates with additional support needs**
- 27 Submission of Higher National Unit Results**
  - 27.1 General
  - 27.2 Completion dates and results
  - 27.3 Withdrawing from Group Awards/Units
  - 27.4 Results submission deadline
- 28 The Higher National Qualifications Review**

## **Scottish Vocational Qualifications**

- 29 The Route to Certification for Scottish Vocational Qualifications**
- 30 Candidate entry for Scottish Vocational Qualifications**
  - 30.1 Entering candidates for Scottish Vocational Qualifications
  - 30.2 How to submit candidate entries to us
  - 30.3 SVQs — what information to supply
  - 30.4 Completion dates
  - 30.5 Free-standing Units
  - 30.6 Duplicate information — how we will deal with it
  - 30.7 What we do with the information you send us
  - 30.8 Checks and error reports
- 31 Assessment arrangements for candidates with additional support needs**
- 32 Candidate results for Scottish Vocational Qualifications**
  - 32.1 Submission of Unit Results
  - 32.2 Completion dates and results
    - 32.2.a Withdrawing from SVQs/Units

**Appendix 1: Further guidance**

**Appendix 2: National Qualifications — Calendar of key dates for colleges 2004/05**

**Appendix 3: Subject-specific submission deadlines**



# Introduction

This *Operational Guide for Colleges* (FA1601, August 2004) is divided into sections for ease of reference. This also allows updates to be inserted as each section is replaced — the header on each page includes a reference to the version number and the date of issue. Whenever we find it necessary to send you an update for one or more sections, we will also supply a revised contents page. This will include a reference to the current version of each section, and should help you to ensure that your copy is up to date. As a further check, an up-to-date copy will also be available for download from our website ([www.sqa.org.uk](http://www.sqa.org.uk)).

The guide is for staff in centres, particularly SQA Co-ordinators, to help them understand the interaction between centres and SQA. As well as key dates and timescales, it also identifies the responsibilities of both the centre and SQA.

The guide has separate sections on National Qualifications, Higher National Qualifications and Scottish Vocational Qualifications. There are points covered in the National Qualifications section — External Moderation, Forms Directory and Awards Reporting — which also apply to the other qualification blocks.

We wish to offer as much flexibility as possible. However, in the National Qualifications system, with its fixed certification dates and processing requirements, flexibility has to be balanced against what is achievable. To ensure that such a large and complex process works smoothly, establishing some key dates is essential. A calendar of these key dates has already been issued for 2004/05, and is attached as an appendix.

You are free to make copies of this document. As stated above, copies can be downloaded from our website at any time.

We would appreciate feedback from you on the content of this guide. This will be taken into account when we prepare future updates. If you have any comments or suggestions please contact John Brodie by:

- ◆ telephone (0141-242 2462)
- ◆ e-mail ([john.brodie@sqa.org.uk](mailto:john.brodie@sqa.org.uk))
- ◆ writing to the Scottish Qualifications Authority, Hanover House, 24 Douglas Street, Glasgow G2 7NQ

***Note: If you use one of the various software systems to exchange data with SQA, you should refer to instructions and manuals provided by your supplier in conjunction with this guide. In particular, you should refer to instructions on amending data, as the approach can vary depending on the system being used. While our processing teams will always be happy to help you with your operating queries, please in the first instance contact your MIS software supplier's helpline for technical enquiries about data submissions.***



# 1 Contact details for main procedures

The main point of contact for colleges for data management issues will be our Data Solutions Team. You can establish your college's contact details from the list below.

**East Team**

Fife, Borders, Lothian & Edinburgh, Forth Valley, Lanarkshire

data.solutions.es@sqa.org.uk

0141-242 2138 / 2134 / 2270

**North Team**

Highlands & Islands, Grampian, Tayside

data.solutions.ns@sqa.org.uk

0141-242 2141 / 2139

**West Team**

Glasgow, Dunbartonshire, Inverclyde, Dumfries & Galloway, Ayrshire, Renfrewshire

data.solutions.wcs@sqa.org.uk

0141-242 2143 / 2096 / 2097

You might also find these contact details helpful:

<b>Procedure</b>	<b>Telephone</b>	<b>E-mail</b>
College Data Processing	0141-242 2265	<a href="mailto:college.data.processing@sqa.org.uk">college.data.processing@sqa.org.uk</a>
Customer Account Managers (to obtain details of your local contact)	0141-242 2159	<a href="mailto:susan.jeffrey@sqa.org.uk">susan.jeffrey@sqa.org.uk</a>
SQA Customer Contact Centre	0845 279 1000	<a href="mailto:customer@sqa.org.uk">customer@sqa.org.uk</a>
Data Protection	0141-242 2218	<a href="mailto:data.protection@sqa.org.uk">data.protection@sqa.org.uk</a>
Approval issues (both centre and qualification)	0141-242 2122	<a href="mailto:linda.kirk@sqa.org.uk">linda.kirk@sqa.org.uk</a>
Submission of Estimates (National Courses)	0131-561 6955	<a href="mailto:national.qualifications@sqa.org.uk">national.qualifications@sqa.org.uk</a>
Submission of internal assessment marks (National Courses)	0131-561 6955	<a href="mailto:national.qualifications@sqa.org.uk">national.qualifications@sqa.org.uk</a>
Invigilation arrangements	0131-561 6860	<a href="mailto:moira.young@sqa.org.uk">moira.young@sqa.org.uk</a>
Question Paper supplies	0131-561 6815	<a href="mailto:clare.hickson@sqa.org.uk">clare.hickson@sqa.org.uk</a>
Stationery supplies	0131-561 6860	<a href="mailto:marie.cosgrove@sqa.org.uk">marie.cosgrove@sqa.org.uk</a>
Forms Ex6 (Attendance Registers)	0131-561 6860	<a href="mailto:liz.beavon@sqa.org.uk">liz.beavon@sqa.org.uk</a>
Awards Reporting	0141-242 2335	<a href="mailto:esocr@sqa.org.uk">esocr@sqa.org.uk</a>
Assessment Arrangements (SEN, ESL, Absentee Candidates etc)	0131-561 6733	<a href="mailto:ellen.aitken@sqa.org.uk">ellen.aitken@sqa.org.uk</a>
Assessment Appeals	0131-561 6758	<a href="mailto:carole.forrest@sqa.org.uk">carole.forrest@sqa.org.uk</a>
Replacement Certificates	0141-242 2417	<a href="mailto:certification@sqa.org.uk">certification@sqa.org.uk</a>
Examination timetable	0131-561 6860	<a href="mailto:heather.wilson@sqa.org.uk">heather.wilson@sqa.org.uk</a>
Moderation	0141-242 2396	<a href="mailto:ellen.flynn@sqa.org.uk">ellen.flynn@sqa.org.uk</a>
Project-based National Courses (results processing)	0131-561 6873	<a href="mailto:national.qualifications@sqa.org.uk">national.qualifications@sqa.org.uk</a>
Project-based National Courses (visiting assessment arrangements)	0131-561 6888	<a href="mailto:anna.greig@sqa.org.uk">anna.greig@sqa.org.uk</a>
Project-based National Courses (external marking)	0131-561 6922	<a href="mailto:angela.russell@sqa.org.uk">angela.russell@sqa.org.uk</a>
Scottish Group Awards	0141-242 2315	<a href="mailto:mary.mcarthur@sqa.org.uk">mary.mcarthur@sqa.org.uk</a>
Core Skills	0141-242 2319	<a href="mailto:margaret.tierney@sqa.org.uk">margaret.tierney@sqa.org.uk</a>
Scottish Credit and Qualifications Framework	0141-242 2268	<a href="mailto:dave.adams@sqa.org.uk">dave.adams@sqa.org.uk</a>

## 2 Your Customer Account Manager

SQA has a team of Customer Account Managers who look after colleges on a geographical basis. Every college has a dedicated Customer Account Manager. Their job is to:

- ◆ act as the first point of contact for enquiries from colleges and education authorities about all SQA qualifications, policies and operational procedures
- ◆ work with colleges to increase their staff's knowledge and understanding of SQA and our qualifications
- ◆ provide advice and support on all qualifications that are relevant to the needs of colleges
- ◆ put colleges in contact with specialist SQA staff and services
- ◆ pass on feedback to colleagues in SQA as appropriate

You may find it helpful to record the details of your own Customer Account Manager below for easy reference.

Customer Account Manager	_____
Contact telephone number	_____
Mobile	_____
Fax	0141-242 2244
E-mail	_____@sqa.org.uk
Administration Team	0141-242 2159



## 3 Data protection



It is essential that we collect personal information about candidates — for example, we need names to print on certificates, addresses to post the certificates to, and dates of birth for distinguishing between candidates with similar names. We also hold details of candidates' achievements so that we can issue certificates. Candidates undertaking any SQA qualifications must, via the centre, supply these personal details to us.

Access to this information is strictly controlled, but we share it within the education and training community when this is appropriate. For example, colleges get details of their candidates' examination results, and we supply details of the achievements of university applicants to UCAS. We also supply the Scottish Executive with data for statistical analysis and we release data for official surveys.

We do not provide information to organisations involved in direct marketing or similar ventures.

We are registered with the Information Commissioner, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF. Our Registration Number is Z5781759 and the information can be viewed on [www.dataprotection.gov.uk](http://www.dataprotection.gov.uk) along with other information about data protection.

We abide by the eight Data Protection principles, and we require that all those who supply or use data also adhere to these principles.

We expect centres to take care both in the collection of data for transmission to SQA and in the dissemination of data from SQA. We offer the following guidance:

- ◆ Candidates should be aware that their personal details are being given to us. This is particularly important where candidates themselves are not completing SQA paper forms. In many cases, the information is supplied from your computer systems and candidates may not be aware that their details are being passed on.
- ◆ You should exercise care when releasing personal information supplied by us. We intend this information for your centre's internal use only. Information your centre has obtained from SQA must not be used for marketing purposes or any other purpose which could be reasonably objected to by a candidate.
- ◆ Your centre should be appropriately registered with the Information Commissioner.

Candidates have a right of access to the data we hold about them. In general, parents and others do not have right of access under the Data Protection Act, so all applications must come from the candidate. An application form is attached.

Some of the information SQA gathers is held indefinitely, for example the final results for Units, Courses and Group Awards. There is also some information

which is held on a temporary basis. This relates mainly to the marks for individual examination papers, which are normally destroyed after the end of the appeals process, when the examination scripts are also destroyed.

Under the Data Protection Act, all access requests should be responded to within 40 days. However, this requirement does not apply if it would require us to release examination results before the normal publication date. In such cases the request will be actioned after the examination results have been published.

We charge £10.00 for providing details following a subject access request.



## Scottish Qualifications Authority

### Request for access to personal information

1 Complete the following sections

<b>Full Name</b>	
<b>Address</b>	
<b>Street</b>	
<b>Town/City</b>	
<b>Postcode</b>	
<b>Date of Birth</b>	
<b>Scottish Candidate Number</b>	

*I request access to my records under the terms of the Data Protection Act (1998)*

Signed:

Date:

2 Enclose a cheque for £10.00, payable to SQA.

3 Return to:

Data Protection Officer  
 Scottish Qualifications Authority  
 Hanover House  
 24 Douglas Street  
 GLASGOW  
 G2 7NQ



## 4 Provision of catalogues, approval files and reference data

The *Catalogue of National Qualifications* (BA0788, June 2004) is issued annually — usually in March or April — for the forthcoming session. The catalogue lists titles and codes for all current National Qualifications: Courses, Clusters, Standard Grades, Scottish Group Awards and free-standing National Units. It also includes information relating to the credit values of Units, the Moderation Groups that Units are allocated to, and Superclass categories.

A report is distributed with the catalogue, providing information about Units that are new or have been revised since the previous edition of the catalogue. The report also includes information about the approval implications for new or revised Units. All Course arrangements documents, Unit specifications and Scottish Group Award specifications, are contained on the CD-ROM *National Qualifications Session 2004/2005* (BA1351, June 2004), which is issued a few weeks after the catalogue. The documents also appear on the SQA's website ([www.sqa.org.uk](http://www.sqa.org.uk)).

The handbook *Conditions and Arrangements for National Qualifications 2004/2005* (BA0828, to be issued September 2004) is also updated and re-issued annually. The handbook provides a general overview of conditions, arrangements and procedures under which SQA carries out its functions in awarding National Qualifications and includes a summary of the arrangements for each National Qualification. You should refer to the *National Qualifications Session 2004/2005* CD-ROM for full details of Course arrangements.

The *Catalogue of Higher National Units Sessions 2003/04* (CA0380, March 2004) is also issued annually, together with a CD-ROM containing the specifications for current nationally-developed Higher National Units and Graded Units. Paper copies of locally-devised Higher National Unit specifications are available from SQA's Customer Contact Centre. SQA's website has a searchable catalogue of Higher National Units: [www.sqa.org.uk](http://www.sqa.org.uk).

For centres which deliver Scottish Vocational Qualifications (SVQs), an SVQ Update is published quarterly. This document gives information about new and re-accredited SVQs. It also provides details of any SVQs which have been deleted or withdrawn. An Information Sheet is also provided for every SVQ accredited. Each information sheet includes details of the Group Award number, Unit titles and codes.

Each session, your college will receive an individual file of the qualifications (Courses/Clusters/Group Awards/Units) that you are currently approved to offer. The file will list:

- ◆ product type, (eg HN — Higher National)
- ◆ qualifications code (eg G6MJ)
- ◆ qualification level (eg 15)

- ◆ title (eg 3D Computer Animation)
- ◆ finish date (if applicable)
- ◆ credit value
- ◆ superclass (2 alpha-digit code — Units only)
- ◆ moderation group of each qualification
- ◆ SCQF level
- ◆ SCQF points

You will receive an additional two files — one listing all Moderation Groups and the other listing all the Units which have been replaced by another, eg a Unit which was previously unlevelled (04) has now been levelled (eg 33, 34, 35). These files will be e-mailed to your MIS contact. A covering letter explaining the content and file format will also be attached.

Your updated file should be loaded into your college's Management Information System (MIS). If you experience any difficulties in doing this, you should contact your software supplier who will be able to provide guidance and support.

Your Approval file should be used to help you identify what your college is approved to offer for the current session — the file will only contain 'Live' qualifications. It will also enable your college to send entries and results electronically. If your college does not have devolved authority for approval, contact our Approval section for details about how to gain approval for any additional qualifications your college wishes to offer.

Approval files will usually be issued before the start of each session. It is your responsibility to update your Approval file on your MIS when you become approved to offer additional qualifications. Notification of approval will come from our Approval Section (for colleges which don't have devolvable approval). Our Reference Data and Validation Section will notify colleges with devolved authority for approval when we have updated your approval record on our system. For guidance on how to update your MIS you should contact your Software Supplier.

A complete electronic copy of reference data will be sent to each Software Supplier. This is essentially an 'electronic catalogue' of all our qualifications which have not yet lapsed (ie for which we will still accept entries). If you want to be approved for any of the qualifications in this catalogue and you do not have devolved authority for approval, or the qualification is 'non-devolvable', you must follow our approval procedures.

## 5 How to submit data to SQA

SQA can accept the majority of data submissions in an electronic format or on paper forms — where the option is available, we positively encourage electronic submissions. Colleges will normally be compiling data for submission to us using a Management Information System (MIS) provided by one of the major software suppliers. We will accept data from any such source, provided it is compiled in accordance with our file format requirements. There are details of these requirements in the booklet *File Formats for the Exchange of Data between SQA and Centres* (December 1999) which is available from SQA's Customer Contact Centre (telephone 0845 279 1000). A new Guide to Data Exchange is in preparation and will supersede the File Formats document.

Please bear in mind that SQA cannot answer any questions relating to your own MIS, and these should be directed towards your software supplier.

Once an electronic file has been compiled for submission to SQA, it can be sent to us:

- ◆ by File Transfer (using SQA.net)

Note that once your college has opted to submit data to us electronically we will assume that, where the option is available, all data will be sent to us in this format. We will not, for example, issue paper Unit results forms to colleges which are intending to submit their results in an electronic file.

Colleges choosing to submit data on paper forms should do so on the approved forms.

- ◆ as an e-mail attachment (send to: **college.data.processing@sqa.org.uk**)
- ◆ by fax to 0141-242 2244 (marked for the attention of College Data Processing)
- ◆ in writing to College Data Processing, Scottish Qualifications Authority, Hanover House, 24 Douglas Street, Glasgow, G2 7NQ

You can contact College Data Processing by telephone on 0141-242 2265 or by e-mail to: **college.data.processing@sqa.org.uk**.

### **SQA.net**

SQA.net is an online service provided by the Scottish Qualifications Authority which allows centres to access information held by SQA on, for example, approved groupings and Units for your centre, group frameworks, and candidates' SCNs, achievements and entry status.

It also allows you to send Registrations, entries and results via the site, which is entered directly on to the system.

The site will continue to develop, and we will notify you of any changes as and when they occur.



# 6 Candidate registration creation and registration update

## 6.1 General

Registration, for any individual, is a once-only process in which SQA is provided with the Scottish Candidate Number (SCN) and personal details of prospective candidates who have not previously been registered. Candidates must be registered before being entered for any SQA qualifications. Most candidates will be registered by secondary schools in S3 or S4.

When we receive the registration details, a unique record is created on our system. This will hold details of the candidate's SQA achievements for life. It is, therefore, very important that the details for any candidate are not duplicated through two or more SCNs being assigned to the same individual.

You can submit data to us either on the authorised paper forms or electronically. Please note that once your centre has opted to submit data to us electronically, we will not automatically supply you with paper forms. If you do not use the approved form or file format your submission will be rejected and returned.

It is a shared responsibility between SQA and centres to ensure that candidates are registered properly, and that the correct personal details are held against their SCN. Following this procedure ensures that candidates obtain the benefit of the Scottish Qualifications Certificate, which is a single record of all SQA qualifications achieved over time by the candidate.

Where you find that a candidate has more than one SCN, we should be informed immediately. The SCNs will then be merged so that all the candidate's achievements are held on a single record.

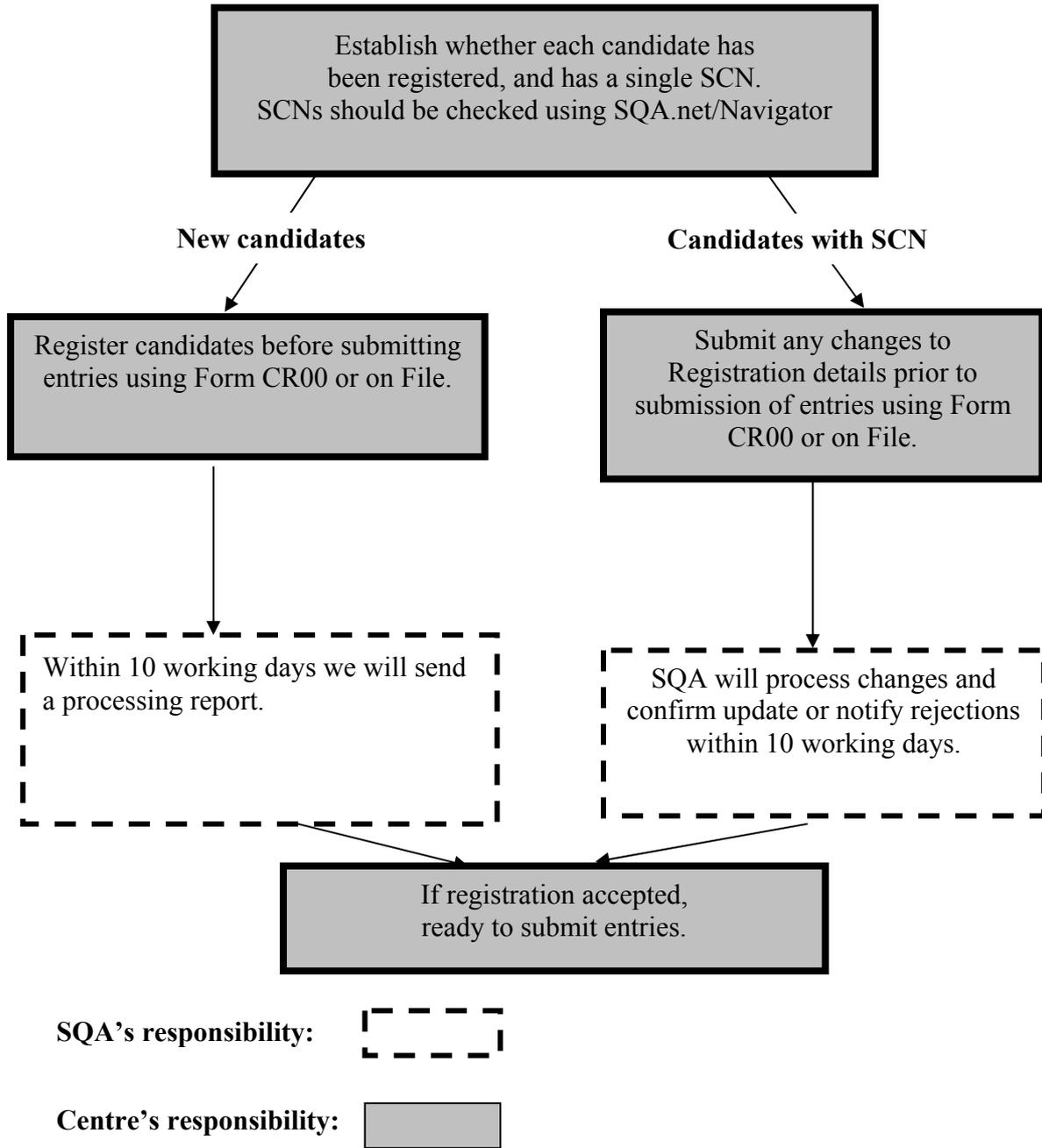
It is your responsibility to ensure that duplicate registrations do not arise in the first place.

Please note that our system will automatically reject entries for candidates who have not been registered.

***To prevent duplicate registrations being created or updated, SQA will reject a new registration where the surname, first initial, gender and date of birth match an existing record, unless the new registration is flagged for 'process by exception'. Your MIS supplier will be able to provide further details.***

***If a new registration or registration update is flagged for 'process by exception' but does not match the surname, first initial, gender and date of birth of an existing record, it will be rejected as the 'process by exception' was unnecessary.***

## 6.2 Registration of candidates



## 6.3 How to submit registration details to us

Registrations, and updates to candidates' personal details, can be submitted either electronically (using the approved file formats) or on the paper form provided. The Candidate Registration/Update Form (CR00) can be used either for new registrations or to update a candidate's record, and should be sent to Data Management — College Data Processing.

Details about electronic submission of data are contained in the Guide to Data Exchange.

If you do not use the approved paper forms or electronic file format for registrations, your registration data will be rejected.

All registrations will be subjected to a number of validation checks to ensure that they conform to rules we have put in place. If any submission fails these checks, an **error report** highlighting the reason for the rejection will be produced and issued to you for resolution. All data errors are identified by error codes. If you receive an error report, you must review the cases highlighted and re-submit the information for the candidate(s) concerned. We will then process this updated information on receipt, subjecting it to the same checks as the original submission.

The following are some points to remember when submitting your registration:

- ◆ the postcode field is for UK or British Forces (BFPO) postcodes only — other codes (eg zip codes) should be in address lines 1–4
- ◆ the country field is only to be used for valid country names — as listed in the SQA list based on ISO standard 3116-1
- ◆ one of either the postcode or country code must be completed, but not both (except for overseas BFPO addresses).

It is important that you check the data held in both the name and address fields for accuracy.

Please Note: The record created belongs to the candidate and the candidate's personal address should be submitted. SQA now have agreements in place with Scottish Enterprise and Highland & Islands Enterprise regarding evidence requirements.

## 6.4 Scottish Candidate Number

Each candidate being entered for SQA qualifications must be registered with us and allocated a nine-digit Scottish Candidate Number (SCN). Centres will normally allocate this number from a block of numbers which we have supplied. Centres requiring additional blocks of numbers of SCNs should contact **scn.allocation@sqa.org.uk** or telephone 0131-561 6955. As we have already said, most candidates will be registered by schools in S3 or S4.

**No candidate should be allocated more than one SCN.**

When a new candidate comes to your centre there are a number of ways you can check to see whether he or she has already been registered with SQA:

- ◆ ask the candidate
- ◆ check references on certificates previously issued by SQA (and by SCOTVEC since 1984 and by SEB since 1995)

Within SQA, all of a candidate's achievements should be held in a single record under his or her SCN and should, therefore, appear on a single Scottish Qualifications Certificate. It follows that candidates with more than one SCN will have more than one record, each holding only those awards gained under that SCN. In extreme cases, achievements for components of the same Course or Group Award may be held under different SCNs, which would prevent full certification.

## 6.5 Changes to a candidate's personal details after initial registration

It is possible that some of the information about candidates which was provided to us on initial registration, will change over time. The information most likely to change is the candidate's address. To ensure that certificates are posted to the candidate's correct address, you should notify us of any change of address as soon as they come to your notice.

If you are submitting significant changes to a candidate's details (eg name) you must carry out appropriate checks by asking the candidate to provide written notification, including the relevant legal documentation to support the requested change, eg birth certificate, adoption papers, marriage certificate, divorce papers.

You can submit changes for names either electronically or by using the appropriate form — **Candidate Registration/Update Form (CR00)**.

It is SQA's policy that candidates will be issued with certificates showing the name under which they were registered when they took the qualification. Name change requests post-certification are discouraged.

For minor misspellings, candidates will be asked to return their certificate to SQA and an amended replacement certificate will be produced and despatched free of charge. If a candidate returns a certificate to us with an indication that their name is incorrect and that this is something you had known about but had not conveyed to SQA, we will seek confirmation of the name change from you before re-issuing a certificate. Under these circumstances SQA will also seek your agreement that your centre will pay the fee of £23.75 for amending and issuing the replacement certificate.

## 6.6 What we do with the information you send us

After processing, reports will be sent back to you within 10 working days. These will confirm the number of registrations received, the number successfully created, and the number rejected (if any). We will also provide a detailed report confirming the registrations which have been successfully processed so that you have a record of exactly what is held on our database for these candidates. It is important to check this information against your own records to ensure that this is accurate and that the information we hold is accurate.

***If we do not hear from you within 10 working days of the date of issue of this confirmation report, we will assume that you have no queries regarding the registration data we hold and that it is complete and accurate.***

Errors will be generated if you try to make entries for candidates before they are registered. It is advisable to wait until you have received the confirmation report of registration before submitting entry data for candidates.

Registration updates are made in the same way as initial registration submissions. If you use paper forms to submit registrations and wish to make subsequent changes to that information, complete and submit the Candidate Registration/Update Form CR00.



# 7 Forms directory

In this section we have listed the forms which can be used by centres to submit candidate registrations; entries; Unit and Graded Unit results; estimates; and internal assessment marks or grades. Also listed are attendance registers; flyleaves to accompany coursework submissions; the alternative centre form; forms to submit appeals; and requests for assessment arrangements.

## 7.1 Registration

### Candidate Registration/Update Form CR00

This form is used to register candidates with SQA and can also be used to update any registration details that we already hold on our system. Centres submitting data electronically should continue to send the registrations by this method and should not use this form.

When using this form, it is important that the appropriate box is ticked at the top to show whether the information being submitted is a new registration or an update.

### Candidate Registration/Entry Creation Form CRE01

If you are using this combined Form, it is important that you tick the appropriate box at the top of the form to identify whether the form is being used to:

- ◆ register and enter a new candidate
- ◆ enter an existing candidate
- ◆ update a candidate's registration details

## 7.2 Entry

### Entry Creation Form EC01

This form is used to enter either a group of up to 24 candidates or an individual candidate in Courses, Units, Graded Units, Clusters or Group Awards. If you are entering a group of candidates, the group must have a common completion date for the qualification.

If the form is used by a centre which usually submits information to us electronically, the centre's MIS may not reflect the information given on the form. If this is the case, the Unit results will have to be submitted on a Unit results form.

### Entry Creation Form — Process by Exception Form EC02

This form is used to advise us of candidates taking National Courses or Units at two levels within the same session, **where the product code is the same at both levels.**

For example if a candidate has already been entered for an Intermediate 2 Unit in Communication (D01B 11) an additional entry for Communication (D01B 12) can be submitted using this form. If the normal entry procedure is used the second entry will be rejected as a duplicate.

### **Entry Update By Candidate — Level Change/Completion Date Change/Withdrawal Form EU00**

This form is used to make updates to completion dates, change the level of an entry that we already hold on our system or withdraw an entry for an individual candidate.

### **Entry Update By Group — Level Change/Completion Date Change/Withdrawal Form EU01**

This form is used to make updates to completion dates, change the level of an entry that we already hold on our system or withdraw an entry for a group of candidates.

### **External Examination — Alternative Centre Form SA00**

This form is more commonly known as the ‘sitting at’ form. It is used to let us know when a candidate is entered by one centre, but wishes to sit the examination at another SQA approved centre and enables us to send question papers to the ‘sitting at’ centre for the candidate.

A separate form must be completed for each subject the candidate intends to sit at the alternative centre.

The presenting centre must complete and sign the form, and should liaise with the ‘sitting at’ centre prior to submitting the form to Data Management — National Qualifications.

Note: A ‘sitting at’ centre is distinct from an ‘alternative venue’ (see 12.14).

## **7.3 Unit Results**

### **Unit Results by Unit Form URU01**

This pre-printed form, will be sent to you one month before the completion dates of National Units and one month after entry processing for Higher National and SVQ Units. You should check the details of the candidates against your own records to ensure that all the correct names appear on the form.

If any candidates are missing please complete an Entry Update — Unit Results Form UR00/UR01 and submit the Unit entry on an Entry Creation Form EC01.

### **Unit Results by Candidate Form URC01**

This form is normally used by smaller centres who have specified that they wish to result their candidates in this manner. All the Units for which the candidate has

been entered must have the same completion date. The form will normally be sent to the centre one month before the completion date of National Units and one month after entry processing for Higher National and SVQ Units.

### **Entry Update by Candidate — Unit Results Form URU00**

This form is used when no pre-printed Unit results form has been produced, or if you have been unable to send us a Unit result via your electronic system.

### **Entry Update By Group — Unit Results Form UR01**

This form is used when no pre-printed Unit result form has been produced, or you cannot send us the result via your electronic system.

*In all cases, SQA can only process a Unit result if a valid entry for the Unit has been created.*

## **7.4 Standard Grade**

### **Standard Grade Estimates and Assessment Grades SGER00**

This form is used to supply information on Elements requiring either an estimate and/or an internal assessment grade. The forms are pre-printed and any candidate names not appearing on the correct form **must not** be added to the forms. Once any new entry information has been processed, **you will receive an additional pre-printed form** listing these candidates. If any candidates appear on the forms and are subsequently withdrawn, **do not score through the candidate details** but place an '8' in the relevant columns and withdraw the entry using your normal method.

*Please note that all columns must be completed for all candidates listed.*

### **Standard Grade: Estimate — Amendment**

This form must be used when you wish to change an estimate already submitted to us.

### **Standard Grade: Internal Assessment Grade — Amendment**

This form must be used when you wish to change an internal assessment grade already submitted to us.

## **7.5 National Courses**

### **National Courses Estimate Report**

This form is used to supply National Course estimates in the range 1 – 9 for the candidates named on the pre-printed form. If a candidate is not listed on the form, **do not add names to the form** — you must complete and submit a National Courses Estimate Report (Supplement) and send us an entry for the candidate

using your normal entry method. **Do not** change any of the details on the form regarding level of Course. If these are incorrect use a supplement form and place a 'W' (withdrawn) on the pre-printed Estimate Report against the candidate concerned and withdraw the entry using your normal method.

### **National Courses — Estimate Report (Supplement)**

Used when the information contained on the pre-printed Estimate Report is incorrect or if an entry has missed the deadline for the production of the Estimate Report. All information required **must be** completed in a legible manner. It is vital that when you use this form you have updated the entry information either electronically, or by completing an Entry Update Form (EU00/EU01) **before** the Estimate Report (Supplement) is submitted to SQA.

### **National Courses: Estimate — Amendment**

This form must be used when you wish to change an estimate already submitted to us, either on an Estimate Report form or on an Estimate Report (Supplement).

### **Internal Assessment Mark Form IAMF 01**

This pre-printed form (normally green) is used for supplying us with any marks that are produced for an internally-assessed component which will contribute to the Course assessment. The forms will indicate the maximum mark available for the component. The mark entered **must not** be higher than the maximum mark — this is especially important for Physical Education. The marks submitted on these forms may be subject to moderation and you will be advised if this is the case. **Do not** add candidates' names to these forms — use an Internal Assessment Mark Form (Supplement) and ensure that any entry updates are sent to us in the normal manner.

Please note that for resit candidates, you must submit a new mark or re-submit the mark from the Course work. If you choose the latter option, you must retain all Course work for moderation.

### **Internal Assessment Mark Form (Supplement)**

This form should be used when a candidate does not appear on the pre-printed Internal Assessment Mark Form. You must ensure the correct entry information has been submitted, and that any marks on this form are not higher than the marks available for the component of the Course.

### **Internal Assessment Mark Form — Amendment**

This form should be used if you find it necessary to change an internal assessment mark already submitted to SQA. A separate form must be completed for each Course and level. If the change is being made because the candidate's course level has been changed then the appropriate entry amendment must be submitted before this form is completed.

## Attendance Register Ex6

### Submission of Coursework

This form is used as a register of the candidates whose coursework is being sent to us to be externally marked. Do not add any candidates to the Ex6. If a candidate's name does not appear on an Ex6 then you **must** complete an Attendance Register Supplement (Additional Candidates) form and ensure that the correct entry information is held by us.

If you have a candidate on the form who is now withdrawn or has changed level, please mark 'W' (withdrawn) next to the candidate name and, in the case of a change of level, complete an Attendance Register Supplement (Additional Candidates) form, and make the level change using your normal method.

### Attendance Register

The form is also used as a register of candidates who are taking the external assessment. For any candidates who do not appear on this form and who completed the external assessment, you must complete an Attendance Register Supplement (Additional Candidates) form (see below) and amend the entry information using your usual method.

### Attendance Register Supplement (Additional Candidates)

This form is used when a candidate does not appear on the pre-printed Ex6, but their coursework is being submitted or they have taken the examination. It is a carbonised form and the copy should be retained by the centre to act as a prompt to amend the entry information using the usual method.

### Flyleaves

These are used to accompany any coursework being submitted to us as part of the external assessment. One flyleaf should be completed for each candidate. The front should be annotated with the candidate's name and number, and the subject and level. There are different coloured flyleaves for each subject level:

Standard Grade	Buff
Intermediate 1	Pale blue
Intermediate 2	Green
Higher	Pink
Advanced Higher	Turquoise

## 7.6 Assessment arrangements for candidates with additional support needs

### Assessment Arrangements Request Form

The new form for submitting requests for assessment arrangements for candidates with additional support needs will be placed on SQA's website. The link to that

section of SQA's website will be e-mailed to all SQA Co-ordinators on 1 September 2004.

The presenting centre should complete the form for all candidates with additional support needs, who require assessment arrangements. Centres should refer to the detailed instructions (which are also available on the same section of the website: **www.sqa.org.uk**). Please note that if extra time is required, the length of extra time required should be noted in the 'Other' column of the form.

Once details of all candidates have been recorded on the form it should be e-mailed to SQA — a list of e-mail addresses will be sent to SQA Co-ordinators in September 2004. All requests must be submitted to SQA by **17 December 2004**.

If a candidate has a temporary disability (eg a broken arm) centres should advise the Assessment Arrangements team in Dalkeith by telephone, e-mail or in writing as soon as possible prior to the start of the examination.

Centres should contact the Assessment Arrangements team if they have any queries.

## 7.7 Appeals

### Appeals Request Form

This form lists those candidates who meet the conditions for which an assessment appeal is possible. If a centre wishes an appeal to be considered, they should enter an X in Column A against the candidate's name.

Appeals are processed on the basis of the information received on these forms. In the absence of an Appeals Request Form or an X against the appropriate candidate's name an appeal cannot be processed even if evidence has been submitted.

Any forms received after the due date will incur a £50 processing charge per candidate.

***Under no circumstances should centres add candidates to the Appeals Request Form. Any such additions will not be processed.***

Please use **Appeals Request Supplement** to notify SQA of any urgent appeals.

### Evidence Checklist

This form should list the names of those candidates for whom centres are submitting evidence in support of an appeal. This form should be submitted with evidence and an Appeals Evidence Flyleaf.

Please note that the Evidence Checklist form should not be submitted instead of an Appeals Request Form.

Centres should check that the candidates listed on this form match those marked with an 'X' on the Appeals Request Form and that evidence for each of these candidates is submitted.

### **Appeals Evidence Flyleaf**

Centres should complete an A3 size, yellow Appeals Evidence Flyleaf for each Course/level for which appeals are to be submitted.

For Standard Grade submissions there may be more than one Element contained within the evidence. In such cases, centres should clearly mark on the front of the Flyleaf the Elements concerned.

The back page of the Appeals Evidence Flyleaf allows Examiners to see the type of evidence submitted and how it was produced. In general, the same information will refer to a whole group of candidates. In this case, only one form is needed, referring to all candidates. If, however, an individual candidate's evidence has been produced in a different manner, centres should photocopy the back page of the form, complete it with respect to the individual candidate and attach it to the relevant material submitted as evidence.

The completed Flyleaf should then be wrapped around all of the appropriate evidence and submitted with Evidence Checklist form for the appeal.

## **7.8 Absentees**

### **Absentee Consideration Request Form**

This form should be used when reporting the absence of a candidate through illness or other sufficient cause from the whole, or part of an examination, for whom the Head of Centre requires the SQA to consider an award. Detailed instructions are provided on the back of the form, which must be submitted **within 7 days of the examination**. If the absence is due to illness, a medical certificate covering the date(s) of absence(s) will be required.

### **Absentee Evidence Flyleaf**

Centres should complete an A3 size, lilac Absentee Evidence Flyleaf for each course/level requiring absentee consideration.

The back page of the Evidence Flyleaf allows Examiners to see the type of evidence submitted and how it was produced. In general, the same information will refer to a whole group of candidates. In this case, only one form is needed, referring to all candidates. If however, an individual candidate's evidence has been produced in a different manner, centres should photocopy the back page of the form, complete it in respect of the individual candidate and attach it to the relevant material submitted as evidence.

The completed flyleaf should then be wrapped around all of the appropriate evidence and submitted to the Assessment Arrangements team.



## 8 Awards reporting

This section of the guide provides information on what we issue in terms of results to candidates, centres and other interested bodies.

### 8.1 Scottish Qualifications Certificate (SQC)

Every candidate achieving SQA qualifications will be issued with a Scottish Qualifications Certificate (SQC) detailing their results. SQCs are cumulative and are issued by SQA throughout the year. SQCs report results for Higher National Certificates and Diplomas, Scottish Vocational Qualifications, Customised Awards, National Courses, Clusters, free-standing Units, Core Skill Profiles, External Assessments and Graded Units.

SQCs are accompanied by supplementary pages which outline the various types of qualifications and provide candidates with additional information.

A summary certificate detailing examination results is also sent with the SQC to any candidate achieving National Qualifications.

In addition, candidates who achieve a Group Award (such as a Higher National Certificate or Diploma or a Scottish Group Award) will receive a separate Group Award certificate.

#### 8.1.a Timescales

##### Group Awards

Certification for Higher National Diplomas and Certificates, Scottish Vocational Qualifications and Customised Awards takes place on a weekly basis.

Certification of Scottish Group Awards will take place at the earliest opportunity after completion of all of the contributing components.

##### National Courses and Clusters

Candidates taking Examination-based National Courses will receive their certificates on a designated date during the month of August. Project-based National Courses will be certificated in February, May, August and November to reflect the flexibility of this provision.

Certification of National Clusters, completing between August and April, takes place on a weekly basis. Those completing in May, June or July will be certificated as part of the National Qualifications run in August.

##### Unit Certification

Candidates taking stand-alone Units will receive their certificates on a monthly basis if their record is complete, ie they have all Units resulted and do not have

any open entries for Courses or Group Awards. This Unit certification run takes place during the last week of every month.

An annual Unit clear-up run is carried out in October. This will produce a certificate for any candidate for whom we hold Unit results with a completion date up to **31 July** regardless of whether they have an open Course or Group Award entries at that point.

Details of specific certification dates can be found in the *Certification and Awards Reporting 2004* document. Copies are available from our Certification Section (telephone: 0141-242 2335). A 2005 version of this timetable will be issued in due course.

## 8.2 Statement of Certificated Results

In August of every year, an electronic statement of results is sent to centres. This file contains results for all candidates registered by the centre and entered for National Courses, Units and Standard Grades in the summer diet. This report is issued in time for centres to receive and view results prior to candidates receiving their certificates.

Also in August, prior to candidates receiving their certificates, a printed award summary report is issued to all centres. This report is laid out subject-by-subject, and gives results for all National Course achievements in the centre.

Additionally, a report will be sent to all 'paper' centres, timed to reach centres before candidates receive their certificates. This report will contain results for candidates involved in the summer diet. The information is given candidate-by-candidate, so centres will be able to tell, at a glance, the individual results for each candidate.

Replacement copies of statement of results, in electronic or paper format, can be obtained directly from our Certification Section, e-mail [esocr@sqa.org.uk](mailto:esocr@sqa.org.uk) or telephone 0141-242 2335.

For Group Awards, monthly reports will be sent to centres. This report contains results for candidates certificated for Group Awards during that month.

## 8.3 Changes to results after issue

If, following the publication of results, an error is identified either by the centre or by SQA in a candidate's award, SQA will take the following action:

- ◆ investigate each case, take action promptly and record details of the investigation and the outcome
- ◆ if a candidate has been awarded a Unit, an Element, a Course or a Scottish Group Award in error, our records will be amended to show the correct result
- ◆ if a candidate has received a lower grade than he or she has actually achieved, our records will be amended to show correct result

- ◆ if a candidate has received a higher grade than he or she has actually achieved, our records will be amended to show the correct result

In carrying out this procedure SQA is keen to ensure that any changes to results are made in a fair and reasonable way, taking account of the interests of candidates as well as maintaining accurate records of candidate attainment.

In most cases where a change is made to a result the centre concerned will be involved as part of the resolution process. In these cases the centre will inform the candidate of the outcome of any decision to change results (and where appropriate, retrieve the inaccurate certificate). SQA will collect positive confirmation that the candidate has been informed (e-mail or copy of letter that centre sends to the candidate), whether or not the candidate still attends the centre. In addition, SQA will write to the candidate to explain and apologise for the error and for any distress caused. SQA will issue a new certificate to the candidate with a request that the erroneous certificate be destroyed. The candidate will be asked to confirm to SQA receipt of the new certificate and destruction of the erroneous certificate (or in the case of certain qualifications ensure the return of the certificate to SQA).

When a revised certificate is produced after a result change there will be a further check to determine if the certificate should be issued.

A certificate will not be issued if:

- ◆ there is no change compared to that previously issued, eg change of grade band from 2 to 1 in a National Course (the centre would get the updated information with final results data)
- ◆ there is an appeal in progress (certificate would be held until outcome of the appeal is known and only issued if required)
- ◆ there is a need to ensure that the erroneous certificate is returned to SQA before issue of the revised certificate

## 8.4 Replacement certificates

SQA can provide candidates with a replacement certificate detailing all qualifications taken since 1995.

For qualifications from former awarding bodies such as SEB, SCOTVEC, SCOTBEC, SCOTEC, SCCAPE or SANCAD, a certified statement is issued.

Replacement certificates can be obtained by phoning SQA on 0141-242 2418 or e-mailing: [certification@sqa.org.uk](mailto:certification@sqa.org.uk) for an application form. This form is also available on our website ([www.sqa.org.uk](http://www.sqa.org.uk)).

There is a single charge of £23.75 levied for all qualifications listed on the form.

Forms must be signed by the candidate and should be returned to SQA Certification Section with appropriate payment via Cheque, Postal Order, Credit or Debit Card.

***SQA can only issue results information to third parties if the candidate has given prior approval.***

## 8.5 Statistical information

Each year, SQA sends National Qualifications statistical data to the Scottish Executive both at the pre-appeal and post-appeal results stages. This data is used for many purposes including producing the Examination Results publication commonly known as 'league tables'.

Similar data is sent to SFEFC for its own use in analysis and in its funding model.

We also produce an Annual Statistical Report (normally published in June of the following year) which gives an analysis of all SQA qualifications. This report is available on our website and as hard copy from SQA.

## 9 Core Skills

### 9.1 What are Core Skills?

Core Skills are the broad, transferable skills that people need to be full, active and responsible members of society. Core Skills are not new — they have been recognised as part of school and college learning for some time — and employers, colleges and universities are giving more and more weight to them.

The Core Skills framework and Units provide a set of nationally-agreed standards for Core Skills and a way to assess them.

<b>Core Skill</b>	<b>Components</b>
Communication	Oral Communication Written Communication
Numeracy	Using Graphical Information Using Number
IT	Using Information Technology
Problem Solving	Critical Thinking Planning and Organising Reviewing and Evaluating
Working with Others	Working with Others

The Core Skills framework describes each of the Core Skills, and their components, at each of five levels (Access 2, Access 3, Intermediate 1, Intermediate 2 and Higher).

#### How are Core Skills certificated?

Candidates for a range of SQA qualifications can show what they have achieved in Core Skills. All Standard Grade candidates get a Core Skills profile, which will be reviewed each time they achieve a new SQA Qualification. The profile details their Core Skills achievements by component — so Core Skills certification is available even to those who do not complete a whole Core Skill. With more and more emphasis being placed on Core Skills in education (including Higher Education) and in training and employment, it is important that candidates are given the opportunity to be credited for what they can do.

Candidates might achieve Core Skills through:

- ◆ any Unit, Graded Unit or Course which has been audited against the Core Skills framework and validated as fully covering one or more Core Skill component
- ◆ dedicated Core Skills Units, including Workplace Core Skills Units

In the former case, certification will be automatic — neither the centre nor the candidate will need to enter for the Core Skill component — the entry on the Core Skill profile will be generated automatically by SQA when the candidate achieves the relevant Unit or Course.

In addition, dedicated Core Skills Units are available for use by schools, colleges, Higher Education institutions, training providers and in the workplace. Core Skills Units designed specifically for use in workplace settings are also available. All candidates undertaking a Scottish Group Award will have to achieve specified levels of attainment in Core Skills. All candidates on any revised HNC or HND will have to have opportunities to develop all Core Skills.

# 10 Scottish Credit and Qualifications Framework (SCQF)

The Scottish Credit and Qualifications Framework (SCQF) is a new way of understanding and comparing qualifications in Scotland. Its main purposes are to:

- ◆ make the relationships between the various qualifications that are available clearer
- ◆ make progression and transfer between qualifications easier by clarifying entry and exit points and routes for progression

The overall aim is that by 2004/05 most of the main Scottish qualifications will be within the SCQF — laying the foundations for Scotland to move to an overall unified education and training framework.

The level a qualification is assigned to in the framework is an indication of how hard it is to achieve. There are 12 levels, from level 1 for Access 1 to level 12 for doctorates. This is illustrated in the following table:

<b>The Scottish Credit and Qualifications Framework</b>				
SCQF level	SQA National Units, Courses and Group Awards	Higher Education	SVQs	SCQF level
12		Doctorate		12
11		Masters	SVQ 5	11
10		Honours Degree/ Graduate Diploma/Certificate		10
9		Ordinary Degree/ Graduate Diploma/Certificate		9
8		Higher National Diploma/ Diploma in Higher Education	SVQ 4	8
7		Advanced Higher	Higher National Certificate/ Certificate in Higher Education	
6	Higher		SVQ 3	6
5	Intermediate 2 Credit Standard Grade		SVQ 2	5
4	Intermediate 1 General Standard Grade		SVQ 1	4
3	Access 3 Foundation Standard Grade			3
2	Access 2			2
1	Access 1			1

The positioning of SVQs in the table gives a broad indication of their place in the framework. A major project is underway to clarify the position of SVQs within an overall UK context.

The table does not show every type of qualification, however, the main Scottish qualifications are represented.

The amount of credit attached to a qualification indicates how big it is, in terms of the amount of learning required. Credit is expressed in terms of SCQF credit points — one point represents a notional 10 hours of learning required of the learner to achieve the outcomes contained in the qualification.

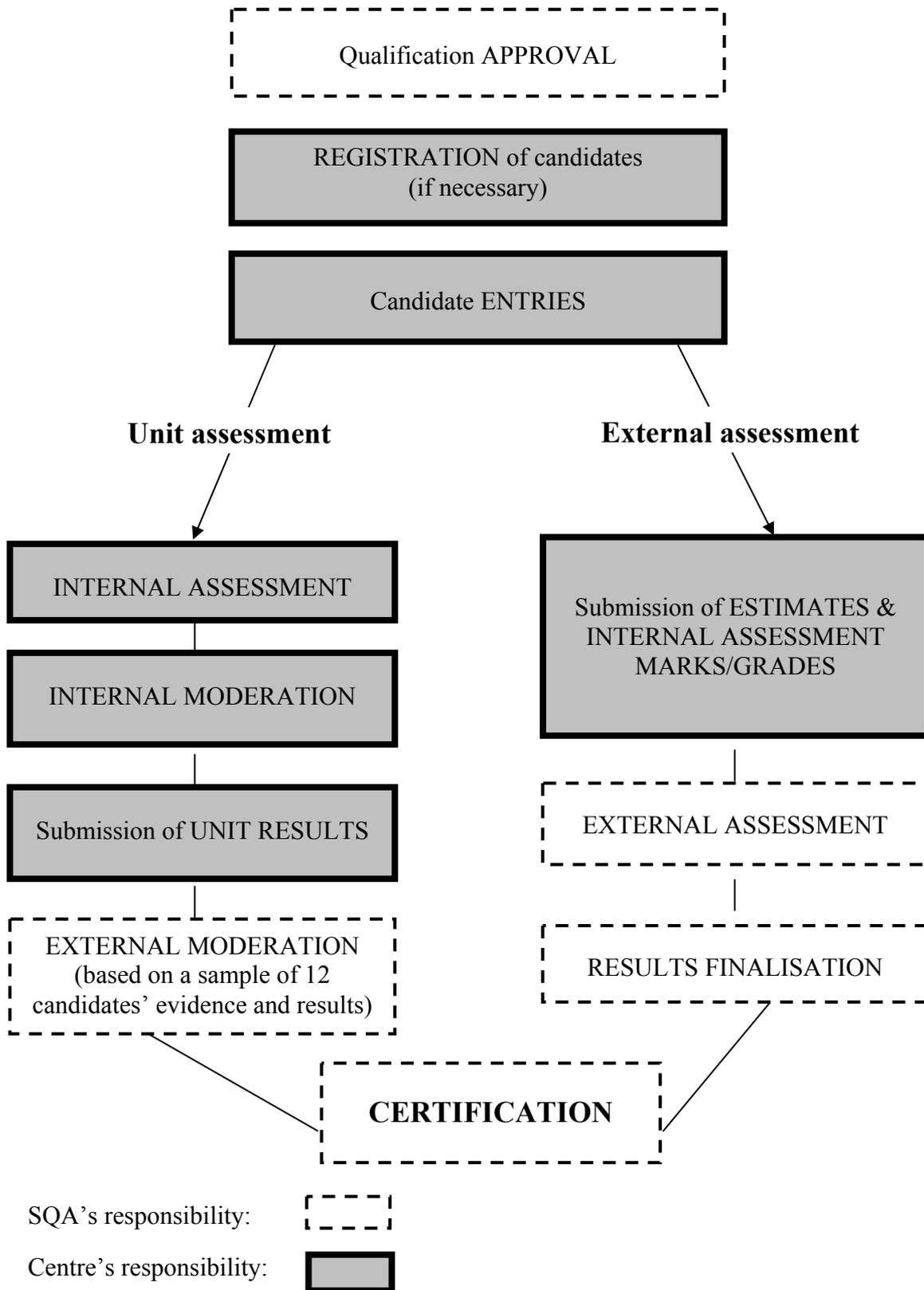
Further information is available on the SCQF website: **[www.scqf.org.uk](http://www.scqf.org.uk)**.

From December 2004, the number of SCQF credit points attained by a candidate at a particular SCQF level will be included as part of the certification package that candidates receive.

# **National Qualifications**



# 11 The route to certification for National Qualifications



The certification process relies on both centres and SQA fulfilling their responsibilities at particular times.

## The route to certification: description of processes

### Qualification approval

Before attempting to enter candidates for a National Qualification, you should ensure that your centre has been approved to offer it. You can do this by accessing your college's approval records using SQA.net or by contacting SQA's Approval Section on 0141-242 2122.

If you find that you are not approved for a qualification, and want to enter candidates for it you should seek approval. Colleges that have devolved authority for approval can carry out this approval themselves. Colleges that do not have devolved authority for approval should apply to the Approval Section. For further information see the *Guide to Assessment and Quality Assurance for Colleges* (AA0841/3, August 2003) or contact the Approval Section.

### Registration

Registration is the process by which prospective candidates have their personal details and Scottish Candidate Number (SCN) recorded by the centre, and this information is passed to SQA. A candidate should only be registered *once*. Every effort should be made to ensure that no candidate has more than one SCN. (See section five for further information.)

### Candidate entries

Entry is the process of indicating which qualifications candidates are aiming to achieve. This includes details of the centre that is taking responsibility for the entry and for meeting the timescales for submitting data. This is to ensure that we identify the qualification and its level, the centre's details, and when the qualification will be completed. For National Courses, each entry consists of a **Course** and the **level** of the Course, and usually **three Units** and their respective levels.

### Internal assessment

Assessment which is carried out by the centre. For more information see the *Guide to Assessment and Quality Assurance for Colleges* (AA0841/3, August 2003).

### Internal moderation

Internal moderation is the quality assurance process carried out by the centre to ensure that standards of delivery and assessment are being maintained over time.

### Submission of Unit results

Submission of Unit results is the process by which centres inform SQA of Unit results so that these can be added to the candidates' records.

**External moderation**

External moderation is the quality assurance process carried out by SQA to ensure that national standards in internal assessment are being maintained.

**Estimates**

Centres should provide SQA with estimates of each candidate's likely achievement in Standard Grade Elements and in National Courses. Estimates are essential for absentee consideration and for assessment appeals. If there is no estimate, no absentee claim or appeal can be considered.

Estimates are also used in the derived grades procedures.

Please note that some Courses do not require estimates — see *Conditions and Arrangements for National Qualifications 2004/2005*.

**External assessment**

Assessment carried out by SQA, eg by question paper, project, folio, coursework and visiting examination of a performance. Each subject has specified external assessment arrangements. For further information see *Conditions and Arrangements for National Qualifications 2004/2005* (BA0828, to be issued September 2004).

**Results finalisation**

The processing of internal and external results, incorporating quality assurance checks, carried out by SQA to determine a candidate's final award.

**Certification**

The production and issue of certificates to candidates and intimation of results to centres.



# 12 Candidate Entries

## 12.1 General

'National Qualifications' is the collective term used to cover Standard Grade, National Courses, National Clusters, National Units, Scottish Group Awards and Project-based National Courses.

National Courses cover Intermediate 1, Intermediate 2, Higher and Advanced Higher. National Clusters are available at Access 1, Access 2 and Access 3.

Before you submit an entry you must ensure that the candidate concerned has been registered with a valid Scottish Candidate Number (SCN). In addition, you should ensure that your centre has been approved to offer the relevant National Qualification before attempting to enter candidates.

If you require to seek approval from SQA for any National Qualification for which candidates expect August 2005 certification, you must have received approval by **26 November 2004**.

## 12.2 Age and Stage Regulations

Details of the minimum age or stage at which a candidate may take National Qualifications are set out in *Conditions and Arrangements for National Qualifications 2004/2005* (BA0828, to be issued September 2004). Entries for candidates who do not meet the requirements will automatically be rejected.

## 12.3 How to submit candidate entries to us

An 'Entry' is the process of centres indicating which qualifications candidates are aiming to achieve and when.

### Key points:

- ◆ Entries must come from SQA approved centres — they cannot be submitted by candidates.
- ◆ Candidate's personal details will have been submitted during the registration process. At this stage the only identifying information required is the candidate's SCN and date of birth.
- ◆ Entry information can be submitted to us either electronically using the approved file formats or on the paper form Entry Creation (EC01). It is also possible to submit entries on paper forms on an individual basis where this is more convenient. Form CRE01 (Candidate Registration/Entry Creation) should be used in such cases. Our standard paper forms are also available as MS Word documents.

Details about electronic submission of data are contained in the Guide to Data Exchange.

Once they have been created, we will send you confirmation of your entries. At the same time we will inform you if there were any problems processing your data, tell you the nature of the problem and, where appropriate, how to resolve it.

Colleges in Scotland can also confirm candidate information held by SQA by logging onto SQA.net.

## 12.4 Target dates

Entries for National Courses should be sent to arrive at SQA by no later than **26 January 2005** for candidates who wish to take examinations in May/June 2005. This will allow us to send out Course Entry Eligibility Reports on a monthly basis between 28 January and 18 June 2005.

## 12.5 What information to supply to SQA

### National Courses

For National Courses, each entry consists of a **Course** and the **level** of the Course, and contributing Units. You should check *Conditions and Arrangements for National Qualifications 2004/05* (BA0828, to be issued September 2004) to establish the number of contributing Units and their codes. A completion date is also required for each Course and Unit entry.

When you enter a candidate for a Course, enter the C-code only (our 'product codes' for National Courses all begin with a C). You should not enter the external assessment code (the 'X-code') — this will be automatically generated by SQA when the Course entry is created. If you submit both entries, one will be rejected by our system and reported back to you as an error.

You must enter a candidate for a Course at one level only — attempts to put in a second entry at a different level will be rejected (see 12.12).

### Unit entries

As well as entering a candidate for a Course, you must provide details of **all** the contributing Units ('D-codes') which the candidate will need to achieve the Course. We do not automatically enter candidates for these Units, because many Courses have options which the centre has to tell us about.

If you submit data electronically your system **may** have been set up to enter the contributing Units automatically — you should check this before sending data to SQA. **If a candidate has already achieved a Unit that contributes to a Course, there is no need to re-enter the candidate for that Unit.**

The Units contributing to a Course should normally be at the same level as the Course.

Where Units are hierarchical they can be resulted at the level above or below the Unit entry level. These Units have the same title at different levels and are easily identified as the first four characters of the Unit code are identical, regardless of

the level. For example, in History, the Unit *Historical Study — Scottish and British* (D255) is available at Intermediate 1 (D255 10), Intermediate 2 (D255 11) and Higher (D255 12).

**Note: To achieve the overall Course award, remember that the contributing Units must be at the level of the Course entry or above.**

### **Free-standing National Units**

Some candidates may wish to undertake individual free-standing Units (ie Units which do not contribute towards a Course) or take Units individually with a view to contributing to a Course award in future years. Entries for such Units can be submitted at any time throughout the year — there are no fixed submission dates or completion dates.

### **Entries for Units needed to complete a Course**

Where candidates have already completed the external assessment, but need to achieve some or all of the Units which contribute to a Course, they should be entered for those Units only. They should not be re-entered for the Course.

### **Entries for external assessment only**

Some candidates may want to re-sit or attempt the external assessment without undertaking any of the contributing Units. Candidates who have undertaken a Course at a previous diet may have already achieved the contributing Units, and therefore do not need to be entered for them again. In these cases, the candidate should be entered for the external assessment only. Enter only the external assessment (X-code). Our processing system will automatically generate a Course award if our system shows that the candidate has achieved all of the contributing Units and has been successful in the external assessment.

Indicate the diet of the external assessment by using the correct completion date '052005' for the 2005 diet.

#### **Please note:**

Re-sit candidates must complete all component parts of an external assessment at the same diet. This includes any coursework which is either internally assessed and subject to external moderation or submitted to SQA for external marking. For internal assessments, the centre can choose to re-submit a previous mark (but you must hold the evidence in case your centre or the subject is chosen for moderation); or, if the work is externally marked, either re-submit the same piece of work from the previous year or a new piece of work. Where the external assessment involves assessment of performance by a Visiting Examiner this must be carried out again.

### **SQA does not retain, from one diet to the next, details of marks achieved in components of Courses.**

All component parts of an external assessment, eg externally-assessed coursework or internal assessments, must be submitted at the same level as that at which the

external examination will be taken and as the Course entry. A candidate's results at mixed or 'split' levels cannot be aggregated (see 16.3 and 17.1).

### National Clusters

Candidates should be entered for a Cluster in much the same way as for a Course, the difference being that no external assessment is involved for Clusters. The completion date for the Cluster can therefore be any month (see 12.6).

### Project-based National Courses

The procedures for submitting Entries for Project-based National Courses (PBNs) are the same as for examination-based Courses. There are some variations in the completion dates which can be used. Section 23 of this guide explains the procedures for PBNs in more detail.

### Scottish Group Awards

In addition to entering candidates for the Courses and Units which contribute to a Scottish Group Award (SGA), you must also enter them for the Group Award itself. The product codes for SGAs start with 'G'. Further details of the requirements for SGAs can be found in section 22 of this guide, *Conditions and Arrangements for National Qualifications 2004/2005* (BA0828, to be issued September 2004) and the *National Qualifications Session 2004/2005* CD-ROM (BA1351, June 2004).

## 12.6 Completion dates

All types of entry must include a completion date for the qualification. This is in the form of a month and year. A completion date must be after the date an entry is created.

#### **Restrictions on the range of completion dates**

*We will only accept entries for examination-based National Courses that are due to be completed in the current session. For Summer 2005, the completion date that should be submitted for these National Courses is 052005. Anything else will be rejected. We have this rule in place to prevent incorrect completion dates being created in error.*

*Note that the completion dates for Units which contribute to a Course need not be the same as the Course completion date. In fact, for external moderation purposes, at least one Unit entry must have a completion date of March 2005 or earlier.*

Candidates following a National Course over two years must be entered for the Course in the session in which they will take the external assessment. If the candidates are completing Units during the first year, you can do either of two things:

- ◆ Enter candidates for all Units in the second year of the programme, along with the Course entry. If you are going to do this, you must retain the assessment evidence produced in the first year. This will ensure that our moderation process will be able to access evidence if your centre is selected for moderation during the second year.

- ◆ Enter candidates for individual Units for the first year of the programme and then enter for the, Course and any remaining Units, in the second year. Moderation could take place in the first and/or second years. If you choose this option, you should be aware that there are financial implications in terms of entry charges.

As the completion date is used to arrange for visiting moderation and to schedule central moderation events, it is important that you are as accurate as possible with these dates. If you are selected for moderation, this will normally be arranged after the completion date of the Unit. By giving accurate completion dates, it is possible to spread the burden of moderation throughout the session, which will give you more time for further teaching and re-assessment of candidates whose results may not have been accepted for certification as a result of external moderation.

Please note that while central moderation normally takes place **after** the completion month, visiting moderation takes place **during** the completion month. For this reason, where completion dates change, you **must** inform us (see section 18 of this guide).

In the light of recommendations from the Moderation Review, external moderation may now be targeted on areas of perceived risk and need. This will mean that moderation can be carried out at any time of the year and may be conducted by moderating incomplete, or interim evidence, regardless of completion date. Centres selected for this type of moderation will be given adequate notice of an external moderation visit or event and will have the flexibility to negotiate dates that are convenient to the centre and to the External Moderator.

The completion date for Courses is also used to:

- ◆ determine how many question papers you will require
- ◆ determine the number of markers required
- ◆ ensure that candidates' names appear on Estimate forms, Internal Assessment Marks/Grades forms and Attendance Registers (Ex6s)
- ◆ provide the correct examination stationery at the appropriate time and arrange the collection of assessment material

For **National Clusters**, you can specify any month for completion, up to two years after the creation date (ie the date we enter it on our system) eg an entry created on 15 November 2005 could have a completion date up to October 2007, the completion date cannot exceed the qualifications finish date. Candidates must be entered for the individual Units as well as for the National Cluster. If you want candidates to receive their certificates in August, you must use a completion date of May or June 2005 for the Cluster. The Units can have earlier completion dates, but the last date for submission of Unit results for August certification is **10 June 2005**. We will continue to process results received after this date, but we cannot guarantee that this will be done in time for August certification.

For **Scottish Group Awards (SGAs)**, you can specify any month as a completion date. As SGAs at Intermediate 1, Intermediate 2, Higher and Advanced Higher all contain mandatory Courses, it is important that the completion date of the SGA is the same as or later than the completion dates of the Courses. If, for example, a candidate was completing Courses in May 2005 as part of an SGA, then the completion date for the SGA should not be earlier than May 2005. The completion date for Group Awards acts as a trigger for our system to begin checking to see if a candidate has achieved the award. Remember, in addition to entering candidates for the Units and Courses that contribute to an SGA, you must also enter the candidates for the Group Award.

SGAs at Access 2 and Access 3 contain no external assessment and we will accept entries with any appropriate completion date throughout the year.

SGAs will be certificated as soon as possible after the results from all the contributing qualifications have been processed.

For **National Units**, including free-standing Units, you can specify any completion month, up to two years after the creation date (ie the date we enter it on our system) for example, an entry created on 15 November 2005 could have a completion date up to October 2007, the completion date cannot exceed the qualifications finish date. You should remember, however, that the Units which contribute to a Course which will be certificated in August, need a completion date of no later than June of the same year.

For **Project-based National Courses**, four completion months are available during the year — February, May, August and November. Please refer to section 23 of this guide, and to our publication *Project-based National Courses: procedural guide for centres* (A1312, April 2001) for further information.

## 12.7 Late entries

Entries for National Courses and Units should be submitted to us by no later than **26 January 2005**. Changes of level will be accepted up to **24 February 2005**. Because the Course entries determine the question paper and stationery supplies which will be sent to your centre, it is vital that the entry information is as accurate as possible at this date. It will be possible for you to make further changes (adding new entries, withdrawing candidates, changing levels) up until **31 March**, but these later changes will not be reflected in the completion reports, forms or coursework materials issued to centres in early April.

Note that new Course entries created or changes of level, processed after **31 March 2005**, will be subject to an additional charge.

**Remember that in Courses where coursework or an internal assessment mark is to be submitted, this MUST be at the same level as the rest of the Course entry. If coursework or an internal assessment mark has already been submitted at one level and the entry level for that candidate subsequently changes, a second internal assessment mark will need to be submitted. Estimates too should be submitted at the same level as the Course entry.**

## 12.8 Changing a candidate's completion date

You can change the completion date for all Units (whether free-standing or taken as part of a Course) and Scottish Group Awards. However, you cannot extend completion dates for examination-based Courses and Project-based National Courses. The completion date is used to arrange for Visiting Moderation and to schedule Central Moderation events, so it is important that you are as accurate as possible with each completion date. Where you know that a completion date has changed since making the entry, you must inform us of the new date.

To make a change to the completion date, you must use the **Entry Update Form (EU00/EU01)** or on file.

Completion dates cannot be changed beyond the maximum two years from the date of change or beyond the qualification finish date.

## 12.9 Changing a candidate's Course/Unit level

You can change the **level** of entry for a National Course or for a National Unit. There is no charge for changes of level where products are in a hierarchy (ie where they share the same first four characters of the alpha-numeric product code).

The change-of-level facility is available for changes, one level up or down, at all levels between Access 2 and Advanced Higher (ie levels 08, 09, 10, 11, 12 and 13). Note that Clusters/Courses **cannot** be changed either up or down between levels 09 and 10. Units can be changed between levels 09 and 10.

You must notify us of changes of level, for both Courses and Units, either by submitting the information to us electronically or by sending us an **Entry Update Form (EU00/EU01)**.

If you send your data electronically, the preferred method for making a change to a candidate's level (provided the Course or Unit is part of a hierarchy — see 12.5) is to use the 'change of level' facility set up by your software provider. Using this method means no additional charges will be incurred. Please note that if you choose to withdraw your existing Course entry and re-submit a new entry at the different level, you will be charged again as our system will not be able to recognise a change of level using this method.

### **What to do if the candidate's name does not appear on any pre-printed forms at the correct entry level**

After the 24 February deadline, we will continue to process changes to a candidate's entry level up to **31 March 2005** without additional charge, but it is likely any pre-printed forms will be produced showing the original level.

Please note that you **must not** change the name on any pre-printed estimate form, internal assessment mark form or project Ex6s. You should in all cases:

- ◆ indicate that the candidate has been withdrawn by inserting letter 'W' on the existing form

- ◆ add the candidate's name to a supplement form indicating the correct entry level
- ◆ ensure estimates and internal assessment marks are at the same level as the external examination and overall Course entry

Changes of level for National Units can be made throughout the year.

### Units in hierarchies

In some cases, Units in National Courses can be replaced by other Units in a hierarchy. As previously explained (in 12.5), these Units have the same title at different levels and are easily identified as the first four characters of the Unit code are identical, regardless of the level. Where there is a hierarchy like this, it is not necessary to withdraw candidates from one level and re-enter them for an adjacent level — you can simply submit a change of level above or below that for which they were originally entered.

Remember that submitting change of level of Units at the level **below** the original entry, without also changing the level of the external assessment, will mean that the candidate is ineligible for a Course award.

## 12.10 Withdrawing a candidate's Course/Unit entry

You can withdraw a candidate from a Unit, Cluster, Course or Scottish Group Award. This can be done electronically or by using the Entry Update Form (EU00/EU01).

When you make an entry for a Course (C-code) that is examination-based, the external assessment (X-code) entry is automatically generated.

Please withdraw the entry as soon as you are aware that a candidate is no longer undertaking a Course or Unit. The cut-off date for withdrawing candidates from a Course or Unit, without being charged for the Course, will be **28 January 2005**.

**Note:** you may have already submitted a piece of coursework for a component of the external assessment. Withdrawing the candidate from the Course will prevent the candidate having a poor result reported on their certificate. A candidate who did not sit the external examination should also be withdrawn. You should retain accurate records of who sat the examination.

## 12.11 Entry charges

Invoicing will take place on a monthly basis, with invoices being issued after the month of entry. See table below for details.

Entries Processed	Invoice Date	NQ	HN	SVQ
August 2004	September 2004	×	✓	✓
September 2004	October 2004	×	✓	✓
October 2004	November 2004	×	✓	✓
November 2004	December 2004	×	✓	✓
December 2004	January 2005	×	✓	✓
January 2005	February 2005	×	✓	✓
February 2005	March 2005	×	✓	✓
March 2005	April 2005	✓	✓	✓
April 2005	May 2005	✓	✓	✓
May 2005	June 2005	✓	✓	✓
June 2005	July 2005	✓	✓	✓
July 2005	August 2005	✓	✓	✓

Entries for National Qualifications, both freestanding National Units and National Courses, in session 2005/06 will not be invoiced until April 2005. The April 2005 invoice will include entries processed in the period August 2004 to March 2005. This is in line with the withdrawals policy as stated in 12.10.

Price increases, advised to customers in January 2004, will be applied from 1 August 2004.

## 12.12 Duplicate entries — how we will deal with them

If we receive a second entry for the same Course or Unit for a candidate in the same session, we will reject it, even if it is at a different level. For example, if a candidate has already been entered for the Higher Course in English (C115 12), a subsequent entry for the Intermediate Course in the same subject (C115 11) will not be accepted. **This is the case even if the entries are from different centres.**

If, exceptionally, you wish to enter a candidate for one qualification at different levels, eg D321 11 and D321 12, this **must** be done by flagging the second entry for 'process by exception' or submitting paper form **(EC02) Entry Creation Form — Process By Exception.**

## 12.13 Partnership arrangements between schools and colleges

Partnerships between schools and their local college can be a very effective way of making use of resources, and we at SQA fully support them. We welcome arrangements between schools and colleges that extend the range of Courses available to candidates.

There are different types of partnership. This section includes some information about two possible types of partnership, where the candidates are school students taking National Courses.

### The Partnership Agreement

It is important that any partnership is supported by a formal Partnership Agreement which details the role and responsibilities of each partner.

### Partnerships where colleges deliver and assess and schools register, enter and submit results

This is the school-college partnership where all aspects of the registration, entry and results process are dealt with by the school, while delivery of teaching, internal assessment and internal moderation is carried out by the college.

There needs to be a clear understanding of who will carry out which activity and this will have been defined in the Partnership Agreement.

In this kind of partnership, because some duties are shared, special consideration must be given to the way in which a number of quality assurance and procedural activities are carried out. Such activities include:

- ◆ approval
- ◆ management of information
- ◆ management of external quality assurance
- ◆ management of other quality assurance issues
- ◆ external assessment
- ◆ management of candidate appeals

### Approval

Where a school wishes to offer a qualification in this kind of partnership, the partner college must be approved to offer the qualification. As the school wants to be responsible for the entry and resulting of candidates, it will **also** need to be approved for this qualification. This is necessary, because if it was not approved, entries would be rejected, however, approval for schools in this instance is a simple process. The school completes the Cover Sheet and Part A, section 1 of an Approval Request Form SA1(2). The school then attaches written confirmation that the college has agreed to provide the necessary services — this information allows us to confirm that adequate arrangements have been made for the delivery of the qualification — and it sends these to the Approval Section who will amend

the school's approval record accordingly, and confirm to the school that this has been done.

The written confirmation may be in the form of a letter from the college, or a copy of the Partnership Agreement.

Once approval has been given, you do not need to supply us with any more partnership information and there is no requirement for renewal of approval. We do, however, require written notification of any significant change in circumstances, for example if the school decides to offer and deliver the qualification itself. In these cases, a Notification of Changes Form must be completed and forwarded to the Approval Section.

For more information on approval, or to obtain copies of forms, please contact the Approval Section on 0141-242 2122.

### **Management of information**

We will correspond directly with the school (the centre which enters the candidates) about all matters relating to the qualification, ie entries and results, qualification information and procedural arrangements (eg for moderation, examinations and appeals).

The Partnership Agreement must show the lines of communication between the partners. The school must inform the college of the timelines to which it is working, as detailed in the *Calendar of key dates for schools*, as the college's timelines may be different. This will allow the college to make the information, records and assessment evidence relating to school candidates available at the required time.

Information to be obtained and confirmed between the partners is:

- ◆ entries
- ◆ Unit results
- ◆ Course estimates
- ◆ internal assessment results
- ◆ candidate evidence for external moderation (if required)
- ◆ candidate evidence for appeals (if required)

Information from us the school may wish to send to the college is:

- ◆ external moderator reports
- ◆ Course results
- ◆ appeals results

### **Management of external quality assurance**

All formal communications about moderation will be between SQA and the school. If the school is informed that it has been selected for external moderation of a qualification that is part of a partnership with a college, the school must

consult and arrange with the college to facilitate the event. The moderation could be visiting (on the centre's premises) or central (where evidence is sent to SQA). In the case of a visit, our moderators will be flexible, eg a visiting event may take place at the school or at the college. The moderator will discuss arrangements with the school.

***The Partnership Agreement must record how the management of information and the management of external quality assurance will be conducted between the partners for each Course.***

### **Management of other quality assurance issues**

In a school-college partnership, it may be useful for the school to seek information about other matters, for example:

- ◆ the personnel delivering, assessing and internally moderating
- ◆ accommodation and resources — are they accessible to school candidates?
- ◆ internal moderation of the assessment process
- ◆ the number of hours available for teaching and assessing
- ◆ the support and guidance available to school candidates
- ◆ what happens to school candidates in case of college staff absence
- ◆ what happens to formal feedback from school candidates

### **External assessment**

Because the school has entered the candidates, our Awards Processing System (APS) assumes that candidates will be sitting examinations at the school. If the candidate is to sit the examination at the college, the school has to complete and submit Form SA00: External Examination — Alternative Centre (the 'sitting at' form). For copies of the form, please contact SQA's Data Management National Qualifications Team on 0131-561 6955.

In subjects where there is a requirement for our visiting examiners to assess practical abilities (eg Drama and Music) we will contact the school about the arrangements for this. It will be the school's responsibility to confirm the details with both the college and the visiting examiner.

### **Management of candidate appeals**

After results have been sent to the school, if an appeal is to be made to SQA for any candidates, the school will be responsible for making the appeal. The school will need to liaise with the college to access the candidate's evidence and to complete any documentation to support the appeal. The outcome of the appeal will be notified to the school.

## Partnerships where colleges are responsible for all aspects of the qualification

This is the school-college partnership where the school students are candidates of the college and the college deals with all aspects of the qualification. For example, it enters the candidates, delivers the qualification and assesses the candidate. The school has no part in any of the processes and it does not receive any reports on the candidates from us.

### Approval

Where a school wishes to offer a qualification in this kind of partnership, the college must be approved to offer the qualification and the school should seek confirmation of this as part of its partnership arrangements. As the college is responsible for all aspects of the qualification (entry, delivery, assessment), there is no need for the school to be approved.

### Management of information

We correspond directly with the college (the centre which enters the candidates) about all matters relating to the qualification: ie entries and results, qualification information and procedural arrangements, eg moderation, examinations and appeals.

***The Partnership Agreement must record the Courses to which the agreement applies.***

The school will want to know how their students are progressing. Therefore, the Partnership Agreement might also include details on how the college informs the school about, for example:

- ◆ entries
- ◆ Unit results
- ◆ Course results
- ◆ appeals results

### External assessment

Because the college has entered the candidates, our Awards Processing System (APS) assumes that candidates will be sitting examinations at the college. If the candidate is to sit the examination at the school, the process requires the completion and submission of Form SA00: External Examination — Alternative Centre (the ‘sitting at’ form). For copies of the form please contact SQA’s Data Management National Qualifications Team on 0131-561 6955.

In subjects where there is a requirement for our visiting examiners to assess practical abilities (eg Drama and Music) we will contact the college about the arrangements. It will be the college’s responsibility to confirm the details with both the school (about the access to the candidates) and the visiting examiner.

### **Further help, support and advice**

We have a team of Quality Assurance Managers working in our Quality Assurance Unit. They work on a geographical basis and are a source of expertise and support in quality assurance matters, including school-college partnerships. If you would like to discuss any of these aspects with a Quality Assurance Manager, please contact SQA's Audit Section on 0141-242 2092.

## **12.14 Candidates sitting examinations at another approved centre or venue**

Where a candidate is sitting an external assessment at another approved centre (not the one that entered the candidate), we need to know about this in advance so that we can arrange for the appropriate stationery and question papers to be sent to the centre. This procedure is known as 'sitting-at'. It is the responsibility of the centre who entered the candidate to complete the External Examination — Alternative Centre Form (SA00) to put this arrangement in place. This information should be submitted to SQA as soon as you become aware of the situation and by **no later than the end of February**.

Where you enter a candidate and want the candidate to sit the external assessment at another venue which is a non-approved centre (either within or outwith Scotland), you should write to our External Assessment Unit with all the relevant details to seek permission. You must include the following:

- ◆ confirmation that the centre is satisfied that the venue will accommodate and meet the requirements of an examination-based environment
- ◆ name and address details of the invigilator
- ◆ details of the time you wish the candidate to sit the examination — if this differs from the official timetable, secure arrangements must be made for the candidate to be isolated to prevent them being in contact with anyone until the examination has been sat
- ◆ confirmation that your centre agrees to meet all administrative costs

If the venue is approved, the question paper and all relevant stationery will be posted directly to the invigilator.

## **12.15 What we do with the information you send us**

Within 10 working days we will process or update the entries and send you a processing report.

## **12.16 What to do if you are notified of errors**

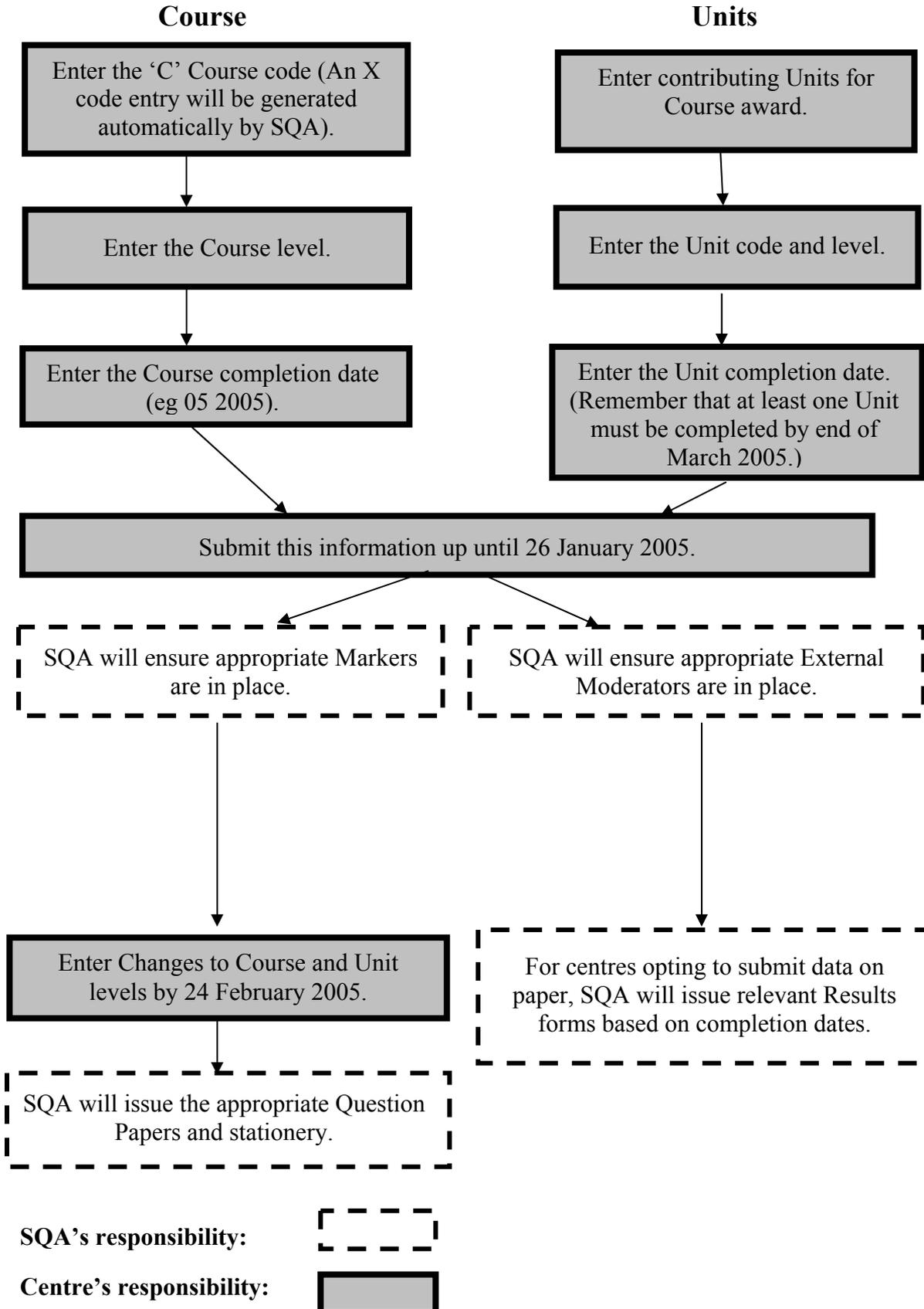
The candidate entries you submit to us will be subjected to a number of validation checks. If any data fails these checks, errors highlighting the reasons for the rejection will be produced and sent to you for resolution. All data errors are identified by error codes. If you receive errors, you must review the case(s) and

re-submit the correct information for the candidate(s) concerned. This should be actioned by return if possible. We will process the amended information on receipt, subjecting it to the same validation checks as the original submission.

**Important:**

- ◆ *Entry error codes at this stage may refer you to a problem at the registration stage. If a candidate's registration was rejected, an entry will automatically be rejected.*
- ◆ *An updated list of error codes and messages will be provided as an appendix to the Guide to Data Exchange.*
- ◆ *If you have any queries on this procedure, please contact your Data Solutions Team.*

## 12.17 Entering for a National Course and contributing Units



## 13 Assessment arrangements for candidates with additional support needs

Candidates with additional support needs may need particular assessment arrangements. These may be permitted for both internally-assessed and externally-assessed qualifications and components of qualifications. Please contact the Assessment Arrangements team if you have any queries.

Requests for assessment arrangements for the 2005 examination diet should be submitted to our Assessment Arrangements Section by **17 December 2004**, at the latest.



# 14 Submission of Unit Results

## 14.1 Unit completion dates and results

You must submit completion dates that are as accurate as possible. For those centres which submit results on paper, the completion date is also used to determine when we will send the Unit Result forms to you.

As the completion date approaches, you must decide whether or not your candidates are still on target to meet the date. If the majority of the candidates will not complete the Unit by the completion date or shortly thereafter, you must tell us by submitting a file or using the **Entry Amendment Update Form (EU00/EU01)**. This is particularly relevant if candidates will not be completing Units within the specified session.

*Remember that you must submit results for all Units. It does not matter whether moderation has taken place or not. It is always the centre's responsibility to submit the results, not the moderator's.*

## 14.2 How to submit Unit results

Unit results can be submitted to us electronically using the approved file formats, or by completing the appropriate Unit results forms. Where a centre has elected to use paper forms to submit data, we will issue **Unit results forms** four weeks before the completion date. We would expect results to be submitted to us either during the completion month or the month thereafter (but see 'Target Dates' below). There is one exception to this — in April we will issue **Unit results forms** for April, May and June. The following forms are currently in use to collect Unit Results:

- ◆ **Unit Results by Unit Form (URU01)** — used for a group of candidates entered for a Unit with the same completion date. This is the format issued unless requested otherwise by the centre.
- ◆ **Unit Results by Candidate Form (URC01)** — used for an individual candidate entered for a number of Units with the same completion date.
- ◆ **Entry Update By Group — Unit Results Form (UR01)** — used to list candidates who do not appear on either of the above forms (for example, because of a very late entry). It can also be used by centres which normally submit results electronically, but are unable to do so because of technical difficulties. This form has no pre-printed candidate information and must be completed by the centre.
- ◆ **Entry Update By Candidate — Unit Results (UR00)** — used for an individual candidate who does not appear on either the URU01 or URC01 (for

example, because of a very late entry). This has no pre-printed candidate information and must be completed by the centre.

### 14.3 Final results

Please note that you can only submit **final** results (Pass or Fail).

### 14.4 Changing a candidate's Unit level

On file you can no longer submit a result *one level up or down* from the level that the candidate is entered at.

Changing the level of a Unit does not automatically change the level of the Course entry. You must always consider the implications for Course eligibility when making this type of change, particularly if you are submitting a change of level to a level lower than the Course entry. You should also refer to the section on changing Unit entries — see 12.9.

### 14.5 Target dates

The final Unit results should be sent to SQA to arrive no later than **10 June 2005**, for candidates entered for National Course examinations in 2005. We will continue to process results received after this date, but we cannot guarantee that this will be done in time for August certification.

You should send us Unit results by their due completion dates. Results can be submitted throughout the year for Units which are not part of a Course.

We will issue closure reports on **15 July 2005**. These will include the updated position for Unit results for candidates entered for Courses.

### 14.6 What we do with the information you send us

You should send Unit results files via SQA.net.

Within 10 working days we will process the results and send you a processing report.

Remember that all Unit results are subject to SQA's quality assurance procedures. If a Unit is selected for external moderation, the results remain provisional until the moderation process is completed.

### 14.7 What to do if you are notified of errors

The Unit results you submit will be subjected to a number of validation checks. If any data submitted fails these checks, an error report highlighting the reasons for

the rejection will be produced and issued to you for resolution. All data errors are identified by error codes. If you receive errors you must review the case and re-submit the amended information for the candidate(s) concerned. This should be actioned by return if possible.

**Important:**

- ◆ *Error codes at this stage may refer you to a problem at the entry stage. If a candidate's entry has not been accepted, and no update subsequently submitted for processing, any results will automatically be rejected.*
- ◆ *An updated list of error codes and messages will be provided as an appendix to the Guide to Data Exchange.*

## 14.8 Incomplete candidate profiles for National Courses

In June we will send to you the following reports:

- ◆ Candidates not eligible for Course awards due to:
  - outstanding Unit entries
  - outstanding Unit results
- ◆ Candidates with:
  - outstanding internal assessment marks

On receipt of these reports, you must check the information against the entry details you hold for your candidates. We will ask you to confirm receipt of these reports.

## 14.9 Project-based National Courses and Scottish Group Awards

Although there is a variety of completion dates for Project-based National Courses and Scottish Group Awards, we can only issue certificates when all the required results (including Unit results) have been submitted.

## 14.10 National Clusters

You can use any completion month throughout the year for the Units that make up a National Cluster, as there is no external assessment. For those Clusters with completion dates before May, certification will be weekly. Clusters with completion months of May or June will be certificated along with the main August diet, as long as Unit results are submitted to us by **10 June 2005**. We will continue to process results received after this date, but we cannot guarantee that this will be done in time for August certification.

## 14.11 Free-standing Units

You can submit Unit entries and results throughout the year. We will carry out Unit-only certification runs on a monthly basis. For candidates taking free-standing Units as well as at least one Course, you need to adhere to the submission date of **10 June 2005**, if Unit results are to be included with Course results for August certification. We will continue to process results received after this date, but cannot guarantee that this will be done in time for August certification.

# 15 Submission of Estimates

## 15.1 General

We will issue forms for submission of estimates to you by **2 March 2005**.

Detailed below are subject-specific dates for submission of estimates, as well as the available grade/mark bands and any exceptions. There are details of what is required for an estimate for a Course in *Conditions and Arrangements for National Qualifications 2004/2005* (BA0828, to be issued September 2004) and in the subject-specific Arrangements. You should also refer to *Estimates, Absentees and External Assessment Appeals: guidance on evidence requirements* (BA0992/3, April 2004). The reports issued to you include instructions on how to complete the documentation.

It is important to remember that if the candidate's name does not appear on the pre-printed estimate report form, it is for one of the following reasons:

- ◆ the candidate is not entered for the subject at the correct level
- ◆ the entry was submitted after the published deadline for entries
- ◆ the level was changed after the published deadline for entries
- ◆ the level was changed electronically, and although showing as correct on your system, it has been rejected by SQA — please refer to section 12.9 for more details on changing entry levels. It is good practice to check your error reports carefully to avoid this problem

It is important that, where you need to complete a supplement form, you use the correct form — National Course Estimate Report (Supplement) and that the entry, or change of level information, has been sent using your normal data transfer method. (See 12.8 and 12.10)

***Please note estimates are essential for absentee consideration, derived grades and assessment appeals.***

## 15.2 Standard Grade

Qualification	Final date for submission of estimates	Grade bands
Standard Grade	<p><b>23 March</b> — All subjects except:</p> <p>Art &amp; Design; Craft &amp; Design; Gaelic; Gàidhlig; Music; and Modern Languages —</p> <p>For the above subjects the final submission date is <b>28 April</b></p>	<p><b>1–7</b> (8 when there is insufficient evidence on which to base an estimate or where the candidate has been withdrawn)</p> <p>Note: In the following Courses, some grades are <b>not available</b>: Biology, Chemistry, Physics — Grade 6 Gaelic (Learners) Writing — Grades 5, 6, 7</p>

Estimates for Standard Grade must be submitted on the same form as the Internally Assessed Grades (**Form SGER00**).

Please ensure that you use the correct estimate grades for Standard Grade Elements. For most subjects, the available grades are 1 to 7 (the table lists the exceptions to this). Where there is insufficient evidence on which to estimate a grade, enter an '8'. Please note candidates with an estimate of '8' will not be eligible for absentee consideration, derived grades or assessment appeals.

Where a candidate has been withdrawn you should enter '8'. In these circumstances you should also ensure that the entry is withdrawn, using your normal method.

Where an '8' has been entered for an externally-assessed Element, and the candidate fulfils all the requirements of the external assessment in the Element, they will be considered for the award of grades 1 to 6, but not grade 7. Candidates who achieve a grade 1 to 6 in the external assessment for the Element will be awarded the Element at the achieved grade and will be eligible for an overall award in the subject.

## 15.3 National Courses

Qualification level	Final date for submission of estimates	Grade bands
Intermediate 1 Intermediate 2 Higher Advanced Higher	<p><b>15 April</b> (if submitted on paper forms)</p> <p><b>28 April</b> (if submitted electronically)</p>	<p><b>1 – 9</b> (0 when there is insufficient evidence on which to base an estimate)</p>

Note that different submission dates apply depending on how you submit data to us.

***If you submit estimates electronically, it is vital that you ensure that the external assessment entry is on our system at the correct level. Any changes to the level of the entry must be completed before you submit your estimates, because these can only be accepted at the Course level at which the candidate entered.***

If you are submitting estimates on paper, you must only include estimates for those candidates listed on the National Course Estimate Report Form and for whom the level of entry is accurate. Where candidates listed on the form have subsequently been withdrawn, or have changed level you should enter 'W'. For candidates for whom there is insufficient evidence on which to arrive at an estimate you should enter '0'. Please note that candidates with an estimate of '0' will not be eligible for absentee consideration, derived grades or assessment appeals.

Where a candidate's name does not appear on a form, or where you want to submit an estimate at another level, you must use the form **National Courses: Estimate Report (Supplement)** and follow the instructions provided, which include ensuring that you have a current entry at the appropriate level.

You must use the Estimate Report (Supplement) to submit estimates for any candidates for whom changes of level were made after **24 February 2005** and who do not appear on the pre-printed National Course Estimate Reports.

Where no estimates will be provided, we require confirmation of this in writing.

## 15.4 Changing an estimate

If you submit an estimate for a candidate and subsequently want to change it, for example, where there is an improvement in performance, you must submit the revised estimate to us using the form **National Course Estimate — Amendment Form**. Please note that amendments should be with us by **4 May 2005**. Submissions sent after this date must be accompanied by a letter of explanation, but may not be accepted.

## 15.5 Invalid or non-submission of estimates

If we receive an invalid estimate for a candidate, we will follow this up with the centre.

For Standard Grade candidates, we will send out reports indicating Elements where the estimate is outstanding or invalid, as we process the information for each Course.

For National Course entries, we will send a report indicating candidates for whom we have not processed an estimate. This report will be sent to centres on **28 April 2005**. This report will help you to identify any:

- ◆ Candidate who is currently entered but who is no longer taking the external assessment. If this is the case you must withdraw the entry.

- ◆ Candidate with a valid entry, but for whom you do not wish to submit an estimate and for whom, therefore, there can be no derived grade, appeal, or absentee consideration.
- ◆ Discrepancies between your records and what we hold. If this is the case you will need to contact SQA to resolve the issue.

# 16 Submission of internal assessment marks/grades

## 16.1 General

Most Standard Grade subjects and a number of National Courses have an internally-assessed Element or component which contributes to the overall grade of the Course. For these Courses, you are required to submit grades or marks.

Based on your accepted entries, you will be issued with the appropriate documentation to submit marks or grades. Please note these marks or grades **cannot be submitted electronically**.

If the candidate's name does not appear on the pre-printed internal assessment marks form, it is for one of the following reasons:

- ◆ the candidate was not entered for the subject at the correct level
- ◆ the entry was submitted after the published deadline for entries
- ◆ the level was changed after the published deadline for entries
- ◆ the level was changed electronically, and although showing as correct on the centre's system, it has been rejected by SQA. Please refer to section 12.9 for more details on changing entry levels. It is good practice to check your error reports carefully to avoid this problem

If you have to complete a supplement form, it is important to remember that you use the correct form and ensure that the entry or change of level information has been sent using your normal data transfer method. If you do not send this information, it will result in the incorrect stationery being sent for any such candidates.

## 16.2 Standard Grade

For Standard Grade, an assessment grade for each internally-assessed Element must be submitted on the paper forms provided. Internal assessment grades should be submitted on **Form SGER00 (Standard Grade Estimates and Assessment Grades)** at the same time as you submit estimates.

These forms will be issued in early March and should be returned to us by **23 March 2005**, except for Art & Design; Craft & Design; Gaelic (Learners); Gàidhlig; Music; and Modern Languages, where the date of return is **28 April 2005**.

**Note:** The following Standard Grade Courses have no internally-assessed Elements: Administration; Classical Greek; Economics; Geography; History; Latin; Mathematics; Modern Studies; Gaelic (Learners) Writing.

## 16.3 National Courses

A number of National Courses have a component for which the centre is required to submit a mark. This internal assessment mark contributes to the overall external assessment and the final grade achieved for the Course.

In most cases, you are required to submit only one mark. You will be advised in subject-specific guidance where this is different, eg where you are required to submit a percentage or a mark for more than one component.

Internal assessment marks must be submitted on the paper forms supplied (**Internal Assessment Mark Form IAMF 01**). You have been asked to make any changes of level for Course entries by **24 February 2005**, so that the forms, when issued in early April, will be accurate and will reflect any changes of level. Please note that where there has been a late change of level or a late entry, and where a candidate is not listed on the Internal Assessment Mark Form, you must submit the internal assessment mark on a separate form — **Internal Assessment Mark Form (Supplement)**. **You must not add or amend details printed on the Internal Assessment Mark Form.**

### Submission dates for Internal Assessment Mark Forms

Internal Assessment Mark Forms for most National Courses should be returned to us by **28 April 2005**. The exceptions to this are: Engineering: Applied Practical Electronics (Int 1); Engineering Craft Skills (Int 1, Int 2); Hospitality (Int 2, H); Personal and Social Education (Int 1, Int 2, H); Woodworking Skills (Int 1, Int 2). The submission date for these Courses is **11 May 2005**.

### How change of level can affect the Internal Assessment Mark submitted

To contribute to the overall grade of an external assessment, **all components** of the external assessment must be at the same level. This means that if the external assessment for a Course comprises of, for example, a project, an **internally-assessed** mark and a question paper, these must all be at the same level.

**If you do not submit an internal assessment mark at the appropriate level (where it is required), the Course result will be calculated on incomplete data, disadvantaging the candidate.**

### Re-submission of internally-assessed marks contributing to an external assessment (for re-sit candidates)

We do not retain component marks from one examination diet to the next. It is for you to decide whether, for an internally-assessed component, the same mark will be re-submitted or whether, after re-assessment, the candidate has achieved an improved mark that can be submitted. Please remember that internally-assessed components are subject to external moderation, so you should retain the evidence used to arrive at marks.

**Range and level of marks**

For all qualifications, teachers and lecturers must ensure that they use the appropriate assessment criteria and submit a mark within the available mark range for the Course at the level for which the candidate is entered. There is guidance in *Conditions and Arrangements for National Qualifications 2004/2005* (BA0828, to be issued September 2004), and in subject-specific guidance Arrangements. To assist centres, the Internal Assessment Mark Forms will indicate the maximum mark available in the subject at the given level.



# 17 Submission of coursework

## 17.1 General

Some Standard Grades and National Courses require coursework, such as projects, to be sent to SQA to be externally marked. This assessment contributes to the overall Course grade.

Centres must submit coursework for **all** candidates sitting an external assessment, including those candidates who are re-sitting an external assessment only. Note that coursework completed for the previous year's external assessment can be re-submitted for re-sit candidates, though the candidate may wish to take the opportunity to improve on the previous submission.

Please note that all coursework must be submitted at the same level as the external examination and the Course entry.

To enable you to submit coursework you will be sent:

- ◆ a supply of flyleaves
- ◆ stationery, if applicable
- ◆ notes on submission (for specific subjects only and this will be specified in covering letter)
- ◆ instructions for completion of forms — you should read all instructions carefully

Attendance Register(s), Form Ex6, will normally be issued in March (for Standard Grade) and April (for National Courses).

Coursework has to be sent in with a flyleaf which gives information on the subject, level, candidate and centre. You will also be sent an Attendance Register which will detail the candidates that we have entered on our system for the external assessment, and for whom we are expecting to receive coursework.

It is important that no candidates are added to the Attendance Register as this would indicate that the entry information is not correct. If you are in any doubt, this should be checked with Data Management — National Qualifications.

## 17.2 Uplift of coursework

We arrange for the coursework to be collected from your centre, normally by courier. The collection dates are specified in Appendix 3. You can, of course, make your own arrangements for the submission of coursework, but we would ask that you let us know in advance and that you ensure all coursework reaches SQA Dalkeith by the specified submission dates. You should note that SQA will not meet any associated costs.

If you have any questions about collections, please contact our External Assessment Unit on 0131-561 6951.

# 18 External moderation

This section summarises our external moderation procedures. Also included in this section is information on the moderation procedures for Scottish Vocational Qualifications (SVQs).

Moderation is the process by which SQA ensures that national standards are applied in assessments carried out by centres. For SVQs the term used to describe this process is external verification. There are three types of moderation:

- ◆ visiting
- ◆ central
- ◆ postal

The nature of candidates' evidence will generally determine the type of moderation used.

Moderation takes place on Units, HN Graded Units, Standard Grades and National Courses.

This year SQA will expand and improve its moderation programme to offer a type of moderation that will enable centres to obtain the support they need to deliver SQA qualifications. A rolling programme of moderation will take place, focusing on subject areas where there is a particular need or risk. In these cases moderation will provide beneficial developmental support as well as carrying out the normal quality assurance of a centre's interpretation of standards. It is likely that evidence generated for this type of moderation will be incomplete evidence.

Centres selected for this type of moderation will be given adequate notice of an external moderation visit or event and will have the flexibility to negotiate dates that are convenient to the centre and to the External Moderator.

## 18.1 Selection for moderation

Centres are selected for Moderation in accordance with published criteria. For candidates taking Units which form part of a National Course, at least one Unit should have a completion date of no later than March in the year they expect to complete the Course. Units with completion dates of any month up to March may be selected for central or visiting moderation of National Qualifications.

Where Units have a completion date between April and July, the centre may be selected for retrospective moderation, which takes place in either August or September following completion. Centres will be notified during May or June if they have been selected for retrospective moderation.

If your centre is selected for moderation you will be asked to supply or present evidence of the work of a sample group of 12 candidates, identified by SQA on a

Moderation Sample Form. If there are fewer than 12 candidates in the class, all will be selected. Candidates for whom evidence is not available, should be substituted, where possible, in accordance with the instructions issued.

## 18.2 Retaining evidence

Candidate evidence should be retained until three weeks after the moderation event, or three weeks after the completion date if the centre is not selected for moderation (see 12.6 for candidates following a two-year course). If the Unit is part of a National Course, the evidence should be retained in case it is required to support an appeal or absentee submission.

Where Units or Graded Units have a completion date between April and July, the centre may be selected for retrospective moderation, which takes place in the September following completion. Centres will be notified during June if they have been selected for retrospective moderation.

## 18.3 After the moderation visit

After each moderation visit, the Moderator will give feedback on the outcome. The centre will also receive a copy of the Moderator's report. If the outcome of the visit is that the Unit or Graded Unit is 'not accepted' the centre will be informed of this by letter by SQA.

After a central moderation event, SQA will return the candidate's evidence along with a copy of the Moderator's report and a letter indicating whether the outcome is 'accepted' or 'not accepted'. If the decision is 'not accepted', you will be given advice on how to resolve any issues and how to submit your candidates' evidence for moderation. The final date for submission of results in this category will be **10 June 2005**.

In National Courses, where the Course assessment is subject to external moderation, the date for submission of Course or project work is March/April. (See Appendix 3 for specific dates.)

## 18.4 External Verification of SVQs

### 18.4a Selection for verification

Centres are selected for verification in accordance with published criteria. The candidate entry and completion date for the Unit/Group Award trigger the selection process.

In line with the criteria, the selected centres will be asked to supply or present evidence of the work of a sample group of 12 candidates. If there are fewer than 12 candidates, all will be selected.

### **18.4b Retaining evidence**

Candidate evidence should be retained until three weeks after the completion date notified to SQA or three weeks after the verification visit, or until the verification visit has taken place.

### **18.4c After the verification visit**

After each verification visit, the Verifier will give feedback on the outcome. The centre will also receive a copy of the Verifier's report. If the outcome of the visit is that the Unit or Group Award is 'not accepted' the centre will be informed of this by letter from SQA and will be given advice on what action is required.



## 19 Absentee candidates

If a candidate is prevented from taking a timetabled examination due to illness or other valid cause, and the centre wishes SQA to consider an absentee award, the request **must** be submitted on the Absentee Consideration Request Form (issued in April) within seven days of the examination accompanied. Where applicable, a medical certificate should be enclosed.

For details of this procedure, see *Conditions and Arrangements for National Qualifications 2004/2005* (BA0828, to be issued September 2004).



## 20 How SQA deals with cases of missing scripts

If a packet of scripts goes missing either on its way from the centre to SQA or from SQA to the marker — that is, prior to the marking being carried out — the following course of action is taken:

- ◆ The centre concerned is contacted to establish if all of the candidates listed on Form Ex6 did not take the examination and there are no scripts to submit. Our processing system requires that all Forms Ex6 are processed, so in such cases the centre will be asked to return the form to SQA.
- ◆ If a centre confirms that the candidate(s) did indeed sit the examination and a search of the centre's premises does not uncover the scripts, we will advise the centre to begin the process of collating coursework evidence which will be required if the missing packet is not found. (This evidence should be readily available as it will have been used as the basis of estimates.) We will investigate the loss with our carriers and conduct a thorough search of our premises.
- ◆ If the scripts have not been found by a date stipulated by SQA, we will ask the centre to submit the coursework evidence by a specified date to enable it to be evaluated and awards determined prior to certification in August.
- ◆ If no evidence can be provided and if the missing script relates to only one component of the course, the marks attained in the remaining components will be scaled to produce an overall result. This will not be possible where there is only one component.
- ◆ As a last resort estimates may be used as the basis of awards for candidates whose scripts have gone missing. If a centre's estimates are generally in line with the results gained by other candidates in the centre, the candidates affected by the lost packet(s) can be awarded their estimate grade.

After August certification we will write to centres to advise the basis upon which awards for the candidate(s) concerned were made.

SQA will not normally inform candidates that one of their scripts has been lost. Centres, however, may do so if they think that it is in the candidate's interest to know.

If, at any time, the missing scripts are retrieved, we will inform the centre and have the scripts marked in the normal way. If the scripts are recovered after results have been issued, we will still have the scripts marked. However, candidate results will be changed only if the marked scripts give a better result than that already certificated.

In cases where the script goes missing after it has been marked, the marker will have retained a record of the mark or grade awarded to the candidate(s) for the component(s) concerned. This information is held in such a way as to ensure candidate anonymity but which allows SQA to identify to whom the marks or grades should be assigned. These marks or grades will be taken forward for processing and certification in the normal way.

## 21 Assessment appeals

If a candidate fails to achieve a Course award that has been estimated for them by their centre, an appeal can be submitted on their behalf. The appeal must come from the centre which entered the candidate for the examination, and this should only be done if the centre has sufficient and appropriate evidence to support an upgrade to the award.

Appeals will be dealt with in two stages and the timetable of dates for each stage can be found in Appendix 2 : *National Qualifications — Calendar of key dates for colleges 2004/05*.

Full instructions regarding how to submit appeals will be issued to all centres in August.



## 22 Scottish Group Awards

To gain a Scottish Group Award (SGA), candidates must achieve a prescribed number of Courses and Units. For example, at Higher, candidates must achieve three Courses, and at Intermediate 1 and Intermediate 2, they must achieve two Courses. For SGAs at Access 2 and Access 3, Clusters are prescribed instead of Courses. Candidates must also complete a Core Skills profile with all five Core Skills (Communication, Numeracy, Information Technology, Problem Solving and Working with Others) at a level specified for each award.

The composition and level of demand of SGAs are set out in detailed specifications published on the CD-ROM of National Qualifications and on SQA's website. There are also support packs and other materials to support the delivery of SGAs, including *Managing Scottish Group Awards: information for senior managers in colleges* (A1033, March 2000). This publication summarises information on SGAs and provides an overview of delivery and operational issues.

Key points to remember about SGAs are:

- ◆ Candidates must be entered for an SGA as well as for the contributing Courses, Clusters and Units.
- ◆ Entries for SGAs can be submitted at any time.
- ◆ The completion date for an SGA must be no earlier than the latest completion date provided for the contributing Courses, Clusters and Units. The completion date of the SGA is used as a trigger by our system to check to see if a candidate qualifies for the Group Award, and there is little point in undertaking this check if the candidate has not yet completed the contributing qualifications.
- ◆ In SGAs, there is considerable scope for candidates to be given credit for other achievements. Standard Grades and SVQs, as well as SCE Highers, can be used as possible credit substitutions. This varies from subject to subject and reference should be made to the detailed SGA specifications for further guidance.
- ◆ From session 2004-2005, SGAs are no longer automatically approved. Centres wishing to offer any SGA for the first time should advise the Approval Section in writing in order for approval to be arranged otherwise candidate entries will be rejected. Centres previously offering SGAs have been advised of all approvals granted on the basis of having previously certificated candidates for particular awards.

If you have any queries about Scottish Group Awards they should be raised in the first instance with Mary McArthur, e-mail: [mary.mcarthur@sqa.org.uk](mailto:mary.mcarthur@sqa.org.uk), or telephone: 0141-242 2315.



## 23 Project-based National Courses

This section provides guidance on when entries for Project-based National Courses, Unit results and other data need to be submitted to SQA in order to ensure certification by the required date. There is more detailed guidance in *Project-based National Courses: procedural guide for centres* (A1312, April 2001).

Note that we will accept entries for candidates who will require visiting assessment to take place outside Scotland, only if we can fully recover the costs incurred — the additional costs will not be met by SQA.

### 23.1 The PBNC cycles

To reflect the flexibility which these Courses require, SQA has established four separate cycles of PBNC procedures within a session, linked to completion months of August, November, February or May. These dates reflect delivery patterns.

Note that the dates contained in this document supersede those in *Project-based National Courses: procedural guide for centres* (A1312, April 2001). Note especially that the dates for Practical Assignment projects which require visiting assessment have been brought into line with the other types of PBNCs.

#### 23.1.a Candidate registration

As with all other qualifications, candidates must be registered with SQA before they can be entered for a PBNC. Full guidance of how to register candidates is contained in section 6 of this guide. You should ensure that candidate registrations have been successfully created before submitting entries.

#### 23.1.b Entries

The procedure for entering candidates for PBNCs and constituent National Units is much the same as that for other National Courses. The main difference is the significance of the completion date provided for each entry which will have implications for the certification date. For PBNC entries, one of the following completion months must be used: August, November, February, or May.

There is a full list of the PBNC entry codes in Appendix 2 of *Project-based National Courses: procedural guide for centres*.

Entering a candidate for the Course (C-code) automatically enters them for the external assessment (X-code). If you make a 'C' code entry for a candidate you must not make an 'X' code entry for the same Course.

### 23.1.c Key Dates 2004/05

Task	Course Completion Month			
	August 04	November 04	February 05	May 05
Issue of cumulative entries report by SQA	31 May 2004	1 September 2004	1 December 2004	1 March 2005
Final date for submission of entries (Courses & Units)	18 June 2004	17 September 2004	17 December 2004	18 March 2005
Issue of documentation (stationery, Forms Ex6, Estimate forms)	1 July 2004	1 October 2004	7 January 2005	1 April 2005
Visiting Assessment to take place for VA Type 2*	July 2004	October 2004	January 2005	April 2005
Issue of eligibility reports showing any missing Unit entries	15 July 2004	15 October 2004	14 January 2005	15 April 2005
Visiting Assessment to take place for VA Type 1	August 2004	November 2004	February 2005	May 2005
Last completion date for Units contributing to the Course	September 2004	December 2004	March 2005	June 2005
Final date for submission of projects to SQA for marking	3 September 2004	3 December 2004	4 March 2005	3 June 2005
Issue of eligibility reports showing missing Unit results	10 September 2004	10 December 2004	11 March 2005	10 June 2005
Final date for submission of completed Forms Ex6 (Visiting Assessment Types 1 & 2) and Estimate forms	17 September 2004	17 December 2004	18 March 2005	17 June 2005
Certification month	November 2004	February 2005	May 2005	August 2005
Submission date for requests for Appeals	19 December 2004	25 March 2005	24 June 2005	26 Aug 2005 (Higher) 16 Sept 2005 (Int 2)

\*For Visiting Assessment Type 2, the visit **must take place around one month prior to the completion date** since candidates should be allowed this amount of time to complete the Evaluation Report.

### **Change of assessment type**

Please note that the Assessment Type for C01T 11, Fabrication and Welding, has been changed from EM to VA1.

#### **23.1.d Submission of Unit results**

As with entries, the procedures for submitting Unit results is much the same as those which operate for other National Units. Please note from the table on the previous page the last completion date which should be indicated for Units in order to meet the various certification dates.

#### **23.1.e Submission of estimates**

Guidance on the submission of Estimates is provided in section 15 of this guide. The final dates for submission of estimates for each PBNC cycle is set out above. You are reminded that currently no estimates are required for PBNCs which are categorised as Assessment Types VA1 and VA2 — see *Project-based National Courses: procedural guide for centres* (A1312, April 2001).

### **23.2 Awards reporting**

The reporting of results to candidates and centres will follow much the same pattern as for question paper-based National Courses. Candidates will have their achievements recorded on the Scottish Qualifications Certificate.

### **23.3 Appeals**

It should be noted that the *Project-based National Courses: procedural guide for Centres* (A1312, April 2001) states that no assessment appeals will be permitted for PBNCs with assessment types VA1 and VA2. This policy is currently being reviewed as part of the wider review of PBNCs, and you will be notified in due course of any alterations to policy or procedures. In the meantime, centres wishing to dispute a decision by a Visiting Assessor should contact the Head of our External Assessment Unit (telephone: 0131-561 6853).

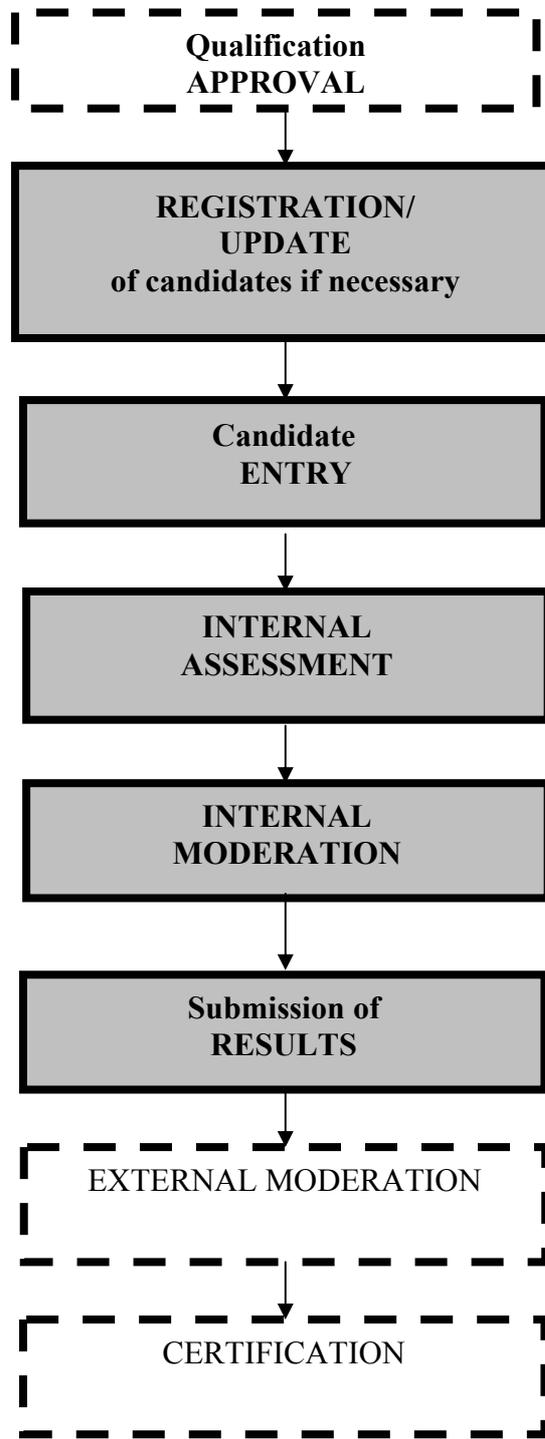
For those PBNCs which are submitted to SQA for external marking, you are reminded that centres may appeal on behalf of candidates who have received an award below that estimated, provided alternative evidence of the candidate's attainment can be submitted to support the appeal.



# **Higher National Qualifications**



# 24 The Route to Certification for Higher National Qualifications



SQA's responsibility: 

Centre's responsibility: 

**Please note:** On 14 March 2003, following extensive consultation and piloting, SQA approved new design principles for HNCs and HNDs. A five year revision plan was launched on 30 May 2003, details of which can be found on our website.

This means that during the next five years there will be a mixed economy of HNs devised under:

- ◆ Old design rules (agreed 1988)
- ◆ Pilot design rules (agreed 1998), and
- ◆ New design principles (agreed 2003)

Section 28 seeks to explain how this situation will be handled. However, the fundamental principle will be that candidates should be entered and results submitted for the HN Units and (for revised HNCs and HNDs) HN Graded Units (piloted as Integrative Assessments) for the Group Award for which they seek certification.

## Description of processes

### Qualification approval

Before attempting to enter candidates for a Higher National Qualification, you should ensure that your college has been approved to offer it. You can do this by accessing your college's approval records using SQA.net or by contacting the Approval Section on 0141-242 2122. If you find that you are not approved for a qualification, and want to enter candidates for it you should seek approval. Colleges that have devolved authority for approval can carry out this approval themselves. Colleges that do not have devolved authority for approval should apply to the Approval Section. For further information, see *Guide to Assessment and Quality Assurance for Colleges* (AA0841/3, August 2003).

### Registration

This is the process in which prospective candidates have their personal details and Scottish Candidate Number (SCN) recorded by the college, and this information passed to SQA. A candidate is registered *once*. You can check whether a candidate already has an SCN using SQA.net. (See section 6 for further information.)

### Entry

This is the process of telling SQA which candidates are doing what, where and when. It ensures that we identify the qualification and its level, the college's details, and when the qualification will be completed.

### Internal assessment

Assessment which is carried out by the college. For more information see the *Guide to Assessment and Quality Assurance for Colleges* (AA0841/3, August 2003).

### **Internal moderation**

Internal moderation is the quality assurance process carried out by the college to ensure that standards of delivery and assessment are being maintained within the college and over time.

### **Results**

The process by which colleges inform SQA of the results of internal assessment so that these may be added to the candidates' records.

### **External Moderation**

External moderation is the quality assurance process carried out by SQA to ensure that national standards in internal assessment are being maintained.

### **Certification**

The production and issue of certificates to candidates.



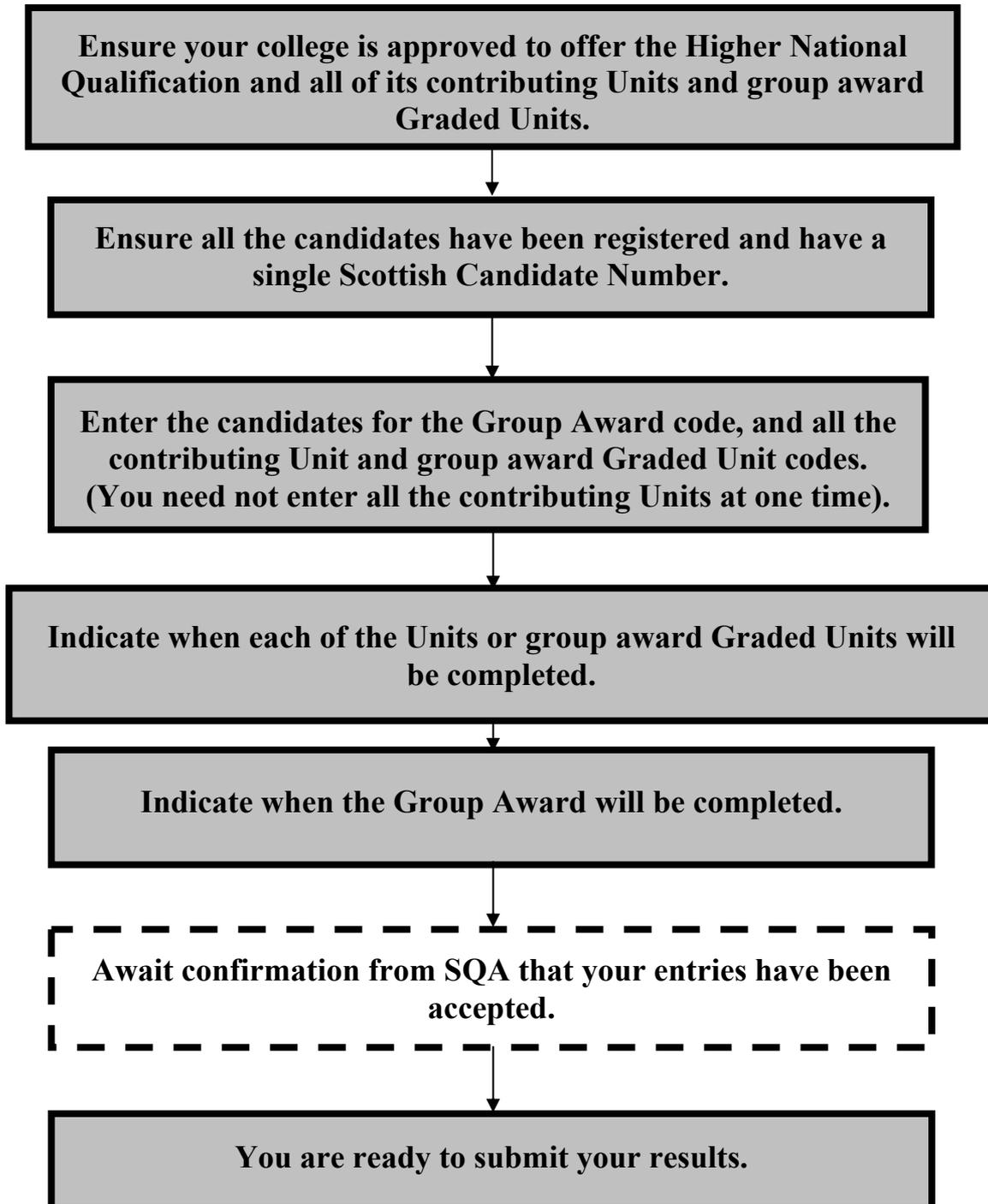
## 25 Candidate entry for Higher National Qualifications

‘Higher National Qualifications’ is the term used to cover Higher National Certificates, Higher National Diplomas, Higher National Units, Higher National Graded Units and Professional Development Awards such as Advanced Certificates, Diplomas and Advanced Diplomas.

The procedures for entering candidates for Higher National Qualifications are similar to those for entering candidates for National Qualifications, except that entries for both Higher National Units and group award Graded Units can be made at any time. In other words, there is no requirement for you to have entered candidates for these qualifications by a given date.

***Before you submit an entry, you must ensure that all candidates have been registered with a valid Scottish Candidate Number (SCN). In addition, you should ensure that the college has been approved to offer the relevant Higher National Qualification before attempting to enter candidates.***

## 25.1 How to enter candidates for Higher National Qualifications



SQA's responsibility



College's responsibility



## 25.2 How to submit candidate entries to us

The following guidelines should be noted:

- ◆ Entries cannot be submitted by candidates, but must come from the college.
- ◆ Identifying candidates — the candidate's personal details will have been submitted during the registration process, and will not be collected again. The only identifying information required for candidates at this stage is the name, the SCN and the date of birth.

Entries can be submitted either electronically using the approved file formats, or on the paper forms, Entry Creation Form EC01 or Candidate Registration/Entry Creation Form CRE01. Paper forms are also available as MS Word documents. These can be requested and returned (after completion) by e-mail to: **college.data.processing@sqa.org.uk**.

Details about electronic submission of data are contained in the Guide to Data Exchange.

We will accept entries for HNC/HNDs throughout the year, and are able to issue certificates on a weekly basis for candidates who have qualified.

Once they have been created, we will send you confirmation of your entries. At the same time we will inform you if there were any problems processing your data, tell you the nature of the problem and, where appropriate, how to resolve it.

Colleges in Scotland can also confirm candidate information held by SQA by logging onto SQA.net.

## 25.3 Higher National Qualifications — what information to supply

For Higher National Qualifications, each entry consists of an HN Group Award code, and the codes for the relevant contributing Units and group award Graded Units. You must provide details of the contributing Units the candidate will take — we cannot automatically enter candidates for Units based on Group Award entries, because most HNC/HNDs have options.

Enter the candidates for the Group Award, giving its code and its anticipated completion date (ie the date when the candidates are expected to have completed all of the contributing Units and are considered to have qualified for the Group Award itself). A completion date must be after the date an entry is created. The Group Award code consists of six characters, the last two digits indicating the level of the qualification (eg G16F 15, HNC Computing).

Also enter the candidate for the contributing Units and, and give the anticipated completion dates for each of these. Entries for the contributing Units do not have to be submitted at the same time as the entry for the Group Award.

You must indicate when each of the individual Units will be completed. As the completion date informs the timing of external moderation, it is important that you are as accurate as possible with these dates. External moderation will take place throughout the year and can be on both incomplete and complete evidence. By moderating incomplete evidence it is possible to spread moderation throughout the session and this gives colleges more time to amend results which may not have been accepted as a result of moderation.

Although the Unit entries contribute to the Group Award, they will not carry the same classification code as the HNC itself. This is because these Units could contribute to other Group Awards (such as an HND).

It should be noted that for Group Awards the completion date cannot be more than four years in advance, and for Units it can be no more than two years in advance. For example, a Group Award entry created on 15 November 2005 could have a completion date up to October 2009. A Unit entry created on 15 November 2005 could have a completion date up to October 2007. A completion date cannot exceed the qualifications finish date.

Requests to update completion dates must be submitted on file or on Form EU00/EU01 to College Data Processing or by e-mail to: [college.data.processing@sqa.org.uk](mailto:college.data.processing@sqa.org.uk).

## 25.4 Free-standing Units

Some candidates might undertake individual free-standing Units, without embarking on an HN Group Award. Others might choose to do individual Units which will contribute to a Group Award in future years. We will accept entries for free-standing Units throughout the year.

You must indicate when the individual Units will be completed. The completion date is used to arrange visiting moderation, so it is important that you are as accurate as possible with each date.

## 25.5 Duplicate entries — how we deal with them

If we receive an entry for a Higher National Certificate, Higher National Diploma, or Higher National Unit for which we already have an open entry for that candidate, from another centre, we will withdraw the original entry and create the new entry. If the second entry is from the same centre as the original entry, we will reject the second entry.

## 25.6 Changing level of entry

You can change a candidate entry from HNC to HND. To do this you must withdraw the candidate from the HNC and enter the candidate for the HND. The full cost of the HND will be charged. If a candidate who was entered for an HND wishes to be certificated for the appropriate HNC instead, you must enter the

candidate for the HNC. If all the component Units and group award Graded Units of the HNC are already entered, an administration fee will be charged. Otherwise, the full cost of the HNC will be charged.

## 25.7 What we do with the information you send us

When entry information is submitted to us it will be created on our Awards Processing System. After we have processed it, we will send you a processing report.

You should check this report against your own records to ensure that the information we hold is accurate. The information can also be checked using SQA.net.

***If we do not hear from you within 10 working days of the date of issue of this report we will assume that have no queries regarding the entries data we hold, and that it is complete and accurate.***

## 25.8 Checks and error reports

The details you submit will be subject to a number of checks to ensure that they conform to rules we have put in place. If any of the submissions fails these checks, errors, highlighting the reason for the rejection, will be sent to you for resolution. If you receive errors you will need to review the cases highlighted, and re-submit the information for the candidate(s) concerned. We will then process the updated information on receipt, subjecting it to the same checks as the original submission.

Please do not submit entries until you are sure that the registration is in place. Similarly, do not submit results data for candidates until you have received confirmation from us that the entry information has been successfully created. Any information processed in the wrong order will generate errors and increase your workload.

We will provide exactly the same type of reporting system to you for updates to entry information.



## 26 **Assessment arrangements for candidates with additional support needs**

Candidates with additional support needs may need particular assessment arrangements. These may be permitted for both internally-assessed and externally-assessed qualifications and components of qualifications. Please contact the Assessment Arrangements team if you have any queries.

Requests for assessment arrangements for the 2005 examination diet should be submitted to our Assessment Arrangements Section by **17 December 2004**, at the latest.



## 27 Submission of Higher National Unit Results

### 27.1 General

You can submit entries and results throughout the year for Higher National Units. For unrevised HN Units (ie those written under the 1988 rules), results will be Merit, Pass or Fail. For revised HN Units (ie those written under the Pilot 1998 rules or new design principles 2003 rules), they will be Pass or Fail. For Graded Units results will be A, B, C or Fail.

**Please note that results are not required for Group Awards, only for the individual Units.**

You must provide a result for all candidates by the completion date of the Group Award. Remember that, to receive a Group Award, candidates must achieve a Pass (or Merit where appropriate) in all of the contributing Units, or an A, B or C in contributing Graded Units of the HNC/HND.

Remember that all Unit assessments are subject to SQA's quality assurance procedures. If a Unit is selected for External Moderation, results remain provisional until completion of the moderation process.

### 27.2 Completion dates and results

As the completion date approaches, you must decide whether or not your candidates are still on target to meet the date. If candidates will not complete the Unit by this date, or shortly thereafter, please notify us of the change to the completion date on file or using the **Entry Update Form (EU00/EU01)**.

### 27.3 Withdrawing from Group Awards/Units

You can make a withdrawal from a Unit, group award Graded Unit or Group Award electronically or by using the form **Entry Update Form (EU00/EU01)**.

Please advise us as soon as you are aware that a candidate is no longer following a Group Award or Unit or Graded Unit. This will ensure that we will not spend our time looking for results that do not exist, or waste your resources by asking you to check up on what has happened to the candidate.

## **27.4 Results submission deadline**

For all Units with a completion date of July or earlier, you have until **30 September** to provide outstanding results. After 30 September 2005, all outstanding results will be changed to withdrawals.

## 28 The Higher National Qualifications Review

New design principles for HNCs and HNDs were agreed by SQA's Qualifications Committee on 14 March 2003. Details of the new design principles can be found on SQA's website ([www.sqa.org.uk](http://www.sqa.org.uk)). The main implication for college operational procedures relates to entering for group award Graded Units ('Integrative Assessments' as they were known during the pilot phase of the HN Review) and submitting results for them (A, B, C, Fail or Withdraw) and for revised Higher National Units (Pass, Fail or Withdraw).

A schedule for the revision of all consortium developed HNC/Ds can be found on the website. We aim to have all consortium developed HNC/Ds revised by 2006 and for all specialist collaborative/single centre HNC/Ds to have been revised by 2008. During this five year period there will be a mixed economy of HN qualifications — some revised, some unrevised. Some revised HNC/Ds may include unrevised Higher National Units. Qualifications Development Teams will publish guidance on the credit transfer possibilities between unrevised and revised Higher National Units and Group Awards. Nevertheless, special care should be taken to make sure that candidates are entered and results submitted for the Higher National Units and group award Graded Units (if appropriate) needed for the Group Award to which they have been entered.

Meanwhile, candidates will continue to be entered and results submitted for HNC/Ds developed under the pilot processes which led up to the new design principles.

The three new qualification types which were piloted are set out below along with their qualification type codes:

**Higher National Group Award** — Pilot HN-P

**Higher National (Integrative Assessments)** — these have been renamed group award *Graded Units* HN-Uia

**Higher National (Pilot Units) HN-Up** — for the sake of simplicity all HN Units revised under the new design principles will continue to be referred to as the product type HN-Up

A pilot Group Award, HN-P, can be made up of either:

- ◆ Higher National pilot Units and Higher National Integrative Assessments
- or
- ◆ a combination of existing (ie unrevised or old format) Higher National Units (which require candidates to be given the opportunity to be assessed against merit criteria) and Higher National pilot Units and Higher National Integrative Assessments

Similarly, HNC/Ds revised under the new design principles can be made up of:

- ◆ Higher National revised Units and Higher National group award Graded Units  
or
- ◆ a combination of existing (ie unrevised, or old-format) Higher National Units (which require candidates to be given the opportunity to be assessed against merit criteria) and Higher National revised or pilot Units and Higher National Graded Units (formerly Integrative Assessments)

**Permitted Results for pilot Higher National Units or those revised under the new design principles:**

You must provide a result of Pass, Fail or Withdrawn (Merit will **not** be accepted).

**Permitted Results for Integrative Assessments (now called group award Graded Units)**

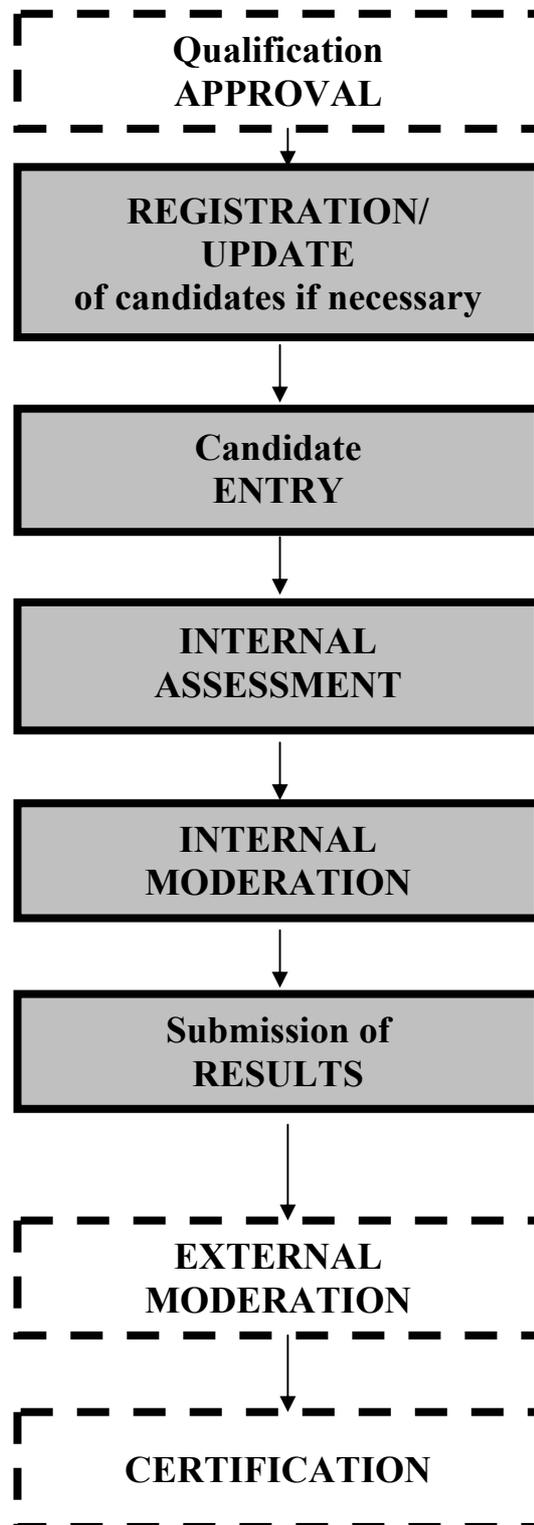
You must provide a result of A, B, C, Fail or Withdrawn for the Integrative Assessment or group award Graded Unit.

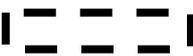
For further information on the HN Review Project please see SQA's website.

# **Scottish Vocational Qualifications**



# 29 The Route to Certification for Scottish Vocational Qualifications



SQA's responsibility: 

Centre's responsibility: 

## Description of processes

### Qualification approval

Before attempting to enter candidates for an SVQ, you should ensure that your college has been approved to offer it. You can do this by accessing your college's approval records using SQA.net or by contacting the Approval Section on 0141-242 2122. If you find that you are not approved for a qualification, and want to enter candidates for it, you should seek approval. Although you may have devolved authority to approve yourself to deliver qualifications, you should note that some SVQs require specific approval from SQA. These are referred to as 'non-devolvable', and details will be found in the current version of the publication *SVQ Update* (DD078).

### Registration

The process in which prospective candidates have their personal details and Scottish Candidate Number (SCN) recorded by the college, and this information passed to SQA. A candidate is registered *once*. You can check whether a candidate already has an SCN using SQA.net.

### Entry

The process of telling SQA which candidates are doing what, where and when. This is to ensure that we identify the qualification and its level, the college's details, and when the qualification will be completed. The Group Award entry also includes the completion dates of both the Group Award and the individual Units.

### Internal assessment

Assessment which is carried out by the college. For more information see the *Guide to Assessment and Quality Assurance for Colleges* (AA0841/3, August 2003).

### Internal verification

Internal verification is the quality assurance process carried out by the college to ensure that standards of delivery and assessment are being maintained within the college and over time. This is the same process as internal moderation.

### Results

The process by which colleges inform SQA of the results of internal assessment so that these can be added to the candidates' records.

### External verification

External verification is the quality assurance process carried out by SQA to ensure that national standards in internal assessment are being maintained. This is the same process as external moderation.

### Certification

The production and issue of certificates to candidates.

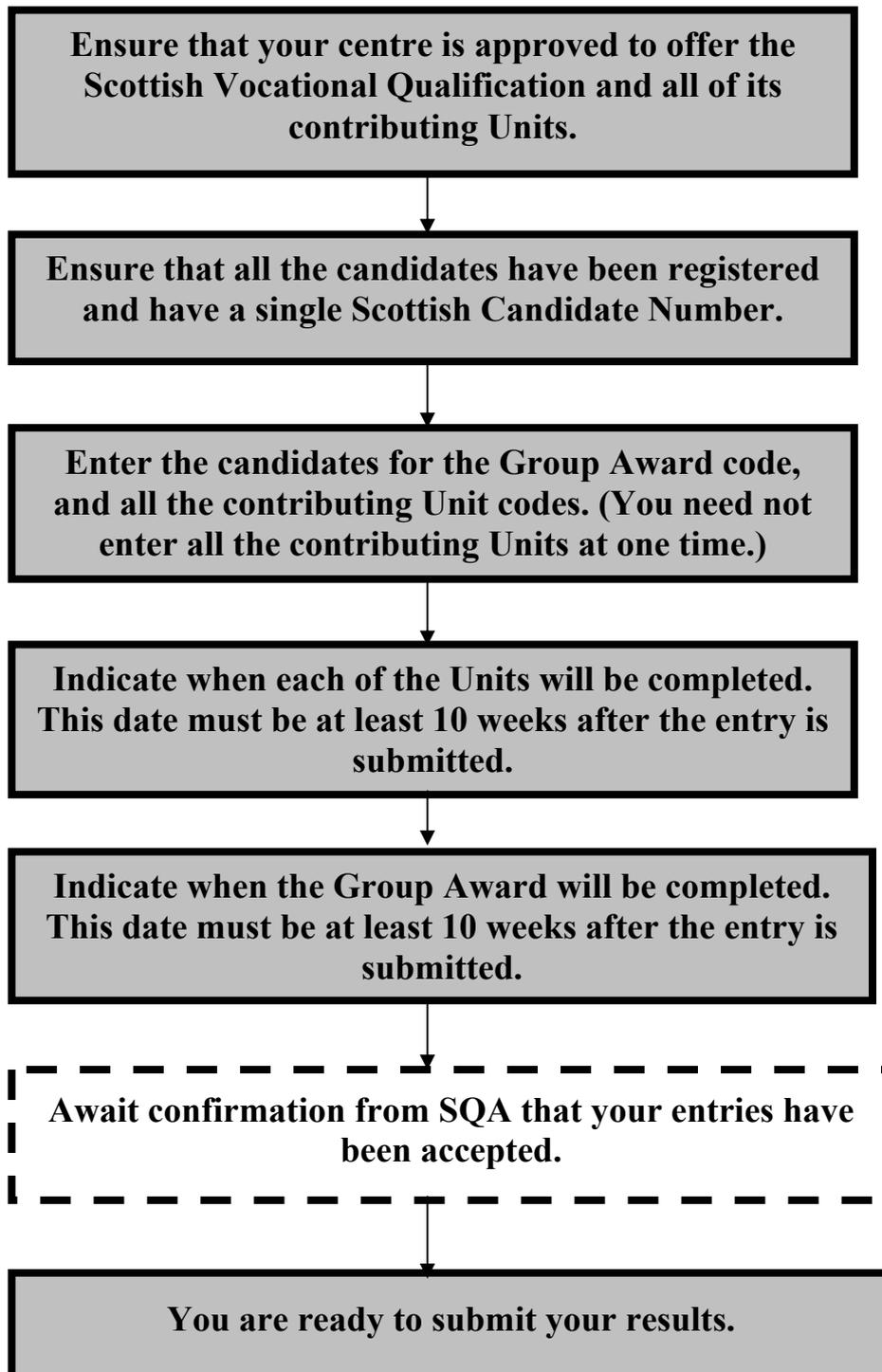
## 30 Candidate entry for Scottish Vocational Qualifications

This section of the guide provides an overview of SQA's processing system for Entries for Scottish Vocational Qualifications. It highlights key steps and key messages. It details the procedures which are in place to improve the communication and data flow between ourselves and colleges.

***Before you submit an entry you must ensure that all candidates have been registered with a valid Scottish Candidate Number (SCN) — see section five of this guide. In addition, you should ensure that the centre has been approved to offer the relevant SVQ before attempting to enter candidates.***

A full list of available SVQs is published each quarter in *SVQ Update* (DD078).

## 30.1 Entering candidates for Scottish Vocational Qualifications



SQA's responsibility



Centre's responsibility



## 30.2 How to submit candidate entries to us

‘Entry’ is the process of telling us which candidates are doing what, where and when.

The following guidelines should be noted:

- ◆ Entries cannot be submitted by candidates — they must come from the centre.
- ◆ Identifying candidates — the candidate’s personal details will have been submitted during the registration process, and will not be collected again. The only identifying information required for candidates at this stage is the name, the SCN and the date of birth.

Entry information can be submitted to us either electronically using the approved file formats or on the appropriate paper forms. Completed forms should be sent to College Data Processing, Scottish Qualifications Authority, Hanover House, 24 Douglas Street, Glasgow G2 7NQ.

Our standard entry and results forms are also available as an MS Word document from SQA. These forms can be requested, completed and returned to SQA by e-mail to: [college.data.processing@sqa.org.uk](mailto:college.data.processing@sqa.org.uk).

Details about electronic submission of data are contained in the Guide to Data Exchange.

We will accept entries for SVQs throughout the year, and we are able to issue certificates on a weekly basis for candidates who have qualified.

**All SVQ candidates must be entered with us before the lapsing period:**

Levels 1 and 2	two years before finish date
Levels 3	three years before finish date
Levels 4 and 5	four years before finish date

**Entries which fall within the lapsing period will be rejected.**

Once they have been created, we will send you confirmation of your entries. At the same time we will inform you if there were any problems processing your data, tell you the nature of the problem and, where appropriate, how to resolve it.

## 30.3 SVQs — what information to supply

For SVQs, each entry consists of an SVQ Group Award code and the codes for the contributing Units. We cannot automatically enter candidates for the Units because many SVQs have options.

Enter the candidates for the Group Award code, and its anticipated completion date. The completion date for the Group Award is the date when the candidates are expected to have completed all of the contributing Units.

The Group Award code consists of six characters — the first four characters identify the title of the qualification and the last two digits indicate the level (eg G2YW 22, SVQ in Extensive Crop Production, level 2).

Enter the candidate for the contributing Units to be undertaken by the candidate, and, if they differ from the completion date of the Group Award, the predicted completion dates for each of the Units. Entries for all the contributing Units do not have to be submitted at the same time as the entry for the Group Award.

Although the Unit entries contribute to the Group Award, they will not carry the same level (ie the last two digits) as the SVQ itself. This is because these Units could contribute to other Group Awards, such as an SVQ at a higher level.

If you are using the combined Candidate Registration/Entry Creation Form CRE01, it is important that you tick the appropriate box at the top of the form to identify whether the form is being used to:

- ◆ register and enter a new candidate
- ◆ enter an existing candidate
- ◆ amend a candidate's registration details

## 30.4 Completion dates

It is a requirement for SVQs that a period of at least **10 weeks** elapses between an entry being created and the SVQ being certificated. This is to allow the awarding body time for external verification of the completed qualifications. Accreditation bodies have ruled that we must operate like all other SVQ and NVQ awarding bodies in this respect.

It should be noted that for Group Awards the completion date cannot be more than five years in advance, and for Units it can be no more than two years in advance. For example, a Group Award entry created on 15 November 2005 could have a completion date up to October 2010. A Unit entry created on 15 November 2005 could have a completion date up to October 2007. A completion date cannot exceed the qualification's finish date.

Requests to update completion dates must be made on file or using Form EU00/EU01 submitted to College Data Processing or by e-mail to:  
**college.data.processing@sqa.org.uk.**

## 30.5 Free-standing Units

Some candidates may wish to undertake individual free-standing Units, without embarking on an SVQ. Others may choose to do individual Units which will contribute to an SVQ in future years. We will accept entries for free-standing Units throughout the year.

You must indicate when the individual Units will be completed. As with SVQ entries, a period of at least **10 weeks** must elapse between the entry being created and being certificated.

## 30.6 Duplicate information — how we will deal with it

If we receive an entry for an SVQ or Scottish Vocational Unit for which we already have an open entry for that candidate, from another centre, we will withdraw the original entry and process the new entry. If the second entry is from the same centre as the original entry, the second entry will be rejected.

## 30.7 What we do with the information you send us

After we have processed the entry information, we will send you a processing report.

You should check this record against your own information to ensure that it is accurate.

***If we do not hear from you within 10 working days of the date of issue of this report, we will assume that you have no queries regarding the entries data that we hold, and that it is complete and accurate.***

## 30.8 Checks and error reports

The details will be subject to a number of checks to ensure that they conform to rules we have put in place. If any of the submissions fails these checks, an error report, highlighting the reason for the rejection, will be sent to you for resolution. If you receive errors, you will need to review the cases highlighted and re-submit the information for the candidate(s) concerned. We will then process this updated information, subjecting it to the same checks as the original submission.

Please do not submit entries until you have received confirmation from us that all necessary registrations and updates have been processed, unless you are using the combined Candidate Registration/Entry Creation Form CRE01.

Similarly, please do not submit results data for candidates until you have received confirmation from us that the entry information has been successfully created. Information processed in the wrong order will generate errors and increase your workload.

We will provide the same type of reporting system to you for updates to entry information.



## 31 **Assessment arrangements for candidates with additional support needs**

Candidates with additional support needs may need particular assessment arrangements. These may be permitted for both internally-assessed and externally-assessed qualifications and components of qualifications. Please contact the Assessment Arrangements team if you have any queries.

Requests for assessment arrangements for the 2005 examination diet should be submitted to our Assessment Arrangements Section by **17 December 2004**, at the latest.



## 32 Candidate results for Scottish Vocational Qualifications

### 32.1 Submission of Unit Results

You can submit entries and results (ie Pass or Fail) throughout the year for Scottish Vocational Qualifications.

**Please note that results are not required for Group Awards, only for the individual Units.**

You must provide a result of Pass or Fail for all candidates by the completion date of the SVQ (though completion dates can be updated — see 32.2). Remember that, to receive an SVQ, candidates must achieve a pass in all of the contributing Units of the SVQ.

Remember that all Unit assessments are subject to SQA's quality assurance procedures. If a Unit is selected for external verification, results remain provisional until completion of the verification process.

### 32.2 Completion dates and results

You should submit completion dates that are as accurate as possible. As the completion date approaches, you must decide whether or not your candidates are still on target to meet the date. If candidates will not complete the Unit by this date or shortly thereafter, please notify us of the change to the completion date on file or using the **Entry Update Form (EU00/EU01)**.

#### 32.2.a Withdrawing from SVQs/Units

You can make a withdrawal from a Unit or Group Award electronically or by using **Form EU00/EU01 — Entry Update**.

Please advise us as soon as you are aware that a candidate is no longer following a Group Award or Unit. This will ensure that we will not spend our time looking for results that do not exist, or waste your resources by asking you to check up on what has happened to the candidate.



# Appendix 1: Further guidance

The following publications, most of which are referred to in this guide, give further details and subject-specific information on our procedures. These are available from SQA's Customer Contact Centre (telephone: 0845 279 1000 or e-mail: [customer@sqa.org.uk](mailto:customer@sqa.org.uk)). Please quote the publication code when ordering.

*An Introduction to the Scottish Credit and Qualifications Framework*  
(AE1243/2, May 2003)

*Appeals: how the system works* (BA1879, June 2003)

*Catalogue of Core Skills in National Qualifications 2001/02*  
(BA0906, August 2001)

*Catalogue of Higher National Units Session 2003/2004* (CA0380, March 2004)

*Catalogue of National Qualifications Session 2004/2005* (BA0788, June 2004)

*Conditions and Arrangements for National Qualifications 2004/2005*  
(BA0828, to be issued early September 2004)

*Crediting Learning – Understanding Qualifications: Introducing the new Scottish Credit and Qualifications Framework — An Initial Guide for Employers*  
(AD1432/3, April 2003)

*Estimates, Absentees and External Assessment Appeals: guidance on evidence requirements* (BA0992/3, April 2004)

*Guidance on Assessment Arrangements for Candidates with Additional Support Needs* (BA2399, due 2004)

*Guide to Assessment and Quality Assurance for Colleges*  
(AA0841/3, August 2003)

*Guide to Internal Moderation for SQA centres* (AA1453, December 2001)

*Instructions for Submission of Assessment Appeals* (August 2002)

*Managing Scottish Group Awards: Information for senior managers in colleges*  
(A1033, March 2000)

*National Qualifications Session 2004/2005 CD-ROM* (BA1351, June 2004)

*Project-based National Courses: procedural guide for centres* (A1312, April 2001)

*SCQF Update 3* (AD2030, January 2004)

*The Appeals Process: a handbook for centres* (AA0690/4, May 2004)



## Appendix 2: National Qualifications — Calendar of key dates for colleges 2004/05

The submission dates set out below, especially for entries and Unit Results, reflect the position for mainstream candidates — we would hope that the majority will fall into this category. We do, however, recognise that there may be instances where these dates cannot be met. In such cases, SQA will endeavour to accommodate the late submission of data, but this can only be achieved if the vast majority of entries and Unit results are submitted by the stated deadlines. For late entries, we will not be able to draw on information to establish requirements for question papers or markers, and colleges will not be offered the necessary quality assurance checks available to those entries which meet the schedule. Colleges should use SQA.net to satisfy themselves that late entries and Unit Results have been received by us and successfully processed.

Action Date	Activity
<b>Late August 2004</b>	Provision of reference data (by e-mail) to colleges by SQA. Reference data will also be issued to colleges' MIS suppliers. <i>This enables colleges to update their MIS files to reflect current approval status.</i>
<b>26 August 2004</b>	Issue of 2005 Examination Timetable by SQA.
<b>Before submitting entries</b>	The college should establish whether each candidate has an SCN, and if not, register with SQA. SCNs should be checked using SQA.net. Within 10 working days SQA will process the registrations and send: ♦ a processing report This ensures that candidates are registered prior to the submission of entries. Allows for checks to see whether or not a candidate has already been registered with SQA.

Action Date	Activity
<b>Before submitting entries (cont)</b>	<p>Colleges should seek and gain approval to offer any Courses/Units for which certification is required in August 2005 (and in any case by no later than <b>26 November 2004</b>).</p> <p><i>Colleges should ensure that they are approved to offer appropriate qualifications before submitting entries. If a college is not approved to offer a qualification the entry will be rejected.</i></p>
<b>1 September 2004</b>	<p>Assessment arrangements for candidates with additional support needs e-mail issued to SQA Coordinators with link to instructions and electronic submission form on SQA's website.</p>
<b>Early September 2004</b>	<p>SQA will provide to details to centres of Invigilators appointed in 2004 on Forms INV A and INV B. These should be used to confirm or amend the details of the persons to be appointed for the 2005 examination.</p>
<b>24 September 2004</b>	<p>Centres should return Forms INV A and INV B detailing Invigilator nominations to SQA</p>

Action Date	Activity
<p><b>4 October 2004– 26 January 2005</b></p>	<p>The college should provide entry information, ideally on a continuous basis and at the earliest possible date within this period, on Courses, Units and, where appropriate, external assessments. In each case, level and completion date must be specified. Entries should not be submitted until any new registrations have been confirmed as having been created successfully.</p> <p>Within 10 working days SQA will progress the entries and send:</p> <ul style="list-style-type: none"> <li>◆ a processing report</li> </ul> <p>Note: If Units contribute to a National Course then at least one of the Units requires a completion date of <b>March 2005*</b>.</p> <p>Centres may also be selected for moderation of Units with completion dates other than March 2005 and should therefore ensure candidate evidence is retained for three weeks after the completion date entered on the SQA system.</p> <p>*Units with a March 2005 completion date may be subject to central moderation in April 2005. Colleges which are selected for moderation will be required to submit completed candidates' evidence on <b>23 March 2005</b>, and should therefore aim to complete all assessment and internal moderation of these Units by mid March 2005.</p> <p><i>We need an early indication of entries to ensure that appropriate numbers of markers can be appointed and question papers produced. It also allows adequate time for the identification and resolution of any queries or errors in data submissions.</i></p>
<p><b>Early November 2004</b></p>	<p>SQA will issue invitations to Markers for the 2005 examination. Invitations will contain Markers' Meeting details.</p> <p><i>Centres are requested to grant leave of absence to any member of staff to attend Markers' Meetings during normal working hours.</i></p>

Action Date	Activity
<b>By 17 December 2004</b>	Last date for submission of requests for assessment arrangements for candidates with additional support needs. Colleges should have sought and gained approval to offer any Courses/Units for which certification is required in August 2005.
<b>28 January – 18 June 2005</b>	From this date SQA will, on a monthly basis, send out Course Entry Eligibility Reports linking Units to Course entries. We will ask you to confirm receipt of these reports. Cumulative information on entries is available via SQA.net. <i>This will allow colleges to check to ensure that the entries data held by SQA is correct and to submit any necessary amendments.</i>
<b>28 January 2005</b>	Deadline for submission of withdrawals for National Qualifications without incurring an entry charge.
<b>9 February 2005</b>	SQA will issue forms to collect Estimates and Internal Assessments for Standard Grade Drama and Physical Education.
<b>Mid February 2005</b>	SQA will issue stationery for the submission of all externally assessed coursework. <i>This will allow colleges sufficient time to collate and package materials ready for submission to SQA by the due dates. There will be supplementary issues to deal with any late entries.</i>

Action Date	Activity
<p><b>By 24 February 2005</b></p>	<p>Colleges should ensure that candidates are entered for the correct National Qualifications at the appropriate levels and advise SQA of any necessary changes to Course level or Unit level.</p> <p><i>By this date we would expect that entry requirements would have been determined for nearly all candidates. Entries at this date will be reflected in the various reports and forms to be issued during March.</i></p> <p>SQA will issue Moderation Selection Report MS01 which details Central Moderation selections for the April/May events, together with the associated flyleafs and stationery for Standard Grade and National Units and Courses.</p> <p><i>Centres will only receive flyleafs and associated stationery for those Units and Courses which are selected for central moderation.</i></p> <p>Colleges should inform SQA of any alternative accommodation arrangements for candidates.</p> <p><i>This will ensure that the necessary practical arrangements can be made prior to the examination.</i></p> <p>Centres should pass accommodation arrangements information to the Chief Invigilator.</p> <p><b>This will allow Chief Invigilators to identify invigilation requirements and arrange/advise invigilators of their duties.</b></p>

Action Date	Activity
<b>By 2 March 2005</b>	SQA will issue forms to collect Estimates and Internal Assessment Grades for Standard Grade Courses and Estimates for National Courses (note that Estimates can be submitted electronically for NCs but not for Standard Grade).
<b>Early March 2005</b>	SQA will issue Forms Ex6 for submission of Standard Grade coursework (Administration, Art & Design; Classical Greek; English; Gàidhlig; Modern Languages; and Latin). <i>These forms should accompany the coursework to be submitted by 23 March.</i>
<b>23 March 2005</b>	Submit Estimates and internal assessment grades for all Standard Grade subjects with the <b>exception</b> of Art & Design; Craft & Design; Gaelic; Gàidhlig; Music; and Modern Languages.  Submit Standard Grade coursework for assessment.  Selected centres should submit central moderation material for Standard Grade, National Units and designated National Courses, as detailed in the Moderation Selection Report MS01 — issued to centres on 24 February.  <i>This enables SQA to begin results processing and allows for moderation procedures to take place. Externally assessed coursework is marked prior to the main diet.</i>
<b>Up to 31 March 2005</b>	New Course entries or amendments are possible without late entry charge. Entries or changes of level processed after 31 March will be subject to a late entry charge so centres should submit data in advance of this date.  <i>Any entries or amendments processed after this date will not have been reflected in the completion reports or coursework materials issued to colleges in early April.</i>

Action Date	Activity
<b>31 March 2005</b>	SQA will issue Internal Assessment Mark forms for National Courses (where appropriate).
<b>Early April 2005</b>	SQA will issue Forms Ex6 for submission of coursework for National Courses
<b>4 April 2004</b>	Chief Invigilators submit Form INV C to SQA, identifying provisional invigilation requirements.
<b>Mid April 2005</b>	SQA will issue examination stationery for main diet.
<b>15 April 2005</b>	Deadline for submission of estimates for all National Courses (if these are being submitted on paper forms). <i>This allows us to begin the data entry process, validate the submissions and identify missing or incomplete returns.</i>
<b>19 April 2005</b>	SQA will issue additional Internal Assessment Mark forms for National Course subjects (where applicable).

Action Date	Activity
<b>28 April 2005</b>	<p>Electronic formats only — submit estimates for all National Courses (note earlier submission date if paper forms are being used).</p> <p>Submit Estimates and internal assessment grades for Standard Grade Art &amp; Design; Craft &amp; Design; Gaelic; Gàidhlig; Music; and Modern Languages.</p> <p>Submit internal assessment marks for National Course subjects except Engineering: Applied Practical Electronics (Int 1); Engineering Craft Skills (Int 1, Int 2); Hospitality (Int 2, H); Personal and Social Education (Int 1, Int 2, H); Woodworking Skills (Int 1, Int 2).</p> <p>Submit coursework (where required) for National Courses for external assessment (except Art and Design AH).</p> <p>Selected centres submit central moderation material for designated National Courses (May completion date), as detailed in Moderation Selection Report MS01 issued on 24 February 2004.</p> <p><i>These submissions are required at the end of April to allow for data processing to commence, assessment moderation to be conducted and coursework marking to be completed before the main examination diet. Note that, unless stated otherwise, estimates and internal assessments should be submitted on paper forms.</i></p> <p>SQA will issue report with details of missing National Course Estimates</p> <p><b>This will list candidates who: will not be included in the derived grades procedure; will be ineligible for Absentee consideration; and who will be ineligible for appeals consideration.</b></p>
<b>End April 2005</b>	SQA will issue main diet Attendance Registers (Ex6s).
<b>3 May-10 June 2005</b>	<p>NQ diet of examinations.</p> <p>Submission of requests for Absentee consideration (within seven days of the exam concerned at the latest).</p>

Action Date	Activity
<b>4 May 2005</b>	<b>Final</b> deadline date for submission of any necessary changes to estimates using the Estimate-Amendment form.
<b>11 May 2005</b>	<b>Final</b> date for submission of internal assessment marks for National Courses in Engineering: Applied Practical Electronics (Int 1); Engineering Craft Skills (Int 1, Int 2); Hospitality (Int 2, Higher); Personal and Social Education (Int 1, Int 2, Higher); Woodworking Skills (Int 1, Int 2).
<b>10 June 2005</b>	<p><b>Final</b> date for submission of Unit Results.</p> <p><b>Final</b> date for submission of changes to internal assessment marks and Unit results (changed as a result of moderation).</p> <p><b>Final</b> date for submission of candidate address changes.</p> <p><i>No guarantee can be given that Unit Results and changes received after this date will be processed in time to be included in the August certification process.</i></p>
<b>17 June &amp; 15 July 2005</b>	<p>SQA will issue reports including details of missing Unit entries and results, and missing internal assessment marks for Courses. These reports will require <b>action</b>. We will ask you to confirm receipt, completeness and accuracy of the reports.</p> <p><i>Any missing data will impact on certification. Incomplete Unit profiles will mean that candidates are ineligible for National Course awards; the absence of internal assessment marks will mean that candidates do not receive appropriate credit for this component of the examination, nor will they be eligible for appeals consideration.</i></p>
<b>6 August 2005</b>	NQ results data issued to colleges in an electronic format.
<b>9 August 2005</b>	NQ results summary received by colleges (paper version).
<b>From 10 August 2005</b>	Candidates to receive notification of NQ results.

Action Date	Activity
<b>12 August 2005</b>	Issue of Appeals Request Form and associated stationery to colleges (for submission of Stage 1 Appeals).
<b>18 August 2005</b>	SQA to issue details of outstanding results for Units with completion dates up to July 2005.
<b>26 August 2005</b>	Last date for receipt of Stage 1 Appeals.
<b>2 September 2005</b>	Issue of Stage 1 Appeals confirmation report. Issue of Appeals Request Form and associated stationery to colleges (for submission of Stage 2 Appeals). Centres to submit outstanding results for Units with completion dates up to July 2005.
<b>16 September 2005</b>	Last date for receipt of Stage 2 Appeals.
<b>20 September 2005</b>	Issue of urgent Appeals results.
<b>23 September 2005</b>	Issue of Stage 2 Appeals confirmation report.
<b>27 September 2005</b>	Issue of Stage 1 Appeals results to colleges with feedback.
<b>11 November 2005</b>	Issue of Stage 2 Appeals results to colleges with feedback.
<b>Late November 2005</b>	Issue of post-Appeals Statement of Results to colleges (electronic and paper versions) and Standard Grade overall awards report. Issue of revised SQCs to candidates.
<b>*Results for Units should normally be submitted within the calendar month following the completion date. Centres not submitting the Unit Results within this timescale will be contacted. Where completion dates change, please inform us so that we can ensure prompt certification.</b>	

## **Appendix 3: Subject-specific submission deadlines**

This appendix gives a listing of subject-specific submission dates for National Qualifications. This listing replaces the 'Head of Centre Guide' which was formerly issued each year.



Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
All Standard Grade courses except Art and Design; Craft and Design; Gaelic (Learners); Gàidhlig; Music; and Modern Languages	Standard Grade	Estimates	23 March	—
	Standard Grade	Estimates	28 April	—
All Intermediate 1, Intermediate 2, Higher and Advanced Higher Courses	Intermediate 1	Estimates (on paper forms)	15 April	—
	Intermediate 2	(Note: No estimates required for Engineering Craft Skills and Woodworking Skills) Estimates (disk or electronic)	28 April	—
		Estimates (on paper forms)	15 April	—
	Higher	(Note: No estimates required for Engineering Craft Skills and Woodworking Skills) Estimates (disk or electronic)	28 April	—
		Estimates (on paper forms)	15 April	—
	Advanced Higher	Estimates (disk or electronic)	28 April	—
		Estimates (on paper forms)	15 April	—
	All Intermediate 2 and Higher Courses	Estimates (disk or electronic)	28 April	—
		Attendance registers and project materials	4 March	Externally Assessed
		Attendance registers	18 March	Visiting Examining type VA1 — to be completed by 28 February
Attendance registers		18 March	Visiting Examining type VA2 — to be completed by 31 January	
Estimates		18 March	—	
Attendance Registers and project materials		3 June	Externally Assessed	
All Project-based National Courses with completion date of February 2005	All Intermediate 2 and Higher Courses	Attendance Registers	17 June	Visiting Examining type VA1 — to be completed by 31 May
		Attendance Registers	17 June	Visiting Examining type VA2 — to be completed by 30 April
		Estimates	17 June	—
All Project-based National Courses with completion date of May 2005	All Intermediate 2 and Higher Courses	Attendance Registers	17 June	Visiting Examining type VA1 — to be completed by 31 May
		Attendance Registers	17 June	Visiting Examining type VA2 — to be completed by 30 April
		Estimates	17 June	—

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
All Project-based National Courses with completion date of August 2005	All Intermediate 2 and Higher Courses	Attendance Registers and project materials	2 September	Externally Assessed
		Attendance Registers	16 September	Visiting Examining type VA1 — to be completed by 31 August
		Attendance Registers	16 September	Visiting Examining type VA2 — to be completed by 31 July
		Estimates	17 September	—
All Project-based National Courses with completion date of November 2005	All Intermediate 2 and Higher Courses	Attendance Registers and project materials	2 December	Externally Assessed
		Attendance Registers	16 December	Visiting Examining type VA1 — to be completed by 30 November
		Attendance Registers	16 December	Visiting Examining type VA2 — to be completed by 31 October
		Estimates	17 December	—
Accounting and Finance	Standard Grade	Practical Abilities and Internal Assessment Grades	23 March	Central Moderation
Administration	Standard Grade	Attendance Register and Practical Abilities Tasks	23 March	Externally Assessed
	Advanced Higher	Attendance Register and Reports	28 April	Externally Assessed
	Intermediate 1	External Assessment Project	15 May	Visiting Moderation 16 May–27 May
Applied Practical Electronics	Standard Grade	Attendance Register and Critical Activity Submissions	23 March	Externally Assessed
	Standard Grade	Attendance Register and Expressive Activity submissions	9 May	Externally Assessed
	Standard Grade	Design Activity Internal Assessment Grades	28 April	Visiting Moderation 4 May–22 May
Art and Design	Intermediate 1	Attendance Register and Art and Design Studies (Summary)	28 April	Externally Assessed
	Intermediate 1	Attendance Register and Expressive Activity	9 May	Externally Assessed
		Attendance Register and Design Activity	9 May	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Art and Design	Intermediate 2	Attendance Register and Expressive Activity	9 May	Externally Assessed
	Higher	Attendance Register and Design Activity	9 May	Externally Assessed
Art and Design Enquiry: Design	Advanced Higher	Attendance Register and Expressive Activity	9 May	Externally Assessed
	Advanced Higher	Attendance Register and Design Activity	9 May	Externally Assessed
Art and Design Enquiry: Expressive	Advanced Higher	Attendance Register and Design Folios	10 June	Externally Assessed
	Advanced Higher	Attendance Register and Expressive Folios	10 June	Externally Assessed
Art and Design: Research and Appreciation	Advanced Higher	Attendance Register and Dissertations, Visual Presentations and Statements of Intent	27 May	Externally Assessed
	Standard Grade	Practical Abilities and Internal Assessment Grades	23 March	Central Moderation
Biology	Advanced Higher	Attendance Register and Investigation Reports	28 April	Externally Assessed
	Higher	Projects and Internal Assessment Marks	28 April	Central Moderation
Building and Architectural Technology	Standard Grade	Practical Abilities and Internal Assessment Grades	23 March	Central Moderation
	Standard Grade	Practical Abilities and Internal Assessment Grades	23 March	Central Moderation
Business Management	Advanced Higher	Attendance Register and Investigation Reports	28 April	Externally Assessed
	Standard Grade	Attendance Register and Individual Investigation Reports	23 March	Externally Assessed
Chemistry	Advanced Higher	Attendance Register and Investigation Reports	28 April	Externally Assessed
	Standard Grade	Attendance Register and Individual Investigation Reports	23 March	Externally Assessed
Classical Greek	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
	Standard Grade	Investigating and Internal Assessment Grades	23 March	Central Moderation
Classical Studies	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
	Intermediate 2	Coursework and Internal Assessment Marks	28 April	Central Moderation
Computing	Higher	Coursework and Internal Assessment Marks	28 April	Central Moderation
	Advanced Higher	Coursework and Internal Assessment Marks	28 April	Central Moderation
Computing Studies	Standard Grade	Practical Abilities and Internal Assessment Grades	23 March	Central Moderation
	Intermediate 1	Coursework and Internal Assessment Marks	28 April	Central Moderation
Construction	Higher	Projects and Internal Assessment Marks	28 April	Central Moderation
	Standard Grade	Folders of Work (Investigating) and Internal Assessment Grades	23 March	Central Moderation
Contemporary Social Studies	Standard Grade	Internal Assessment Grades for Knowledge and Understanding and Evaluating	23 March	—

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Craft and Design	Standard Grade	Internal Assessment Grades for Designing	28 April	Visiting Moderation 11 May–29 May
		Internal Assessment Grades for Practical Abilities	28 April	Visiting Moderation 11 May–29 May
Drama	Standard Grade	Internal Assessment Grades for Creating and Presenting	23 March	Visiting Moderation 21 February–4 March
	Intermediate 1	Practical	Not Applicable	Visiting Examining 14 February–13 May
	Intermediate 2	Practical	Not Applicable	Visiting Examining 14 February–13 May
	Higher	Acting	Not Applicable	Visiting Examining 14 February–13 May
	Advanced Higher	Practical	Not Applicable	Visiting Examining 14 February–13 May
Economics	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
Engineering Craft Skills (no estimate required)	Intermediate 1	Internal Assessment Marks for Practical Project Work	11 May	Visiting Moderation 28 March–11 May
	Intermediate 2	Internal Assessment Marks for Practical Project Work	11 May	Visiting Moderation 28 March–11 May
English	Standard Grade	Internal Assessment Grades for Talking	23 March	Visiting Moderation 21 February–18 March
	Advanced Higher	Attendance Register and Folios of Coursework	23 March	Externally Assessed
		Attendance Register and Dissertations	28 April	Externally Assessed
		Attendance Register and Creative Writing Folios	13 May (Handed to invigilator on day of examination)	Externally Assessed
English — Alternative Communication	Standard Grade	Internal Assessment Grades for Communicating Attendance Register and Folios of Coursework	23 March 23 March	Visiting Moderation 21 February–18 March Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
English — Spoken	Standard Grade	Internal Assessment Grades for Talking	23 March	Visiting Moderation 21 February–18 March
		Attendance Register and Tapes/Folios of Coursework	23 March	Externally Assessed
	Standard Grade	Internal Assessment Grades for Speaking	28 April	Visiting Moderation 31 January–4 March
		Talking Materials and Internal Assessment Marks	28 April	Central Moderation
	Intermediate 1	Attendance Register and Reading and Writing Folios	28 April	Externally Assessed
	Intermediate 2	Talking Materials and Internal Assessment Marks	28 April	Central Moderation
		Attendance Register and Reading and Writing Folios	28 April	Externally Assessed
	Higher	Talking Materials and Internal Assessment Marks	28 April	Central Moderation
		Attendance Register and Folios	28 April	Externally Assessed
	Advanced Higher	Talking		Not Applicable
Listening Materials and Internal Assessment Marks			28 April	Central Moderation
Attendance Register and Folios			28 April	Externally Assessed
Attendance Register and Personal Studies			28 April	Externally Assessed
Gàidhlig	Standard Grade	Internal Assessment Grades for Speaking	28 April	Visiting Moderation 31 January–4 March
		Attendance Register and Submitted Coursework	23 March	Externally Assessed
	Intermediate 1	Talking Materials and Internal Assessment Marks	28 April	Central Moderation
		Talking Materials and Internal Assessment Marks	28 April	Central Moderation
	Intermediate 2	Attendance Register and Folios	28 April	Externally Assessed
		Talking Materials and Internal Assessment Marks	28 April	Externally Assessed
	Higher	Talking Materials and Internal Assessment Marks	28 April	Central Moderation
		Attendance Register and Folios	28 April	Externally Assessed
	Advanced Higher	Talking Materials and Internal Assessment Marks	28 April	Central Moderation
		Attendance Register and Folios	28 April	Externally Assessed
Advanced Higher	Talking Materials and Internal Assessment Marks	28 April	Central Moderation	
	Attendance Register and Reports	28 April	Externally Assessed	
Geography	Advanced Higher	Attendance Register and Geographical Folio	13 May	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Geology	Intermediate 2	Fieldwork Reports and Internal Assessment Marks	28 April	Central Moderation
	Higher	Fieldwork Reports and Internal Assessment Marks	28 April	Central Moderation
Graphic Communication	Standard Grade	Candidate Portfolios (Illustration and Presentation) and Internal Assessment Grades	23 March	Central Moderation
	Intermediate 2	Computer Graphics Folios and Internal Assessment Marks	28 April	Central Moderation
	Higher	Thematic Presentations and Internal Assessment Marks	28 April	Central Moderation
	Advanced Higher	Computer-Aided 3D Modelling Presentations and Internal Assessment Marks	28 April	Central Moderation (and Visiting Moderation if required)
History	Intermediate 2	Computer-Aided Graphic Presentations and Internal Assessment Marks	28 April	Central Moderation (and Visiting Moderation if required)
		Attendance Register and Extended Responses	28 April	Externally Assessed
		Attendance Register and Extended Essays	28 April	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
Home Economics	Standard Grade	Internal Assessment Grades for Practical and Organisational Skills	23 March	Visiting Moderation 31 January–14 March
	Intermediate 1	Internal Assessment Marks for Implementing	28 April	Visiting Moderation 14 March–8 April
		Attendance Register and Practical Assignments	28 April	Externally Assessed
	Intermediate 2	Attendance Register and Technological Projects	28 April	Externally Assessed
Home Economics — Fashion and Textile Technology	Higher	Attendance Register and Technological Projects	28 April	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
	Intermediate 1	Internal Assessment Marks for Implementing	28 April	Visiting Moderation 16 March–10 April
		Attendance Register and Practical Assignments	28 April	Externally Assessed
Home Economics — Health and Food Technology	Intermediate 2	Attendance Register and Technological Projects	28 April	Externally Assessed
	Higher	Attendance Register and Technological Projects	28 April	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
	Intermediate 1	Internal Assessment Marks for Implementing	28 April	Visiting Moderation 16 March–10 April
Home Economics — Lifestyle and Consumer Technology	Intermediate 1	Attendance Register and Practical Assignments	28 April	Externally Assessed
		Attendance Register and Technological Projects	28 April	Externally Assessed
	Higher	Attendance Register and Technological Projects	28 April	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Hospitality — Food and Drink Service	Higher	Attendance Register and Practical Assignments	28 April	Externally Assessed
		Attendance Register and Technological Projects	28 April	Externally Assessed
		Attendance Register and Technological Projects	28 April	Externally Assessed
		Attendance Register and Dissertations	28 April	Externally Assessed
		Attendance Register and Staff Manuals	28 April	Externally Assessed
Hospitality — General Operations	Intermediate 2	Internal Assessment Marks for Practical Assignment	11 May	Visiting Moderation 11 April–20 May
		Attendance Register and Written Assignments	28 April	Externally Assessed
Hospitality — Practical Cookery	Intermediate 1	Internal Assessment Marks for Practical Assignment	11 May	Visiting Moderation 11 April–20 May
	Intermediate 2	Internal Assessment Marks for Practical Assignment	11 May	Visiting Moderation 11 April–20 May
Hospitality — Professional Cookery	Intermediate 2	Internal Assessment Marks for Practical Assignment	11 May	Visiting Moderation 11 April–20 May
	Higher	Internal Assessment Marks for Practical Assignment	11 May	Visiting Moderation 11 April–20 May
Hospitality — Reception and Accommodation Operations	Higher	Attendance Register and Practical Assignments	28 April	Externally Assessed
	Intermediate 2	Coursework and Internal Assessment Marks	28 April	Central Moderation
Information Systems	Higher	Coursework and Internal Assessment Marks	28 April	Central Moderation
	Advanced Higher	Coursework and Internal Assessment Marks	28 April	Central Moderation
Land Use (Built Environment)	Higher	Projects and Internal Assessment Marks	28 April	Central Moderation
	Standard Grade	Attendance Register and Individual Investigation Reports	23 March	Externally Assessed
Latin	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
	Advanced Higher	Attendance Register and Investigations	28 April	Externally Assessed
Managing Environmental Resources	Intermediate 1	Attendance Register and Unseen Analyses	28 April	Externally Assessed
	Intermediate 2	Attendance Register and Unseen Analyses	28 April	Externally Assessed
Media Studies	Higher	Attendance Register and Unseen Analyses	28 April	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Media Studies (continued)	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
	Standard Grade	Attendance Register and Writing Folios	23 March	Externally Assessed
		Internal Assessment Grades for Speaking	28 April	Visiting Moderation 8 November–10 December
	Intermediate 1	Speaking Moderation Materials	23 March	Central Moderation
	Intermediate 2	Internal Assessment Marks for Speaking	28 April	—
		Speaking Moderation Materials	23 March	Central Moderation
		Internal Assessment Marks for Speaking	28 April	—
	Higher	Speaking Moderation Materials	23 March	Central Moderation
	Advanced Higher	Speaking	Not Applicable	Visiting Examining 21 February–25 March
	Advanced Higher	Attendance Register and Folios	28 April	Externally Assessed
Attendance Register and Dissertations		28 April	Externally Assessed	
Music	Standard Grade	Attendance Register — Supplement — Solo Performing	Not Applicable	Visiting Examining 14 February–25 March Retained in centre and handed to Visiting Examiner on day of visit
		Group Performing and Internal Assessment Grades	28 April	Visiting Moderation 9 May–27 May
		Inventing and Internal Assessment Grades	28 April	Visiting Moderation 9 May–27 May
	Intermediate 1	Performing (Mandatory)	Not Applicable	Visiting Examining 14 February–25 March
		Performing — Extension	Not Applicable	Visiting Examining 14 February–25 March
		Inventing Materials and Internal Assessment Marks	28 April	Central Moderation
Advanced Higher	Attendance Register and Inventing Extension Folios	28 April	Externally Assessed	
	Attendance Register and Midi-sequencing GM MIDI Files	28 April	Externally Assessed	

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Music (continued)		Attendance Register and Sound Engineering and Production Tapes and Session Logs	28 April	Externally Assessed
	Intermediate 2	Performing (Mandatory)	Not Applicable	Visiting Examining 14 February–25 March
		Performing — Extension 1	Not Applicable	Visiting Examining 14 February–25 March
		Performing — Extension 2	Not Applicable	Visiting Examining 14 February–25 March
		Accompanying	Not Applicable	Visiting Examining 14 February–25 March
		Inventing Materials and Internal Assessment Marks	28 April	Central Moderation
		Attendance Register and Inventing Extension Folios	28 April	Externally Assessed
	Higher	Attendance Register and Midi-sequencing GM MIDI Files	28 April	Externally Assessed
		Attendance Register and Sound Engineering and Production Tapes and Session Logs	28 April	Externally Assessed
		Performing (Mandatory)	Not Applicable	Visiting Examining 14 February–25 March
		Performing — Extension	Not Applicable	Visiting Examining 14 February–25 March
		Accompanying	Not Applicable	Visiting Examining 14 February–25 March
		Inventing Materials and Internal Assessment Marks	28 April	Central Moderation

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Music (continued)		Attendance Register and Inventing Extension Folios	28 April	Externally Assessed
		Attendance Register and Midi-sequencing GM MIDI Files	28 April	Externally Assessed
		Attendance Register and Listening Extension Commentaries	28 April	Externally Assessed
		Attendance Register and Sound Engineering and Production Tapes and Session Logs	28 April	Externally Assessed
	Advanced Higher	Performing — Mandatory	Not Applicable	Visiting Examining 9 May–27 May
		Performing Extension — 1	Not Applicable	Visiting Examining 9 May–27 May
		Performing Extension — 2	Not Applicable	Visiting Examining 9 May–27 May
		Accompanying	Not Applicable	Visiting Examining 9 May–27 May
		Training and Directing	Not Applicable	Visiting Examining 9 May–27 May
		Inventing Folios and Internal Assessment Marks	28 April	Central Moderation
		Attendance Register and Inventing Extension Folios	28 April	Externally Assessed
		Attendance Register and Listening Commentaries	28 April	Externally Assessed
		Attendance Register and Listening Extension Dissertations	28 April	Externally Assessed
		Attendance Register and Midi-sequencing GM MIDI Files	28 April	Externally Assessed
		Attendance Register and Training and Directing Videos, Scores and Rehearsal Logs	28 April	Externally Assessed
Attendance Register and Sound Engineering and Production Tapes and Session Logs	28 April	Externally Assessed		

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Personal and Social Education	Intermediate 1	Internal Assessment Marks for Folios of Evidence	11 May	Visiting Moderation 21 March–13 May
		Internal Assessment Marks for Personal Statements	11 May	Visiting Moderation 21 March–13 May
	Intermediate 2	Internal Assessment Marks for Folios of Evidence	11 May	Visiting Moderation 21 March–13 May
		Internal Assessment Marks for Personal Statements	11 May	Visiting Moderation 21 March–13 May
	Higher	Internal Assessment Marks for Folios of Evidence	11 May	Visiting Moderation 21 March–13 May
		Internal Assessment Marks for Personal Statements	11 May	Visiting Moderation 21 March–13 May
	Standard Grade	Internal Assessment Grades for Practical Performance	23 March	Visiting Moderation 21 February–18 March
	Intermediate 1	Internal Assessment Marks for Performance	28 April	Visiting Moderation 21 February–18 March
Intermediate 2	Internal Assessment Marks for Performance	28 April	Visiting Moderation 21 February–18 March	
Physical Education	Higher	Internal Assessment Marks for Performance	28 April	Visiting Moderation 21 February–18 March
		Internal Assessment Marks for Performance	28 April	Visiting Moderation 21 February–18 March
	Advanced Higher	Internal Assessment Marks for Performance	28 April	Visiting Moderation 21 February–18 March
		Attendance Register and Dissertations	28 April	Externally Assessed
Physics	Standard Grade	Practical Abilities and Internal Assessment Grades	23 March	Central Moderation
	Advanced Higher	Attendance Register and Investigation Reports	28 April	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Politics	Advanced Higher	Attendance Register and Research Reports	28 April	Externally Assessed
	Standard Grade	<i>See Craft and Design</i>	—	—
	Intermediate 2	Attendance Register, Flyleafs and Design Assignments	28 April	Externally Assessed
Product Design	Higher	Attendance Register, Flyleafs and Design Assignments	28 April	Externally Assessed
	Advanced Higher	Attendance Register, Flyleafs and Extended Case Study	28 April	Externally Assessed
Psychology	Higher	Attendance Register and Research Investigations	28 April	Externally Assessed
	Advanced Higher	Attendance Register and Research Reports	28 April	Externally Assessed
Religious Studies	Standard Grade	Investigating and Internal Assessment Grades	23 March	Central Moderation
	Intermediate 1	Attendance Register and Assignments	28 April	Externally Assessed
	Intermediate 2	Attendance Register and Extended Essays	28 April	Externally Assessed
Religious, Moral and Philosophical Studies	Higher	Attendance Register and Extended Essays	28 April	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	28 April	Externally Assessed
Science	Standard Grade	Practical Abilities and Internal Assessment Grades	23 March	Central Moderation
		Practical Abilities and Internal Assessment Grades	23 March	Central Moderation
Social and Vocational Skills	Standard Grade	Internal Assessment Grades for Communicative Abilities	23 March	—
Technological Studies	Standard Grade	Application of Technology Internal Assessment Grades	23 March	Central Moderation
	Intermediate 1	Internal Assessment Marks for Practical Project Work	11 May	Visiting Moderation 28 March–11 May
Woodworking Skills (no estimate required)	Intermediate 2	Internal Assessment Marks for Practical Project Work	11 May	Visiting Moderation 28 March–11 May



