

# Operational Guide for Employers and Training Providers 2003/2004

August 2003

£15.00

Publication code: FA1602/2

ISBN 1 85969 406 3

Alternative versions of this guide are available for schools (FA1599/2) and for colleges (FA1601/2).

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

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# Introduction

This *Operational Guide for Employers and Training Providers* (FA1602/2, August 2003) 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. You are free to make copies of this guide.

The guide is divided into sections. There is a general introduction and separate sections on Scottish Vocational Qualifications, National Qualifications and Higher National Qualifications. Although the majority of Employers and Training Providers are only concerned with SVQs, the initial paper version of the guide supplied to centres contains the sections covering all three qualification blocks.

Note that there are procedures covered in the SVQ section — External Verification/Moderation and Awards Reporting — which also apply to the other qualification blocks.

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 Jackie McKay by:

- ◆ telephone (0141-242 2431)
- ◆ e-mail ([jackie.mckay@sqa.org.uk](mailto:jackie.mckay@sqa.org.uk))
- ◆ writing to the Scottish Qualifications Authority, Hanover House, 24 Douglas Street, Glasgow G2 7N



# 1 Contact details for main procedures

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

<p><b>Eastern Team — Fife, Borders, Lothian &amp; Edinburgh, Forth Valley</b>  data.solutions.es@sqa.org.uk  0141 242 2138 / 2134 / 2270</p>
<p><b>Northern Team — Highlands &amp; Islands, Grampian, Tayside</b>  data.solutions.ns@sqa.org.uk  0141 242 2141 / 2103</p>
<p><b>South West Team — Renfrewshire, Ayrshire, Dumfries &amp; Galloway</b>  data.solutions.sws@sqa.org.uk    0141 242 2277 / 2280</p>
<p><b>West Central Team — Glasgow, Dunbartonshire, Lanarkshire</b>  data.solutions.wcs@sqa.org.uk  0141 242 2143 / 2125</p>

You might also find these contact details helpful:

Procedure	Telephone	E-mail
ETP Data Processing	0141-242 2265	<a href="mailto:etp.data.processing@sqa.org.uk">etp.data.processing@sqa.org.uk</a>
Customer Relations 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	0141-242 2214	<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>
Moderation	0141-242 2396	<a href="mailto:ellen.flynn@sqa.org.uk">ellen.flynn@sqa.org.uk</a>
Special Assessment Arrangements (SEN, ESL, Absentee Candidates, etc)	0131-561 6890	<a href="mailto:ellen.aitken@sqa.org.uk">ellen.aitken@sqa.org.uk</a>
Awards Reporting	0141-242 2417	<a href="mailto:esocr@sqa.org.uk">esocr@sqa.org.uk</a>

Replacement Certificates	0141-242 2418	<b>certification@sqa.org.uk</b>
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The following relate specifically to National Qualifications:

Submission of Estimates (National Courses)	0131-561 6955	<b>national.qualifications@sqa.org.uk</b>
Invigilation arrangements	0131-561 6860	<b>moira.young@sqa.org.uk</b>
Question Paper supplies	0131-561 6815	<b>clare.hickson@sqa.org.uk</b>
Stationery supplies	0131-561 6860	<b>marie.cosgrove@sqa.org.uk</b>
Forms Ex6 (Attendance Registers)	0131-561 6860	<b>liz.beavon@sqa.org.uk</b>
Assessment Appeals	0131-561 6758	<b>carole.forrest@sqa.org.uk</b>
Examination timetable	0131-561 6860	<b>heather.wilson@sqa.org.uk</b>
Project-based National Courses (results processing)	0131-561 6873	<b>national.qualifications@sqa.org.uk</b>
Project-based National Courses (visiting assessment arrangements)	0131-561 6888	<b>anna.shaw@sqa.org.uk</b>
Project-based National Courses (external marking)	0131-561 6922	<b>angela.russell@sqa.org.uk</b>
Scottish Group Awards	0141-242 2315	<b>mary.mcarthur@sqa.org.uk</b>
Core Skills	0141-242 2428	<b>morna.cartoon@sqa.org.uk</b>
Scottish Credit and Qualifications Framework	0141-242 2268	<b>john.dick@sqa.org.uk</b>

## 2 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, centres get details of their candidates' 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 is 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:

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



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

SVQ Update is published quarterly. This document gives information about new and re-accredited SVQs (available from all awarding bodies, not just SQA and partners). 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.

### National Qualifications

The *Catalogue of National Qualifications* (current edition: BA0788, March 2003) 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. Another report provides 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 2003/2004* (BA1351, June 2003). The documents also appear on SQA's website ([www.sqa.org.uk](http://www.sqa.org.uk)).

The handbook *Conditions and Arrangements for National Qualifications 2003/2004* (BA0828/5, to be issued September 2003) 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 2003/2004* CD-ROM for full details of Course arrangements.

### Higher National Qualifications

The *Catalogue of Higher National Session Units 2002/03* (CA0380, March 2003) is also issued annually, together with a CD-ROM containing the specifications for current nationally-developed Higher National Units and Integrative Assessments. These specifications are also available on our website. Paper copies of locally-developed Higher National Unit specifications are available from SQA's Customer Contact Centre. SQA's website has a searchable catalogue of Higher National Units.

If you want to be approved for any of the qualifications in these catalogues, you must follow our approval procedures.



## 4 How to submit data to SQA

SQA can accept the majority of data submissions on either paper forms or in an electronic format — in fact, where the option is available we positively encourage electronic submissions. 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* which is available from SQA's Customer Contact Centre (telephone: 0141-242 2214).

Any queries about the file structures should be raised with Bill Arundel (telephone: 0131-561 6802; e-mail: [bill.arundel@sqa.org.uk](mailto:bill.arundel@sqa.org.uk)).

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

- ◆ on diskette
- ◆ as an e-mail attachment (send to [etp.data.processing@sqa.org.uk](mailto:etp.data.processing@sqa.org.uk))
- ◆ by File Transfer (using SQA.net)
- ◆ by fax to 0141-242 2244 (marked for the attention of ETP Data Processing)

Note that once your centre 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 centres which are intending to submit their results in an electronic file.

Centres choosing to submit data on paper forms should do so on the approved forms, where these are available, or in writing to:

ETP Data Processing  
Scottish Qualifications Authority  
Hanover House  
24 Douglas Street  
GLASGOW  
G2 7NQ

You can contact ETP Data Processing by telephone on 0141-242 2265 or [etp.data.processing@sqa.org.uk](mailto:etp.data.processing@sqa.org.uk).



## 5 Forms directory

In this section we have listed the forms which can be used by centres to submit candidate registrations, entries and Unit results. Other forms are listed (from 5.4 onwards) which relate primarily to National Qualifications.

### 5.1 Registration

#### **Candidate Registration/Registration Amendment Form RA00**

This form is used to register candidates with SQA and can also be used to amend any entry 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 amendment.

#### **Individual Registration/Entry Form RE01**

If you are using the combined Individual Registration/Entry Form RE01, 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

### 5.2 Entry

#### **Group Entry Form GE00/1**

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

#### **Concurrent National Unit Entries CGE01**

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 course in French (C059 11) an additional entry for Higher French (C059 12) can only be submitted using this form. If the normal entry procedure is used the second entry will be rejected as a duplicate.

### **Entry Amendment Form EA00**

This form is used to make amendments to completion dates or to change the level of an entry that we already hold on our system. It can be used for either a group of up to 10 candidates or for an individual candidate. If it is being used for a group of candidates, the subjects must have common completion dates for both the original and amended entries. If the subject completion dates are not common, a separate form must be used for each candidate.

### **Withdrawal of Entry Form EW00**

This form is used to withdraw a candidate or a group of candidates who have the same completion date for exactly the same qualifications, ie Courses, Units, Clusters and Group Awards.

In all cases SQA can only process a withdrawal if an original entry is in the system.

### **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 in another SQA approved centre. It 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 — ETP Data Processing.

NB A ‘sitting at’ centre is distinct from an ‘alternative venue’ (see 19.13).

## **5.3 Unit Results**

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

This pre-printed form will be sent to you one month before the completion date 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 a Unit Results by Unit Form URU01 (Additional) and submit the Unit entry on a Group Entry Form (GE00/1).

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

This form is normally used by smaller centres that 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.

### **Unit Results by Unit Form URU01 (Additional)**

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

### **Unit Results by Candidate Form URC01 (Additional)**

This form is used when you wish to submit the Unit results of a single candidate and where 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 submitted.*

## **5.4 Standard Grade**

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

Used to supply information on Elements that require either an estimate and/or an internal assessment grade. These forms are pre-printed and any candidate names that do not appear 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. For any candidates who appear on the forms but 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.*

## **5.5 National Courses**

### **National Course Estimate Report**

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 amended the entry information either electronically or by completing an Entry Amendment Form (EA00) **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 overall external 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. As with the Estimate Report, **do not** add candidates to these forms — use an Internal Assessment Mark Form (Supplement) and ensure that any entry amendments are sent to us in the normal manner.

Please note that for resit candidates you must submit either a new mark or you can re-submit the mark from the previous year's work. If you choose the latter option you must retain all previous years' work for the purposes of 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 should be 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, 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 did not complete 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 whose coursework is being submitted or who has 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 that is being submitted to us as part of the external assessment. One 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

## **5.6 Special assessment arrangements**

### **Special Assessment Arrangements Request Form**

This form is used to request special assessment arrangements for candidates who can achieve the national standards but cannot do so by the published assessment procedures due to a physical disability, a sensory impairment, a learning difficulty or a temporary problem at the time of assessment. The special assessment arrangement is not intended to compensate for lack of attainment and should not give any advantage to a candidate or mislead the user of the Certificate.

The presenting centre should complete the form using the instructions on the reverse side. Please note that where extra time is required this should be requested on the form but no revised timetable needs to be submitted to SQA. Extra time should be calculated up to a maximum of an additional 25% of the time allocation for the paper(s) concerned; candidates who have a visual or hearing impairment can be allowed up to 50% extra time if necessary. A revised timetable should be produced for each candidate concerned and a copy passed to the Chief Invigilator.

The form should be completed and returned to SQA by the **28 November 2003**.

## 5.7 Appeals

### Appeals Request Form

This form lists those candidates who meet the conditions for whom 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 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.

# 6 Candidate registration and registration amendments

## 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 for 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.

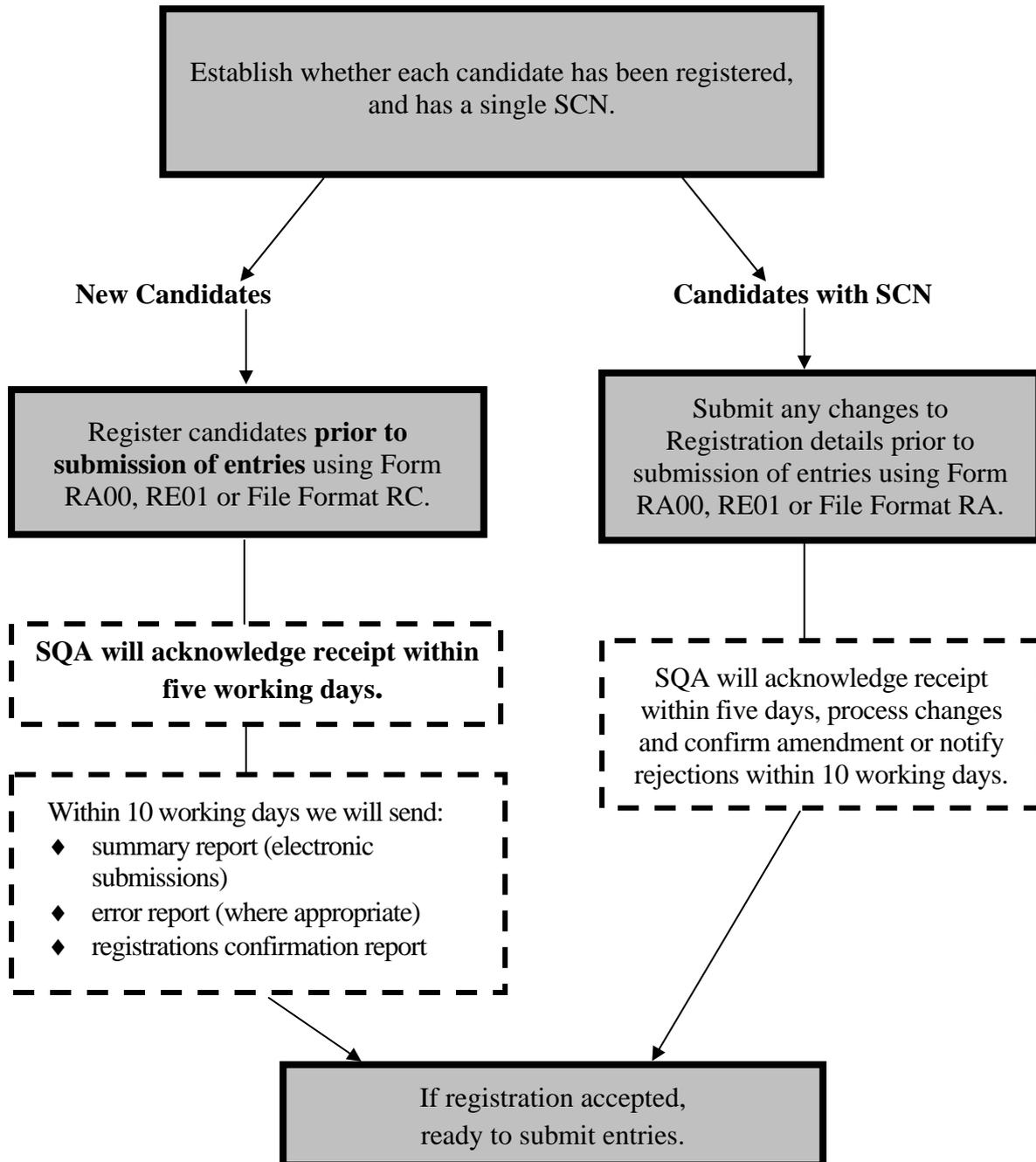
It is a shared responsibility between SQA and centres to ensure that candidates are registered properly and that the correct personal details are held against their SCN. Following this procedure ensures that candidates obtain the benefit of the Scottish Qualifications Certificate, which is a single record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

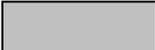
It is your responsibility to ensure that duplicate registrations do not arise in the first place.

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

## 6.2 Registration of candidates



SQA's responsibility 

Centre's responsibility 

Contact your Data Solutions Team for queries about Registration.

## 6.3 How to submit registration details to us

Registrations, and amendments to candidates' personal details, can be submitted either electronically (using the approved file formats) or on the paper form provided. The Candidate Registration/Amendment Form (RA00) can be used either for new registrations or to update a candidate's record, and should be sent to Data Management — ETP Data Processing.

Centres which submit registrations electronically will want to note that we have made no changes to the format or procedures which govern how the data should be supplied to us. There are details about electronic submission of data in the publication *File Formats for the Exchange of Data between SQA and Centres* (December 1999).

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, which are listed in Appendix 4, Error Codes and Messages. 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 countries — as determined by ISO standard 3166-1
- ◆ 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.

## 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 which require 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)
- ◆ phone or e-mail your Data Solutions Team

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 it comes to your notice.

If you are submitting significant changes to candidate 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 adoption papers, deed poll papers, passport. You can submit changes for name either electronically (RA file) or using the appropriate form — **Candidate Registration/Amendment Form (RA00)**.

It is SQA policy that candidates will be issued certificates with the name registered when they undertook the qualification. Consequently, name change requests post-certification are discouraged. Where a candidate returns an incorrect certificate to us with an indication that their full name is incorrect we will request written notification and proof of the name change from the candidate. Where the candidate indicates that this was something that you had known about but had not transmitted to SQA then we will seek confirmation of the name change from you before re-issuing the certification.

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. A charge of £22.50 will only be levied for minor misspellings where the timescale between the candidate receiving the certificate and notifying SQA exceeds one month.

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

For all registrations submitted to us, we will acknowledge receipt within five working days.

After processing, reports will be sent back to you within ten working days. These will confirm the number of registrations received, the number successfully processed, 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 ensure 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.***

Error reports will be generated if you try to make entries for candidates before they are registered. You must, therefore, wait until you have received the confirmation report of registration before submitting entry data for candidates.

Registration amendments 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/Amendment Form RA00.

## 6.7 Who to contact in SQA if you have any questions on registration

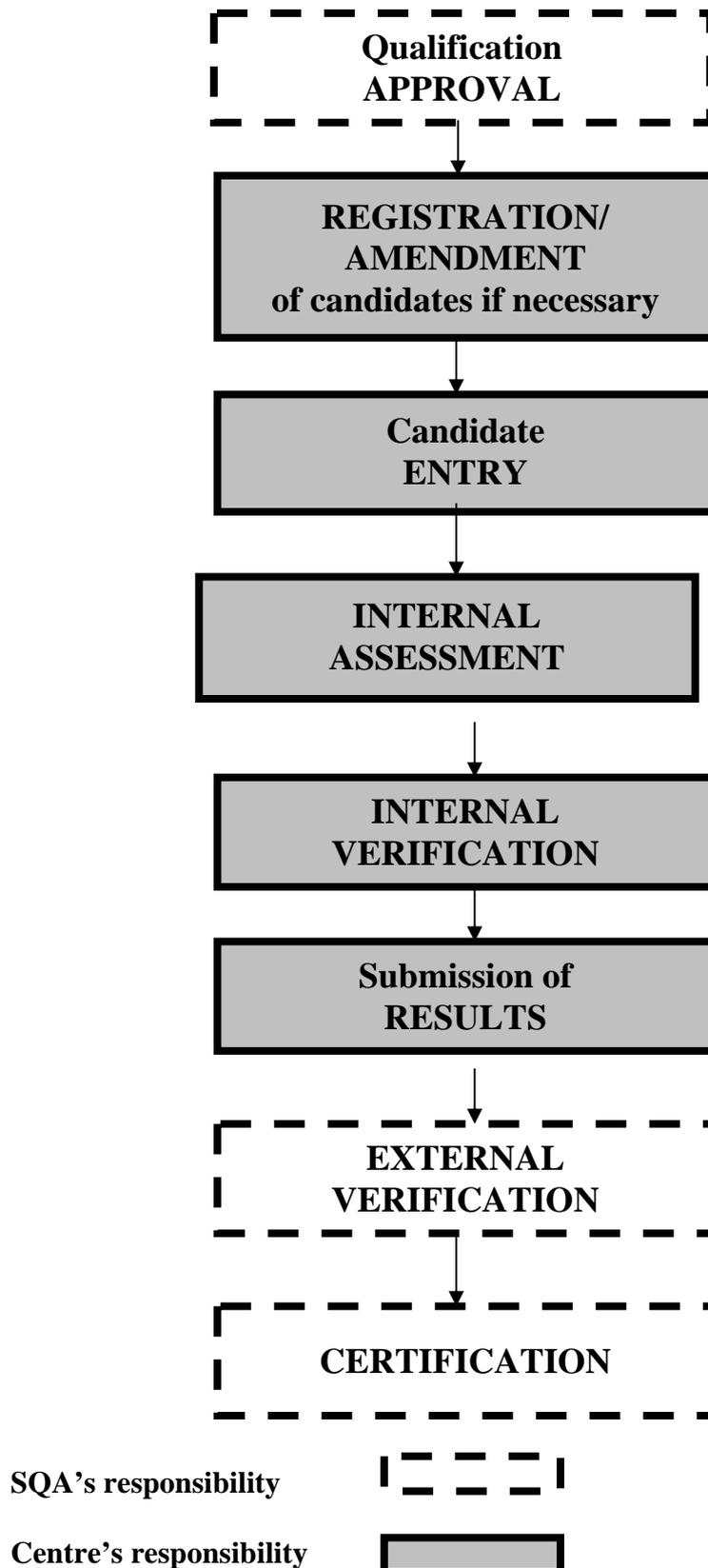
Your Data Solutions Team can help you with the procedures for registering candidates with SQA.



# **Sections 7 – 12: Scottish Vocational Qualifications**



# 7 The Route to Certification for Scottish Vocational Qualifications



## **The Route to Certification: description of processes**

### **Qualification approval**

Before attempting to enter candidates for an SVQ, you should ensure that your centre has been approved to offer it. You can do this 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.

### **Registration**

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

### **Candidate 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 centre'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 centre. For more information see the *Guide to Assessment and Quality Assurance for Training Providers and Employers* (AA0842/3, March 2003).

### **Internal verification**

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

### **Results**

This is the process by which centres 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.

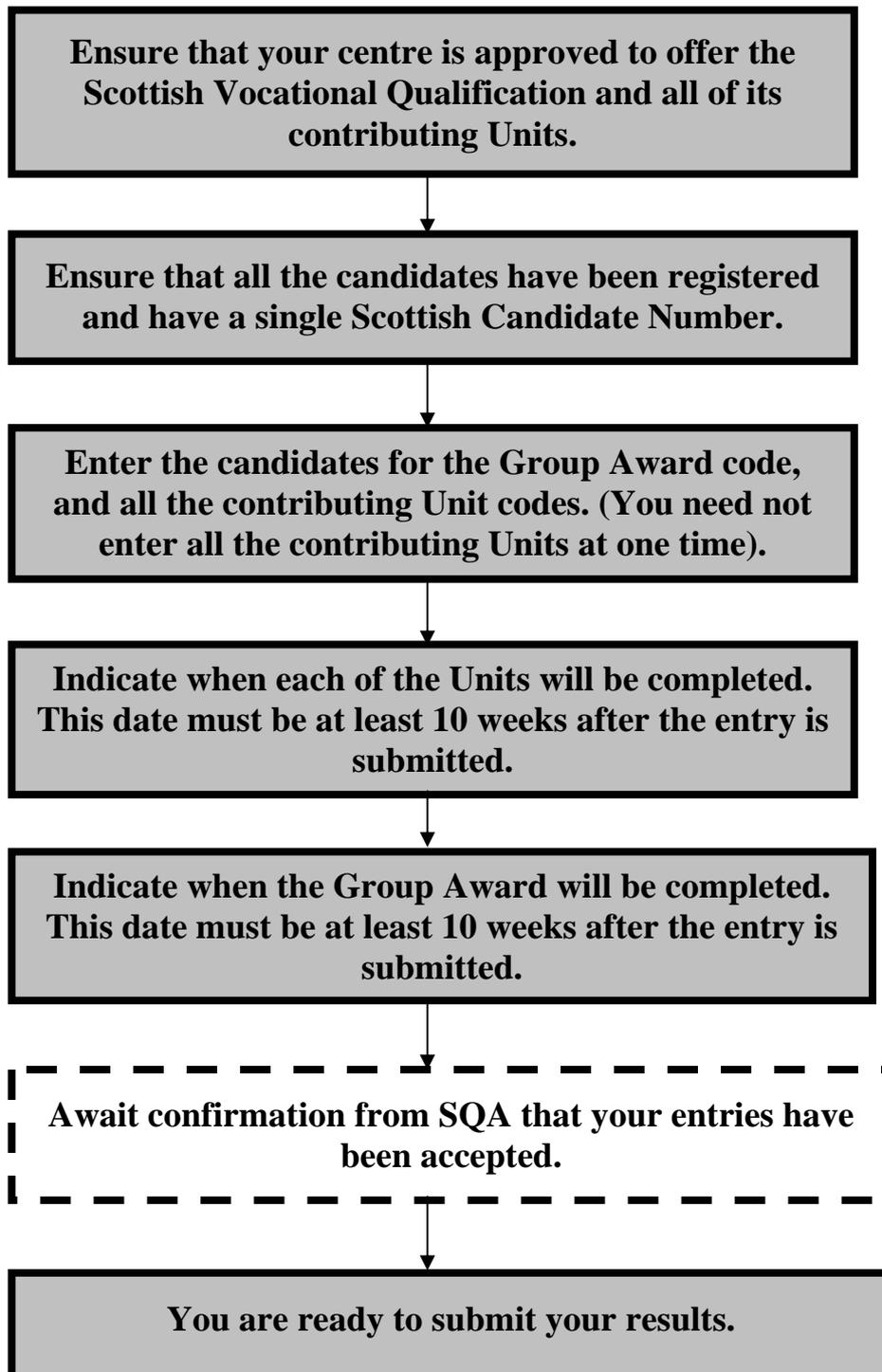
## 8 Candidate entry for Scottish Vocational Qualifications

The section of the guide provides an overview of the 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 centres.

***Before you submit an entry you must ensure that all candidates have been registered with a valid Scottish Candidate Number (SCN) (see section 6 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).

## 8.1 Entering candidates for Scottish Vocational Qualifications



SQA's responsibility



Centre's responsibility



## 8.2 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.
- ◆ Individual registrations — for SVQs, entries will normally be made individually, since the qualifications are work-based, and have no time restrictions for completion.

Entry information can be submitted to us either on the paper forms provided, or electronically using the approved file formats. (Forms designed specifically for various accreditation requirements will continue to be used.) Completed forms should be sent to ETP 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 at **etp.data.processing@sqa.org.uk**.

Centres which submit entries electronically should note that we have made no changes to the format or procedures which govern how this information should be supplied to us. There are details of electronic submission of data in *File Formats for the Exchange of Data between SQA and Centres* (December 1999), available from SQA's Customer Contact Centre on 0141-242 2214.

We will accept entries for SVQs throughout the year, and we are able to issue certificates (triggered by the Group Award completion date you have indicated) on a monthly basis for candidates who have qualified.

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

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

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

Once they have been processed, 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.

## 8.3 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 Individual Registration/Entry Form RE01, 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

## 8.4 Completion dates

It is a requirement for SVQs that a period of at least **10 weeks** is given from submission of the entry to SQA to the indicated completion date. 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.

Requests to amend completion dates must be made using form EA00 to ETP Data Processing or by e-mail to **etp.data.processing@sqa.org.uk**.

## 8.5 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** notice must be given from submission of the entry to SQA to the indicated completion date.

## 8.6 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.

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

When entry information is submitted to us, whether on paper forms or in an electronic format, it will be processed on our Awards Processing System.

After we have processed the entry information, we will send you a summary (for electronic submissions), confirmation, and error reports (where appropriate). 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.***

## 8.8 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 an Error Report, 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 amendments have been processed, unless you are using the combined Individual Registration/Entry Form RE01.

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

We will provide the same type of reporting system to you for amendments to entry information. If your centre uses paper forms to submit entries and you wish to make subsequent changes to that information, you might find it useful to use the Entries Confirmation Report which we will have issued to you to highlight the change and submit it to us. A fresh confirmation report will then be sent to you once the amendment has been successfully processed.

## **8.9 Who to contact in SQA if you have questions on entries**

Your Data Solutions Team can assist you with the procedures for entering candidates for SVQs.

## 9 Special assessment arrangements

Special assessment arrangements can be made for any candidate with a physical disability, a sensory impairment, a learning difficulty or a temporary disability. Any requests for special arrangements need to be submitted to SQA at the earliest possible date — and separately from the entry itself. You can find details of the special arrangements which are available in the publication *Guidance on Special Assessment Arrangements* (AA0645/3, December 2001), copies of which are available on request from SQA's Customer Contact Centre — telephone 0141-242 2214.



# 10 Candidate results for Scottish Vocational Qualifications

## 10.1 Submission of Unit results

You can submit entries and results (ie Pass, Fail and Withdrawn) 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, Fail or Withdrawn for all candidates by the completion date of the SVQ (though completion dates can be amended — see 10.2). Remember that, to receive an SVQ, candidates must achieve a pass in all of the contributing Units of the SVQ.

If you submitted your entries electronically, submit your Unit Results the same way, remembering to use the correct file format. Centres that submitted their entries on paper will be sent forms on which to submit Unit Results.

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.

## 10.2 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 using the **Entry Amendment Form (EA00)**.

### 10.2.a Withdrawing from SVQs/Units

You can make a withdrawal from a Unit or Group Award by using **Form EW00 — Withdrawal of Entry**.

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.



# 11 External verification/moderation

This section summarises our external verification procedures — not only for SVQs, but also for the National and Higher National qualification blocks. See *External Assessment Moderation in National Qualifications and Higher National Qualifications: a guide for centres*, (AA0892/2, December 2001) for full details.

External verification 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. For Higher National Qualifications and National Qualifications, the term used is *external moderation*. Since the majority of Employers and Training Providers are principally concerned with SVQs the term *external verification* is mainly used in this section. There are three types of external verification/moderation:

- ◆ visiting
- ◆ central
- ◆ postal

The nature of candidates' evidence will generally determine the type of verification used. In SVQs, where the evidence is largely performance, visiting external verification is mostly used. In other qualifications, which involve evidence that is written, central or postal moderation is mostly used.

## External Verification of SVQs

### 11.1 Selection for verification

Centres are selected for verification in accordance with published criteria (*External Assessment Moderation in National Qualifications and Higher National Qualifications: a guide for centres*). 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.

### 11.2 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.

## 11.3 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.

# Some notes on the processes supporting the moderation of HNQs and NQs

## National Qualifications

Moderation takes place mainly, but not exclusively, on Units (Standard Grades and some National Courses are also subject to external moderation) and usually occurs in the month following the completion date of the Unit.

Following last year's successful pilot of moderation of interim evidence, and, in the light of findings from the Moderation Review, 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 be introduced in 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.

Centres offering NQs are selected for central moderation in accordance with published criteria (*External Assessment Moderation in National Qualifications and Higher National Qualifications: a guide for centres*). The candidate entry and completion date for the Unit/Course/Group Award trigger the selection process. For candidates taking Units which form part of a Course, at least one Unit should have a completion date of no later than March in the year they expect to complete the Course.

After a central moderation event SQA will return the candidates' 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 re-submit your candidates' evidence for further consideration. The final date for submission of results in this category will be **13 June 2003**.

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.)

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 19.6 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 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.

## Higher National Qualifications

SQA now moderates Higher National Qualifications on incomplete evidence and moderation is usually by means of visiting moderation. The moderation of incomplete evidence is likely to reduce the need for retrospective moderation.

Centres are selected for moderation in accordance with published criteria (*External Assessment Moderation in National Qualifications and Higher National Qualifications: a guide for centres*). When a centre is selected for moderation the external moderator will contact the centre to discuss the arrangements. The centre will be asked to present evidence of the work of a sample group of 12 candidates. If there are fewer than 12 candidates, all will be selected.

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 a Unit is 'not accepted' the centre will be informed of this by letter from SQA and will be advised of the action that must be taken.

Where Units have a completion date between April and July, and the centre has not been subject to a moderation visit between September and June, the centre may be selected for retrospective moderation. This takes place in the September following completion. Centres will be notified during June if they have been selected for retrospective moderation.



## 12 Awards reporting

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

### 12.1 Scottish Qualifications Certificate (SQC)

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

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 alongside SQCs to any candidate achieving National Qualifications.

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

#### 12.1.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 (SGA) will take place at the earliest opportunity after completion of all of the contributing components.

##### 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 open Course or Group Award entries at that point.

## 12.2 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 their 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, and again 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, again timed to reach centres before candidates receive their certificate. 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 2318.

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

## 12.3 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 and take action promptly, details of the investigation and the outcome will be recorded
- ◆ if a candidate has been awarded a Unit, an Element, a Course or a 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 the 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 receipt of the new certificate and destruction of the erroneous certificate to SQA (or in the case of certain qualifications ensure the return of the certificate).

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.

## 12.4 Replacement certificates

SQA can provide candidates with a replacement certificate detailing all qualifications taken within the last seven years.

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

Replacement certificates can be obtained by phoning SQA on 0141-242 2417/2053 or e-mailing [certification@sqa.org.uk](mailto:certification@sqa.org.uk) for a request form. This form is also available on our website ([www.sqa.org.uk](http://www.sqa.org.uk)).

There is a single charge of £22.50 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 or Credit Card.

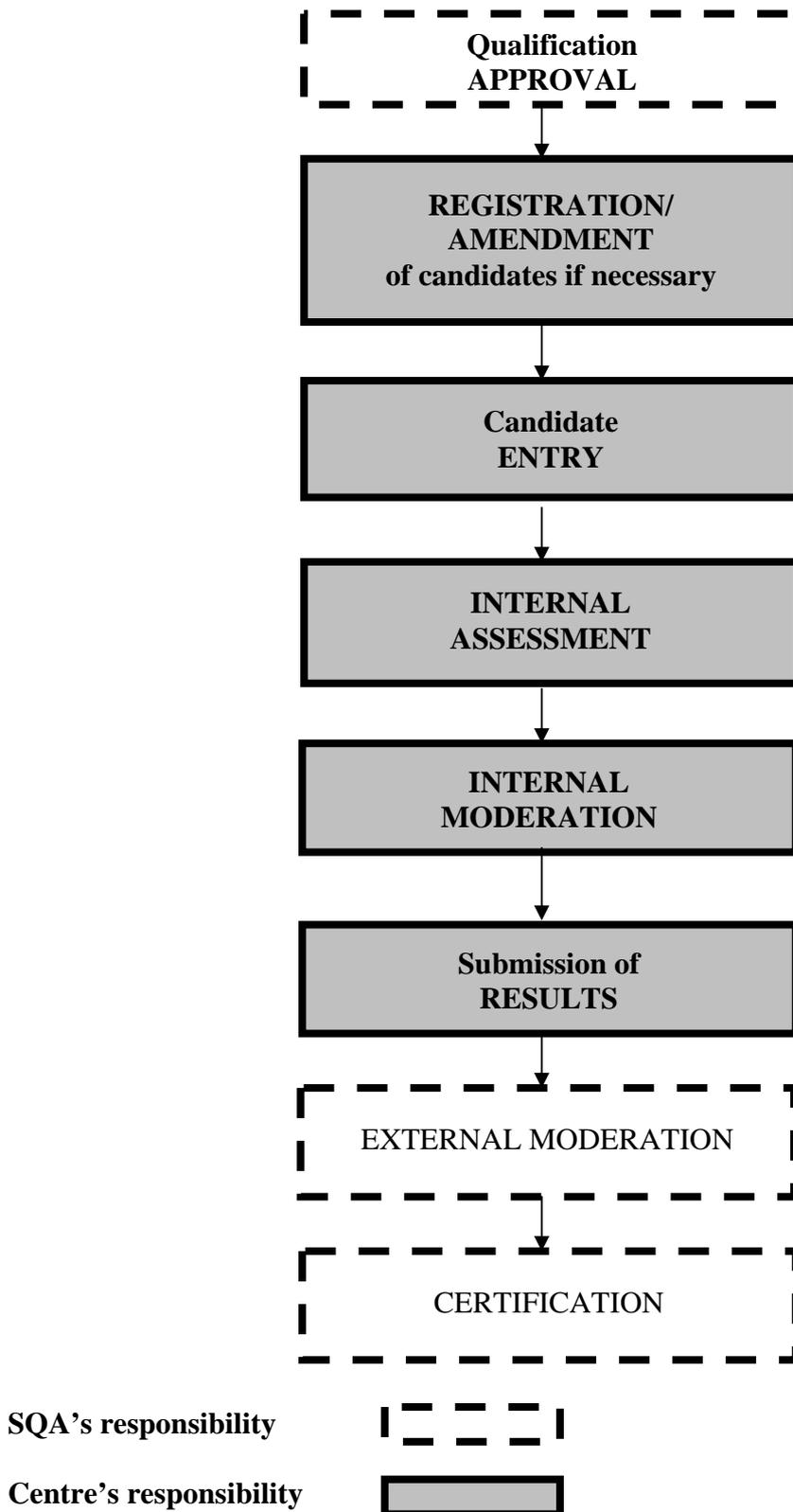
***SQA can only issue results information to third parties if the candidate has given prior approval.***



# **Sections 13 – 17: Higher National Qualifications**



# 13 The Route to Certification for Higher National Qualifications



**NB:** Please note that 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)
- ◆ New design principles (agreed 2003)

Section 17 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.

## **The route to certification: description of processes**

### **Qualification approval**

Before attempting to enter candidates for a Higher National Qualification, you should ensure that your centre has been approved to offer it. You can do this 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. For further information see *Guide to Assessment and Quality Assurance* (AA0842/3, March 2003).

### **Registration**

This is the process in which prospective candidates have their personal details and Scottish Candidate Number (SCN) recorded by the centre, and this information passed to SQA. A candidate is registered *once*. Every effort should be made to ensure that no candidate has more than one SCN. (See section 6 for further information.)

### **Candidate 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 centre's details, and when the qualification will be completed. The Course Entry also includes the completion dates of the Course and individual Units.

### **Internal assessment**

Assessment which is carried out by the centre. For more information see the *Guide to Assessment and Quality Assurance for Training Providers and Employers* (AA0842/2, December 2001).

### **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 within the centre and over time.

### **Submission of results**

The process by which centres 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.

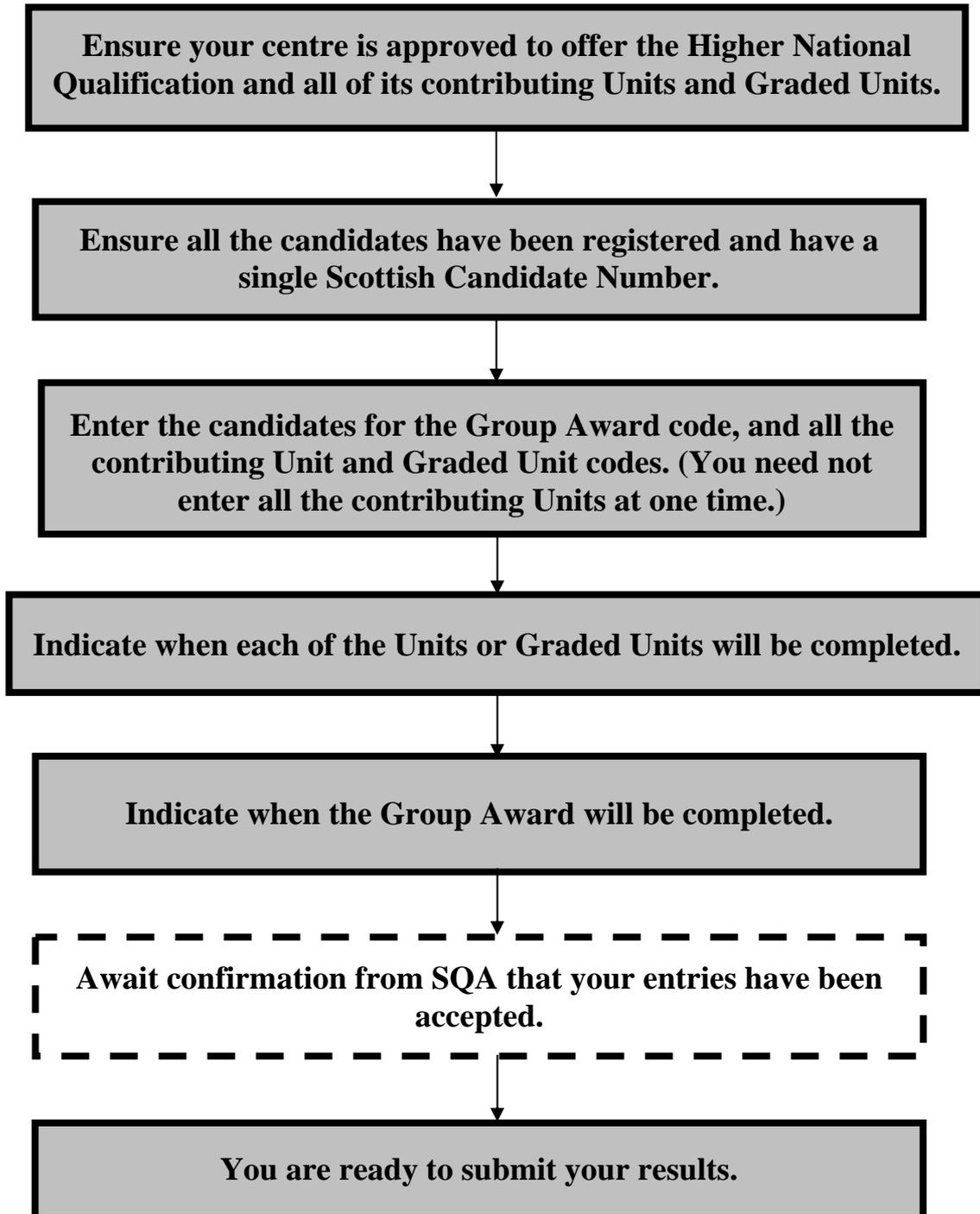


# 14 Candidate entry for Higher National Qualifications

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

***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 centre has been approved to offer the relevant Higher National Qualification before attempting to enter candidates.***

## 14.2 How to enter candidates for Higher National Qualifications



SQA's responsibility



Centre's responsibility



## 14.3 How to submit candidate entries to us

The following guidelines should be noted:

- ◆ Entries cannot be submitted by candidates, but 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.
- ◆ Groups of candidates — entry information will usually be processed on a group basis. It is also possible to submit entries on an individual candidate basis where this is more convenient.

Entries can be submitted either electronically using the approved file formats, or on the paper forms, Group Entry Form GE00/1 or Individual Registration/Entry Form RE01. Paper forms are also available as MS Word documents. These can be requested and returned (after completion) by e-mail to **etp.data.processing@sqa.org.uk**.

Centres which submit entries electronically will want to note that we have made no changes to the format or procedures which govern how this information should be supplied to us. The detailed information covering the electronic submission of data is contained in the publication *File Formats for the Exchange of Data between SQA and Centres* (December 1999).

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 processed, 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.

## 14.4 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 Graded Units. You must provide details of the contributing Units and Graded Units the candidate will take — we cannot automatically enter candidates for Units or Graded 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 Graded Units and are considered to have qualified for the Group Award itself). A completion date must be after the date an entry is processed. 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 Graded Units, and give the anticipated completion dates for each of these. Entries for the contributing Units or Graded 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 or Graded 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 centres 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).

Requests to amend completion dates must be submitted, using form EA00 to ETP Data Processing or by e-mail to **etp.data.processing@sqa.org.uk**.

## 14.5 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.

## 14.6 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, we will reject the second entry.

## 14.7 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 of the HNC are already

entered, an administration fee will be charged. Otherwise, the full cost of the HNC will be charged.

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

When entry information is submitted to us it will be processed on our Awards Processing System. After we have processed it, we will send your summary (for electronic submissions), confirmation, and error report (where appropriate).

You should check these reports against your own records to ensure 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 report we will assume that have no queries regarding the entries data we hold, and that it is complete and accurate.***

## 14.9 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, an Error Report, highlighting the reason for the rejection, will be sent to you for resolution. If you receive an Error Report 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 processed. Any information processed in the wrong order will generate error reports, and increase your workload.

We will provide exactly the same type of reporting system to you for amendments to entry information. If your centre uses paper forms to submit entries and you wish to make subsequent changes to that information, you might find it useful to use the Entries Confirmation Report (which we will have issued to you) to highlight the change and submit it to us. A fresh confirmation report will then be sent to you once the amendment has been successfully processed.

## 14.10 Who to contact in SQA if you have any questions on entries

Your Data Solutions Team can assist you with the procedures for entering candidates for Higher National Qualifications.



# 15 Special assessment arrangements

Special assessment arrangements can be made for any candidate with a physical disability, a sensory impairment, a learning difficulty or a temporary disability. Requests for special arrangements need to be submitted to SQA at the earliest possible date, and separately from the entry itself. You can find details of the special arrangements which are available in the publication *Guidance on Special Assessment Arrangements* (AA0645/3, December 2001), copies of which are available on request from SQA's Customer Contact Centre — telephone 0141-242 2214.



# 16 Submission of Higher National Unit Results

## 16.1 General

You can submit entries and results throughout the year for Higher National Units. For unrevised HN Units, results will be Merit, Pass, Fail or Withdraw. For revised HN Units they will be Pass, Fail or Withdraw. For Graded Units results will be A, B, C, Fail or Withdraw.

***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 in all of the contributing Units, or an A, B or C in contributing revised Graded Units of the HNC/HND.

If you submitted your entries electronically, submit your Unit and Graded Unit Results in the same way, remembering to use the correct file format. Centres which submitted their entries on paper will be sent forms on which to submit Unit Results.

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

## 16.2 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 the majority of the candidates will not complete the Unit or Graded Unit by this date, or shortly thereafter, please notify us of the change to the completion date using the **Entry Amendment Form (EA00)**.

## 16.3 Withdrawing from Group Awards/Units

You can make a withdrawal from a Unit, Graded Unit or Group Award by using the form **Withdrawal of Entry (EW00)**.

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.

## 16.4 Results submission deadline

For all Units or Graded Units with a completion date of July or earlier, you have **until 30 September** to provide outstanding results. After 30 September 2004, all outstanding results will be changed to withdrawals.

# 17 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 the SQA website ([www.sqa.org.uk](http://www.sqa.org.uk)). The main implication for centre operational procedures relates to entering for Graded Units ('Integrative Assessments' as they were known during the pilot phase of the HN Review) and to submitting results for them (A, B, C, Fail or Withdraw) and for revised HN Units (Pass, Fail or Withdraw).

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

Meanwhile, candidates will continue to be entered and results submitted for HNs 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 *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, HNs revised under the new design principles can be made up of:

- ◆ Higher National revised Units and Higher National 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 Graded Units)**

You must provide a result of A, B, C, Fail or Withdrawn for the Integrative Assessment or Graded Unit. Notional cut-off scores are:

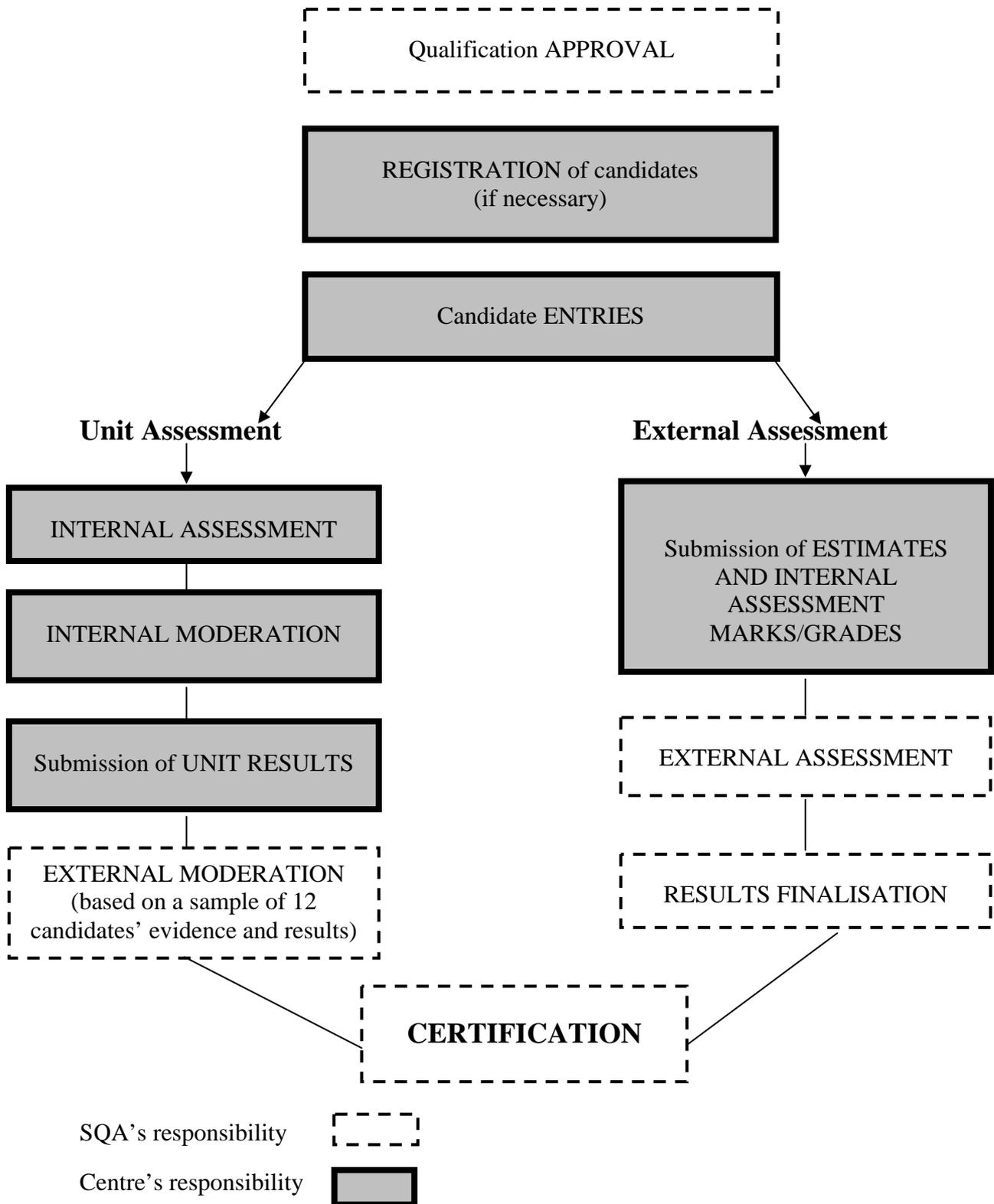
- A = 70% or above
- B = 60 to 69%
- C = 50 to 59%

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

# **Sections 18 – 31: National Qualifications**



# 18 The route to certification for National Courses



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 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 from the Approval Section. For further information see the *Guide to Assessment and Quality Assurance for Training Providers and Employers* (AA0842/3, March 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 6 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 Training Providers and Employers* (AA0842/3, March 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

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 are asked to supply 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 2003/2004* (BA0828/5, to be issued September 2003).

**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 2003/2004* (BA0828/5, to be issued September 2003).

**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.



# 19 Candidate Entries

## 19.1 General

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

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

For Standard Grade, a single Course entry, specifying subject and level(s), is all that is required.

The procedure for entering candidates for Project-based National Courses and Scottish Group Awards are also covered in this section of the guide.

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 2004 certification, you must have received approval **by 28 November 2003**.

## 19.2 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 2003/2004* (BA0828/5, to be issued September 2003). Scottish Executive and SQA have introduced a new procedure for exceptional entries, which is detailed in this document. Entries for candidates who do not meet the requirements will automatically be rejected.

## 19.3 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 Group Entry Form (GE00/1). It is also possible to submit entries on paper forms on an individual basis where this is more convenient. Form RE01 (Individual Registration/Entry) should be used in such cases. 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 at **etp.data.processing@sqa.org.uk**.

Centres which submit entries electronically will want to note that we have made no changes to the format or procedures which govern how this information should be supplied to us. The detailed information covering the electronic submission of data is contained in the publication *File Formats for the Exchange of Data between SQA and Centres* (December 1999).

Once they have been processed, 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.

## 19.4 Target dates

Entries for National Courses should be sent to arrive at SQA by no later than **28 January 2004** for candidates who wish to take examinations in May/June 2004. This will allow us to send out Course Entry Eligibility Reports on a monthly basis between 30 January and 19 June 2004.

## 19.5 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 2003/2004* (BA0828/5, to be issued September 2003) 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 processed. 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 (19.12).

## Unit entries

As well as entering a candidate for a Course, you must provide details of **all** the contributing Units 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 '052004' for the 2004 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 19.7).

**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 19.6).

**Project-based National Courses**

The procedures for submitting Entries for Project-based National Courses (PBNCs) are the same as for examination-based Courses. There are some variations in the completion dates which can be used. Section 29 of this guide explains the procedures for PBNCs 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 28 of this guide and in *Conditions and Arrangements for National Qualifications 2003/2004* (BA0828/5, to be issued September 2003) and the *National Qualifications Session 2003/2004* CD-ROM (BA1351 June 2003).

## 19.6 Completion dates

All types of entry must include a completion date for the qualification. This is in the form of a month and year in mmyyyy numerical format — ie 'March 2004' would be reported as '032004'. A completion date must be after the date an entry is processed.

**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 2004, the completion date that should be submitted for these National Courses is 052004. Anything else will be rejected. We have this rule in place to prevent incorrect completion dates being processed 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 2004 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 11 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 (Ex 6s)
- ◆ 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 processing date (ie the date we enter it on our system). 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 2004 for the Cluster. The Units can have earlier completion dates, but the last date for submission of Unit results for August certification is **11 June 2004**. 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 2004 as part of an SGA, then the completion date for the SGA should not be earlier than May 2004. 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 processing date (ie the date we enter it on our system). 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 21 of this guide, and to our publication *Project-based National Courses: procedural guide for centres* (A1312, April 2001) for further information.

## 19.7 Late entries

Entries for National Courses and Units should be submitted to us by no later than **28 January 2004**. Changes of level will be accepted up to **26 February 2004**. 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 March and early April.

Note that new Course entries or changes of level processed after **31 March 2004** will be subject to a late 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, then a second internal assessment mark will need to be submitted. Estimates too should be submitted at the same level as the Course entry.*

## 19.8 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 Amendment Form (EA00)**. Such a change cannot be submitted electronically.

## 19.9 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 3 and Advanced Higher (ie levels 08, 09, 10, 11, 12 and 13). Note that the only restriction is on an upwards change of Course level from Access 3 to Intermediate 1 (09 to 10) where an external component is introduced which has implications for entry charges.

You must notify us of changes of level, for both Courses and Units, by sending us an **Entry Amendment Form (EA00)**.

Please note that if you choose to withdraw your existing entry and re-submit a new entry at the different level, you will be charged again since 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 26 February deadline we will continue to process changes to a candidate's entry level **up to 31 March 2004** 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, 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 **result** at the level above or below that for which they were originally entered. The submission of the result determines the level at which the **Unit** will be certificated.

Remember that submitting Units results 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.

## **19.10 Withdrawing a candidate's Course/Unit entry**

You can withdraw a candidate from a Course, Cluster, Scottish Group Award or Unit. This can be done electronically or by using the Withdrawal of Entry Form (EW00).

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 2003**.

**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.

## 19.11 Entry charges

The invoice schedule for 2004 is currently under review. We will advise of dates in a separate letter by November 2003.

## 19.12 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 do wish to enter a candidate for one qualification at different levels, eg D321 11 and D321 12. This **must** be done by submitting **Form CGE01 — Concurrent National Unit Entries. These second entries cannot be submitted electronically.**

## 19.13 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'. The centre which entered the candidate must complete the External Examination — Alternative Centre Form (SA00) to put this arrangement in place. You should submit this information to us 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 them 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 then 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.

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

We will acknowledge receipt of all entries sent to us within five working days.

Within 10 working days we will process the entries and changes to entries and send you:

- ◆ a summary report which will outline the number of candidate entries accepted and numbers rejected
- ◆ an error report (if applicable) which will list the candidates whose entries have been rejected with the reasons

## 19.15 What to do if you receive an error report

The candidate entries you submit to us 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 sent to you for resolution. All data errors are identified by error codes. If you receive an error report, 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.

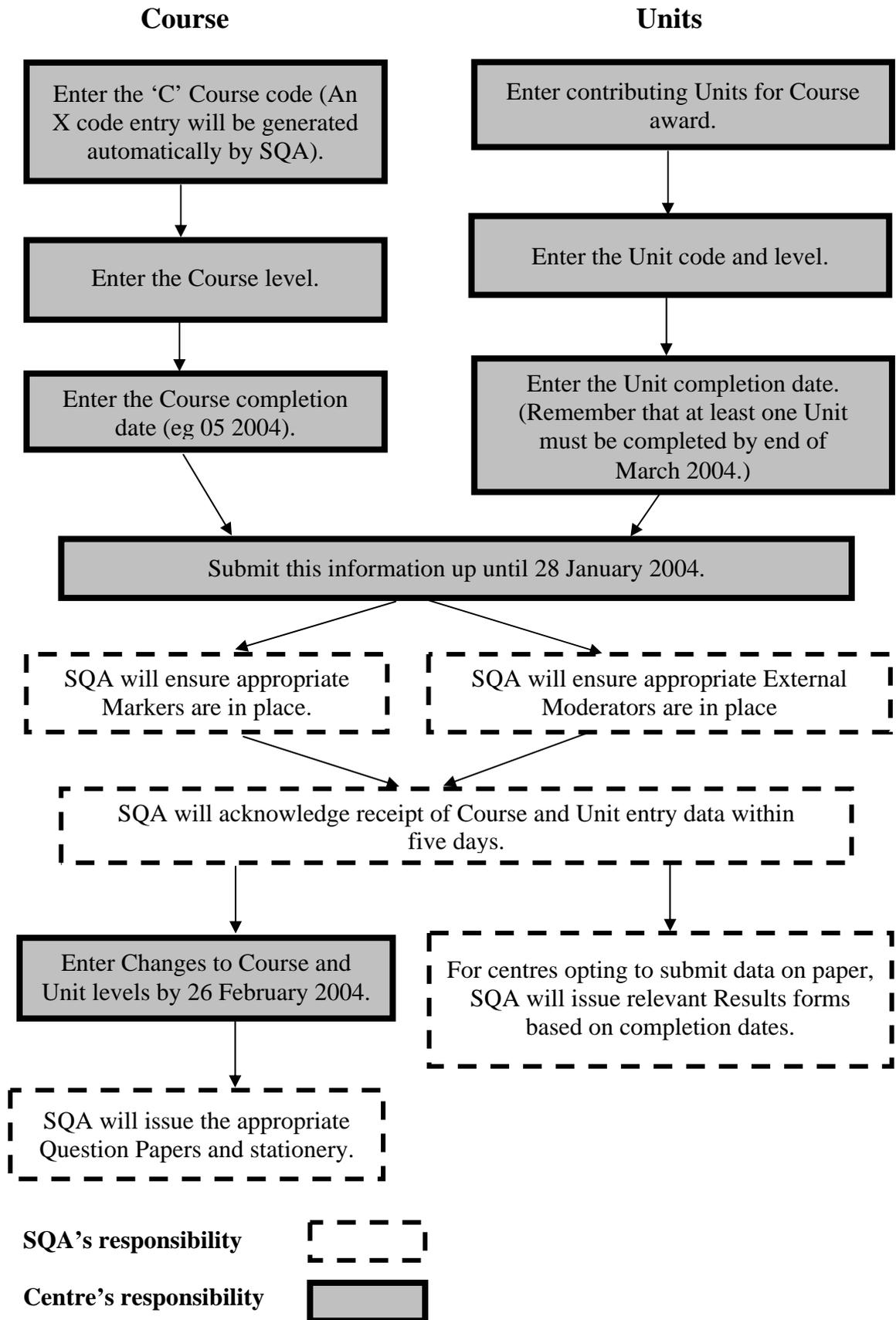
**Please note:**

- ◆ **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 this guide.**
- ◆ **If you have any queries on this procedure, please contact your Data Solutions representative.**

## **19.16 Who to contact in SQA if you have questions on entries**

Your Data Solutions Team can help you with the procedures for entering candidates for National Qualifications.

# 19.17 Entering for a National Course and contributing Units



## 20 Special assessment arrangements

Special assessment arrangements may be permitted for both internally-assessed and externally-assessed qualifications and components of qualifications. Detailed information on policy and on the available range of special arrangements is provided in the document *Guidance on Special Assessment Arrangements* (AA0645/3, December 2001), copies of which have been issued to all centres. (Additional copies are available from SQA's Customer Contact Centre — telephone: 0141-242 2214.)

Requests for special assessment arrangements for the 2004 examination should be submitted to our Special Assessment Arrangements Section by **28 November 2003**, using the forms issued to centres at the end of August.



# 21 Submission of Unit results

## 21.1 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 using the **Entry Amendment Form (EA00)**. 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.*

## 21.2 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 result 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.

**Unit Results by Unit Form (URU01) (Additional)** — 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.

**Unit Result by Individual Candidate (URC01) (Additional)** — 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.

## 21.3 Final results

Please note that you can only submit **final** results (Pass, Fail or Withdrawn). The 'defer' facility is no longer available.

## 21.4 Changing a candidate's Unit result

You can submit a result *one level up or down* from the level that the candidate is entered at — **as long as the Unit is in a hierarchy** (ie where it has the same first four characters of the alpha-numeric product code).

Submitting a result for a Unit at a different level 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 Unit result at a level lower than the Course entry. You should also refer to the section on changing Unit entries — see 19.9.

## 21.5 Target dates

The final Unit results should be sent to SQA to arrive no later than **11 June 2004** for candidates entered for National Course examinations in 2004. 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 **16 July 2004**. These will include the updated position for Unit results for candidates entered for Courses.

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

You should send completed Unit results forms or disks to ETP Data Processing or e-mail attachments to **etp.data.processing@sqa.org.uk**. We will acknowledge the receipt of all Unit results submitted to us within five working days.

Within 10 working days we will process the results and send you:

- ◆ a summary report outlining the number of results accepted and numbers rejected (if submitted electronically)
- ◆ an error report (if applicable) listing the candidates whose Unit results have not been accepted with reasons for the rejection

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.

## 21.7 What to do if you receive an error report

The Unit results you submit will be subjected to a number of validation checks. If any data submitted fails these checks, error reports 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 an error report, 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 amendment 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 this guide.*

## 21.8 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
  - estimates not submitted

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.

## 21.9 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.

## 21.10 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 on-going. 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 **11 June 2004**. We will continue to process results received after this date, but we cannot guarantee that this will be done in time for August certification.

## 21.11 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 **11 June 2004** 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.

## 22 Submission of estimates

### 22.1 General

We will issue forms for submission of estimates to you **by 5 March 2004**.

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 2003/2004* (BA0828/5, to be issued September 2003) and in the subject-specific Arrangements. You should also refer to *Estimates and Assessment Appeals: Guidance on generating evidence* (A0992/2, March 2001). 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 19.9 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 Estimate Report (Supplement) form and that the entry or change of level information has been sent using your normal data transfer method.

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

## 22.2 Standard Grade

Qualification	Final date for submission of estimates	Grade bands
Standard Grade	<b>25 March</b> — All subjects except: Art & Design; Craft & Design; Gaelic; Gàidhlig; Music; and Modern Languages — for all these subjects the final submission date is <b>26 April</b> .	<b>1 – 7</b> (8 when there is insufficient evidence on which to base an estimate or where the candidate has been withdrawn)  Note: In the following Courses, some grades are <b>not available</b> : Biology, Chemistry, Physics — grade 6 Gaelic (Learners) Writing — grades 5, 6, 7

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.

## 22.3 National Courses

Qualification level	Final date for submission of estimates	Grade bands
Intermediate 1 Intermediate 2 Higher Advanced Higher	<b>15 April</b> (if submitted on paper forms) <b>25 April</b> (if submitted electronically)	<b>1 – 9</b> (0 when there is insufficient evidence on which to base an estimate)

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 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 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 Course 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 **26 February 2004** and who do not appear on the pre-printed Estimate Reports.

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

## 22.4 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 must be with us by **4 May 2004**. Submissions sent after this date must be accompanied by a letter of explanation, but may not be accepted.

## 22.5 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 **12 May 2004**. This report will help you to identify:

- ◆ any candidate who is currently entered but who is no longer taking the external assessment — you must withdraw the entry
- ◆ any 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
- ◆ any discrepancies between your records and what we hold — in this case you need to contact SQA to resolve the issue

| —

## 23 Submission of internal assessment marks/grades

### 23.1 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**.

It is important to remember that 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 on 19.9 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 if you have to complete a supplement form 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, this will result in the incorrect stationery being sent for any such candidates.

### 23.2 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 **25 March 2004**, except for Art and Design; Craft and Design; Gaelic (Learners); Gàidhlig; Music; and Modern Languages; where the date of return is **26 April 2004**.

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

## 23.3 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 **26 February 2004** 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 **30 April 2003**. 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 **12 May 2004**.

### 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, 2003/2004* (BA0828/5, to be issued September 2003) 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.



## 24 Submission of coursework

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

Form Ex6 Attendance Register(s) 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 a Form Ex6 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 pre-printed Ex6 as this would indicate that the entry information is not correct. If you are in any doubt, this should be checked with Data Management — ETP Processing or your Customer Services Manager.

### 24.2 Uplift of coursework

We arrange for the coursework to be uplifted from your centre, normally by courier. We will let you know you in good time when this will happen. 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 also remember to adhere to the submission dates. You should also note that SQA will not meet any

associated costs. If you have any questions regarding uplifts, please contact our External Assessment Unit on 0131-561 6951.

## 25 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 should be submitted within seven days of the examination.

For details of this procedure, see *Conditions and Arrangements for National Qualifications 2003/2004* (BA0828/5, to be issued September 2003).



## 26 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.

## 27 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 — *Key Dates for Centres*.

There are full details of the appeals procedures in *The Appeals Process: a guide for centres* (AA0690/3, June 2002).



## 28 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.

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.

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.



## 29 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.

### 29.1 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.

#### 29.1.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 processed before submitting entries.

#### 29.1.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* (A1312, April 2001).

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.

### 29.1.c Key Dates 2003/04

Task	Course Completion Month			
	August	November	February	May
Issue of cumulative entries report by SQA	31 May 2003	1 September 2003	2 December 2003	3 March 2004
Final date for submission of entries (Courses and Units)	20 June 2003	19 September 2003	19 December 2003	19 March 2004
Issue of documentation (stationery, Forms Ex6, Estimate forms)	1 July 2003	1 October 2003	8 January 2004	1 April 2004
Visiting Assessment to take place for VA Type 2*	July 2003	October 2003	January 2004	April 2004
Issue of eligibility reports showing any missing Unit entries	14 July 2003	14 October 2003	15 January 2004	15 April 2004
Visiting Assessment to take place for VA Type 1	August 2003	November 2003	February 2004	May 2004
Last completion date for Units contributing to the Course	September 2003	December 2003	March 2004	June 2004
Final date for submission of projects to SQA for marking	5 September 2003	5 December 2003	5 March 2004	4 June 2004
Issue of eligibility reports showing missing Unit results	16 September 2003	12 December 2003	12 March 2004	11 June 2004
Final date for submission of completed Forms Ex6 (Visiting Assessment Types 1 & 2) and Estimate forms	19 September 2003	19 December 2003	19 March 2004	18 June 2004
Certification month	November 2003	February 2004	May 2004	August 2004
Submission date for requests for Appeals	19 December 2003	25 March 2004	24 June 2004	27 August 2004 (Higher); 17 September 2004 (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.

### 29.1.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 above table the last completion date which should be indicated for Units in order to meet the various certification dates.

### 29.1.e Submission of estimates

Guidance on the submission of Estimates is provided in section 22 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 Appendix 2 of the *Project-based National Courses: procedural guide for centres* (A1312, April 2001)).

## 29.2 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.

## 29.3 Appeals

It should be noted that the *Project-based National Courses: Procedural Guide for Centres* (A1312, April 2002) 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.



## 30 Core Skills

### 30.1 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 centre learning for some time — and employers, centres 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 National 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 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

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, centres, Higher Education institutions, training providers and in the workplace. All candidates undertaking a Scottish Group Award will have to achieve specified levels of attainment in Core Skills.

## 31 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)**.

# 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. Please quote the publication code when ordering.

*Conditions and Arrangements for National Qualifications 2003/2004*  
(BA0828/5, to be issued early September 2003)

*National Qualifications Session 2003/2004 CD-ROM* (BA1351, June 2003)

*External Assessment Moderation in National Qualifications and Higher National qualifications: a guide for centres* (AA0892/2, December 2001)

*Guide to Assessment and Quality Assurance for Schools* (AA0840/3, August 2003)

*Estimates and Assessment Appeals: Guidance on generating evidence*  
(A0992/2, March 2001)

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

*Guidance on Special Assessment Arrangements* (AA0645/3, December 2001)

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

*The Appeals Process: a guide for centres* (AA0690/3, June 2002)

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

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

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

*Catalogue of National Qualifications Session 2003/04*(BA0788, March 2003)

*Catalogue of Higher National Session Units 2002/03* (CA0380, March 2003)

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

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

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

*SCQF Update 2* (AD1909, June 2003)

*SCQF National Plan for Implementation of the Framework*  
(AE1705, December 2002)



## Appendix 2: National Qualifications — Calendar of key dates for centres 2003/04

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 Centres will not be offered the necessary quality assurance checks available to those entries which meet the schedule. Centres should use SQA.net to satisfy themselves that late entries and Unit Results have been received by us and successfully processed.

Due Date	Activity
<b>Late August 2003</b>	Provision of reference data (by e-mail) to Centres by SQA. Issue of Special Assessment Arrangements request forms by SQA.
<b>29 August 2003</b>	Issue of 2004 Examination Timetable by SQA.
<b>Before submitting entries</b>	<p>The centre should establish whether each candidate has an SCN, and if not, register with SQA.</p> <p>SQA will acknowledge receipt within five working days. Within 10 working days SQA will process the registrations and send:</p> <ul style="list-style-type: none"> <li>◆ a summary report (electronic submissions only)</li> <li>◆ an error report (where appropriate)</li> <li>◆ a confirmation report</li> </ul> <p><i>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.</i></p> <p>Centres should seek and gain approval to offer any Courses/Units for which certification is required in August 2004 (and in any case by no later than <b>28 November</b>).</p> <p><i>Centres should ensure that they are approved to offer appropriate qualifications before submitting entries. If a centre is not approved to offer a qualification the entry will be rejected.</i></p>

Due Date	Activity
<p><b>6 October 2003 – 28 January 2004</b></p>	<p>The centre 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 processed successfully.</p> <p>SQA will acknowledge receipt within five working days. Within 10 working days SQA will progress the entries and send:</p> <ul style="list-style-type: none"> <li>◆ a summary report (electronic submissions only)</li> <li>◆ an error report (where appropriate)</li> <li>◆ a confirmation 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 2004</b> or earlier*.</p> <p>Units with a March 2004 completion date may be subject to central moderation in April 2004. Centres which are selected for moderation will be required to submit completed candidates' evidence on <b>25 March 2004</b>, and should therefore aim to complete all assessment and internal moderation of these Units by mid March 2004.</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. We accept that there may be exceptional cases where candidate entries will be submitted towards the end of this timespan, but it is hoped that as many as possible will be processed at an earlier date.</i></p>
<p><b>By 28 November 2003</b></p>	<p>Centres should submit any requests for special assessment arrangements.</p> <p><i>This allows time for the processing of these requests and for SQA to discuss with Centres any issues arising from the submissions.</i></p> <p>Centres should have sought and gained approval to offer any Courses/Units for which certification is required in August 2004.</p>
<p>* Results for Units should normally be submitted within the calendar month following the completion date indicated at the time the entry is made. Where completion dates change, please inform us so that we can ensure prompt certification.</p>	

Due Date	Activity
<b>23 January – 19 June 2004</b>	<p>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.</p> <p><i>This will allow centres to check to ensure that the entries data held by SQA is correct and to submit any necessary amendments.</i></p>
<b>28 January 2004</b>	<p>Deadline for submission of withdrawals for National Qualifications without incurring an entry charge.</p>
<b>Mid February 2004</b>	<p>SQA will issue stationery for the submission of all externally assessed coursework.</p> <p><i>This will allow centres 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></p>
<b>By 27 February 2003</b>	<p>Centres 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>Centres 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>SQA will issue central moderation selections (Moderation Selection Report MS01) for the April/May events, together with associated flyleaves and stationery for Standard Grade and National Units and Courses.</p> <p><i>Centres will only receive flyleaves and associated stationery for those Units and Courses which are selected for central moderation.</i></p>

Due Date	Activity
<b>By 5 March 2004</b>	<p>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).</p> <p><i>This should give centres sufficient time to collate this information and submit it to SQA by the end of March for Standard Grade subjects and by the due dates in April for National Courses.</i></p>
<b>Early March 2004</b>	<p>SQA will issue Forms Ex6 for submission of Standard Grade coursework (Administration; Art &amp; Design; Classical Greek; English; Gàidhlig; Modern Languages; and Latin).</p> <p><i>These forms should accompany the coursework to be submitted by <b>25 March</b>.</i></p>
<b>25 March 2004 (to reflect uplift date)</b>	<p>Submit Estimates and internal assessment grades for all Standard Grade subjects with the exception of Art &amp; Design; Craft &amp; Design; Gaelic; Gàidhlig; Music; and Modern Languages.</p> <p>Submit Standard Grade coursework for assessment.</p> <p>Selected centres to submit central moderation material for Standard Grade (May completion date), National Units (March completion date), and <b>designated</b> National Courses (May completion date), as detailed in the Moderation Selection Report MS01 which was issued to Centres on 26 February 2004.</p> <p><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></p>
<b>Up to 31 March 2004</b>	<p>New Course entries or amendments are possible without late entry charge (but Estimate Report (Supplement) also required for National Courses). Entries or changes of level processed after 31 March will be subject to a late entry charge so centres must submit data in advance of this date.</p> <p><i>Any entries or amendments processed after this date will not have been reflected in the completion reports or coursework materials issued to Centres in early April.</i></p>

Due Date	Activity
<b>1 April 2004</b>	<p>SQA will issue additional Estimate Report forms for National Courses (where appropriate).</p> <p>SQA will issue Internal Assessment Mark forms for National Courses (where applicable).</p> <p><i>This will allow centres sufficient time to collate and package materials ready for submission to SQA by the due dates.</i></p>
<b>Early April 2004</b>	<p>SQA will issue Forms Ex6 for submission of coursework for National Courses.</p>
<b>By 9 April 2004</b>	<p>SQA will issue a Course Entry Eligibility Report linking Units to Course entries. We will ask you to confirm receipt, completeness and accuracy of this report.</p> <p><i>This report will provide an accurate record of the entries data held by SQA and highlight where entries are missing for Units which contribute to National Courses.</i></p>
<b>Mid April 2004</b>	<p>SQA will issue examination stationery for main diet.</p>
<b>15 April 2004</b>	<p>Submit estimates for all National Courses (if these are being submitted on paper forms).</p> <p><i>This allows us to begin the data entry process, validate the submissions and identify missing or incomplete returns.</i></p>
<b>20 April 2004</b>	<p>SQA will issue additional Internal Assessment Mark forms for National Course subjects (where applicable).</p>

Due Date	Activity
<b>26 April 2004 (to reflect uplift date)</b>	<p>Electronic formats only (diskette, file transfer or e-mail attachment) — 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 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 26 February 2004.</p>
<b>26 April 2004 (to reflect uplift date) (cont)</b>	<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>
<b>End April 2004</b>	SQA will issue main diet Attendance Registers (Ex6s).
<b>4 May-11 June 2004</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>
<b>4 May 2004</b>	Submit any necessary changes to estimates using the Estimate-Amendment form.

Due Date	Activity
<b>12 May 2004</b>	<p>SQA will issue report with details of missing estimates.</p> <p><i>This will list candidates who will not be included in the derived grades procedures; will not be considered for absentee consideration and who will be ineligible for appeals consideration.</i></p> <p>Submit internal assessment marks for National Courses in 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>
<b>2 June, 18 June &amp; 16 July 2004</b>	<p>On each of these dates, SQA will issue a Course entry/results eligibility report for candidates with examination-based National Course entries. We will ask you to confirm receipt, completeness and accuracy of the reports.</p> <p>These reports will enable centres to ensure that all entries and Unit Results have been successfully processed. Note that to ensure that they are included in the August certification process Unit Results must be received by <b>11 June</b>.</p>
<b>8 June 2004</b>	<p>SQA will issue a report on missing internal assessment marks for Courses. We will ask you to confirm receipt, completeness and accuracy of the closure reports.</p> <p><i>Any missing data will impact on certification. The absence of internal assessment marks will mean that candidates do not receive appropriate credit for this component of the examination <b>nor will they be eligible for appeals consideration.</b></i></p>
<b>11 June 2004</b>	<p>Submit changes to internal assessment marks and Unit results (changed as a result of moderation).</p>
<b>6 August 2004</b>	<p>NQ results data issued to centres in an electronic format.</p>
<b>9 August 2004</b>	<p>NQ results summary received by centres (paper version).</p>

<b>Due Date</b>	<b>Activity</b>
<b>From 10 August 2004</b>	Candidates to receive notification of NQ results. <i>For candidates with incomplete Course Unit profiles, certification will take place on 19 and 26 August, 17 September and 2 October. In all cases, the completion date shown on the SQC for the Course will be August. Apart from changes to results arising from Appeals, any subsequent Course certification will show the actual certification month on the SQC..</i>
<b>13 August 2004</b>	Issue of Appeals Request Form and associated stationery to Centres (for submission of Stage 1 Appeals).
<b>27 August 2004</b>	Last date for receipt of Stage 1 Appeals.
<b>3 September 2004</b>	Issue of Stage 1 Appeals confirmation report. Issue of Appeals Request Form and associated stationery to centres (for submission of Stage 2 Appeals).
<b>17 September 2004</b>	Last date for receipt of Stage 2 Appeals.
<b>20 September 2004</b>	Issue of urgent Appeals results.
<b>24 September 2004</b>	Issue of Stage 2 Appeals confirmation report.
<b>28 September 2004</b>	Issue of Stage 1 Appeals results to centres with feedback. Submit outstanding Unit Results for Units with completion dates up to July 2004.
<b>12 November 2004</b>	Issue of Stage 2 Appeals results to centres with feedback.
<b>Late November 2004</b>	Issue of post-Appeals Statement of Results to centres (electronic and paper versions) and Standard Grade overall awards report. Issue of revised SQCs to candidates.

## **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	25 March		
Art and Design, Craft and Design, Gaelic (Learners), Gàidhlig, Music, and Modern Languages	Standard Grade	Estimates	26 April		
All Intermediate 1, Intermediate 2, Higher and Advanced Higher Courses	Intermediate 1	Estimates (on paper forms)  (Note: No estimates required for Engineering Craft Skills and Woodworking Skills)	15 April		
		Estimates (disk or electronic)	26 April		
	Intermediate 2	Estimates (on paper forms)  (Note: No estimates required for Engineering Craft Skills and Woodworking Skills)	15 April		
		Estimates (disk or electronic)	26 April		
	Higher	Estimates (on paper forms)	15 April		
		Estimates (disk or electronic)	26 April		
	Advanced Higher	Estimates (on paper forms)	15 April		
		Estimates (disk or electronic)	26 April		
	All Project-based National Courses with completion date of February 2004	All Intermediate 2 and Higher Courses	Attendance registers and project materials	5 March	Externally Assessed
			Attendance registers	19 March	Visiting Examining type VA1 — to be completed by 29 February
Attendance registers			19 March	Visiting Examining type VA2 — to be completed by 31 January	
Estimates			19 March		
All Project-based National Courses with completion date of May 2004	All Intermediate 2 and Higher Courses	Attendance Registers and project materials	4 June	Externally Assessed	
		Attendance registers	18 June	Visiting Examining type VA1 — to be completed by 31 May	
		Attendance registers	18 June	Visiting Examining type VA2 — to be completed by 30 April	
		Estimates	18 June		

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
All Project-based National Courses with completion date of August 2004	All Intermediate 2 and Higher Courses	Attendance Registers and project materials	3 September	Externally Assessed
		Attendance Registers	17 September	Visiting Examining type VA1 — to be completed by 31 August
		Attendance Registers	17 September	Visiting Examining type VA2 — to be completed by 31 July
		Estimates	17 September	
All Project-based National Courses with completion date of November 2004	All Intermediate 2 and Higher Courses	Attendance Registers and project materials	3 December	Externally Assessed
		Attendance Registers	17 December	Visiting Examining type VA1 — to be completed by 30 November
		Attendance Registers	17 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	25 March	Central Moderation
Administration	Standard Grade	Attendance Register and Practical Abilities Tasks	25 March	Externally Assessed
	Advanced Higher	Attendance Register and Reports	26 April	Externally Assessed
Applied Practical Electronics	Intermediate 1		15 May	Visiting Moderation 17 May–28 May
Art and Design	Standard Grade	Attendance Register and Critical Activity Submissions	25 March	Externally Assessed
	Standard Grade	Attendance Register and Expressive Activities	10 May	Externally Assessed
	Standard Grade	Design Activities and Internal Assessment Grades	26 April	Visiting Moderation 5 May–23 May
	Intermediate 1	Attendance Register and Art and Design Studies (Summary)	26 April	Externally Assessed
	Intermediate 1	Attendance Register and Expressive Activities	10 May	Externally Assessed
		Attendance Register and Design Activities	10 May	Externally Assessed
	Intermediate 2	Attendance Register and Expressive Activities	10 May	Externally Assessed
		Attendance Register and Design Activities	10 May	Externally Assessed
Higher	Attendance Register and Expressive Activities	10 May	Externally Assessed	
	Attendance Register and Design Activities	10 May	Externally Assessed	

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Art and Design Enquiry: Design	Advanced Higher	Attendance Register and Design Folios	11 June	Externally Assessed
Art and Design Enquiry: Expressive	Advanced Higher	Attendance Register and Expressive Folios	11 June	Externally Assessed
Art and Design: Research and Appreciation	Advanced Higher	Attendance Register and Dissertations, Visual Presentations and Statements of Intent	28 May	Externally Assessed
Biology	Standard Grade	Practical Abilities and Internal Assessment Grades	25 March	Central Moderation
	Advanced Higher	Attendance Register and Investigation Reports	26 April	Externally Assessed
Building and Architectural Technology	Higher	Projects and Internal Assessment Marks	26 April	Central Moderation
Business Management	Standard Grade	Practical Abilities and Internal Assessment Grades	25 March	Central Moderation
Chemistry	Standard Grade	Practical Abilities and Internal Assessment Grades	25 March	Central Moderation
	Advanced Higher	Attendance Register and Investigation Reports	26 April	Externally Assessed
Classical Greek	Standard Grade	Attendance Register and Individual Investigation Reports	25 March	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed
Classical Studies	Standard Grade	Investigating and Internal Assessment Grades	26 March	Central Moderation
	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed
Computing	Intermediate 2	Coursework and Internal Assessment Marks	26 April	Central Moderation
	Higher	Coursework and Internal Assessment Marks	26 April	Central Moderation
	Advanced Higher	Coursework and Internal Assessment Marks	26 April	Central Moderation
Computing Studies	Standard Grade	Practical Abilities and Internal Assessment Grades	25 March	Central Moderation
	Intermediate 1	Coursework and Internal Assessment Marks	26 April	Central Moderation

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Construction	Higher	Projects and Internal Assessment Marks	26 April	Central Moderation
Contemporary Social Studies	Standard Grade	Folders of Work (Investigating) and Internal Assessment Grades	25 March	Central Moderation
		Internal Assessment Grades for Knowledge and Understanding and Evaluating	25 March	
Craft and Design	Standard Grade	Internal Assessment Grades for Designing	26 April	Visiting Moderation 12 May–30 May
		Internal Assessment Grades for Practical Abilities	26 April	Visiting Moderation 12 May–30 May
	Intermediate 2	Attendance Register, Flyleafs and Design Assignments	26 April	Externally Assessed
	Higher	Attendance Register, Flyleafs and Design Assignments	26 April	Externally Assessed
	Advanced Higher	Attendance Register, Flyleafs and Extended Case Studies	26 April	Externally Assessed
Drama	Standard Grade	Internal Assessment Grades for Creating and Presenting	25 March	Visiting moderation 17 February–21 February
	Intermediate 1	Practical	Not Applicable	Visiting Examining 9 February–7 May
	Intermediate 2	Practical	Not Applicable	Visiting Examining 9 February–7 May
	Higher	Acting	Not Applicable	Visiting Examining 9 February–7 May
	Advanced Higher	Practical	Not Applicable	Visiting Examining 9 February–7 May
Economics	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed
Engineering Craft Skills (no estimate required)	Intermediate 1	Internal Assessment Marks for Practical Project Work	14 May	Visiting Moderation 29 March–12 May
	Intermediate 2	Internal Assessment Marks for Practical Project Work	14 May	Visiting Moderation 29 March–12 May

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
English	Standard Grade	Internal Assessment Grades for Talking	25 March	Visiting Moderation 23 February–20 March
		Attendance Register and Folios of Coursework	25 March	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	26 April	
		Attendance Register and Creative Writing Folios	14 May* (Handed to invigilator on day of examination)	Externally Assessed
English — Alternative Communication	Standard Grade	Internal Assessment Grades for Communicating	25 March	Visiting Moderation 23 February–20 March
		Attendance Register and Folios of Coursework	25 March	Externally Assessed
English — Spoken	Standard Grade	Internal Assessment Grades for Talking	25 March	Visiting Moderation 23 February–20 March
		Attendance Register and Tapes/Folios of Coursework	25 March	Externally Assessed
Gaelic (Learners)	Standard Grade	Internal Assessment Grades for Speaking	26 April	Visiting Moderation 3 February–7 March
	Intermediate 1	Talking Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Reading and Writing Folios	26 April	Externally Assessed
	Intermediate 2	Talking Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Reading and Writing Folios	26 April	Externally Assessed
	Higher	Talking Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Folios	26 April	Externally Assessed
	Advanced Higher	Talking	Not Applicable	Visiting Examining 2 February–5 March
	Advanced Higher	Listening Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Folios	26 April	Externally Assessed
Attendance Register and Personal Studies		26 April	Externally Assessed	

\*Date to be confirmed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Gàidhlig	Standard Grade	Internal Assessment Grades for Speaking	26 April	Visiting Moderation 3 February–7 March
		Attendance Register and Submitted Coursework	25 March	Externally Assessed
	Intermediate 1	Talking Materials and Internal Assessment Marks	26 April	Central Moderation
	Intermediate 2	Talking Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Folios	26 April	Externally Assessed
	Higher	Talking Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Folios	26 April	Externally Assessed
		Attendance Register and Reports	26 April	Externally Assessed
	Advanced Higher	Talking Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Folios	26 April	Externally Assessed
Attendance Register and Reports		26 April	Externally Assessed	
Geography	Advanced Higher	Attendance Register and Geographical Issues	26 April	Externally Assessed
		Attendance Register and Geographical Studies	28 May	Externally Assessed
Geology	Intermediate 2	Fieldwork Reports and Internal Assessment Marks	26 April	Central Moderation
	Higher	Fieldwork Reports and Internal Assessment Marks	26 April	Central Moderation
Graphic Communication	Standard Grade	Candidate Portfolios (Illustration and Presentation) and Internal Assessment Grades	25 March	Central Moderation
	Intermediate 2	Computer Graphics Folios and Internal Assessment Marks	26 April	Central Moderation
	Higher	Thematic Presentations and Internal Assessment Marks	26 April	Central Moderation
	Advanced Higher	Computer-Aided 3D Modelling Presentations and Internal Assessment Marks	26 April	Central Moderation (and Visiting Moderation if required)
Computer-Aided Graphic Presentations and Internal Assessment Marks		26 April	Central Moderation (and Visiting Moderation if required)	
Health and Food Technology	Intermediate 1	Internal Assessment Marks for Implementing	26 April	Visiting Moderation 17 March–11 April
		Attendance Register and Practical Assignments	26 April	Externally Assessed
History	Intermediate 2	Attendance Register and Extended Responses	26 April	Externally Assessed
	Higher	Attendance Register and Extended Essays	26 April	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Home Economics	Standard Grade	Internal Assessment Grades for Practical and Organisational Skills	25 March	Visiting Moderation 2 February–15 March
Home Economics — Fashion and Textile Technology	Intermediate 1	Internal Assessment Marks for Implementing	26 April	Visiting Moderation 15 March–9 April
		Attendance Register and Practical Assignments	26 April	Externally Assessed
	Intermediate 2	Attendance Register and Technological Projects	26 April	Externally Assessed
	Higher	Attendance Register and Technological Projects	26 April	Externally Assessed
Home Economics — Health and Food Technology	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed
	Intermediate 2	Attendance Register and Technological Projects	26 April	Externally Assessed
	Higher	Attendance Register and Technological Projects	26 April	Externally Assessed
Home Economics — Lifestyle and Consumer Technology	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed
	Intermediate 1	Internal Assessment Marks for Implementing	26 April	Visiting Moderation 15 March–9 April
	Intermediate 2	Attendance Register and Practical Assignments	26 April	Externally Assessed
		Attendance Register and Technological Projects	26 April	Externally Assessed
Higher	Attendance Register and Technological Projects	26 April	Externally Assessed	
	Attendance Register and Technological Projects	26 April	Externally Assessed	
Hospitality — Food and Drink Service	Higher	Attendance Register and Staff Manuals	26 April	Externally Assessed
		Internal Assessment Marks for Practical Assignment	14 May	Visiting Moderation 12 April–21 May
Hospitality — General Operations	Intermediate 2	Attendance Register and Written Assignments	26 April	Externally Assessed
		Internal Assessment Marks for Practical Assignment	14 May	Visiting Moderation 12 April–21 May
Hospitality — Practical Cookery	Intermediate 1	Internal Assessment Marks for Practical Assignment	14 May	Visiting Moderation 12 April–21 May
	Intermediate 2	Internal Assessment Marks for Practical Assignment	14 May	Visiting Moderation 12 April–21 May
Hospitality — Professional Cookery	Intermediate 2	Internal Assessment Marks for Practical Assignment	14 May	Visiting Moderation 12 April–21 May
	Higher	Internal Assessment Marks for Practical Assignment	14 May	Visiting Moderation 12 April–21 May
Hospitality — Reception and Accommodation Operations	Higher	Attendance Register and Practical Assignments	26 April	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Information Systems	Intermediate 2	Coursework and Internal Assessment Marks	26 April	Central Moderation
	Higher	Coursework and Internal Assessment Marks	26 April	Central Moderation
	Advanced Higher	Coursework and Internal Assessment Marks	26 April	Central Moderation
Land Use (Built Environment)	Higher	Projects and Internal Assessment Marks	26 April	Central Moderation
Latin	Standard Grade	Attendance Register and Individual Investigation Reports	25 March	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed
Managing Environmental Resources	Advanced Higher	Attendance Register and Investigations	26 April	Externally Assessed
Media Studies	Higher	Attendance Register and Unseen Analyses	26 April	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed
Modern Languages (French, German, Italian, Russian, Spanish, Urdu)	Standard Grade	Attendance Register and Writing Folios	25 March	Externally Assessed
		Internal Assessment Grades for Speaking	26 April	Visiting Moderation 1 March–26 March
Modern Languages (French, German, Italian, Russian, Spanish)	Intermediate 1	Speaking Moderation Materials	25 March	Central Moderation
		Internal Assessment Marks for Speaking	26 April	
	Intermediate 2	Speaking Moderation Materials	25 March	Central Moderation
		Internal Assessment Marks for Speaking	26 April	
	Higher	Speaking Moderation Materials	25 March	Central Moderation
		Internal Assessment Marks for Speaking	26 April	
Advanced Higher	Speaking		Not Applicable	Visiting Examining 23 February–26 March
	Attendance Register and Folios		26 April	Externally Assessed
Modern Studies	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Music	Standard Grade	Attendance Register — Supplement — Solo Performing	Not Applicable	Visiting Examining 16 February–26 March Retained in centre and handed to Visiting Examiner on day of visit
		Group Performing and Internal Assessment Grades	26 April	Visiting Moderation 12 May–30 May
		Inventing and Internal Assessment Grades	26 April	Visiting Moderation 12 May–30 May
	Intermediate 1	Performing (Mandatory)	Not Applicable	Visiting Examining 16 February–26 March
		Performing — Extension	Not Applicable	Visiting Examining 16 February–26 March
		Inventing Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Inventing Extension Folios	26 April	Externally Assessed
		Attendance Register and Midi-sequencing GM MIDI Files	26 April	Externally Assessed
		Attendance Register and Sound Engineering and Production Tapes and Session Logs	26 April	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Music (continued)	Intermediate 2	Performing (Mandatory)	Not Applicable	Visiting Examining 16 February–26 March
		Performing — Extension 1	Not Applicable	Visiting Examining 16 February–26 March
		Performing — Extension 2	Not Applicable	Visiting Examining 16 February–26 March
		Accompanying	Not Applicable	Visiting Examining 16 February–26 March
		Inventing Materials and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Inventing Extension Folios	26 April	Externally Assessed
		Attendance Register and Midi-sequencing GM MIDI Files	26 April	Externally Assessed
		Attendance Register and Sound Engineering and Production Tapes and Session Logs	26 April	Externally Assessed
	Higher	Performing (Mandatory)	Not Applicable	Visiting Examining 16 February–26 March
		Performing — Extension	Not Applicable	Visiting Examining 16 February–26 March
		Accompanying	Not Applicable	Visiting Examining 16 February–26 March
		Inventing Materials and Internal Assessment Marks	26 April	Central Moderation

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Music (continued)		Attendance Register and Inventing Extension Folios	26 April	Externally Assessed
		Attendance Register and Midi-sequencing GM MIDI Files	26 April	Externally Assessed
		Attendance Register and Listening Extension Commentaries	26 April	Externally Assessed
		Attendance Register and Sound Engineering and Production Tapes and Session Logs	26 April	Externally Assessed
	Advanced Higher	Performing — Mandatory	Not Applicable	Visiting Examining 10 May–28 May
		Performing Extension — 1	Not Applicable	Visiting Examining 10 May–28 May
		Performing Extension — 2	Not Applicable	Visiting Examining 10 May–28 May
		Accompanying	Not Applicable	Visiting Examining 10 May–28 May
		Training and Directing	Not Applicable	Visiting Examining 10 May–28 May
		Inventing Folios and Internal Assessment Marks	26 April	Central Moderation
		Attendance Register and Inventing Extension Folios	26 April	Externally Assessed
		Attendance Register and Listening Commentaries	26 April	Externally Assessed
		Attendance Register and Listening Extension Dissertations	26 April	Externally Assessed
		Attendance Register and Midi-sequencing GM MIDI Files	26 April	Externally Assessed
		Attendance Register and Training and Directing Videos, Scores and Rehearsal Logs	26 April	Externally Assessed
		Attendance Register and Sound Engineering and Production Tapes and Session Logs	26 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	14 May	Visiting Moderation 22 March–14 May
		Internal Assessment Marks for Personal Statements	14 May	Visiting Moderation 22 March–14 May
	Intermediate 2	Internal Assessment Marks for Folios of Evidence	14 May	Visiting Moderation 22 March–14 May
		Internal Assessment Marks for Personal Statements	14 May	Visiting Moderation 22 March–14 May
	Higher	Internal Assessment Marks for Folios of Evidence	14 May	Visiting Moderation 22 March–14 May
		Internal Assessment Marks for Personal Statements	14 May	Visiting Moderation 22 March–14 May
Physical Education	Standard Grade	Internal Assessment Grades for Practical Performance	27 March	Visiting Moderation 24 February–21 March
	Intermediate 1	Internal Assessment Marks for Performance	30 April	Visiting Moderation 24 February–21 March
		Attendance Register and Investigation of Performance Logbooks	26 April	Externally Assessed
	Intermediate 2	Internal Assessment Marks for Performance	30 April	Visiting Moderation 24 February–21 March
		Attendance Register and Investigation of Performance Reports	26 April	Externally Assessed
	Higher	Internal Assessment Marks for Performance	30 April	Visiting Moderation 24 February–21 March
		Attendance Register and Investigation of Performance Reports	26 April	Externally Assessed
	Advanced Higher	Internal Assessment Marks for Performance	30 April	Visiting Moderation 24 February–21 March
		Attendance Register and Dissertations	26 April	Externally Assessed
	Physics	Standard Grade	Practical Abilities and Internal Assessment Grades	27 March
Advanced Higher		Attendance Register and Investigation Reports	26 April	Externally Assessed
Politics	Advanced Higher	Attendance Register and Research Reports	26 April	Externally Assessed

Course	Level	Submission(s)	Date of Collection/ Submission to SQA	Assessment Arrangements
Psychology	Higher	Attendance Register and Research Investigations	26 April	Externally Assessed
	Advanced Higher	Attendance Register and Research Reports	26 April	Externally Assessed
Religious Studies	Standard Grade	Investigating and Internal Assessment Grades	25 March	Central Moderation
Religious, Moral and Philosophical Studies	Intermediate 1	Attendance Register and Assignments	26 April	Externally Assessed
	Intermediate 2	Attendance Register and Extended Essays	26 April	Externally Assessed
	Higher	Attendance Register and Extended Essays	26 April	Externally Assessed
	Advanced Higher	Attendance Register and Dissertations	26 April	Externally Assessed
Science	Standard Grade	Practical Abilities and Internal Assessment Grades	25 March	Central Moderation
Social and Vocational Skills	Standard Grade	Practical Abilities and Internal Assessment Grades	25 March	Central Moderation
		Internal Assessment Grades for Communicative Abilities	25 March	
Technological Studies	Standard Grade	Application of Technology Internal Assessment Grades	25 March	Central Moderation
Woodworking Skills (no estimate required)	Intermediate 1	Internal Assessment Marks for Practical Project Work	14 May	Visiting Moderation 29 March–12 May
	Intermediate 2	Internal Assessment Marks for Practical Project Work	14 May	Visiting Moderation 29 March–12 May



# **Appendix 4: Error codes and messages**



# **Appendix 5: Exemplar Forms**

