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# Introduction

This guide is intended to provide information to staff in centres on the interaction between centres and SQA. You can make copies of this guide or, if you prefer, you can download it from [www.sqa.org.uk](http://www.sqa.org.uk). It is also available via SQA.Net/Navigator.

***Note: If you use a software system to exchange data with SQA, you should also refer to instructions and manuals provided by your supplier. In particular, you should refer to instructions on amending data, as the approach can vary depending on the system being used. While our Data Management team will always be happy to help you with your operating queries, please in the first instance contact your software supplier's helpline for technical queries about data submissions.***

# 1 Contact details for main procedures

You might find these contact details helpful:

<b>Procedure</b>	<b>Telephone</b>	<b>E-mail</b>
Data Management (Glasgow)	0141-242 2265	<a href="mailto:etp.data.processing@sqa.org.uk">etp.data.processing@sqa.org.uk</a>
SQA Customer Contact Centre	0845 279 1000	<a href="mailto:customer@sqa.org.uk">customer@sqa.org.uk</a>
Data Protection	0141-242 2218	<a href="mailto:data.protection@sqa.org.uk">data.protection@sqa.org.uk</a>
Approval issues	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>
Assessment Arrangements (SEN, ESL, Absentee Candidates, etc)	0131-561 6733	<a href="mailto:ellen.aitken@sqa.org.uk">ellen.aitken@sqa.org.uk</a>
Awards Reporting	0141-242 2335	<a href="mailto:esocr@sqa.org.uk">esocr@sqa.org.uk</a>
Replacement Certificates	0141-242 2418	<a href="mailto:certification@sqa.org.uk">certification@sqa.org.uk</a>

The following relate specifically to National Qualifications:

Submission of Estimates (National Courses)	0131-561 6955	<a href="mailto:national.qualifications@sqa.org.uk">national.qualifications@sqa.org.uk</a>
Invigilation arrangements	0131-561 6860	<a href="mailto:moira.young@sqa.org.uk">moira.young@sqa.org.uk</a>
Question Paper supplies	0131-561 6815	<a href="mailto:clare.hickson@sqa.org.uk">clare.hickson@sqa.org.uk</a>
Stationery supplies	0131-561 6860	<a href="mailto:marie.cosgrove@sqa.org.uk">marie.cosgrove@sqa.org.uk</a>
Forms Ex6 (Attendance Registers)	0131-561 6860	<a href="mailto:liz.beavon@sqa.org.uk">liz.beavon@sqa.org.uk</a>
Assessment Appeals	0131-271 6758	<a href="mailto:veronica.harris@sqa.org.uk">veronica.harris@sqa.org.uk</a>
Examination timetable	0131-561 6860	<a href="mailto:sandra.bonilla@sqa.org.uk">sandra.bonilla@sqa.org.uk</a>
Project-based National Courses (results processing)	0131-561 6873	<a href="mailto:national.qualifications@sqa.org.uk">national.qualifications@sqa.org.uk</a>
Project-based National Courses (visiting assessment arrangements)	0131-561 6888	<a href="mailto:anna.greig@sqa.org.uk">anna.greig@sqa.org.uk</a>
Project-based National Courses (external marking)	0131-561 6903	<a href="mailto:sheila.anderson@sqa.org.uk">sheila.anderson@sqa.org.uk</a>
Scottish Group Awards	0141-242 2315	<a href="mailto:mary.mcarthur@sqa.org.uk">mary.mcarthur@sqa.org.uk</a>
Core Skills	0141-242 2319	<a href="mailto:margaret.tierney@sqa.org.uk">margaret.tierney@sqa.org.uk</a>
Scottish Credit and Qualifications Framework	0141-242 2268	<a href="mailto:lynn.tully@sqa.org.uk">lynn.tully@sqa.org.uk</a>

## 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:

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

## 3 Freedom of Information

The Freedom of Information (Scotland) Act 2002 gives a general right of access to all types of recorded information held by Scottish public authorities, subject to certain exemptions. In compliance with Section 23 of the Act, SQA have adopted a Publication Scheme getting out the classes of information we publish, or intend to publish, the manner in which we intend to publish the information and whether a charge will be made for the information.

More information on SQA's policy under the Freedom of Information Act is available via our website at [www.sqa.org.uk](http://www.sqa.org.uk).

## 4 Catalogues, approval files and reference data

### SVQs

*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* is issued annually 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 *National Qualifications* CD-ROM. 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* 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* CD-ROM for full details of Course arrangements.

### Higher National Qualifications

The *Catalogue of Higher National Units* is also issued annually, together with a CD-ROM containing the specifications for current nationally-developed Higher National Units and Graded Units. These specifications are also available on our website. Paper copies of consortium-devised Higher National Unit specifications are available from our Customer Contact Centre. Our 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.

## 5 How to submit data to SQA

We recommend submitting data electronically. 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 *Guide to Data Exchange*, which is available from our Customer Contact Centre (telephone 0845 279 1000) or by download from **www.sqa.org.uk**.

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

- ◆ by File Transfer using SQA.net
- ◆ by File Transfer (system used by SEEMIS centres)
- ◆ as an email attachment (relevant email addresses can be found in section 1 ‘Contact details for main procedures’)

### SQA.net

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

You can send registrations, entries and results via the file upload facility on SQA.net.

SQA.net will continue to develop and we will notify you of any changes as and when they occur. If you require further information on SQA.net, please email your details to: **SQA.net@sqa.org.uk**.

Note that once your centre has opted to submit data to us electronically we will assume that you will send us all your data 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.

## 6 How to check the data you have sent to SQA

When you submit registrations, entries and results to us, you will receive a processing report listing information about the transactions. This report lists all successes and failures in transmission of the data, and you will have to review the information and re-submit data where necessary. The diagram below shows an extract of a processing report. In this example the centre should review the information, correct any anomaly and re-transmit the data.

### Important:

***With the new faster, automated method of data exchange, clerical checks are no longer carried out on file sequencing. You should ensure that files are submitted in the correct sequence, and must check via SQA.net that a candidate registration has been successful before submitting an entry for that candidate. If you wish to update entry information this can only happen after the entry has been successfully created and confirmed.***

Global Summary												
entity	total records	successes	failures									
Registrations	5	4	1									
Summary (Registrations)												
total records	successes	failures										
5	4	1										
Registrations (Errors)												
Surname	Forename	SCN	DoB	Sex	Stage	Address Line 1	Address Line 2	Address Line 3	Address Line 4	Post Code	Country	Error
Brown	John	12345678	01/01/1990	m	7	1 High Street	Anytown			AZ1 1ZA		R082 - A candidate with the same surname, first initial of forename, date of birth and gender combination already exists.
Registrations (Successes)												
Surname	Forename	SCN	DoB	Sex	Stage	Address Line 1	Address Line 2	Address Line 3	Address Line 4	Post Code	Country	
Test	Andrew	12345680	01/04/1990	m	3	2 High Street	Anytown			AZ1 1ZA		
Test	Mary	12345681	02/04/1990	f	3	3 High Street	Anytown			AZ2 2ZA		
Test	John	12345682	03/04/1990	m	3	4 High Street	Anytown			AZ1 1ZA		
Test	Anne	12345683	04/04/1990	f	3	5 High Street	Anytown			AZ2 2ZA		

# 7 Registering candidates and updating registration details

## 7.1 General

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

When we receive the registration details, a unique record is created on our system which maintains details of the candidate's SQA achievements. This means that it is imperative that the details are held under a single SCN. This is the only way a candidate will get the maximum benefit from the Scottish Qualifications certificate, which is a single record of all SQA qualifications achieved by the candidate.

If you find that a candidate has more than one SCN you should tell us immediately. The SCNs will be merged so that all candidates' achievements are held on a single record. We check all new records to make sure the candidates are not registered twice. Where we think there may be a duplicate registration we will provide you with details so you can investigate the matter further with the candidate.

### Candidate Merge

If you have a request to merge candidate records, please email this request to: [candidate.merge@sqa.org.uk](mailto:candidate.merge@sqa.org.uk). Requests have a 21 day turnaround.

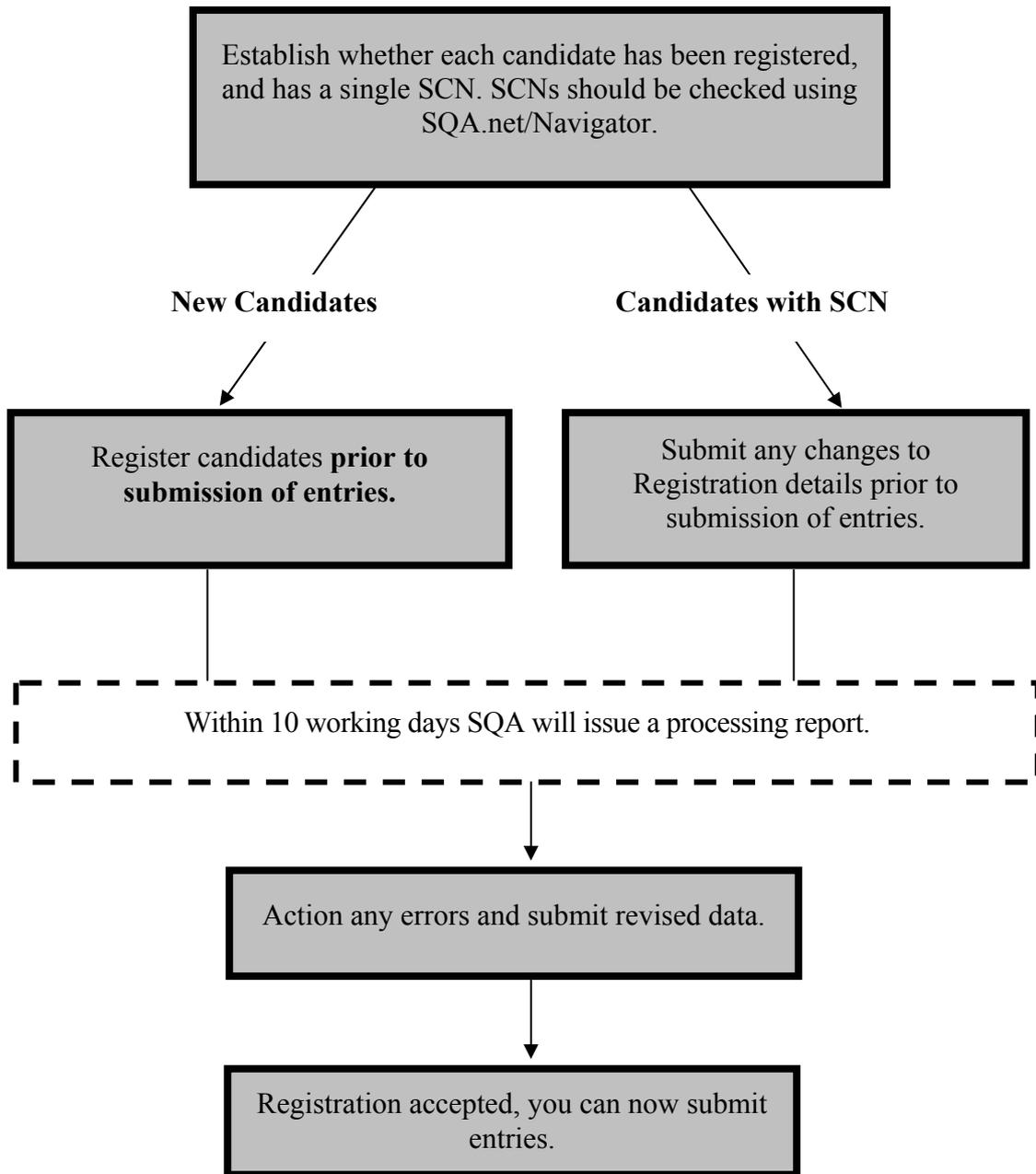
It is your responsibility to ensure duplicate registrations do not occur.

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

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

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

## 7.2 Registration of candidates



SQA's responsibility: 

Centre's responsibility: 

## 7.3 Scottish Candidate Numbers

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 that have been supplied by SQA. If you need additional blocks of numbers of SCNs, email: [scn.allocation@sqa.org.uk](mailto:scn.allocation@sqa.org.uk) or telephone 0131-561 6955.

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 SQA.net/Navigator
- ◆ check references on certificates previously issued by SQA (and by SCOTVEC since 1984 and by SEB since 1995)
- ◆ contact the centre which the candidate previously attended

## 7.4 How to submit registration details to us

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, a **processing report** highlighting the reason for the rejection will be produced and issued to you for resolution.

All data errors are identified by error codes. If you receive a processing report, you must review the cases highlighted and re-submit the information for the candidates concerned. We will then process this updated information on receipt, subjecting it to the same checks as the original submission.

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

- ◆ the postcode field is for UK or British Forces (BFPO) postcodes only — other codes (eg zip codes) should be in address lines 1–4
- ◆ the country field is only to be used for valid country names — as listed in the SQA list based on ISO standard **ISO3166-1**
- ◆ one of either the postcode or country code must be completed, but not both except for overseas BFPO addresses

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

**Please note:** the record created belongs to the candidate and the candidate's personal address should be submitted. SQA now have agreements in place with Scottish Enterprise and Highland & Islands Enterprise regarding evidence requirements for funding. Please contact your Customer Accounts Manager for further information if required.

## 7.5 Changes to registration details

It is possible that some of the information about candidates which was provided to us on 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 they come to your notice.

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

Name changes count as mainstream processing, and can be submitted electronically.

It is our policy that candidates will be issued with certificates showing the name under which they were registered when they took the qualification. We discourage name change requests after 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. If a candidate returns a certificate to us with an indication that their name is incorrect and that this is something you had known about but had not conveyed to SQA, we will seek confirmation of the name change from you before re-issuing a certificate. Under these circumstances we will also seek your agreement that your centre will pay the fee of £24.75 for amending and issuing the replacement certificate.

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

After processing, reports will be sent back to you within 10 working days. These will confirm the number of registrations received, the number successfully created, and the number rejected (if any).

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

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

## 8 Awards reporting

### 8.1 Scottish Qualifications Certificate (SQC)

Every candidate achieving SQA qualifications will be issued with a Scottish Qualifications Certificate (SQC) detailing their results. SQCs are cumulative, and we issue them throughout the year.

SQCs report results for National Courses, Clusters, free-standing Units, Core Skill Profiles, external assessments, Higher National Certificates and Diplomas, Scottish Vocational Qualifications and Customised Awards. They are accompanied by supplementary pages which outline the various types of qualifications, and provide candidates with additional information.

A summary certificate detailing examination results is also sent with the SQC to any candidate achieving National Qualifications. In addition, candidates who achieve a Group Award (such as a Scottish Vocational Qualification or a Higher National Certificate) will receive a separate Group Award certificate.

#### 8.1.1 Timescales

##### Group Awards

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

Certification of Scottish Group Awards 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.

At the start of August you will receive a 'clear-up' report detailing Group Awards and Units with a completion date of April 2005 and before. You will be asked to update each record with a final result, a revised completion date or withdraw if the candidate is no longer current. A change to the process this year is that you must submit your updates electronically, by your own MIS system, SQA-RED or SQA-REX. This will mean your updates will be processed much quicker than the manual process of previous years.

We will be sending you quarterly clear-up reports from August.

## 8.2 Statement of certificated results

In August of every year, we will send you an electronic statement of the results for all the candidates your centre has entered for National Courses, Units and Standard Grades in the summer diet. This report is issued in time for you to see results before candidates receive their certificates.

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

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

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

For Group Awards, we send monthly reports. This report contains results for candidates certificated for Group Awards during that month.

## 8.3 Changes to results after issue

If, following the publication of results, an error is identified either by the centre or by SQA in a candidate's award, we will investigate each case, take action promptly, and record details of the investigation and the outcome.

In carrying out this procedure we are 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 will be involved in the resolution. 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.

We will collect evidence that the candidate has been informed (a copy of your e-mail or letter to the candidate), whether or not the candidate still attends the centre. In addition, we will write to the candidate to explain and apologise for the error and for any distress caused.

In most cases a revised certificate will be produced after a result change. At this stage, we will carry out a further check to determine whether the revised certificate should be issued.

A certificate will not be issued if:

- ◆ there is no change compared to that previously issued, eg change of 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)

The revised certificate will only be issued after the inaccurate certificate has been returned to us to be destroyed. We will request the return of the inaccurate certificate (as appropriate) as part of the resolution process.

## 8.4 Replacement certificates

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

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

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

We make a charge of £24.75 for a replacement certificate.

Forms must be signed by the candidate and should be returned to SQA Certification Section with appropriate payment via cheque, postal order, credit or debit card.

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

## 9 Core Skills

### 9.1 What are Core Skills?

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

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

Core Skill	Components
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).

### 9.2 How are Core Skills certificated?

All candidates get a Core Skills profile, which will be reviewed and updated as appropriate each time they achieve a new 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 can 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 where the candidate is entered and resulted for the Unit(s) by the centre

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 when the candidate achieves the relevant Unit or Course.

Dedicated Core Skills Units are available for use by schools, colleges, higher education institutions, and training providers, and for use in the workplace.

All candidates undertaking a Scottish Group Award will have to achieve specified levels of attainment in Core Skills.

# 10 Scottish Credit and Qualifications Framework (SCQF)

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

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

Most of the main Scottish qualifications are already in the SCQF. These are the foundations for Scotland's 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.

<b>The Scottish Credit and Qualifications Framework</b>				
<b>SCQF level</b>	<b>SQA National Units, Courses and Group Awards</b>	<b>Higher Education</b>	<b>SVQs</b>	<b>SCQF level</b>
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		7
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 in the overall UK context.

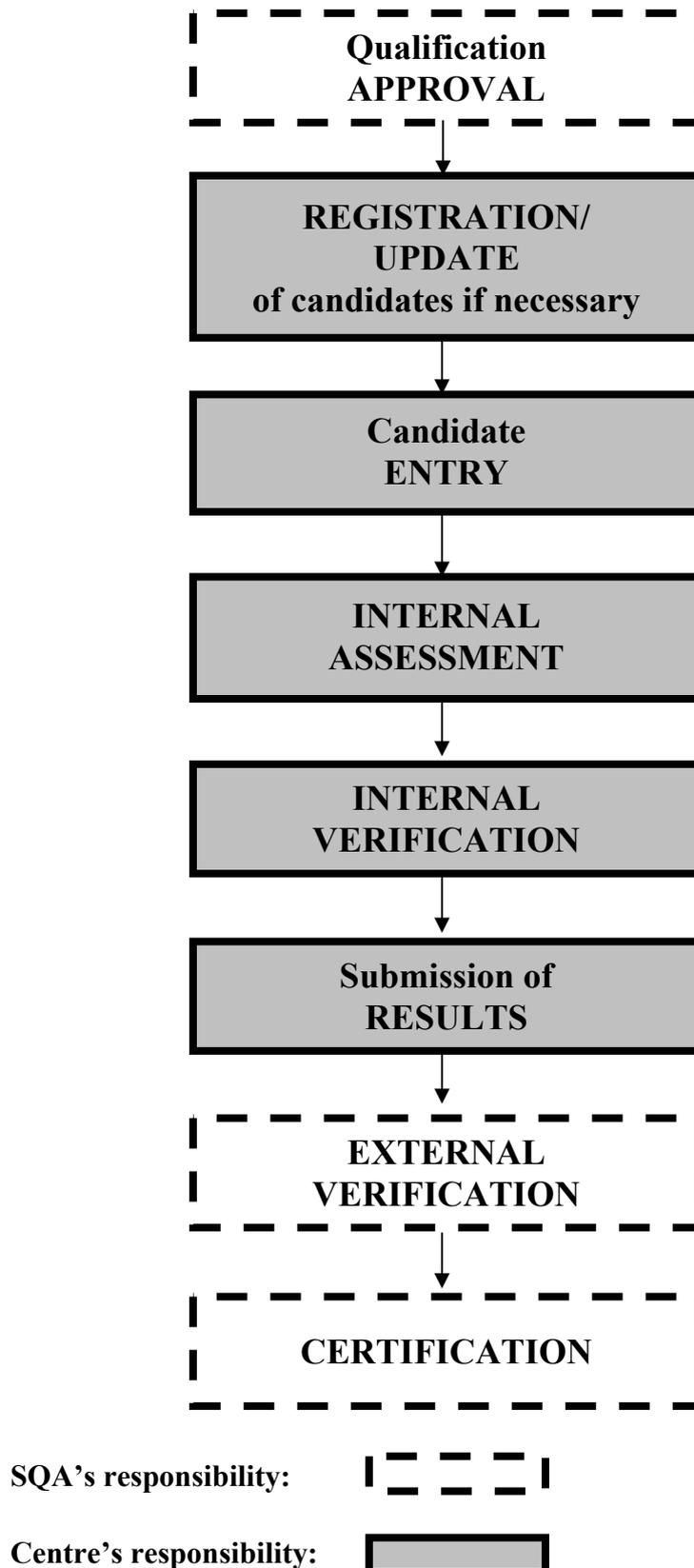
The table does not show every type of qualification. However, the main Scottish qualifications are represented.

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 qualification's outcomes.

For more information, see the SCQF website: [www.scqf.org.uk](http://www.scqf.org.uk).

# **Sections 11–14: Scottish Vocational Qualifications**

# 11 The route to certification for Scottish Vocational Qualifications



## 11.1 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** only. You should make every effort to ensure that no candidate has more than one SCN.

### Candidate entry

This is the process of telling us which candidates are doing what, where they are doing it, and when. It ensures that we identify the qualification and its level, your 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 Employers and Training Providers*.

### 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 you 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.

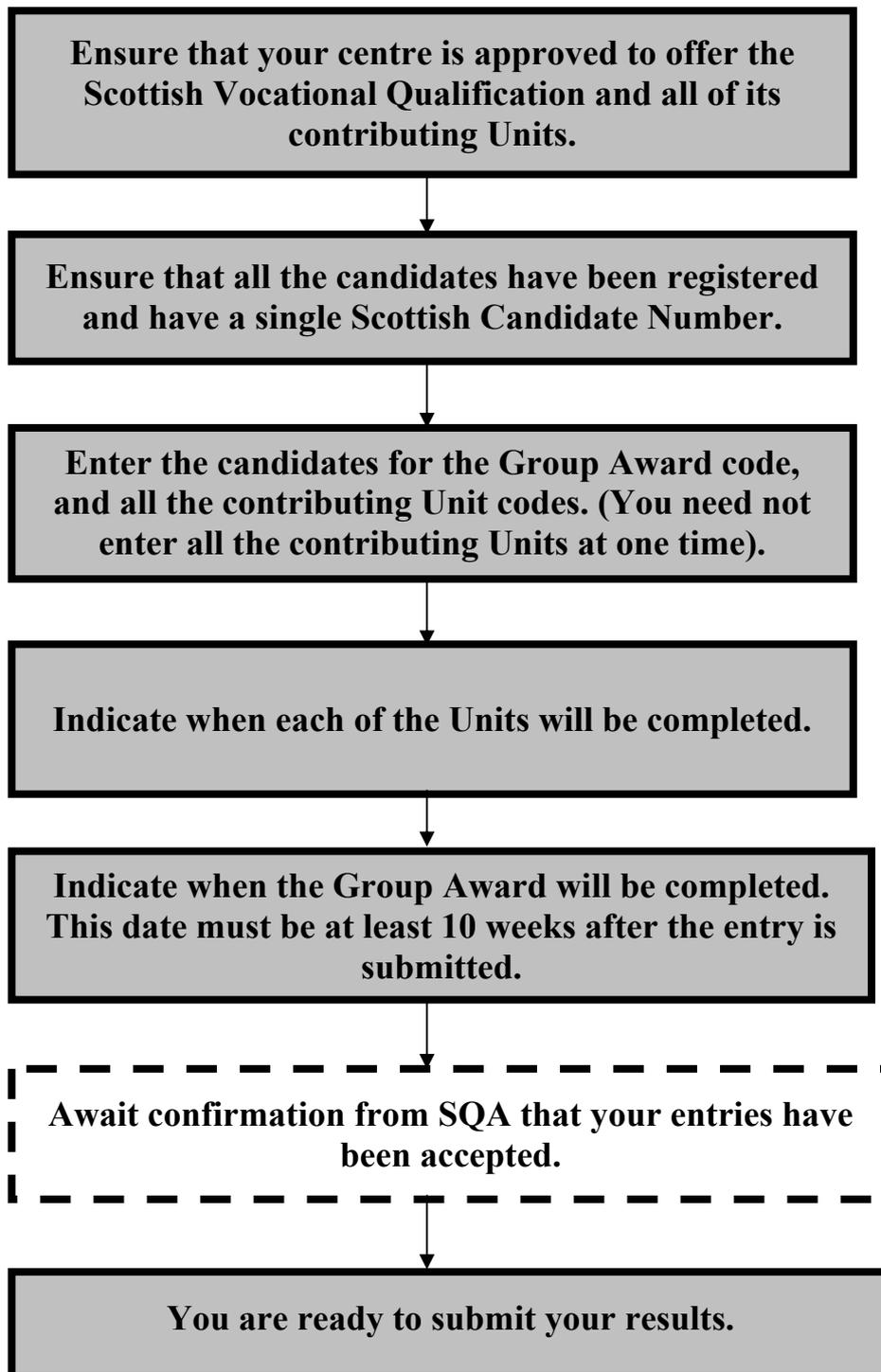
## 12 Entering candidates for Scottish Vocational Qualifications

This section of the guide provides an overview of our 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 7 of this guide). In addition, you should ensure that your 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*.

## 12.1 Entering candidates for Scottish Vocational Qualifications



SQA's responsibility:



Centre's responsibility:



## 12.2 How to submit candidate entries to us

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

The following guidelines should be noted:

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

Entry information can be submitted to us either electronically using the approved file formats or on the appropriate paper forms. Completed forms should be sent to 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 to: [etp.data.processing@sqa.org.uk](mailto:etp.data.processing@sqa.org.uk).

Details about electronic submission of data are given in our *Guide to Data Exchange*.

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

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

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

**Entries made within the lapsing period will be rejected.**

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

## 12.3 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 once we have the Group Award code. This is 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, and give the predicted completion dates for each of the Units if they differ from the completion date of the Group Award. Entries for all the contributing Units do not have to be submitted at the same time as the entry for the Group Award.

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

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

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

## 12.4 Completion dates

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

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

## 12.5 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.

## 12.6 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 create the new entry. If the second entry is from the same centre as the original entry, the second entry will be rejected.

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

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

You should check this report 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 you have no queries regarding the entries data that we hold, and that it is complete and accurate.***

## 12.8 Checks and errors

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

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

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

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

# 13 Candidate results for Scottish Vocational Qualifications

## 13.1 Submitting of Unit results

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

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

## 13.2 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.

### 13.2.1 Withdrawing from SVQs/Units

You can withdraw candidates from a Unit or Group Award.

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.

### 13.3 Results submission deadline

In August 2005 you will receive the first quarterly report detailing Group Awards and Units with a completion and process date of April 2005 and before. You will be asked to update each record with a final result, a revised completion date or withdraw if the candidate is no longer current. A change to the process this year is that you must submit your updates electronically, by your own MIS system or SQA-REX. This will mean your updates will be processed much quicker than the manual process of previous years.

The dates for following quarterly reports are as follows:

<b>Report run and despatched</b>	<b>Completion dates (up to and including)</b>
November	July
February	October
May	January

# 14 External verification of SVQs

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*, but the terms refer to the same process. There are three types of external verification:

- ◆ 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.

## 14.1 Selection for verification

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

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

## 14.2 Retaining evidence

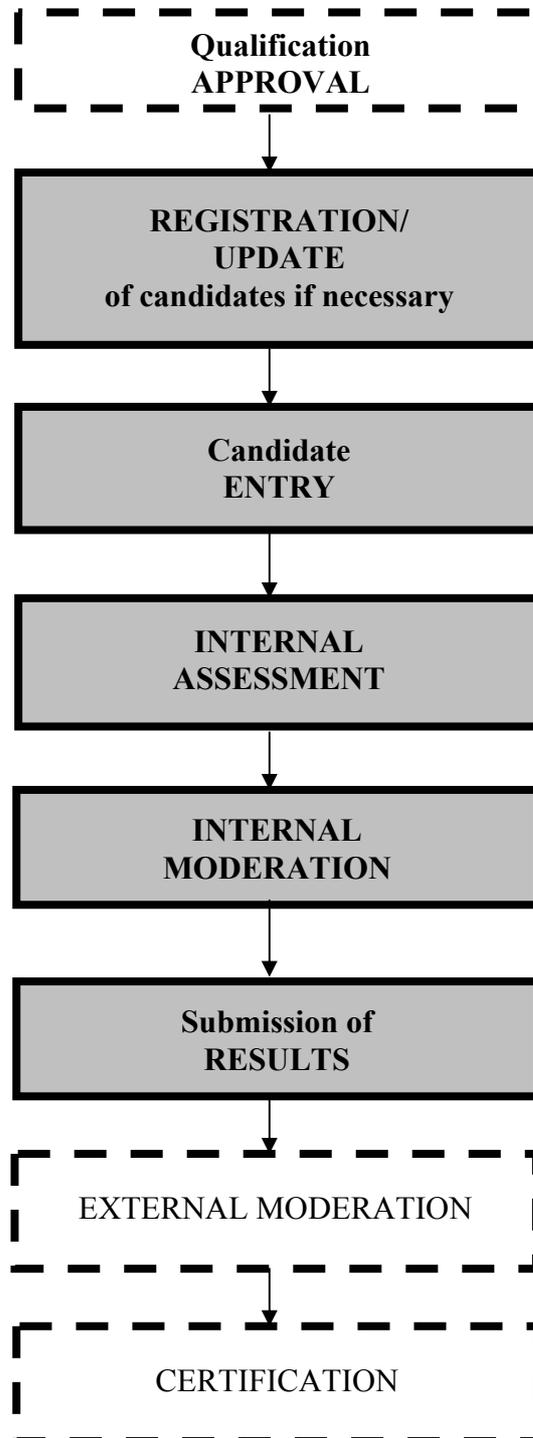
Candidate evidence should be retained until three weeks after the completion date, or three weeks after the verification visit, or until the verification visit has taken place.

## 14.3 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.

# **Sections 15–19: Higher National Qualifications**

# 15 The route to certification for Higher National Qualifications



SQA's responsibility:



Centre's responsibility:



**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 19 explains 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.

## 15.1 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 for Employers and Training Providers*.

### 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 7 for further information.)

### Candidate entry

This is the process of telling SQA which candidates are doing what, where they are doing it, 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 Employers and Training Providers*.

### **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.

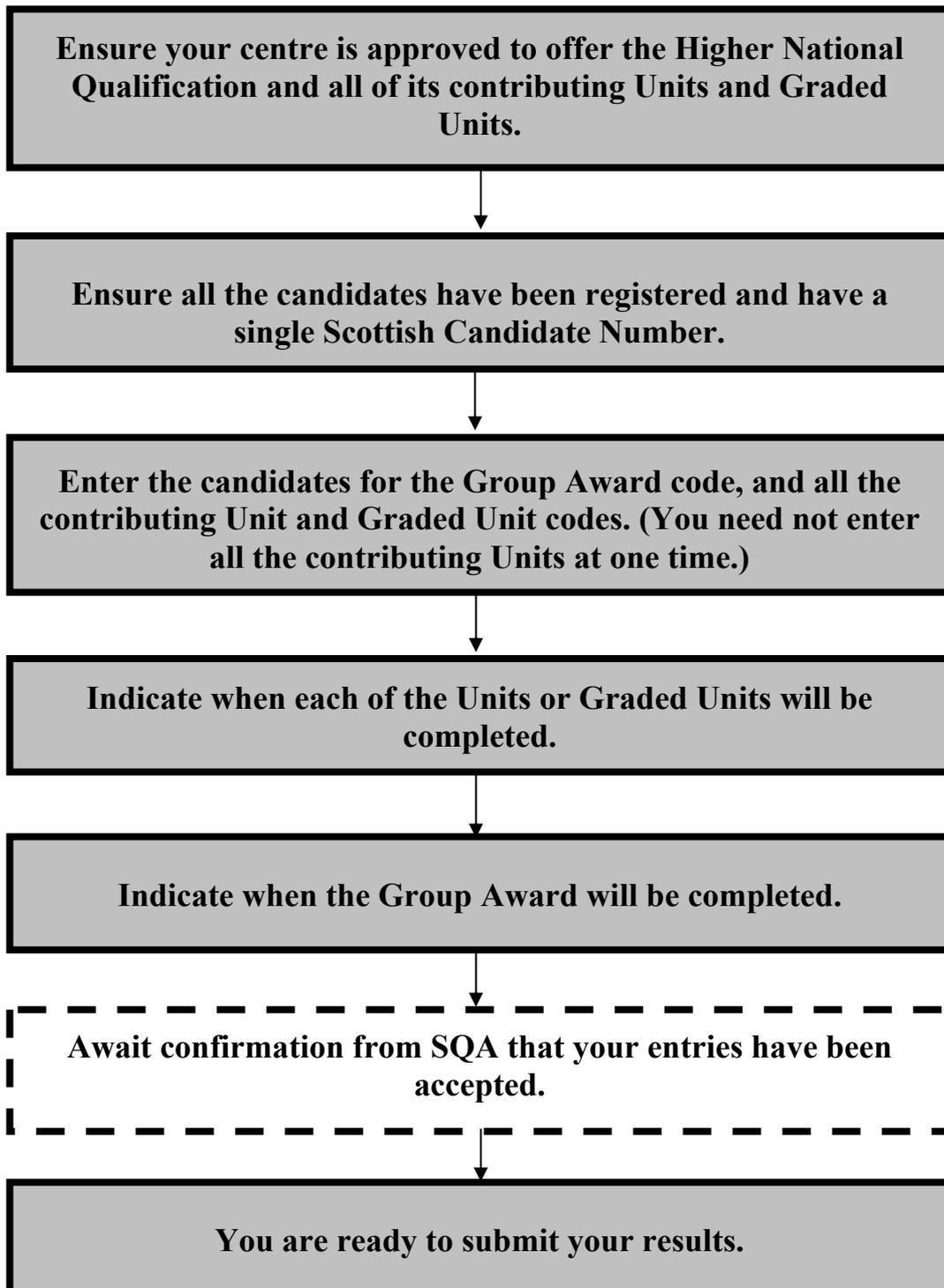
### **Certification**

The production and issue of certificates to candidates.

## 16 Entering candidates for Higher National Qualifications

*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.*

## 16.1 How to enter candidates for Higher National Qualifications



SQA's responsibility:



Centre's responsibility:



## 16.2 How to submit candidate entries to us

Please note the following guidelines:

- ◆ 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.

Entry information can be submitted to us electronically using the approved file formats either using SQA file transfer or by e-mail to:

**etp.data.processing@sqa.org.uk.**

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

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

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

## 16.3 Higher National Qualifications — what information to supply

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

Enter the candidates for the Group Award, giving its code and its anticipated completion date (ie the date when the candidates are expected to have completed all of the contributing Units and will be considered to have qualified for the Group Award itself). 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 give the anticipated completion dates for each of these. Entries for the contributing Units do not have to be submitted at the same time as the entry for the Group Award.

You must indicate when each of the individual Units will be completed. As the completion date informs the timing of external moderation, it is important that you are as accurate as possible with these dates. External moderation will take place throughout the year and can be carried out on both incomplete and complete evidence.

Moderating incomplete evidence makes it possible to spread moderation throughout the session — this gives you more time to amend results which may not have been accepted as a result of moderation.

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

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

## 16.4 Free-standing Units

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

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

## 16.5 Duplicate entries — how we deal with them

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

## 16.6 Changing level of entry

You can change a candidate entry from HNC to HND. To do this you must withdraw the candidate from the HNC and enter the candidate for the HND. The full cost of the HND will be charged. If a candidate who was entered for an HND wishes to be certificated for the appropriate HNC instead, you must enter the candidate for the HNC. If the candidate has already been entered for all the component Units and Graded Units of the HNC (ie the candidate qualifies for the HNC) an administration fee will be charged. Otherwise, the full cost of the HNC will be charged.

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

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

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

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

## 16.8 Checks and errors

The details you submit will be subject to a number of checks to ensure that they conform to rules we have put in place. If any of the submissions fails these checks, errors, highlighting the reason for the rejection, will be sent to you for resolution. If you receive errors you will need to review the cases highlighted, and re-submit the information for the candidates 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 for candidates until you have received confirmation from us that the entry information has been successfully created. Any information processed in the wrong order will generate errors and increase your workload.

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

# 17 Submitting Higher National Unit results

## 17.1 General

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

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

You must provide Unit results for all candidates by the completion date of the Group Award. Remember that, to receive a Group Award, candidates must achieve (depending on the nature of the Group Award):

either

- ◆ a Pass (or Merit where appropriate) in all of the contributing Units

or

- ◆ a Pass in all the contributing Units, plus an A, B or C in the contributing Graded Units

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

## 17.2 Completion dates and results

As the completion date approaches, you must decide whether or not your candidates are still on target to meet the date. If candidates will not complete the Unit by this date, or shortly thereafter, please notify us of the change to the completion date.

## 17.3 Withdrawing from Group Awards/Units

You can withdraw candidates from a Unit, Graded Unit, or Group Award.

Please advise us as soon as you are aware that a candidate is no longer following a Group Award, 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.

## 17.4 Results submission deadline

In August 2005 you will receive the first quarterly report detailing Group Awards and Units with a completion and process date of April 2005 and before. You will be asked to update each record with a final result, a revised completion date or withdraw if the candidate is no longer current. A change to the process this year is that you must submit your updates electronically, by your own MIS system or SQA-REX. This will mean your updates will be processed much quicker than the manual process of previous years.

The dates for following quarterly reports are as follows:

<b>Report run and despatched</b>	<b>Completion dates (up to and including)</b>
November	July
February	October
May	January

# 18 External moderation of 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. 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 August or September following completion. Centres will be notified during May or June if they have been selected for retrospective moderation.***

# 19 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 our website ([www.sqa.org.uk](http://www.sqa.org.uk)). The main implication for your operational procedures relates to:

- ◆ entering for Graded Units ('Integrative Assessments' as they were known during the pilot phase of the HN Review)
- ◆ submitting results for them (A, B, C, Fail or Withdrawn) and for revised Higher National Units (Pass, Fail or Withdraw)

A schedule for the revision of all consortium-developed HNC/HNDs can be found on the website. We aim to have all consortium-developed HNC/HNDs revised by 2006, and for all specialist collaborative/single centre HNC/HNDs to have been revised by 2008. During this five-year period there will be a 'mixed economy' of HN Qualifications — some revised, some unrevised. Some revised HNC/HNDs may include unrevised Higher National Units.

Qualifications Development Teams will publish guidance on the credit-transfer possibilities between unrevised and revised Higher National Units and Group Awards. Nevertheless, special care should be taken to make sure that candidates are entered for the Higher National Units and (if appropriate) Graded Units needed for the intended Group Award, and that results are submitted for these.

Meanwhile, candidates will continue to be entered and results submitted for HNC/HNDs 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, HNC/HNDs 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 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).

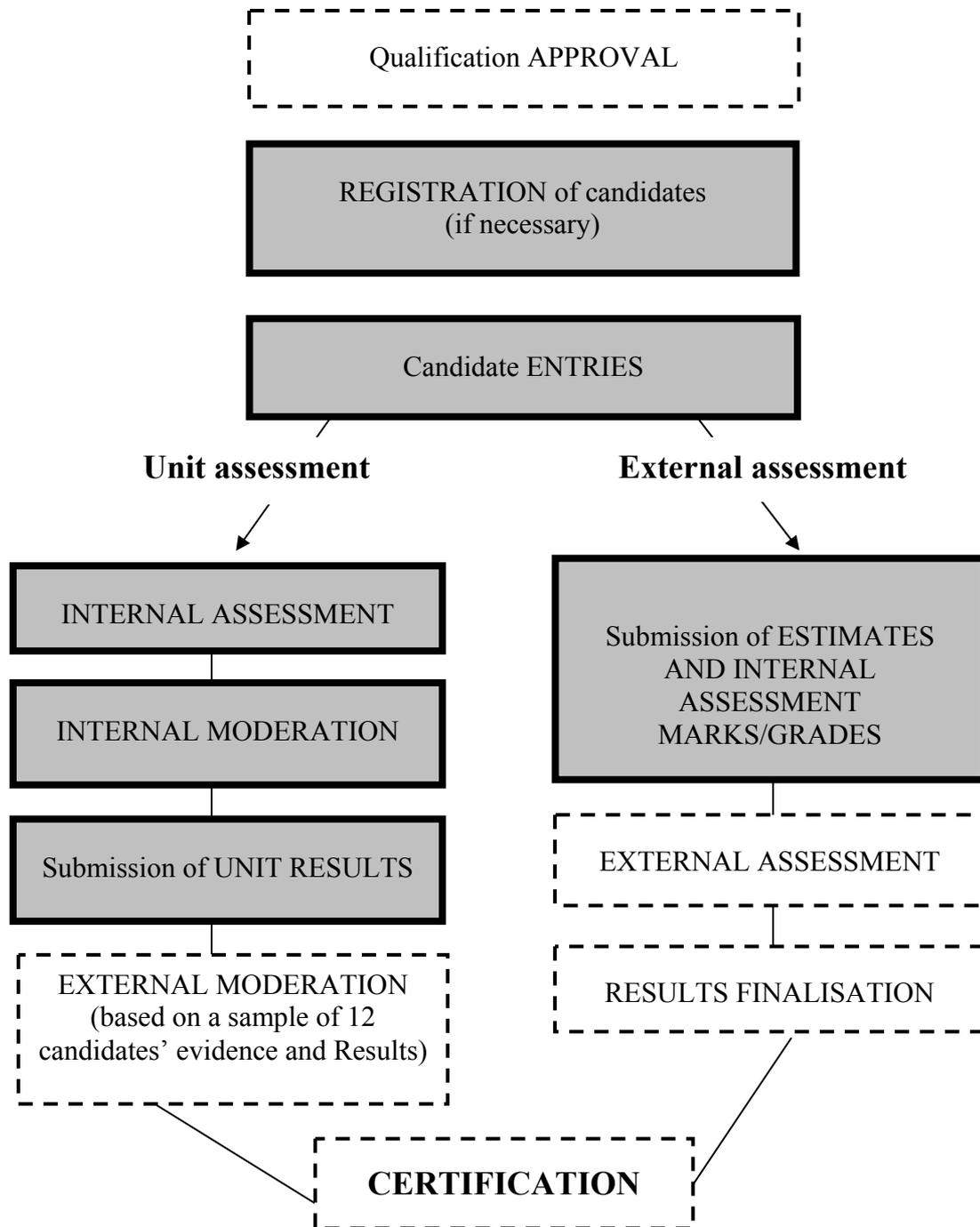
**Permitted results for Integrative Assessments (now called Graded Units)**

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

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

# **Sections 20–25: National Qualifications**

# 20 The route to certification for National Qualifications



SQA's responsibility: 

Centre's responsibility: 

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

## 20.1 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 or by checking your approval list on SQA.net.

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 Employers and Training Providers* 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.

### 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 Employers and Training Providers*.

### Internal moderation

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

### Submission of Unit results

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

**External moderation**

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

**Estimates**

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

Estimates are also used in the derived grades procedures.

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

**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*.

**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.

# 21 Candidate entries

## 21.1 General

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

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

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

If you require to seek approval from SQA for any National Qualification for which candidates expect August 2006 certification, you must have received approval by **11 November 2005**.

## 21.2 Age and Stage regulations

From the academic year 2005/06 the regulations governing Age and Stage have been updated. There is guidance on this in the Joint Arrangements documentation and in *Conditions and Arrangements for National Qualifications*. For more information please refer to either of these sources.

## 21.3 How to submit candidate entries to us

### Key points:

- ◆ Entries must come from SQA approved centres — they cannot be submitted by candidates.
- ◆ 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 **Entry Creation Form (EC01)**.

Details about electronic submission of data are contained in the *Guide to Data Exchange*, which can be found on our website: **[www.sqa.org.uk](http://www.sqa.org.uk)**.

Once entries have been created, we will send you a processing report. 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. Centres can also confirm candidate information held by SQA by logging onto SQA.net.

## 21.4 Target dates

Entries for National Courses should be sent to arrive at SQA by no later than **28 January 2006** for candidates who wish to take examinations in May/June 2006. This will allow us to send out Course Entry Eligibility Reports on a monthly basis between 28 January and 18 June 2006.

## 21.5 What information to supply to SQA

### 21.5.1 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* to establish the number of contributing Units and their codes. A completion date is also required for each Course and Unit entry. The course completion date must be May. If Units contribute to a National Course, at least one of the Units requires a completion date of March 2006.

When you enter a candidate for a Course, enter the 'C-code' only (our 'product codes' for National Courses all begin with a 'C'). You should not enter the external assessment code (the 'X-code') — this will be automatically generated by SQA when the Course entry is created.

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.

The entries for all component parts of an external assessment, eg externally assessed coursework or internal assessments, must be submitted at the same level as the course entry.

### 21.5.2 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, as many Courses have options which you have 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.

**Note: For the candidate to achieve the overall Course award, the contributing Units must be at the level of the Course entry or above.**

### 21.5.3 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.

### 21.5.4 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.

### 21.5.5 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 '052006' for the 2006 diet.

### 21.5.6 Re-sit candidates

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, you 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). If the work is externally marked, either re-submit the same piece of work from the previous year or submit a new piece of work. Where the external assessment involves assessment of performance by a Visiting Examiner this must be carried out again.

We do not retain details of marks achieved in components of Courses from one diet to the next.

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.

### 21.5.7 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.

### 21.5.8 Project-based National Courses

The procedures for submitting Entries for Project-based National Courses (PBNs) are the same as for examination-based Courses. There are some variations in the completion dates which can be used.

### 21.5.9 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'.

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

Further details of the requirements for SGAs can be found in *Conditions and Arrangements for National Qualifications* and the *National Qualifications* CD-ROM.

## 21.6 Course completion dates

All National Course entries must include a completion date for the qualification. This is in the form of a month and a year, eg 052006 for May 2006. With the exception of Project-based National Courses, the completion date must be the end of May in the year of certification.

***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 2006, the completion date that should be submitted for these National Courses is 052006. Anything else will be rejected. We have this rule in place to prevent incorrect completion dates being created in error.***

***Note that the completion dates for Units which contribute to a Course need not be the same as the Course completion date. In fact, for external moderation purposes, at least one Unit entry must have a completion date of March 2006 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.

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

The completion date for Courses is also used to:

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

### 21.6.1 National Clusters

For National Clusters, you can specify any month for completion, up to two years after the creation date (ie the date we enter it on our system). The completion date cannot exceed the qualifications finish date. Candidates must be entered for the individual Units as well as for the National Cluster.

For Certification in August 2006:

- ◆ completion date of May, June or July 2006 must be given
- ◆ the Units can have earlier completion dates, but the last date for submission of Unit results is 18 May 2006
- ◆ results received after 18 May 2006 will be processed but in these cases August certification cannot be guaranteed

### 21.6.2 Scottish Group Awards

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 2006 as part of an SGA, the completion date for the SGA should not be earlier than May 2006.

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.

### 21.6.3 National Units

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

### 21.6.4 Project-based National Courses

For Project-based National Courses, four completion months are available during the year — February, May, August and November. Please refer to our publication *Project-based National Courses: procedural guide for centres* for further information.

## 21.7 Late entries

Entries for National Courses and Units should be submitted to us by no later than **28 January 2006**. Changes of level will be accepted up to **23 February 2006**. 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 2006**, but these later changes will not be reflected in the completion reports, forms or coursework materials issued to centres in early April.

Note that new Course entries created or changes of level, processed after **31 March 2006**, will be subject to an additional charge.

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

## 21.8 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.

Changes to completion dates can be submitted electronically.

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

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

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

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

You must notify us of changes of level, for both Courses and Units.

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.

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

After the 23 February deadline, we will continue to process changes to a candidate's entry level up to **31 March 2006** 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.

### 21.9.2 Units in hierarchies

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

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

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

You can withdraw a candidate from a Unit, Cluster, Course or Scottish Group Award.

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, is **28 January 2006**.

**Note:** If you 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.

## 21.11 Entry charges

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

Entries Processed	Invoice Date	NQ	HN	SVQ
August 2005	September 2005	✗	✓	✓
September 2005	October 2005	✗	✓	✓
October 2005	November 2005	✗	✓	✓
November 2005	December 2005	✗	✓	✓
December 2005	January 2006	✗	✓	✓
January 2006	February 2006	✗	✓	✓
February 2006	March 2006	✗	✓	✓
March 2006	April 2006	✓	✓	✓
April 2006	May 2006	✓	✓	✓
May 2006	June 2006	✓	✓	✓
June 2006	July 2006	✓	✓	✓
July 2006	August 2006	✓	✓	✓

Entries for National Qualifications, both free-standing National Units and National Courses, in session 2005/06 will not be invoiced until April 2006. The April 2006 invoice will include entries processed in the period August 2005 to March 2006.

There is no charge for changes of level where entries are in a hierarchy (ie where the first four characters of the entry code are the same).

Price increases, advised to customers in January 2005, will be applied from **1 August 2005**.

<b>Entry Charges 2005/2006</b>	
Charges from 1 August 2005 — National Qualifications	
◆ National Course	£32.00
◆ National Course by Unit entry	£39.25
◆ National Unit	£6.50
◆ National Course — external assessment only	£26.50
◆ National Cluster	£19.50
◆ Late Entry Charge	£26.50

## 21.12 Duplicate entries

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 be rejected. 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, you **must** do this by flagging the second entry for ‘process by exception’ or submitting paper form (EC02) **Entry Creation Form — Process By Exception**.

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

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

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

The candidate entries you submit to us will be subjected to a number of validation checks. If any data fails these checks, errors highlighting the reasons for the rejection will be produced and sent to you for resolution. All data errors are identified by error codes. If you receive any errors, you must review the case(s) and re-submit the correct information for the candidate(s) concerned. This should be actioned by return if possible. We will process the amended information on receipt, subjecting it to the same validation checks as the original submission.

**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 the Guide to Data Exchange.**
- ◆ **If you have any queries on this procedure, please contact your Data Management team.**

## 21.15 Candidates sitting examinations at another approved centre or venue

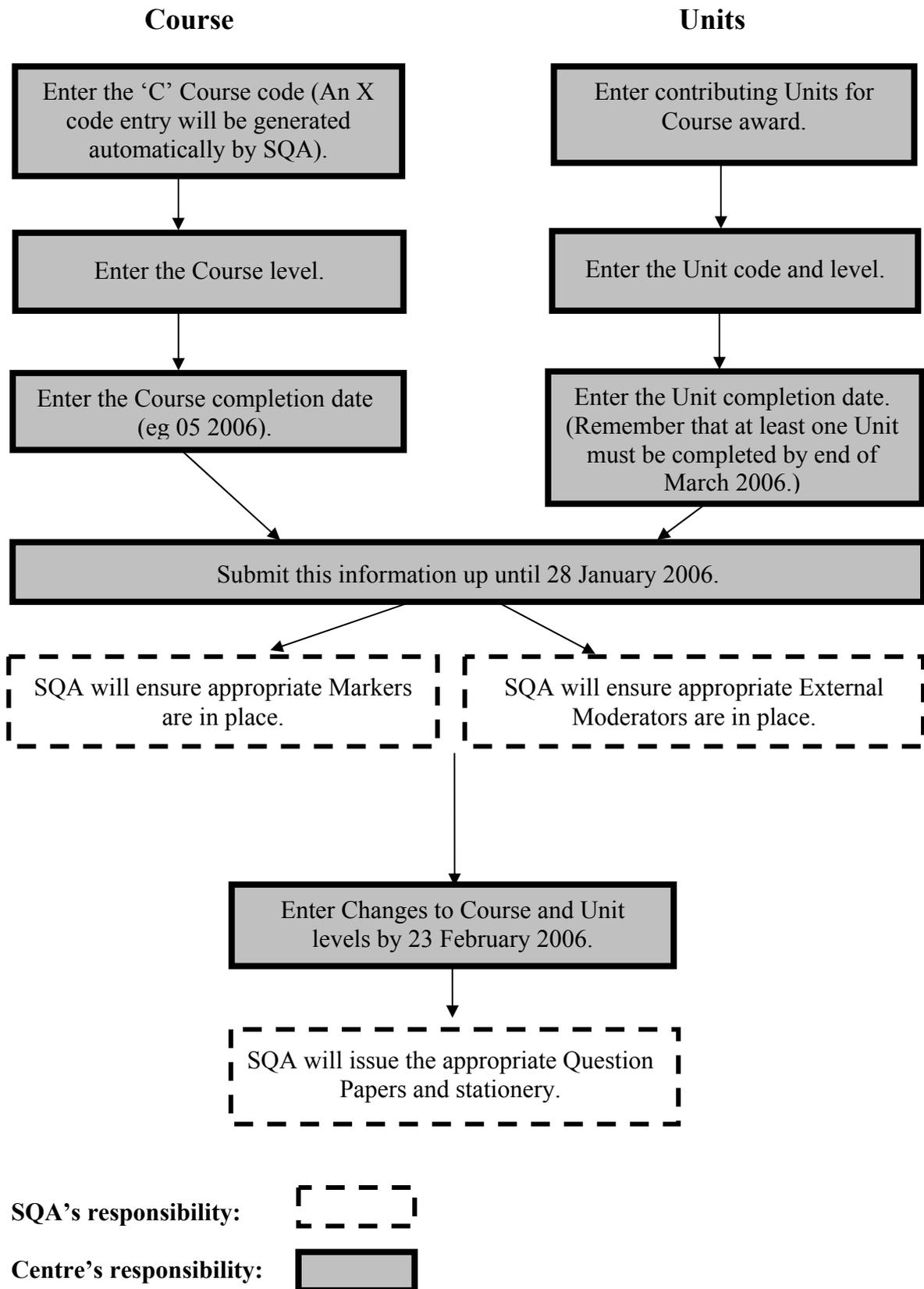
If a candidate is sitting an external assessment at another approved centre (not the one that entered the candidate), we need to know about this in advance so that we can arrange for the appropriate stationery and question papers to be sent to the centre. This procedure is known as ‘sitting-at’. It is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

If you enter a candidate and want them to sit the external assessment at another venue which is not an approved centre (either within or outwith Scotland), you should complete an **Alternative Venue form** and submit it to our External Assessment Unit at our Dalkeith office, with all the relevant details to seek permission. You must include:

- ◆ confirmation that you are satisfied that the venue will accommodate and meet the requirements of an examination-based environment
- ◆ name and address details of the invigilator
- ◆ details of the time you wish the candidate to sit the examination — if this differs from the official timetable, secure arrangements must be made for the candidate to be isolated to prevent them being in contact with anyone until the examination has been taken
- ◆ 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. When submitting this form, please ensure that the candidate’s entry details are correct.

## 21.16 Entering for a National Course and contributing Units



## 22 Submitting Unit results

### 22.1 General

For National Courses, candidates have to complete a number of contributing Units. These units are assessed by the centre and are a constituent part of all National Courses. For this reason, Unit results must be accurately submitted to SQA.

**Important:**

**You can only submit final Unit results — either 'Pass' or 'Fail'. If you have resulted a Unit as 'Fail' and the candidate subsequently satisfactorily completes the Unit, you will have to create a new entry. It is not possible to update a 'Fail' result to 'Pass'.**

### 22.2 Unit completion dates and results

You must 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 the majority of the candidates will not complete the Unit by the completion date or shortly thereafter, you must tell us. 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.**

### 22.3 How to submit Unit results

Unit results can be submitted to us electronically using the approved file formats. We would expect them to be submitted to us either during the completion month or the month thereafter (see 'Target Dates' below). There is one exception to this — in April we will issue Unit results forms for April, May and June.

### 22.4 Changing a candidate's Unit level

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

Changing the level of a Unit does not automatically change the level of the Course entry. You must always consider the implications for Course eligibility when making this type of change, particularly if you are submitting a change of level to a level lower than the Course entry.

## 22.5 Target dates

For candidates entered for National Course examinations in 2006, you should send us the final Unit results so that we receive them no later than **9 June 2006**. 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. They can be submitted throughout the year for Units which are not part of a Course.

We will issue closure reports on **15 July 2006**. These will include the updated position for Unit results for candidates entered for Courses.

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

You should send completed Unit result files via SQA.net or e-mail forms to: **etp.data.processing@sqa.org.uk**.

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

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

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

The Unit results you submit will be subjected to a number of validation checks. If any data submitted fails these checks, a processing report highlighting the reasons for the rejection will be produced and issued to you for resolution. All data errors are identified by error codes. If you receive errors you must review the case and re-submit the amended information for the candidate(s) concerned. This should be actioned by return if possible.

**Important:**

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

## 22.8 Incomplete candidate profiles for National Courses

In June we will send to you the following reports:

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

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

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

Although there are 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.

## 22.10 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 **9 June 2006**. We will continue to process results received after this date, but we cannot guarantee that this will be done in time for August certification.

## 22.11 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 **9 June 2006** 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.

## 23 Submitting estimates

### 23.1 General

We will issue forms for submission of estimates to you **by 1 March 2006**.

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* and in the subject-specific Arrangements. You should also refer to *Estimates, Absentees and External Assessment Appeals: guidance on evidence requirements*. 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. It is good practice to check your processing 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.***

## 23.2 Standard Grade

Qualification	Final date for submission of estimates	Grade bands
Standard Grade	<b>27 March</b> — All subjects except: Art & Design; Craft & Design; Gaelic; Gàidhlig; Music; and Modern Languages — For the above subjects the final submission date is <b>27 April 2006</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'.

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.

**Please note that candidates with an estimate of '8' will not be eligible for absentee consideration, derived grade or assessment appeals.**

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.

## 23.3 National Courses

Qualification level	Final date for submission of estimates	Grade bands
Intermediate 1 Intermediate 2 Higher Advanced Higher	<b>14 April 2006</b> (if submitted on paper forms) <b>27 April 2006</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 that candidates with an estimate of '0' will not be eligible for absentee consideration, derived grades or assessment appeals.

Where a candidate's name does not appear on a form, or where you want to submit an estimate at another level, you must use the **National Course Estimate Report (Supplement) form** 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 **23 February 2006** and who do not appear on the pre-printed Estimate Reports.

If you are submitting no estimates for one or more candidates, we will need written confirmation of this.

## 23.4 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 2006**. Submissions sent after this date must be accompanied by a letter of explanation, but may not be accepted.

## 23.5 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 **27 April 2006**. This report will help you to identify any

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

## 24 Submitting internal assessment marks/grades

### 24.1 General

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

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

If the candidate's name does not appear on the pre-printed **Internal Assessment Marks Form (IAMF01)**, 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. It is good practice to check your processing reports carefully to avoid this problem.

If you have to complete a supplement form for a candidate whose name is not pre-printed on the **Internal Assessment Marks Form** (see section 24.3), it is important to remember to use the correct form and ensure that the entry or change of level information has been sent using your normal data transfer method. If you do not send this information, it will result in the incorrect stationery being sent for any such candidates.

### 24.2 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 **27 March 2006**, except for Art and Design; Craft and Design; Gaelic (Learners); Gàidhlig; Music; and Modern Languages; where the date of return is **27 April 2006**.

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

## 24.3 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 (IAMF01)**. You have been asked to make any changes of level for Course entries by **23 February 2006** 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.**

### 24.3.1 Submission dates for Internal Assessment Mark Forms

Internal Assessment Mark Forms for most National Courses should be returned to us by **27 April 2006**. 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 **10 May 2006**.

### 24.3.2 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.***

### **24.3.3 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.

### **24.3.4 Range and level of marks**

You must ensure that you use the appropriate assessment criteria and submit a mark within the available mark range. There is guidance in *Conditions and Arrangements for National Qualifications* and in subject-specific guidance Arrangements. To help you, the **Internal Assessment Mark Forms** will indicate the maximum mark available in the subject at the given level.

## 25 Submitting coursework

### 25.1 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.

For these Courses, you must submit coursework for **all** candidates sitting an external assessment, including those candidates who are re-sitting an external assessment only. 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.

All coursework must be submitted at the same level as the external examination and the Course entry.

To enable you to submit coursework we will send you:

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

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

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

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

### 25.2 Uplift of coursework

We arrange for the coursework to be collected from your centre, normally by courier. The collection dates are specified in Appendix 3. You can, of course, make your own arrangements for the submission of coursework, but do please let us know in advance and ensure all coursework reaches our Dalkeith offices by the specified submission dates. You should note that we will not meet any associated costs. If you have any questions about collections, please contact our Assessment Logistics Unit on 0131-561 6951.

## 26 External moderation

Moderation is the process by which SQA ensures the national standards are applied in assessments carried out by centres. There are two types of moderation:

- ◆ visiting — where the Moderator visits the centre to observe assessment or to moderate candidate's work
- ◆ central — where the Moderator scrutinises candidates' evidence either as part of a team meeting and working together at a central location, or individually in his/her own time

The nature of candidates' evidence will generally determine the type of moderation used. Generally speaking, we will visit centres where the evidence to be moderated is ephemeral (as in Home Economics), a performance (as in Drama), or an artefact (as in Art and Design). However, we may also visit centres to moderate incomplete evidence in selected subject areas where we perceive there to be a potential for misinterpretation of standards.

Moderation takes place on Units, Standard Grade coursework and the coursework component of certain National Courses.

### 26.1 Selection for moderation

Centres are selected for moderation in accordance with published criteria.

#### 26.1.1 Central moderation of Units

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

Moderation selections will be made on a regular basis, and it is possible that you will be notified of your selection for moderation at any time during the year. Previously this was only done for Units with completion dates of March and December.

Units which are delivered as stand-alone (ie where they are not part of any Course) may be selected for moderation at any time. You will be notified of your selection for moderation at least one month before the completion of the Unit.

Where Units are entered with a completion date that falls between April and July, your centre may be selected for retrospective moderation, which takes place in either August or September following completion. You will be notified during May or June if you have been selected for retrospective moderation.

If your centre is selected for moderation, you will be asked to supply or present evidence of the work of a sample group of 12 candidates identified on a **Moderation Sample Form**. If there are fewer than 12 candidates in the class, all will be selected. Candidates for whom evidence is not available, should be substituted, where possible, in accordance with the instructions issued.

### **26.1.2 Central moderation of coursework of National Qualifications (including Standard Grade)**

Certain subjects have an internally-assessed coursework component, and this is liable to be selected for moderation. In view of the nature of this coursework, moderation has to take place in April or May. You will be notified in mid-February if you have been selected for central moderation of coursework, and you will be asked to submit materials at the end of April.

One exception to this is Modern Languages coursework, where we will notify you in February but will uplift materials at the end of March.

### **26.1.3 Moderation of incomplete evidence**

This year, we will continue to expand and improve our moderation programme to offer a type of moderation that will enable centres to obtain the support they need to deliver SQA qualifications. A rolling programme of moderation will take place, focusing on subject areas where there is a particular need or risk. In these cases, moderation will provide beneficial development 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 not be completed evidence.

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

### **26.1.4 Visiting moderation of National Qualifications**

Many subjects at Standard Grade, Intermediate 1 and 2, Higher and Advanced Higher are suited to visiting moderation. The dates of each subject's moderation periods are different and are published in an appendix to this guide. See Appendix 3: Subject-specific submissions deadlines. This appendix also shows the dates by which you will be notified of your selection for moderation in these subjects.

## **26.2 Retaining evidence**

Candidates' evidence should be retained until three weeks after moderation, or three weeks after the completion date if you are not selected for moderation (see section 21.6 for candidates following a two-year course). If a Unit is part of a National Course, the evidence should be retained in case it is required to support an appeal or absentee submission.

## 26.3 After moderation

After moderation, the Moderator will provide you with feedback on the outcome. In the case of a moderation visit, the Moderator will give feedback to centre staff. You will also receive a copy of the Moderator's report. If the outcome of the visit is that the Units or coursework are 'not accepted', your centre will be informed of this, and the reasons for it, by letter.

After a central moderation event, we will return the candidate's evidence along with a copy of the Moderator's report and a letter indicating whether the outcome is 'accepted' or 'not accepted'. If the decision is 'not accepted', you will be given advice on how to resolve any issues and how to re-submit your candidates' evidence for further moderation. The final date for submission of results in this category will be **9 June 2006**. If moderation is not successfully completed by that date, then candidates may not receive their certificates on time.

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

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

Requests for assessment arrangements for the 2006 examination diet should be submitted to our Assessment Arrangements Section at our Dalkeith office by **17 December 2006**, at the latest.

## 28 Absentee candidates

If a candidate is prevented from taking a timetabled examination by 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*.

## 29 How we deal with missing scripts

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

- ◆ We will contact you to see if none of the candidates listed on Form Ex6 took the examination and therefore there are no scripts to submit. Our processing system requires that all Forms Ex6 are processed, so you will be asked to return the form to us.
- ◆ If you confirm that the candidates did indeed sit the examination, and a search of the centre's premises does not uncover the scripts, we will advise you to begin collating the coursework evidence that 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 us, we will ask you to submit the coursework evidence so that it can be evaluated and awards can be determined before 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. However, this will not be possible where the Course has only one component.
- ◆ As a last resort, estimates may be used as the basis of awards for candidates whose scripts have gone missing. If your estimates are generally in line with the results gained by other candidates, the candidates affected by the lost packets can be awarded their estimate grade.

After August certification we will write to you to tell you how the awards for the candidates concerned were made.

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

If, at any time, the missing scripts are retrieved, we will inform you 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.

If 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 for the components concerned. This information is held in a way that ensures the candidate's anonymity but allows us to identify who the marks or grades should be assigned to. These marks or grades will be taken forward for processing and certification in the normal way.

## 30 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 you have sufficient and appropriate evidence to support an upgrade to the award.

Appeals will be dealt with in two stages and the timetable of dates for each stage can be found in Appendix 2: National Qualifications — Calendar of key dates for centres 2005/2006.

There are full details of the appeals procedure in *The Appeals Process: a handbook for centres*.

# 31 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 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 you should refer to the detailed SGA specifications for further guidance.

SGAs are no longer automatically approved. Centres wishing to offer any SGA for the first time should advise the Approval Section at our Glasgow office in writing to arrange approval, otherwise candidate entries will be rejected.

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.

## 32 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*.

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.

### 32.1 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.

The dates given here supersede those in *Project-based National Courses: procedural guide for centres*. Note especially that the dates for Practical Assignment projects which require visiting assessment have been brought into line with the other types of PBNCs.

### 32.2 Candidate registration

As with all other qualifications, candidates must be registered with SQA before they can be entered for a PBNC. You should ensure that candidate registrations have been successfully processed before submitting entries.

### 32.3 Entries

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

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

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

## 32.4 Key Dates 2005/06

Task	Course Completion Month			
	August 05	November 05	February 06	May 06
Issue of cumulative entries report by SQA	31 May 2005	1 September 2005	1 December 2005	1 March 2006
Final date for submission of entries (Courses and Units)	17 June 2005	16 September 2005	16 December 2005	17 March 2006
Issue of documentation (stationery, Forms Ex6, Estimate forms)	1 July 2005	30 September 2005	6 January 2006	31 March 2006
Visiting Assessment to take place for VA Type 2*	July 2005	October 2005	January 2006	April 2006
Issue of eligibility reports showing any missing Unit entries	15 July 2005	14 October 2005	13 January 2006	14 April 2006
Visiting Assessment to take place for VA Type 1	August 2005	November 2005	February 2006	May 2006
Last completion date for Units contributing to the Course	September 2005	December 2005	March 2006	June 2006
Final date for submission of projects to SQA for marking	2 September 2005	2 December 2005	3 March 2006	2 June 2006
Issue of eligibility reports showing missing Unit results	9 September 2005	9 December 2005	10 March 2006	9 June 2006
Final date for submission of completed forms EX6 (VA types 1 & 2) and Estimate forms	16 September 2005	16 December 2005	17 March 2006	16 June 2006
Certification Month	November 2005	February 2006	May 2006	August 2006
Submission date for requests for Appeals	16 December 2005	24 March 2006	23 June 2006	25 Aug 2006 (Higher) 15 September 2006 (Int 2)

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

## 32.5 Submission of Unit results

The procedure for submitting PBNC Unit results is similar to other National Units. Please note from the table above the last completion date which should be given for Units in order to meet the various certification dates.

## 32.6 Submission of estimates

For guidance on submitting estimates, see section 23 of this guide. The final dates for submission of estimates for each PBNC cycle are set out in the table 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*.

## 32.7 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.

## 32.8 PBNC Certification Dates

PBNC Completion Dates	PBNC Certification
August 2005	November 2005
November 2005	February 2006
February 2006	March 2006
May 2006	August 2006

## 32.9 Appeals

It should be noted that the *Project-based National Courses: procedural guide for centres* 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 our wider review of PBNCs, and you will be notified in due course of any alterations to policy or procedures. In the meantime, if your centre wishes to dispute a decision by a Visiting Assessor, you should contact our Head of Assessment Logistics (telephone: 0131-561 6853).

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

# 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 publications are available from SQA's Customer Contact Centre (telephone: 0875 279 1000 or e-mail: [customer@sqa.org.uk](mailto:customer@sqa.org.uk)).

A charge may be made for some publications. A comprehensive list of all SQA publications can be obtained from our website at: [www.sqa.org.uk](http://www.sqa.org.uk).

*An Introduction to the Scottish Credit and Qualifications Framework*

*Appeals: how the system works*

*The Appeals Process: a handbook for centres*

*Catalogue of Core Skills in National Qualifications*

*Catalogue of Higher National Units*

*Catalogue of National Qualifications*

*Conditions and Arrangements for National Qualifications*

*Crediting Learning — Understanding Qualifications: Introducing the new Scottish Credit and Qualifications Framework — An Initial Guide for Employers*

*Estimates, Absentees and External Assessment Appeals: guidance on evidence requirements*

*Guidance on Assessment Arrangements for Candidates with Disabilities and/or Additional Support Needs*

*Guide to Assessment and Quality Assurance for Employers and Training Providers*

*Guide to Internal Moderation for SQA centres*

*Instructions for Submission of Assessment Appeals*

*Managing Scottish Group Awards: Information for senior managers in colleges*

*Moderation Visits: a guide for Colleges, Employers and Training Providers*

*National Qualifications Session CD-ROM*

*Operational Guide for Colleges*

*Operational Guide for Schools*

*Project-based National Courses: procedural guide for centres*

*SCQF National Plan for Implementation of the Framework*

*SCQF Update 2*

*SGAs — a guide for centres*

## Appendix 2: National Qualifications — Calendar of key dates for centres 2005/06

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.

Activity Number	Action Date	Activity
1.	<b>End of August 2005</b>	Provision of reference data (by e-mail) to centres by SQA. Reference data will also be issued to centres' MIS suppliers. <i>This enables centres to update their MIS files to reflect current approval status.</i>
2.	<b>25 August 2005</b>	Issue of 2006 Examination Timetable by SQA.
3.	<b>Before submitting entries</b>	The centre should establish whether each candidate has an SCN, and if not, register with SQA. SCNs should be checked using SQA.net. Within 10 working days SQA will process the registrations and send a processing report. This ensures that candidates are registered prior to the submission of entries. Allows for checks to see whether or not a candidate has already been registered with SQA. Centres should seek and gain approval to offer any Courses/Units for which certification is required in August 2006 (and in any case by no later than <b>11 November 2005</b> ). <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>

Activity Number	Action Date	Activity
4.	1 September 2005	Assessment arrangements for candidates with additional support needs e-mail issued to SQA Co-ordinators with link to instructions and electronic submission form from SQA's website.
5.	Early September 2005	SQA provides centres details of Invigilators appointed in 2005 on Forms INV A and INV B. These should be used to confirm or amend the details of the persons to be appointed for the 2006 examination.
6.	23 September 2005	Centres should return Forms INV A and INV B detailing Invigilator nominations to SQA.
7.	3 October 2005– 26 January 2006	<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 created successfully.</p> <p>Within 10 working days SQA will progress the entries and send a processing report.</p> <p>Note: If Units contribute to a National Course then at least one of the Units requires a completion date of <b>March 2006*</b>.</p> <p>Centres may also be selected for moderation of Units with completion dates other than March 2006 and should therefore ensure candidate evidence is retained for three weeks after the completion date entered on the SQA system.</p> <p>*Units with a March 2006 completion date may be subject to central moderation in April 2006. Centres which are selected for moderation will be required to submit completed candidates' evidence on <b>27 March 2006</b>, and should therefore aim to complete all assessment and internal moderation of these Units by mid March 2006.</p> <p><i>We need an early indication of entries to ensure that appropriate numbers of markers can be appointed and question papers produced. It also allows adequate time for the identification and resolution of any queries or errors in data submissions.</i></p>

Activity Number	Action Date	Activity
8.	<b>Early November 2005</b>	<p>SQA will issue invitations to Markers for the 2006 examination. Invitations will contain Markers' Meeting details.</p> <p><i>Centres are requested to grant leave of absence to any member of staff to attend Markers' Meetings during normal working hours.</i></p>
9.	<b>By 17 December 2005</b>	<p>Last date for submission of requests for assessment arrangements for candidates with additional support needs.</p>
10.	<b>28 January–17 June 2006</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. Cumulative information on entries is available via SQA.net.</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>
11.	<b>27 January 2006</b>	<p>Deadline for submission of withdrawals for National Qualifications without incurring an entry charge.</p>
12.	<b>8 February 2006</b>	<p>SQA will issue forms to collect Estimates and Internal Assessments for Standard Grade Drama and Physical Education.</p>
13.	<b>Mid February 2006</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>

Activity Number	Action Date	Activity
14.	<b>By 23 February 2006</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>SQA will issue Moderation Selection Report MS01 which details central moderation selections for the April/May events, together with the associated flyleafs and stationery for Standard Grade and National Units and Courses.</p> <p><i>Centres will only receive flyleafs and associated stationery for those Units and Courses which are selected for central moderation.</i></p> <p>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>Centres should pass accommodation arrangements information to the Chief Invigilator.</p> <p><b>This will allow Chief Invigilators to identify invigilation requirements and arrange/advise invigilators of their duties.</b></p>
15.	<b>By 1 March 2006</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 National Courses but not for Standard Grade).</p>

Activity Number	Action Date	Activity
16.	Early March 2006	<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 27 March 2006.</i></p>
17.	27 March 2006	<p>Submit estimates and internal assessment grades for all Standard Grade subjects with the <b>exception</b> 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 should submit central moderation material for Standard Grade, National Units and designated National Courses, as detailed in the Moderation Selection Report MS01 — issued to centres on 24 February 2006.</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>
18.	Up to 31 March 2006	<p>New Course entries or amendments are possible without late entry charge. Entries or changes of level processed after 31 March will be subject to a late entry charge so centres should submit 2006 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>
19.	31 March 2006	<p>SQA will issue Internal Assessment Mark forms for National Courses (where appropriate).</p>
20.	Early April 2006	<p>SQA will issue Forms Ex6 for submission of coursework for National Courses.</p>

Activity Number	Action Date	Activity
21.	3 April 2006	Chief Invigilators submit Form INV C to SQA, identifying provisional invigilation requirements.
22.	Mid April 2006	SQA will issue examination stationery for main diet.
23.	14 April 2006	<p>Deadline for submission of 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>
24.	19 April 2006	<p>SQA will issue additional Internal Assessment Mark forms for National Course subjects (where applicable).</p> <p>SQA will send out reports confirming details of Course entries processed and details of Incomplete National Course Profiles — Unit Entries Missing. <b>This report will require action.</b></p> <p>These reports 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.</p>

Activity Number	Action Date	Activity
25.	27 April 2006	<p>Electronic formats only — submit estimates for all National Courses (note earlier submission date if paper forms are being used).</p> <p>Submit estimates and internal assessment grades for Standard Grade Art &amp; Design; Craft &amp; Design; Gaelic; Gàidhlig; Music; and Modern Languages.</p> <p>Submit internal assessment marks for National Course subjects except Applied Practical Electronics (Int 1); Construction (Higher); Engineering Craft Skills (Int 1, Int 2); Hospitality (Int 2, Higher); Personal and Social Education (Int 1, Int 2, Higher); Woodworking Skills (Int 1, Int 2).</p> <p>Submit coursework (where required) for National Courses for external assessment (except Art and Design AH).</p> <p>Selected centres submit central moderation material for designated National Courses (May completion date), as detailed in Moderation Selection Report MS01 issued on 24 February 2006.</p> <p><i>These submissions are required at the end of April to allow for data processing to commence, assessment moderation to be conducted and coursework marking to be completed before the main examination diet. Note that, unless stated otherwise, estimates and internal assessments should be submitted on paper forms.</i></p> <p>SQA will issue report with details of missing National Course estimates.</p> <p>This will list candidates who:</p> <ul style="list-style-type: none"> <li>◆ will not be included in the derived grades procedure</li> <li>◆ will be ineligible for absentee consideration</li> <li>◆ will be ineligible for appeals consideration</li> </ul>

Activity Number	Action Date	Activity
26.	End April 2006	SQA will issue main diet Attendance Registers (Ex6s).
27.	2 May–9 June 2006	NQ diet of examinations. Submission of requests for Absentee consideration (within seven days of the exam concerned at the latest).
28.	2 May 2006	<b>Final</b> deadline date for submission of any necessary changes to estimates using the Estimate-Amendment form.
29.	10 May 2006	<b>Final</b> deadline for submission of internal assessment marks for National Courses in Applied Practical Electronics (Int 1); Construction (Higher); Engineering Craft Skills (Int 1, Int 2); Hospitality (Int 2, Higher); Personal and Social Education (Int 1, Int 2, Higher); Woodworking Skills (Int 1, Int 2).
30.	9 June 2006	<p><b>Final</b> date for submission of Unit results.</p> <p><b>Final</b> date for submission of changes to internal assessment marks and Unit results (changed as a result of moderation).</p> <p><b>Final</b> date for submission of candidate address changes.</p> <p><i>No guarantee can be given that Unit results and changes received after this date will be processed in time to be included in the August certification process.</i></p>

Activity Number	Action Date	Activity
31.	17 June and 15 July 2006	<p>SQA will issue reports including details of missing Unit entries and results, and missing internal assessment marks for Courses. These reports will require <b>action</b>. We will ask you to confirm receipt, completeness and accuracy of the reports.</p> <p><i>Any missing data will impact on certification. Incomplete Unit profiles will mean that candidates are ineligible for National Course awards; the absence of internal assessment marks will mean that candidates do not receive appropriate credit for this component of the examination, <b>nor will they be eligible for appeals consideration.</b></i></p>
32.	4 August 2006	NQ results data issued to centres in an electronic format.
33.	7 August 2006	NQ results summary received by centres (paper version).
34.	8 August 2006	Candidates to receive notification of NQ results.
35.	11 August 2006	Issue of Appeals Request Form and associated stationery to centres (for submission of Stage 1 Appeals).
36.	17 August 2006	SQA to issue details of outstanding results for Units with completion dates up to July 2006.
37.	25 August 2006	Last date for receipt of Stage 1 Appeals.
38.	1 September 2006	<p>Issue of Stage 1 Appeals confirmation report.</p> <p>Issue of Appeals Request Form and associated stationery to centres (for submission of Stage 2 Appeals).</p> <p>Centres to submit outstanding results for Units with completion dates up to July 2006.</p>

<b>Activity Number</b>	<b>Action Date</b>	<b>Activity</b>
<b>39.</b>	<b>15 September 2006</b>	Last date for receipt of Stage 2 Appeals.
<b>40.</b>	<b>20 September 2006</b>	Issue of urgent Appeals results.
<b>41.</b>	<b>22 September 2006</b>	Issue of Stage 2 Appeals confirmation report.
<b>42.</b>	<b>26 September 2006</b>	Issue of Stage 1 Appeals results to centres with feedback.
<b>43.</b>	<b>10 November 2006</b>	Issue of Stage 2 Appeals results to centres with feedback.
<b>44.</b>	<b>Late November 2006</b>	Issue of revised SQCs to candidates.
<b>45.</b>	<b>Early December 2006</b>	Issue of post-Appeals Statement of Results to centres (electronic and paper versions).