



Systems Approval Report

What this form is for

This form enables SQA Systems Approvers to report on the relevant quality assurance findings from systems approval activity.

How to use this form

This form is to be completed electronically. Please make sure that you are using Adobe Reader 9 or later. This can be downloaded free of charge from the [Adobe website](#)

1. Centre Details

Centre Name

Address

Post/Zip Code

Country

Telephone number

Please include the international and/or area code

E-mail Address

SQA Co-ordinator

Head of Centre

Centre Type

Geographical Area

Qualification type
applied for

If 'other' please state
type

2. Event Details

Type of Event

If the event is a resubmission, this report will only contain information about the criterion that were originally not approved, therefore this report should be read in conjunction with the most recent report.

Date of Event

3. Quality Assurance Criteria

This section relates to the relevant Quality Assurance Criteria categories for Systems Approval. Comments are mandatory for all criteria and if 'Not Applicable' is selected then the comments should provide the reasons why this was chosen.

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| 1. Management of a Centre | | | |
| <i>Quality assurance is managed effectively and documented processes that support all SQA qualifications are implemented, reviewed and continuously improved</i> | | | |
| 1.1 | Policies and procedures must be documented and reviewed to ensure full compliance with SQA quality criteria. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.2 | Policies and procedures must be endorsed by senior management and disseminated to all relevant staff. | Low | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.3 | SQA must be notified of any changes that may affect the centre's ability to meet the quality assurance criteria. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.4 | The roles and responsibilities of those involved in the administration, management, assessment and quality assurance of SQA qualifications across all sites must be clearly documented and disseminated. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.5 | Suspected candidate or staff malpractice must be investigated and acted upon, in line with SQA requirements. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.6 | No-one with a personal interest in the outcome of an assessment is to be involved in the assessment process. This includes assessors, internal verifiers and invigilators. | Low | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.7 | There must be an effective process for communicating with staff, candidates and SQA. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.8 | Feedback from candidates and staff must be sought and used to inform centre improvement plans. | Low | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.9 | The centre must comply with requests for access to records, information, candidates, staff and premises for the purpose of external quality assurance activities. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 1.10 | Outcomes of external quality assurance must be disseminated to appropriate staff and any action points addressed within agreed timescales. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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2. Resources

The centre procedures for managing resources must be documented, implemented and monitored to meet SQA requirements.

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| 2.1 | Assessors and internal verifiers must be competent to assess and internally verify, in line with the requirements of the qualification. | High | Approved Not Approved |
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Comment on Evidence

If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are:

Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are:

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| 2.2 | Assessors and internal verifiers must be given induction training on SQA qualifications and requirements. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 2.3 | There must be a documented system for initial and ongoing reviews of assessment environments; equipment; and reference, learning and assessment materials. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 2.5 | All sites where candidates undertake assessments for SQA qualifications must be safe and appropriately resourced, and must provide access for candidates, staff and SQA personnel. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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3. Candidate Support

Candidates are supported and guided through the qualifications for which they are entered.

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| 3.1 | Candidate induction must include information about the SQA qualification and SQA requirements. | High | Approved Not Approved |
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Comment on Evidence

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If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are:

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Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are:

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| 3.4 | Policies and procedures must give SQA candidates equal opportunities for assessment. | Low | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 3.5 | Individual candidates' requirements for assessment arrangements must be discussed, identified, implemented and recorded. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 3.6 | Candidate complaints must be handled in line with a documented complaints procedure which meets SQA requirements. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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4. Internal Assessment and Verification

The centre's internal assessment and verification procedures must be documented, implemented and monitored to meet Qualification and SQA requirements.

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| 4.1 | Internal assessment and verification procedures must be documented and monitored to meet SQA requirements. | Medium | Approved Not Approved |
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Comment on Evidence

If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are:

Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are:

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| 4.5 | Assessment materials and candidate evidence (including examination question papers, scripts and electronically-stored evidence) must be stored and transported securely. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 4.7 | Candidate evidence must be retained in line with SQA requirements. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 4.8 | Internal assessment appeals must be handled in line with a documented procedure which meets SQA requirements. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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5. External Assessment

The centre's external assessment procedures must be documented, implemented and monitored to meet qualification and SQA requirements.

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| 5.1 | Assessment evidence must be the candidate's own work, generated under SQA's required conditions. | High | Approved Not Approved Not Applicable |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 5.2 | Assessment materials and candidate evidence, (including examination question papers, scripts and electronically-stored evidence) must be securely stored and transported. | High | Approved Not Approved Not Applicable |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 5.3 | The centre must submit, where appropriate, within published timelines, Results Services requests. | Medium | Approved Not Approved Not Applicable |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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6. Data Management

The centre procedures for supplying complete, current and accurate information to SQA for the purposes of registration, entries and certification must be documented, implemented and monitored to meet SQA requirements.

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| 6.1 | Candidates' personal data submitted by centres to SQA must accurately reflect the current status of the candidate. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 6.2 | Data on candidate entries submitted by centres to SQA must accurately reflect the current status of the candidate and the qualification. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 6.3 | Data on candidate results submitted by centres to SQA must accurately reflect the current status of the candidate and the qualification. | High | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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| 6.4 | There must be an effective and documented system for the accurate recording, storage and retention of assessment records, internal verification records and candidate records of achievement in line with SQA requirements. | Medium | Approved Not Approved |
| Comment on Evidence | | | |
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| If this criterion is not approved, the action(s) to be carried out by centre to achieve systems approval are: | | | |
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| Recommendations (not mandatory) to improve the centre's policy or processes for this criterion are: | | | |
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Recommended Outcome of Approval

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| <p>Approved <i>The centre is considered to have the potential to support the assessment and quality assurance of SQA qualifications.</i></p> | |
| <p>Not Approved <i>The centre is not yet able to meet one or more of the systems approval criteria as listed below. The centre must refer to the individual named criterion within this report for information on how to meet each criterion:</i></p> | |

If your centre has not been approved on this occasion, please liaise with your Business Development account manager when providing any additional evidence required. The contact details for the Business Development team are:

Email: mycentre@sqa.org.uk

Telephone: 0303 333 0330

Feedback Details

Centre Staff Informed:

Name

Job Title

Declaration

I declare that, to the best of my knowledge, the information provided in this report is correct.

Name of SQA Representative

Date Report submitted to SQA

Systems Approver Confirmation (Internal use only)

Confirmed and agreed by Systems
Approver

Date