



National Qualifications 2011

Instructions for Centres on the Submission of NQ Appeals

Contents

1. Quick guide to submitting appeals	4
2. Summary of key dates.....	6
3. Reminders for 2011.....	7
4. Information to consider prior to making an appeal.....	8
5. How to identify if an appeal can be made	9
6. How to complete and submit the Appeals Request Form.....	10
7. How to collate the Appeals Evidence	12
7.1. Evidence Flyleaf (Gold Form)	12
7.2. Instrument of Assessment (Purple Folder).....	13
7.3. Marking Instructions (Orange Folder).....	14
7.4. Cut-Off Scores (Green Folder).....	14
7.5. Candidate Evidence.....	14
8. How to submit the Appeals Evidence	15
9. How to submit an Urgent Appeal	17
10. Appeals Results	18
11. Return of Appeals Evidence	18
12. Appeals Submissions Checklist	19
13. Replacement Certificates.....	19
14. Late/Incomplete Fee	20
15. Queries about the Appeals process.....	20

The instructions in this document relate to the submission of NQ appeals requests. Please read carefully as late or incomplete submissions may mean that appeals are considered outside the published dates, and additional charges incurred.

1. Quick guide to submitting appeals

This guide is intended as a brief summary of the process of submitting an appeal to the SQA. Please ensure you fully read all sections of this document before submitting the appeal.



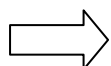
What is the deadline for an appeal to be received by SQA?

Stage 1	Deadline
Advanced Higher	19 August 2011
Higher	

Stage 2	Deadline
Intermediate 1 + 2	9 September 2011
Standard Grade	

IMPORTANT INFORMATION

Appeals received after the relevant deadline will be subject to a £55 charge per candidate if the centre wishes to proceed with the appeal.



What appeal information must be submitted to SQA?

Two separate sets of information must be submitted for every appeal. These are:

1. Appeals Documentation

Form	Colour	Description
1. Appeals Request Form	White	This lists the candidates for whom an appeal is being made.

2. Appeals Evidence

Form	Colour	Description
1. Evidence Flyleaf	Gold	The Evidence flyleaf identifies the type of evidence submitted and how/when it was produced.
2. Instrument of Assessment	Purple	This is the evidence, normally the prelim or an interim assessment, being submitted in support of the appeal.
3. Marking Instructions	Orange	These are the instructions issued to tutors to mark the Instrument of Assessment.
4. Cut-off Scores	Green	This is the guide to show how the Instrument of Assessment was marked.
5. Candidate evidence	n/a	This is the alternative evidence of the candidates work, other than the time-tabled exam.

Submitting the Appeals Documentation

Package 1	1. Appeals Request Form	
Posting instructions	Post in the prepaid envelope provided Please ensure you allow enough time for receipt by the deadline.	
Posting address	Data Services Scottish Qualifications Authority Ironmills Road Dalkeith EH22 1BR	
Deadline for receipt at SQA	Advanced Higher and Higher	19 August 2011
	Intermediate 1 + 2 and Standard Grade	9 September 2011

IMPORTANT INFORMATION

The Appeals Request Form (package 1) must be posted separately to the Appeals Evidence (package 2). A £55 charge per candidate will be applicable if this requirement is not adhered to.

Submitting the Appeals Evidence

Package 2	1. Evidence Flyleaf	
	2. Instrument of Assessment (*)	
	3. Marking Instructions	
	4. Cut-off Scores	
	5. Candidate Evidence	
Posting instructions	Post with proof of posting (a prepaid envelope is not provided). Please ensure you allow enough time for receipt by the deadline.	
Posting address	Appeals Evidence 2011 Scottish Qualifications Authority Ironmills Road Dalkeith Midlothian EH22 1LE	
Deadline for receipt at SQA	Advanced Higher and Higher	19 August 2011
	Intermediate 1 + 2 and Standard Grade	9 September 2011

(*) For subject specific guidance on collating the Source of the Instrument of Assessment, please refer to Sections 4, 6 and Part 2 of the SQA guidance document, **Estimates, Absentees and Assessment Appeals: Guidance on Evidence Requirements**. This document is available on our website, <http://www.sqa.org.uk/sqa/25628.html>.

2. Summary of key dates

Meeting the submission dates shown below is vitally important to ensuring that results are issued by the published dates. Where requests and/or evidence are received after the deadline dates, or key information is found to be missing from evidence or where Appeals Request Forms are submitted in the same packaging as the evidence, these cases will not be resulted by the published dates. We will send you reports of all such situations as soon as we can throughout the appeals process. Heads of Centre will then be required to confirm in writing, within 6 working days of receipt of each report, which of these appeals they wish to proceed with and that they accept the charge of £55 per candidate per appeal.

NQ Appeals 2011: Key Dates

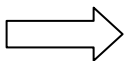
Stage 1 Appeals (Higher and Advanced Higher)		
Date	Responsibility	Requirement
4 August	SQA	Appeals Request Forms issued to centres
19 August	CENTRE	Deadline for Appeals Request Forms and Appeals Evidence to be received at SQA's Dalkeith office
20 September	SQA	Urgent Appeal Results issued
23 September	SQA	Issue of Stage 1 Appeals results with feedback to centres.

Stage 2 Appeals (Intermediate 1 + 2 and Standard Grade)		
Date	Responsibility	Requirement
24 August	SQA	Appeals Request Forms issued to centres
9 September	CENTRE	Deadline for Appeals Request Forms and Appeals Evidence to be received at SQA's Dalkeith office
4 November	SQA	Issue of Stage 2 Appeals results with feedback to centres.

Results and Reports		
Date	Responsibility	Requirement
Mid November	SQA	Certificates issued
End November	SQA	Electronic Statement of Certificated Results (ESoCRs) issued
		Candidate Statement of Certificated Results (CSoCRs) issued
		Award Summary issued
		Director of Education Report issued

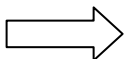
Return of Evidence		
Date	Responsibility	Requirement
26 September	CENTRE	Submit requests for the return of evidence

3. Reminders for 2011



Please do not submit Appeals Request Forms in the same packaging as the Appeals Evidence

The information on the Appeals Request Form must be entered into our computer system in order to generate materials necessary to consider an appeal. If it is submitted in the same package as evidence, the Appeals Request Form may be missed causing a delay to the preparation of the appeal. The appeal will then be considered late and a £55 charge per candidate will be applicable, and the outcome will not be available by the published issue date.



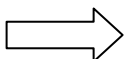
Please ensure that the appeal is received by SQA prior to the deadline

If materials are not **received** in our offices by the deadline date, and there is no **proof of postage**, the appeal will be considered late. Although this is not a new requirement for 2011 we would like to remind centres of the importance of obtaining this proof of postage.



The key components to be submitted

- Instrument of Assessment- for example a prelim paper or interim assessment. Sources of **all** questions used in prelims and other assessments submitted must be identified, including those devised within the Centre. This information must be included with the Instrument of Assessment (please see section 7.2)
- Marking Instructions for the Instrument of Assessment used. Where generic marking instructions are used this should be identified by ticking the appropriate box on the front cover of the Marking Instructions folder. Please note; generic marking instructions are only available for the subjects listed on the front of the folder.
- Cut-off Scores must always be provided. Where notional cut off scores are employed (i.e. A: 70%, B: 60%, C: 50%) this should be indicated by ticking the appropriate box on the front of the Cut-off Scores folder. The provision of cut-off scores allows our Examiners to determine whether the candidate's grades within Appeals evidence submitted meet the national standard. Carefully devised cut-off scores also allow Centre staff to provide a realistic Estimate for candidates.



Late/Incomplete Appeals

We will issue subject specific Late/Incomplete Appeals Reports which detail any Appeals that have not been progressed due to being late, incomplete, or where the Appeals Request Form was submitted in the same packaging as the evidence.

Centres must confirm by the advised deadline date if they wish to pay the fee of £55 to progress with a late/incomplete appeal. This confirmation must be received by SQA **six working days** from the issue date of each Late/Incomplete Appeals Report. No response will be taken as confirmation that the appeal is not to be progressed. Any confirmation received after the deadline date will not be progressed.

4. Information to consider prior to making an appeal

In 2010 the SQA received **63,453** appeals. Of these **33,947** were unsuccessful.

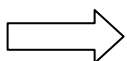
Before submitting an appeal, please carefully consider the following:

All SQA awards are based on evidence of demonstrated attainment and not candidate potential, therefore appeals should only be submitted for candidates for whom there is appropriately produced and clear evidence to support the estimate provided by the centre. Where no or incomplete evidence is provided it will not be possible to process the appeal (except in the case of a component/element involving projects/folios etc, where the best work is likely to have been submitted to SQA for marking already).

- On receipt of results, review estimates before deciding which candidates merit appeals consideration. The appeals process should only be used for exceptional cases where a candidate has failed to perform to the standard expected;
- Carefully review the evidence for those candidates under consideration for an appeal before making a final decision on submission;
- Only appeal for those candidates where there is convincing, demonstrable evidence of attainment. The instruments of assessment and marking instructions provided must be secure (unseen by candidates in advance), valid (in terms of course coverage and level of demand) and reliably marked to national standards;
- Refer to the SQA publication '**Estimates, Absentees and Assessment Appeals**' for both generic and, in particular, subject specific information on what evidence is required and deemed acceptable for an appeal; www.sqa.org.uk/appeals.
- Only submit evidence which meets the requirements of the grade being appealed for across the complete course. Do not submit an appeal for a candidate if the combined evidence across all the externally assessed components would not result in an upgrade;
- Standard Grade – only submit element appeals which if successful would result in an improvement to the overall grade. Centres can access a link to a 'Standard Grade Ready Reckoner' at www.sqa.org.uk/appeals section to determine if this will be the case.

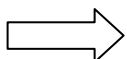
5. How to identify if an appeal can be made

Only submit an appeal where there is compelling, valid and reliable evidence to support the Estimate submitted to SQA.



Who is entitled to submit an appeal to the SQA?

- Only the centre which entered the candidate for the course/examination can submit an appeal to the SQA.
- The SQA is unable to accept an appeal directly from a candidate or parents of the candidate.



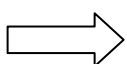
Which candidates can a centre make an appeal on behalf of?

Appeals can only be made where the centre has provided an estimated grade higher than a D and higher than that which the candidate achieved and where all components have been completed in the external assessment.

Advanced Higher, Higher and Intermediate 1 + 2			
Estimated Grade	Achieved Grade	Can an appeal be made?	
B	B	No	The Estimated Grade is not higher than the Achieved Grade
A	C	Yes	The Estimated Grade is higher than the Achieved Grade
D	No Grade Achieved	No	Although the Estimated Grade is higher than the Achieved Grade, the estimate must be more than a 7/D to be valid for appeal

Standard Grade			
Estimated Grade	Achieved Grade	Can an appeal be made?	
3	3	No	The Estimated Grade is not higher than the Achieved Grade
3	4	Yes	The Estimated Grade is higher than the Achieved Grade
7	No Grade Achieved	No	Although the Estimated Grade is higher than the Achieved Grade, the estimate must be more than a 7 to be valid for appeal

The Appeals Request Form sent by the SQA to the centre will automatically list all candidates who are potentially valid for appeals consideration.



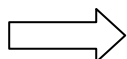
What if a candidate does not appear on the Appeals Request Form?

Only those candidates with an estimated grade higher than their achieved grade will appear on the Appeals Request Form. An estimate cannot be changed unless there is compelling evidence that there has been an administrative error in the submission of your estimates prior to the examinations. In this instance please contact the Helpdesk.

6. How to complete and submit the Appeals Request Form

Appeals Request Form	Form Colour	Example
The Appeals Request Form lists the candidates who are potentially valid for appeals consideration.	White	Appendix 4

You will receive an Appeals Request Form for every subject where an appeal may be applicable. Only candidates SQA has listed on the Appeals Request Form are entitled to have an appeal made.



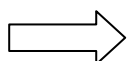
When must the Appeals Request Form be received by the SQA?

Appeals are split into two stages. Each stage has a separate deadline for an appeal to be received by the SQA. These are:

Stage 1	Deadline
Advanced Higher	19 August 2011
Higher	

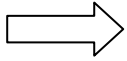
Stage 2	Deadline
Intermediate 1 + 2	9 September 2011
Standard Grade	

If the Appeals Request Form is received after the deadline the appeal will be considered as a **Late Appeal**. If the centre wishes to proceed with a Late Appeal a £55 charge per candidate will be applicable. The appeal will not be considered by the published dates.



How to complete the Appeals Request Form

Step	Process (please see Appendix 4 for a completed example)	
1	Enter an 'X' in Column A alongside each candidate for whom an appeal is being made	
2	Sign and date the form	
3	Staple completed forms in sets by course/level (and element in Standard Grade)	
4	Place the completed forms in the prepaid envelope(s) provided.	
5	Post them to ensure they are received by SQA on or before the deadline dates:	
	Advanced Higher and Higher	19 August 2011
	Intermediate 1 + 2 and Standard Grade	9 September 2011
6	If no appeals are to be made, do not complete the Appeals Request Form and do not return it to the SQA	

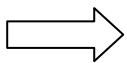


How to return the Appeals Request Form

Posting instructions	Post in the prepaid envelope provided Please ensure you allow enough time for receipt by the deadline.
Posting address	Data Services Scottish Qualifications Authority Ironmills Road Dalkeith EH22 1BR

IMPORTANT INFORMATION

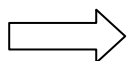
The Appeals Request Form must be posted separately to the Appeals Evidence. A £55 charge per candidate will be applicable if this requirement is not adhered to.



Reminders for completing the Appeals Request Form

- ENSURE that your Appeals Request form is submitted in time to reach the SQA by the deadline.
- ENSURE that the Appeals Request Form is not sent in the same package as the Appeals Evidence.
- ENSURE that candidate names are not added to the Appeals Request Form. Any such additions will not be processed.
- ENSURE any correspondence/letters are not enclosed with the Appeals Request Forms or in the evidence packs. Any such correspondence will be removed and will not be considered as part of the appeal process.
- ENSURE that blank Appeals Request Forms are not returned to SQA.
- ENSURE that only one copy of the same Appeals Request Form is sent to the SQA.

7. How to collate the Appeals Evidence



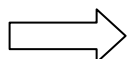
What is the Appeals Evidence?

There are five types of Appeals Evidence which all must be submitted for the appeal to proceed:

1. Evidence Flyleaf
2. Instrument of Assessment
3. Marking Instrument
4. Cut-off scores
5. Candidate Evidence

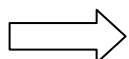
7.1. Evidence Flyleaf (Gold Form)

Evidence Flyleaf	Form Colour
The Evidence flyleaf identifies the type of evidence submitted and how/when it was produced.	Gold



Evidence Flyleaf guidance notes

- An Evidence Flyleaf must be completed for every course/level for which an appeal is being submitted.
- Where the same information relates to a whole group of candidates, only one flyleaf is needed. If however, an individual candidate's evidence has been produced in a different manner, please photocopy the back page of the flyleaf, complete it with respect to the individual candidate and attach it to the relevant evidence.
- For Standard Grade submissions; if the candidate sits two separate question papers covering two elements then two sets of evidence and two flyleaves are required. However, if both elements of the subject are examined in one question paper then only one set of evidence should be submitted with the elements to be appealed for clearly indicated on the gold evidence flyleaf.
- Ensure that all evidence submitted has been marked by the centre.

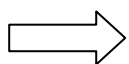


How to complete the Evidence Flyleaf

Step	Process
1	Complete side 1 with the course information
2	Complete side 2, ensuring that all appropriate boxes are selected in relation to the conditions under which evidence was generated: i.e. if the Instrument of Assessment submitted is a Prelim conducted under centre-invigilated conditions you should tick the first two boxes.
3	Sign and date the completed flyleaf

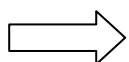
7.2. Instrument of Assessment (Purple Folder)

Instrument of Assessment	Form Colour
This is the evidence, normally the prelim or an interim assessment, being submitted in support of the appeal. It must include the Source of all questions used.	Purple



Instrument of Assessment guidance notes

- When alternative evidence is submitted to support Appeals consideration, an important variable in evaluating whether the evidence is reliable is the **Source** of the questions used in the Instrument of Assessment.



The Source of the Instrument of Assessment

- The Source of all Instrument of Assessment questions must be included within the Evidence Documents.
- Failure to include the Source was a primary reason for appeals not being considered in 2010

There has been a long-standing requirement for Centres to provide the sources of **each** question. For **subject specific** guidance on collating the Source of the Instrument of Assessment, please refer to Sections 4, 6 and Part 2 of the SQA guidance document, **Estimates, Absentees and Assessment Appeals: Guidance on Evidence Requirements**. This document is available on our website, <http://www.sqa.org.uk/sqa/25628.html>.

The following information is designed to give you some additional guidance as to what information relating to sources of questions is required when submitting alternative evidence for Appeals consideration.

Sources must be provided in a clearly identifiable manner for all questions included within the Instrument of Assessment submitted as alternative evidence. These must also indicate where past papers (SQA or commercially-devised) have been adapted.

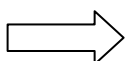
Example 1	Example 2
Q1 = SQA Past Paper 2007 Q7	Q1 = Centre devised
Q2 = SQA Past Paper 2006 Q3	Q2 = Commercial [Inserting Name of Company/Producer] Past Paper 2006 Q3
Q3 = SQA Past Paper 2008 Q5 Adapted	Q3 = SQA Past Paper 2008 Q5 Adapted
Q4 = SQA Past Paper 2006 Q5 Adapted	Q4 = Centre devised

- **Centre-devised refers to questions produced by the centre, not those which have been adapted from SQA or commercially devised papers.**

If there are questions within the Instrument of Assessment, which your centre produced as 'fillers' (questions which candidates would not complete and were only included to create an Instrument of Assessment to match the SQA question paper format and style) this should be clearly indicated. Alternatively, remove these questions if you are not providing sources.

7.3. Marking Instructions (Orange Folder)

Marking Instructions	Form Colour
The instructions issued to tutors to mark the Instrument of Assessment	Orange



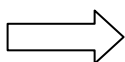
How to complete the Marking Instructions

Step	Process
1	Where generic marking instructions are used these must be identified by ticking the appropriate box on the front cover. Please note; generic marking instructions are only available for the subjects listed on the front cover.
2	Insert the Marking Instruction for the Instrument of Assessment in the orange folder.

7.4. Cut-Off Scores (Green Folder)

Cut-off Scores	Form Colour
This identifies how the Instrument of Assessment was marked.	Green

The provision of cut-off scores allows our Examiners to determine whether the candidate's grades within appeals evidence submitted meet the national standard. Carefully devised cut-off scores also allow Centre staff to provide a realistic estimate for candidates.



How to complete the Cut-Off Scores

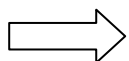
Step	Process
1	Cut-off Scores must always be provided
2	Where notional cut-off scores are employed (i.e., A: 70%, B: 60%, C: 50%) this should be indicated by ticking the appropriate box on the front of the Cut-off Scores folder.
3	Insert the Cut-off Scores for the Instrument of Assessment in the green folder.

7.5. Candidate Evidence

Candidate Evidence	Form Colour
This is the alternative evidence of the candidates work, other than the time-tabled exam.	n/a

- The Candidate Evidence must be included with the Appeals Evidence for every candidate for whom an appeal is being made.
- Please ensure the Candidate Evidence has been marked

8. How to submit the Appeals Evidence



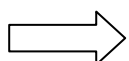
When must the Appeals Evidence be received by the SQA?

Appeals are split into two stages. Each stage has a separate deadline for an appeal to be received by the SQA. These are:

Stage 1	Deadline
Advanced Higher	19 August 2011
Higher	

Stage 2	Deadline
Intermediate 1 + 2	9 September 2011
Standard Grade	

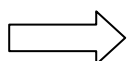
If the Appeals Evidence is received after the deadline the appeal will be considered as a **Late Appeal**. If the centre wishes to proceed with a Late Appeal a £55 charge per candidate will be applicable. The appeal will not be considered by the published dates.



How to package and return the Appeals Evidence

Please package Appeals Evidence by subject and level in the following order for submission:

1. Evidence Flyleaf (Gold Form)
2. Instrument of Assessment (Purple Folder)
3. Marking Instructions (Orange Folder)
4. Cut-off scores (Green Folder)
5. Candidate Evidence



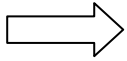
How to return the Appeals Evidence

Please ensure when submitting Appeals Evidence you obtain **proof of posting**. This is the only method to confirm that the evidence was submitted in time to reach SQA by the deadline.

Posting instructions	Post with proof of posting (a prepaid envelope is not provided). Please ensure you allow enough time for receipt by the deadline.
Posting address	Appeals Evidence 2011 Scottish Qualifications Authority Ironmills Road Dalkeith Midlothian EH22 1LE

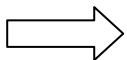
IMPORTANT INFORMATION

- Please note, the SQA is not able to acknowledge receipt of Appeals Evidence.
- The Appeals Evidence must be posted separately to the Appeals Request Form. A £55 charge per candidate will be applicable if this requirement is not adhered to.



Reminders for submitting the Appeals Evidence

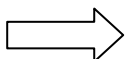
- The postage cost for the submission of appeals materials sent to SQA is the responsibility of the centre. SQA prepaid labels should not be used.
- Please ensure you package up your materials securely to ensure that they do not burst/become damaged during transit.
- To assist centres in ensuring that vital documents are enclosed with candidate evidence we have provided you with coloured A3 folders for use in submitting the materials.
- When submitting appeals evidence centres must ensure that they insert the relevant evidence into the appropriate folders and package these along with the candidate evidence in the noted order.
- Collate and package all the evidence for your centre in this way and send it to reach SQA by the deadline dates (19 August for Higher and Advanced Higher, and 9 September for Standard Grade and Intermediate 1 + 2).
- Failure to include all the evidence will mean the appeals for that subject level are removed from the process and will therefore not be resulted by the published dates.



Confirming receipt of Appeals Evidence

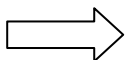
- Due to the large volumes of materials submitted, SQA will not be able to confirm or acknowledge receipt of evidence either by phone or email.
- You should use a method of dispatch which guarantees delivery to SQA by the submission dates and which also provides proof of postage.
- If you wish to check whether your evidence has been received by SQA, please contact your delivery company. SQA will not be able to confirm receipt either by phone or email.
- If materials are received after the deadline date a charge will be levied to progress the appeal, unless you have proof of postage confirming that SQA should have received the materials on or before the deadline date.

9. How to submit an Urgent Appeal



What documentation must be submitted for an Urgent Appeal?

Where appeals results are required for University or Further Education College entry in 2011, an **Appeals Request Form – Supplement** (Pink Form) must be completed and submitted along with your Appeals Request Forms. A separate supplement should be completed for each course/level.

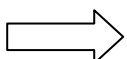


On what dates are the Urgent Appeal results posted?

SQA will endeavour to result all Urgent Appeals by **20 September**.

All Urgent appeals results will be sent to the **Admissions Officer** of the identified University/Further Education College. Results information will also be sent to the SQA Coordinator of the requesting centre.

In the unlikely event that Standard Grade, Intermediate 1 or Intermediate 2 appeals results are required urgently by HE/FE bodies, please complete an **Appeals Request Form – Supplement** and submit it along with your Appeals Request Forms for Stage 1.

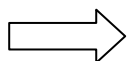


What if the candidate's place at University or Further Education College is dependent on an earlier result date, i.e. before 20 September?

Please immediately send an email to the Appeals Helpdesk. The Helpdesk will advise you of the process and additional documentation required. SQA will endeavour but cannot guarantee to issue the appeal result for the required date.

Please note, where the Helpdesk is not contacted, it will not be possible to obtain a result prior to 20 September.

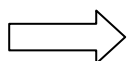
10. Appeals Results



On what dates are the results posted?

Level	Appeal Type	Date Results Posted
Advanced Higher, Higher	Urgent	20 September 2011
Advanced Higher, Higher	Normal	23 September 2011
Intermediate 1 + 2, Standard Grade	Normal	4 November 2011

Please allow three working days to receive the results from the date of posting.



How will the results be sent?

- Urgent Appeals will be sent directly to the educational bodies concerned by 20 September. Centres will also be notified of these results at this time.
- Normal Appeal results will be posted to centres.
- Feedback on any unsuccessful appeals will be provided at the same time as Appeals Intimation Reports are issued.
- Centres should inform candidates of the results of appeals as soon as possible after receipt from SQA

Please note that the outcome of the Appeals Result is final. It is not possible to make an appeal against this final result unless a centre has compelling evidence that SQA has not followed its procedures correctly.

11. Return of Appeals Evidence

Requests for the return of this material may be made by a centre, candidate or a candidate's representative (parent/guardian) using a *Request for Return of External Assessment Material* form. This can be found on the SQA website www.sqa.org.uk/returnofmaterials. Do not enclose the request with any other material sent in respect of appeals.

All requests for return must be submitted to SQA by 30 September 2011. Invoices can be supplied to centres if requested. If you wish to use this method please e-mail your request with your completed form to events.servicing@sqa.org.uk. This material will be returned in **November**, after completion of the Appeals procedure. If paying by cheque or postal order, please print a copy of your request form and send it together with your payment for the appropriate amount, made payable to the SQA to;

Request for Return
Events Servicing
Scottish Qualifications Authority
Ironmills Road
DALKEITH
Midlothian
EH22 1LE

12. Appeals Submissions Checklist

The following checklist is intended to help you ensure that the key tasks for each course/level when an appeal have been undertaken.

Deadline Dates	Advanced Higher and Higher	19 August 2011
	Intermediate 1 + 2 and Standard Grade	9 September 2011

Checklist		
Step	Appeals Documentation	Done ✓
1	Review estimates and evidence and decide which candidates to appeal for.	
2	On the Appeals Request Form mark an X in Column A against the candidates you have selected for appeal.	
3	Identify any candidates who need their result by the 20 September . For these candidates complete the Appeals Request Form - Supplement (pink form)	
4	Identify any candidates who need their result before the 20 September . Immediately contact the Appeals Helpdesk for information how to proceed.	
5	Package Appeals Request Forms & Appeals Request Form - Supplement (pink form) in the prepaid envelope.	
6	Dispatch to reach SQA on or before the deadline date. (Please note, SQA will not be able to confirm receipt of the documents)	
7	DO NOT POST THE APPEALS REQUEST FORM WITH THE EVIDENCE BELOW	

Checklist		
Step	Appeals Evidence	Done ✓
1	Compile evidence for all candidates for whom an appeal is being made	
2	Complete Flyleaf and sign (gold form)	
3	Ensure the Source for every question of the Instrument of Assessment has been identified.	
4	Place the Instrument of Assessment in the Purple Folder	
5	Place the Marking Instructions in the Orange Folder	
6	Place the Cut-Off Scores in the Green Folder	
7	Package the Appeals Evidence in this order: <ol style="list-style-type: none"> 1. Flyleaf (gold form) 2. Instrument of Assessment (Purple Folder) 3. Marking Instructions (Orange Folder) 4. Cut-Off Scores (Green Folder) 5. Candidate Evidence 	
8	Dispatch to reach SQA on or before the deadline date, obtaining proof of postage . (Please note, SQA will not be able to confirm receipt of the evidence)	

13. Replacement Certificates

We aim to issue replacement Certificates, incorporating results of successful appeals, directly to candidates by mid November. The issue of amended Certificates prior to this time is not possible.

14. Late/Incomplete Fee

For late/incomplete appeals SQA must make special arrangements, and this does incur additional costs: extra handling, administration, venue costs and, significantly, examiner resource, which in most cases requires additional release from Centres. The charges we levy on Centres in order to process late/incomplete submissions are not intended to be punitive, nor a source of revenue for SQA, but they are a contribution towards these additional costs. (In 2010 the charges levied only contributed to approximately 55% of the overall additional costs).

15. Queries about the Appeals process

In order to assist centres with any questions about the appeals process we have created an appeals section on our website at www.sqa.org.uk/appeals. Please refer to this website if you have an appeals related query.

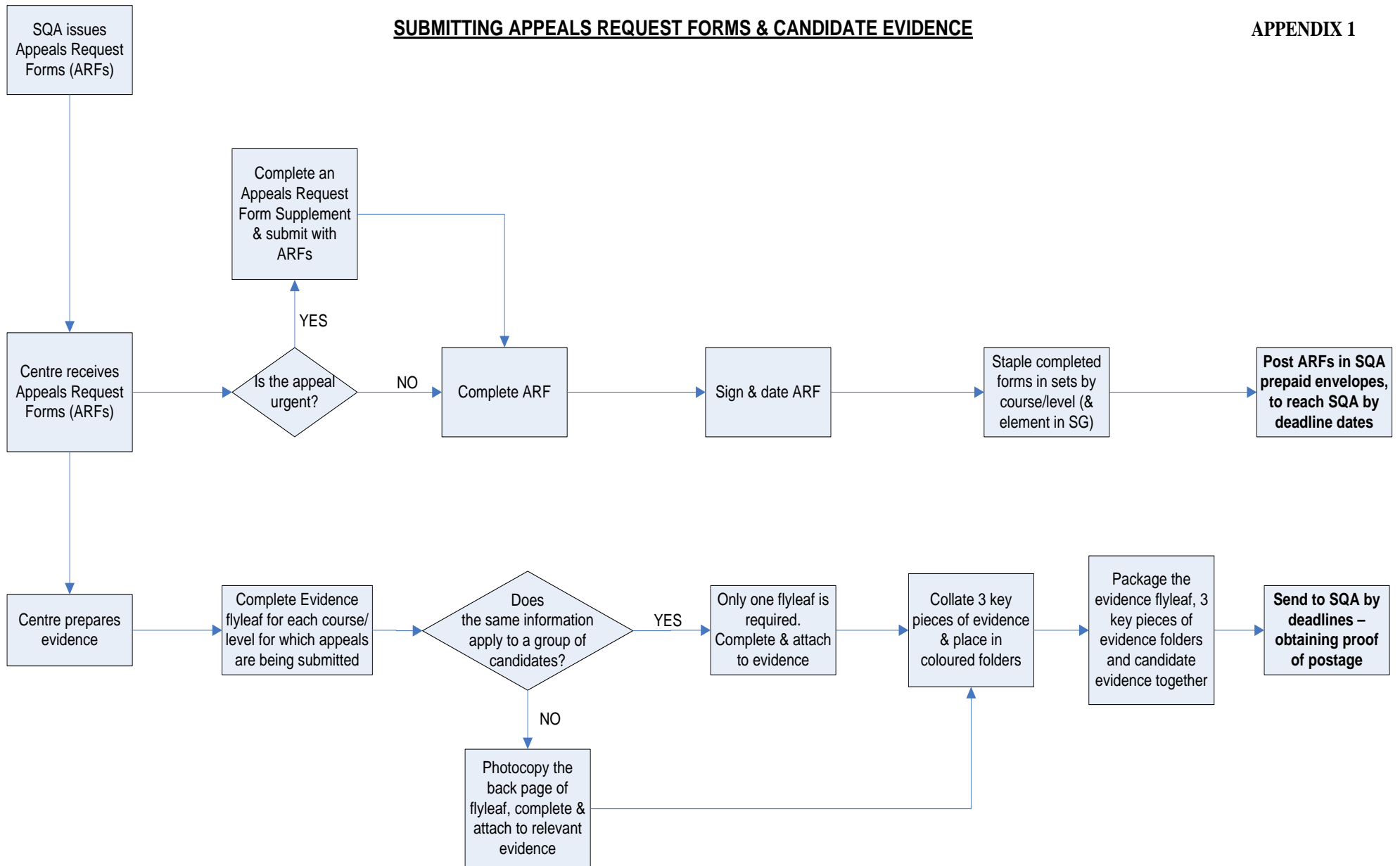
Stationery

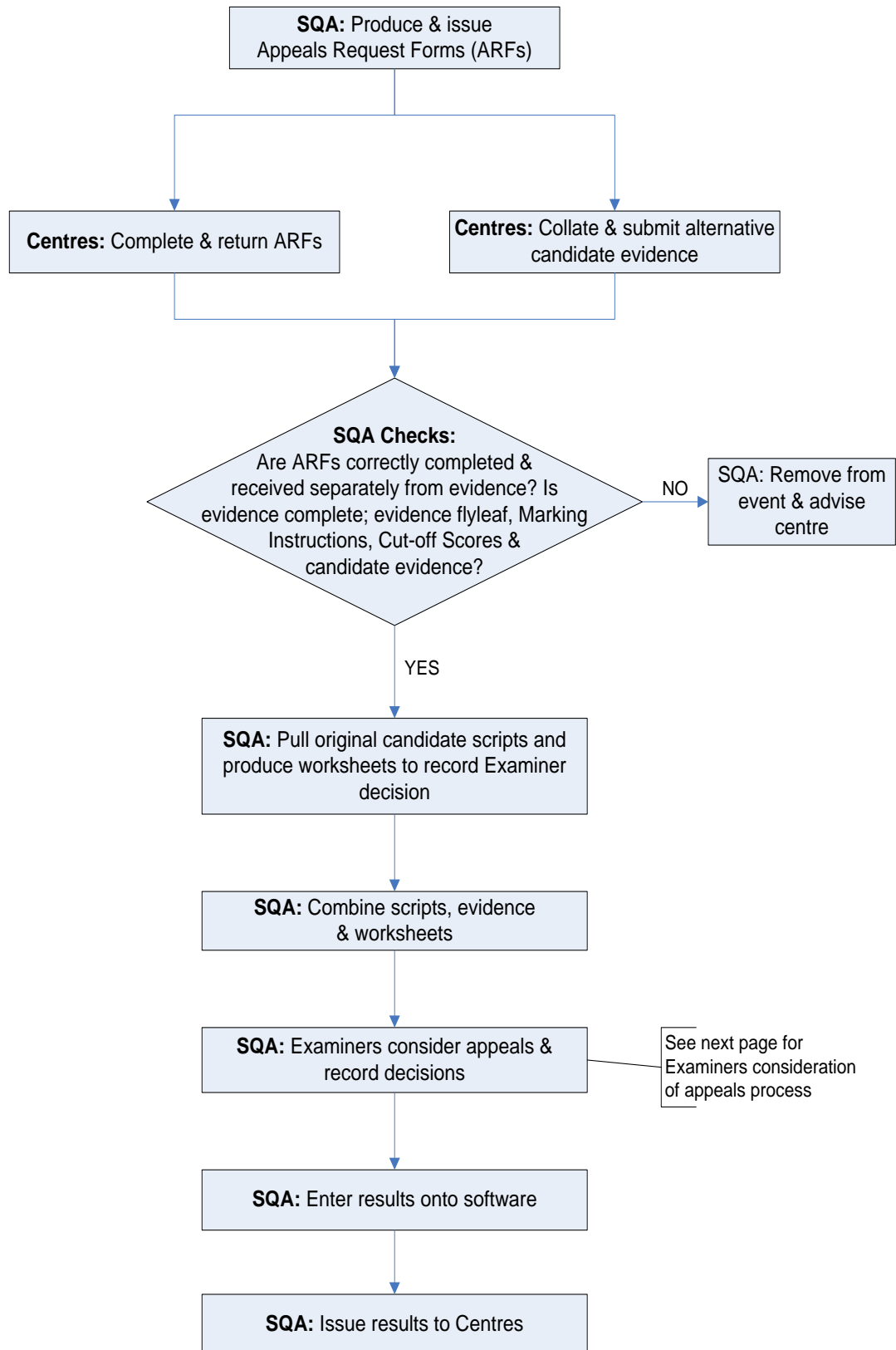
If you require additional copies of any of the appeals stationery please photocopy extras as required. Where possible copies should be made on the same colour paper as the original.

The forms can also be downloaded from our website, www.sqa.org.uk/appeals.

SUBMITTING APPEALS REQUEST FORMS & CANDIDATE EVIDENCE

APPENDIX 1





See next page for Examiners consideration of appeals process

