



SQA Alcohol Licensing Qualifications: Operational Handbook

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1 Introduction

This guide provides operational details that centres must follow if they offer, or wish to offer, the following SQA alcohol licensing qualifications:

Code	Title
GG7T 46	Scottish Certificate for Personal Licence Holders
GG7N 46	Scottish Certificate for Personal Licence Holders (Refresher)
GG7R 45	Scottish Certificate for Safe Sale and Service of Alcohol

These qualifications were developed to support the mandatory qualification and training requirements arising from the Licensing (Scotland) Act 2005 and are accredited by the Scottish Qualification Authority Accreditation Unit. They are based on the training framework, drawn up by the National Licensing Forum, for those involved in the on- and off-sales sectors in Scotland and subsequently updated by the Sector Skills Council (SSC), People 1st in 2013. As part of the updating process the SSC developed a training delivery and assessment strategy in partnership with industry and awarding organisations to assist in the standardisation of delivery and assessment of alcohol licensing qualifications delivered in Scotland. The full version of the strategy can be accessed at <http://scplh.info/>.

This handbook outlines the detailed processes and procedures that SQA Awarding Body has put in place to ensure compliance with the training delivery and assessment strategy.

These qualifications are assessed by externally set examinations which are marked in centres and subject to external verification or using SQA's online assessment platform (SOLAR).

This handbook provides information on quality assurance and administrative arrangements specific to the above qualifications. It complements a number of SQA publications on approval, assessment, and quality assurance, along with SQA's online Operational Help Centre (SQA Home page > Services for Centres > Operational Help Centre) which provides support for centres in relation to registration, entries, and certification. Details are provided in Appendix 1.

These qualifications are supported by a dedicated section of the SQA website at www.sqa.org.uk/alcohollicensing

There is also a dedicated email address at licensingqualifications@sqa.org.uk which can be used to send any enquiries or feedback on any aspect of the qualifications.

2 The qualifications

Each qualification consists of a single Unit. The Unit specifications can be downloaded from www.sqa.org.uk/alcohollicensing. Candidates **must** be entered on both the group award code and the Unit code for the qualification. Details are provided below:

Table 2.1 — Summary of qualification requirements

Group Award code	Qualification title	Unit code	Unit title	SCQF level*	SCQF credit points*	Minimum Course Delivery Time	Duration of exam	Question paper marked out of	Pass mark
GG7T 46	Scottish Certificate for Personal Licence Holders	H49M 04	Licensing for Personal Licence Holders	6	1	6 hours	1 hour	40	28
GG7N 46	Scottish Certificate for Personal Licence Holders (Refresher)	H49K 04	Licensing for Personal Licence Holders (Refresher)	6	1	3 hours	1 hour	40	28
GG7R 45	Scottish Certificate for Safe Sale and Service of Alcohol	H49L 04	Licensing for Staff Responsible for Selling and Serving Alcohol	5	1	2 hours	45 minutes	25	18

*The qualifications have been levelled and credit rated on the Scottish Credit and Qualifications Framework (SCQF). SCQF credit points are used to allocate credit to qualifications in the Scottish Credit and Qualifications Framework. Each qualification in the framework is allocated a number of SCQF credit points at an SCQF level. There are 12 SCQF levels, ranging from Access 1 to Doctorates.

3 Course delivery

These qualifications are supported by two comprehensive handbooks for candidates, one for the Personal Licence Holders and Refresher qualifications and one for the Staff qualification.

The handbooks can be ordered from the SQA Customer Contact Centre on:

- ◆ Tel: 0345 279 1000
- ◆ Fax: 0345 213 5000
- ◆ E-mail: customer@sqa.org.uk

Use of a relevant candidate handbook is a mandatory requirement for the delivery and assessment of these qualifications. Candidates should have access to the relevant handbook, ideally seven working days but a minimum of two working days, before the course to allow prior study of the material.

Tutor materials will be issued to centres on approval. Centres wishing to adapt or produce their own materials will need to satisfy the criteria in Appendix 2.

The courses and materials are based on an interactive model of delivery and, as such, the maximum recommended group size for course delivery is 18 and the minimum is 2. The exam can be administered with a larger group where appropriate facilities are available.

Reproduction and publication or display of the examination questions used by SQA in the examination papers is strictly forbidden in any form, either on paper or electronically. Neither may they be used for practice, revision, or confirmation of progress.

Centres should aim to cover the whole of the course, and must follow the notes on which the centre's approval has been based. Delivery should never be aimed at the contents of the examination alone. Coaching directed at any examination paper is totally prohibited.

Tutors must be familiar with course content. It is not acceptable for the tutor to read from a prepared script.

The course may be delivered in a language other than English but the examination must be taken in English.

4 Registration, entries, results, and certification

For the Alcohol Licensing qualifications, centres should register candidates, enter the full date (dd/mm/yyyy) the candidates sat the exam and submit results.

It should be noted that registration, for any individual, is a once only process. Candidates have to be registered before being entered for any SQA qualification.

Many candidates will already be registered with SQA, therefore, you should allow sufficient time to check the status of each candidate. You should confirm that the address details, etc that we hold for registered candidates have not changed since they last undertook an SQA qualification.

For these qualifications the date of the examination is displayed on the commemorative certificate and this is the element of the certification package that candidates should be advised to present to the Licensing Board.

5 Assessment

The qualifications are assessed by multiple choice examinations. The duration of the examination for each qualification along with details of the total marks allocated, and the required pass mark, are outlined above in Table 2.1 Summary of qualification requirements.

These examinations are set externally by SQA. They are available in both online format via SQA's SOLAR e-assessment platform, and in paper-based format. The administrative guidance for operation of the paper-based system is provided under **Section 6 below**.

The technical specification required to support delivery via the SOLAR platform is:

Hardware Requirements:

Your PC or laptop must be able to support a minimum resolution of 1024 x 768 or higher

Processor

Minimum: 233 MHz minimum required (single or dual processor system)

Recommended: 300 MHz or higher processor

Intel Pentium/Celeron family, or AMD K6/Athlon/Duron family, or compatible processor recommended

Minimum: 64 MB minimum supported; may limit performance and some features

Recommended: 512 megabytes (MB) of RAM or higher

100 MB of Hard Disk Space

10/100 wireless or network connection

Supported Operating Systems

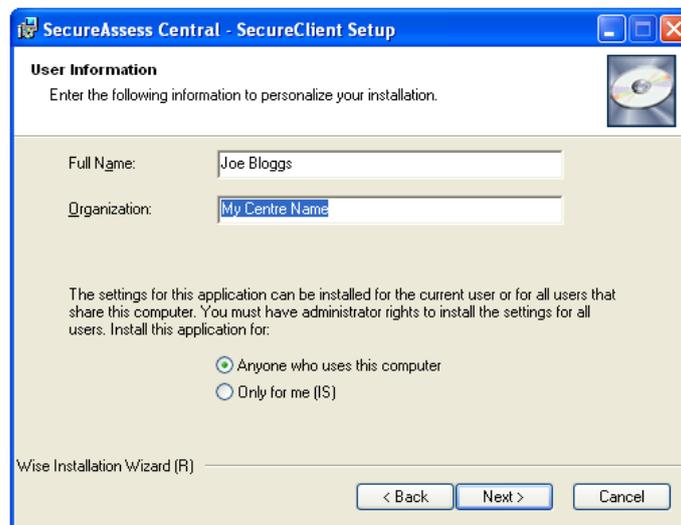
MS Windows XP

MS Windows Vista

MS Windows 7

Installation Instructions

- 1 Go to **www.sqasolar.org.uk**
- 2 Select centres, etc, etc.
- 3 Click on, etc, etc.
- 4 Either run or save for later the 'SecureClientInstaller.msi'
- 5 Click 'Next' on the 'Welcome SecureAssess Central — SecureClient Installation Wizard' screen.
- 6 On the next screen complete your name and name of your centre.



- 7 Also make sure that the *Anyone who uses this computer* option is selected.
- 8 Click 'Next' to select the installation directory — accept the default unless you have to install in another folder.
- 9 Click 'Next' to begin the installation.
- 10 Click Finish once the installation is complete.

The SQA SecureClient can now be run from either the Start Menu, task bar or Desktop.



The training section of the SOLAR website:
<http://www.sqasolar.org.uk/mini/30663.1478.1525.html>

provides interactive training videos of functions of how to run the system. There is also a pro forma which is completed to gain access to the system.

5.1 Assessment arrangements for candidates with additional support needs

In accordance with the Equalities Act, SQA's policy on assessment arrangements for candidates with additional support needs allows reasonable adjustments to be made to published assessment arrangements. These are available at www.sqa.org.uk/assessmentarrangements.

6 Examination administration

Centres should identify an individual who will be responsible for administration of the examinations. This individual will maintain a detailed inventory of question papers used within their centre. An example of a question paper control document is available at www.sqa.org.uk/alcohollicensing. Centres will mark paper-based examinations which will be subject to external verification.

Centres offering these qualifications have a particular responsibility with regard to the administration and conduct of examinations for the following reasons:

- ◆ Centres are acting as the agents of SQA and are responsible for ensuring that SQA rules regarding the conduct of examinations are applied consistently and fairly.
- ◆ Centres are responsible for ensuring that there is no conflict of interest between any individuals involved in the delivery, invigilation and, in particular, assessment of the qualifications and candidates.
- ◆ Examinations may be conducted by the tutors who also run the courses (prior notification necessary).
- ◆ Answer keys for each question paper will be provided to facilitate centre marking.

These must be retained securely — and separate from question papers at all times.

The objective of this guidance is to ensure that centres do everything necessary to adhere to the SQA rules, and that the examinations are carried out fairly and efficiently.

6.1 Ordering question papers

Centres must order question papers using the online question paper order/course notification form available for download at <http://www.sqa.org.uk/sqa/33610.html>. A copy of the form is attached in Appendix 3 for reference. Centres must indicate on the form whether or not an independent invigilator will be used for the examination. This will assist in targeting external verification. The following automatic message confirming that the order has been successfully placed will be generated:

Thank you.

Your submission has been successful – a member of the team will be in touch in due course.

Question papers will be colour coded for ease of reference as follows:

- ◆ Scottish Certificate for Personal Licence Holders — white
- ◆ Scottish Certificate for Personal Licence Holders (Refresher) — lilac
- ◆ Scottish Certificate for the Responsible Service of Alcohol (On-Sales) — peach

Question papers will be dispatched within seven working days of receipt of the order form (normally sooner). A confirmation email will be sent once question papers are dispatched. If question papers are not received within three working days of the date of the examination, SQA should be notified immediately. Centres should order question papers not more than 15 working days ahead of the proposed examination date and should not hold unnecessary stocks of question papers.

6.2 Examination paper rotation

The number of different examination papers for each qualification is limited, so papers will be used on a rotational basis where the paper-based question model is in use. Version numbers are indicated on the bottom of each question paper.

Centres must ensure that they record the version number of the examination paper used for each course. If a particular candidate uses a different examination paper version from the other candidates on a course, then the centre must ensure that this is recorded. A candidate who resits an examination must not take the same paper again.

6.3 Marker reports

These qualifications use a devolved model which permits the marking of a question paper by the centre where candidates are presented for examination. Centres must complete a brief marker report after each examination. This provides SQA with information on pass rates, number of resit candidates in a group and qualitative feedback on the performance of candidates. It also gives centres an opportunity to comment on any aspect of the question papers. The report form can be downloaded from www.sqa.org.uk/alcohollicensing and a copy is attached in Appendix 3 for reference. The completed form should be sent to SQA within five working days of the examination date.

A copy of the marker report, signed by the marker and counter signed, should also be retained with the completed question papers.

6.4 Retention of question papers

Centres should keep all completed question papers in secure conditions for a minimum period of six months from the date of the examination. Over that period they may be subject to external verification either by a visiting Verifier or called in to SQA offices for central verification. They should be destroyed under secure conditions thereafter. All papers completed by candidates, including any spoiled papers, should be kept under secure conditions at all times. Unused papers should be kept for the six month period with the completed papers for the candidate group/exam date for which they were ordered, and then destroyed along with the

completed papers. If unused papers are used for resit purposes, centres **must** inform SQA Awarding Body via the question paper order/course notification form.

6.5 Security

When a centre is first approved, the examination administrator must open an inventory that records the date of receipt and the numbers of papers held. The receipt of further sets of papers, and the withdrawal or return to SQA of any papers, must also be recorded on the inventory — as should their destruction. Papers must be kept under secure conditions at all times as follows:

- ◆ When not in use, papers must be kept in a safe or a secure cabinet to which access is limited to the examination administrator and one other responsible person.
- ◆ Papers may only be removed from their place against a signature.
- ◆ When out of the control of the examination administrator, papers must be kept in a secure briefcase or similar container, and may only be issued to examination candidates for the duration of the examination.
- ◆ Used and unused papers must be treated with the same degree of security.
- ◆ There must never be any possibility that any unauthorised person is able to take a copy of an examination paper, or to obtain or remove any such copy.
- ◆ No papers are ever to be reproduced for any reason whatsoever.

It is the centre's responsibility to confirm the identity of all examination candidates. The examination invigilator must be satisfied that the person taking the examination is the same as the person entered for the qualification.

Candidates must provide the following documentation at the time of enrolment and examination:

- ◆ a new-style photocard driving licence with paper counterpart, **or**
- ◆ a valid passport, **or**
- ◆ a valid identity card from within the EU (Belgium Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Gibraltar, Greece, Hungary, Italy, Netherlands, Poland, Portugal, Slovakia, Spain, or Sweden, **or**
- ◆ a police warrant card, **or**
- ◆ a Security Industry Authority Card, **or**
- ◆ a Personal Licence, issued by a Scottish Licensing Board **or**
- ◆ a valid (old style), signed GB or NI driving licence to be countersigned against the candidate registration form, and a form of photo identification from a reputable company or professional body
- ◆ other forms of identification (such as a PASS Card, or Young Scot card) may be considered.

Candidates must be informed in advance that they must present themselves on the day of the examination with the relevant documentation, or they will not be permitted to sit their examinations.

6.6 Duties of the invigilator

Invigilators are responsible for ensuring that candidates correctly complete the documentation and that examinations are properly conducted. Invigilators should adhere to the following check list.

- ◆ Ensure that the centre has carried out the necessary identity/security checks at the commencement of the course and prior to the examinations.
- ◆ Ensure that each candidate knows which examination is to be taken, and that this accords with the centre's own records.
- ◆ Ensure that the examinations take place at the end of the course to which they refer, and that they occur at the time and place previously notified to SQA.
- ◆ Check to see if any candidates are to be permitted to take examinations under the special provisions for people with particular educational requirements.
- ◆ Ensure that the seating in the examination room is arranged in such a way that there is no possibility of collusion or interference. Ideally candidates should be at single desks with 1.25 metres between heads. The invigilator must be able to see all of the candidates at all times during the examination.
- ◆ During the examination session there may be situations where candidates are sitting papers of different lengths. In such instances the candidates should ideally be accommodated in separate rooms to avoid disruption as a result of some candidates leaving the room prior to others. If this is not feasible, the candidates should be well segregated within one large examination room, with those candidates finishing first positioned closer to the exit to prevent disruption to other candidates.
- ◆ If papers with different lengths are in use, ensure that the candidates are aware of their finish times by displaying this information within the room prior to commencement of the exams. Stress the importance of leaving the examination room quietly to those candidates who are due to finish early.
- ◆ Ensure that all displays of material that may be of assistance to candidates in answering questions are removed.

Instructions to candidates

The invigilator should brief candidates on how to indicate answers on their question paper in dark ink. Separate answer grids are not used. Candidates should mark their answers on the multiple choice question paper itself in the answer boxes provided. Candidates should be directed to carefully read the instructions on the front page of the paper and to write their names, signatures, and Scottish Candidate Numbers (if available) in the spaces provided. The duration of the examination should be confirmed. Invigilators should alert candidates five minutes before the end of the examination and then tell candidates to stop writing at the end of the period.

Candidates must not take question papers out of the examination room.

Environment

It is the centre's responsibility to ensure an appropriate environment is made available for the conduct of examinations. In particular that:

- ◆ lighting levels are appropriate
- ◆ heating and ventilation are appropriate
- ◆ there is a working clock, visible to all candidates
- ◆ steps have been taken to avoid possible sources of extraneous noise — eg traffic, movement of large numbers of people past the examination room, telephone in the room
- ◆ there is access for disabled candidates
- ◆ there are toilet facilities for male and female candidates, and for candidates with disabilities

Who is authorised to enter the examination room?

Apart from the bona fide candidates or invigilators, no person may be present during the progress of the examination, with the exception of:

- ◆ the head of centre or a delegated representative of the centre
- ◆ an approved representative of SQA
- ◆ a member of the staff or other such person summoned by the invigilator for assistance in an emergency

Such persons must not communicate with candidates, nor may they interfere in any way with the conduct of the examination, which remains under the exclusive control of the invigilator.

Authorised officers have been provided by SQA with identification cards with their photographs on them. These will be produced as proof of identity on request.

Conduct of invigilator

Invigilators should be alert and unobtrusive during the whole of the examination and should avoid remaining in one place, especially directly behind a candidate, for any length of time. Private reading or any other activity which may prevent full attention being given to candidates is not allowed. While an examination is in progress only essential conversation may be conducted, and this as quietly as possible, without disturbance to candidates. An invigilator must not leave the room during the course of an examination unless another invigilator is in place.

Late admission of candidates

Normally, candidates arriving late for an examination may be admitted up to 20 minutes beyond the official start time of the examination provided no candidate has left the room in the meantime. No extension of time may be allowed to such candidates.

Leaving the examination room

Normally, no candidate may leave the room until 20 minutes after the start of the examination. Thereafter, a candidate who has completed the examination and who wishes to leave the room must do so quietly with the minimum disturbance to those still working. Before leaving, the candidate must give up the completed question paper to the invigilator. Such a candidate may not be re-admitted to the examination.

Candidates suffering illness or distress

If a candidate is suffering from illness or distress during the examination you can give permission for the candidate to leave the room. You should:

- ◆ retain the candidate's question paper and make a note of the time
- ◆ allow the candidate to leave the room with a person made available by the Head of Centre — the candidate must remain under the supervision of this person while outside the examination room

When the candidate returns to the examination room, the invigilator should return the question paper and ensure that the candidate receives the full allocation of time.

Interruption in conduct of examination

In the event of an interruption lasting more than a few minutes, candidates should be asked to draw a line beneath the last question they have completed. A note should be made of the time at which candidates were told to stop work. Candidates may be taken to suitable alternative accommodation where this is feasible. While candidates are waiting to recommence the examination they will remain under supervision and must not discuss the paper with other candidates. As soon as circumstances permit, the examination should be restarted. An appropriate additional allowance of time should be given in respect of the duration of the interruption. The invigilator should record details (a suggested report format is provided in Appendix 3) and retain these with the completed question papers.

6.7 Guidance on assessment arrangements

Access to calculator

Candidates may have access to a calculator (for ABV calculations). The calculator should not have the facility to access inadmissible data or text.

Use of bilingual dictionaries for candidates for whom English is an additional language

Bilingual translation dictionaries (without explanation of terms) are permitted.

The use of an electronic dictionary is allowed provided it functions as an English/native language dictionary only (word-for-word) and does not contain explanations of English words. Any personal user lists, etc must be disabled. An extra time allowance of 10 minutes per hour can be allowed for using the dictionary.

Use of readers

A 'reader' reads the question paper to the candidate. This may involve reading all the instructions and questions to the candidate or reading only part of the text. The reader reads as requested by the candidate. The candidate will indicate those instructions, questions, or parts of questions they wish to have read. When a bilingual dictionary is used, the reader may consult this at the candidate's request and read out entries.

The reader will read the exact wording (instructions and questions). They will not give meanings of words, or rephrase or interpret anything.

The reader will not direct the candidate in any way, eg when to move on to another question.

The reader can, if asked to by the candidate, read back the candidate's answers.

Candidates have the option of reading some parts of the assessment themselves and having others read to them.

Candidates should study and interpret any diagrams or pictorial material themselves. However, they can ask to have the text associated with such material read to them.

Use of scribes

A 'scribe' marks the candidate's dictated answers to questions. The scribe may read back the answer they have marked. The scribe cannot give any advice regarding which questions to answer, or the order questions should be answered in.

Use of a prompter

A prompter should do no more than draw the candidate's attention back to the examination task or reduce the candidate's anxiety to allow the completion of the examination. The method used by the prompter to do this will be the method agreed with the candidate, eg cue cards, a verbal or physical prompt.

Where a reader/scribe/prompter is used, they should not be a relative, close friend or someone who has a personal interest in the success of the candidate.

A centre may need to provide separate, suitable accommodation in these cases and centres should take account of additional invigilation requirements where necessary.

Conduct of candidates

Disruptive candidates

Any candidate causing a disturbance in the examination, and/or being disrespectful to other candidates or persons in the examination room, must be told to stop and must be warned that failure to do so will lead to their removal from the room, which may result in cancellation of the entry for their course.

Where a candidate continues the behaviour, he/she must be removed from the room and the centre's internal procedures followed.

Malpractice

If you suspect a candidate of any of the following:

- ◆ making use of an unauthorised aid
- ◆ communicating in any way with, seeking assistance from, or giving assistance to, another candidate or candidates during an examination
- ◆ copying the work of another candidate
- ◆ removing a question paper
- ◆ using any other questionable practice

then the candidate must be told, discreetly, to stop and, if applicable, to hand over the unauthorised aid. The candidate may be permitted to resume the paper. At the end of the examination the invigilator should prepare a detailed report (an appropriate format is attached in Appendix 3). The centre's processes for malpractice in internal assessment should be adhered to and a copy of the report retained with the completed question papers. These will be subject to external verification.

Prohibited items

Before the start of every examination, an invigilator should remind candidates that no unauthorised aid may be brought into the examination room.

Mobile phones — including WAP telephones, PDAs, or any other communication devices — should ideally not be taken into the examination room. However, where this not feasible they should be switched off and in full view of the invigilator.

Digital audio players (DAP devices) which store, organise, and play digital music files are prohibited in the examination room as they may also play other file formats and store text.

Other prohibited items include: personal electronic aids, pencil cases, calculator cases, books or notes or paper of any kind. Candidates should be asked to give these items, which may have been brought in inadvertently into the examination room, to the invigilator for safe keeping until after the examination.

Scottish Candidate Number

Candidates are permitted to take details of their Scottish Candidate Number into the examination room.

6.8 Following the examination

The question papers should be marked using the answer keys provided. Markers must ensure that the answer key matches the correct version of the question paper being used. Totals should be entered in the box provided in ink and a 'P' or 'F' entered to denote a pass or fail. Borderline pass/fail scripts should be rechecked, totals confirmed and **each script counter signed**. Candidates must be advised that any result conveyed verbally on the day of the examination is subject to verification processes.

A marker report should be completed and returned as outlined in Section 6.3 above. The number of resit candidates in a group should be recorded on the marker report.

6.9 Resits

There is no restriction on the number of times a candidate may resit the examination. SQA does not currently charge for resits, although this will be kept under review. It is not an SQA requirement for candidates to attend a further training course prior to resitting an exam. Any remediation required or attendance at a training course is at the discretion of the centre.

Candidates must not sit the same version of the question paper again. It is the centre's responsibility to keep an accurate inventory of which question papers have been used for which groups/individual candidates.

7 Quality assurance

7.1 Internal quality assurance

The aim of this section is to ensure that training providers understand that they have a responsibility for all aspects of quality management and control, and that they are able to take all of the action necessary to maintain the required standards, including the conditions upon which their approval was initially based.

Quality standards

Centres must have systems and procedures in place that ensure:

- ◆ a nominated person is responsible for the standard of course delivery
- ◆ the quality of delivery is assessed at regular intervals during the year, and that a written record of assessment, and any necessary remedial action is maintained
- ◆ there are in-house quality systems and procedures in writing covering the standards of delivery, administration, and the conduct of examinations
- ◆ assessments include checks to ensure that the approved course material is being properly used, that the course delivery is in the appropriate style, and that approved training programmes are being adhered to
- ◆ any shortfalls in tutor performance are rectified either by coaching and counselling, by further training, or by disciplinary action

- ◆ tutors are informed of all regulatory, technical, or procedural changes affecting course content as soon as they occur, and that they incorporate all such changes into their teaching immediately
- ◆ course material is up-to-date
- ◆ premises and resources continue to comply

All of the facilities provided for training must continue to comply with the standards upon which initial approval was based. This includes classrooms, classroom equipment, domestic arrangements, and all health and safety provisions. It is never acceptable for a provider to pass responsibility for standards to a third party, and the procedures and check lists upon which initial approval was based, must be adhered to.

Each time an approved course is run, a record must be kept of: the dates, times, and venue, and also of the tutors who taught or supervised any part of the course or approved examination.

Tutor competence

To be approved to offer the SQA Alcohol Licensing qualifications tutors must comply with the requirements set out in the training delivery and assessment strategy namely,

Tutors must:

Have relevant occupational expertise and knowledge, at the appropriate level, of the occupational area they are tutoring

or

Have relevant legal expertise at the appropriate level of the area they are tutoring

Have completed the following training requirements (as required) and have been issued with the appropriate certificate:

Scottish Certificate for Personal Licence Holders (SCPLH)

Year 5 — Scottish Certificate for Personal Licence Holders Refresher (SCPLHR)

Year 10 — Scottish Certificate for Personal Licence Holders (SCPLH)

Hold a recognised qualification in teaching or training **or** have a role within the licensed trade where training is an integral part of the job. A list of recognised awards can be found at: <http://www.sqa.org.uk/sqa/42349>

A list of approved training qualifications is also available at: www.scplh.info

Adhere to the awarding organisation's assessment requirements and practice standardised assessment principles

Maintain their occupational expertise and industry knowledge in the areas being assessed through planned Continuous Professional Development

Have sufficient resources to carry out the role of tutor, ie time and budget

Continuing professional development (CPD)

It is essential that tutors have current competence as set out above. SQA considers it good practice for those involved in the delivery of the licensing qualifications to demonstrate continuous professional development by maintaining a CPD log. Evidence could include the following:

- ◆ work placement
- ◆ job shadowing
- ◆ completing further training qualifications
- ◆ collaborative working with awarding bodies/qualifications development work/networking events
- ◆ SQA Academy
- ◆ attending courses
- ◆ attending national conferences relating to licensing developments
- ◆ professional body membership
- ◆ trade body membership
- ◆ keeping abreast of developments in the sector, eg subscriptions to trade journals/websites

7.2 External quality assurance

In order to ensure that centres adhere to the requirements of this publication, SQA operates a system of quality control that involves External Verification undertaken by a team of Qualification Approvers and Qualification Verifiers. This section sets out the ways in which these quality control activities operate, and the sanctions that may be applied.

Initial approval and changes/additions

New centres should apply for initial approval as a centre following the processes outlined at <http://www.sqa.org.uk/sqa/63277.3839.html>. Existing SQA centres need only apply for qualification approval. When a centre submits an initial application for approval or, having been approved, applies for any changes to the conditions of approval, such as changes to approved course material, variations of pre-approved programmes then all such changes must be communicated to SQA.

External verification visits

A team of Qualification Verifiers is appointed by SQA. Qualification Verifiers are SQA representatives and their task is to visit centres and to report on their findings. They have the right of access at any time to any course being run by an approved centre. If they are not permitted access, results will not be processed. It is the responsibility of centres to plan and arrange for the possibility of visits by SQA staff or appointees, particularly if courses are being presented at locations where security and access problems could occur. **Visits may be made without prior notice** and SQA reserves the right to deploy its verifiers in any way which might help to uncover malpractice.

During their visits, verifiers are seeking to discover whether all aspects of the standards relating to the provision of training, internal quality assurance, and the conduct of examinations set out in this publication, are being applied consistently.

To this end they may wish to see the course being conducted, examine facilities, and observe the conduct of examinations. They do not expect the course programme to be altered to accommodate their visit, but will need reasonable access to all staff and written material relevant to the course, and the centre's approval.

On completion of the visit the Qualification Verifier should be able to discuss the findings with a responsible person, who will be told of any problems noted, and what the verifier's recommendations will be.

On completion of the visit the Qualification Verifier must be able to discuss the findings with a responsible person, who will be told the overall risk rating of the centre following verification. If required actions have been identified the Qualification Verifier will discuss any required action that the centre must now take in order to meet the quality assurance criteria and agree a date by which evidence should be provided.

Following the visit

The Qualification Verifier compiles a report, based on the content of this publication, which is sent to SQA. Once the report has been reviewed by SQA, the report will be sent to the centre within 10 working days. Centres will be notified of the outcome of verification which will confirm their overall risk rating and confirm any action required by the centre and confirm if any sanctions have been placed. If, centre action plans have been identified at the visit, details of the action that you must now take in order to meet the quality assurance criteria will be detailed clearly in the report with the agreed action date stipulated.

Sanctions

Where a centre is unable to meet the evidence requirements for Quality Assurance Criteria and or failure to adhere to the requirements of this publication, sanctions may be placed until the required action has been undertaken by the centre. SQA reserves the right to apply one or more sanctions in circumstances where any problems are uncovered in the delivery and assessment of the qualifications.

In addition to, or as an alternative to sanctions:

- ◆ SQA may require a further verification visit and may recover the costs of any such visit from the centre.
- ◆ The centre may be required to appoint an examination invigilator other than the tutor who has conducted the course.
- ◆ The centre may be required to appoint an examination invigilator who is independent from the centre.
- ◆ The centre may be required to arrange for all examinations to be conducted by an appointed external invigilator, and to meet the costs of external invigilation.
- ◆ Centres may be required to run courses only on specific sites.

Please note that as the alcohol licensing qualifications are accredited all instances of malpractice will be reported to the regulator.

If you disagree with the Qualification Verifier's judgement and would like to appeal against it, please refer to the procedures in our publication:

http://www.sqa.org.uk/files_ccc/Appeals_Process.pdf

Appendix 1

Further information and contacts

All additional documents are available to download from SQA's website at www.sqa.org.uk.

Information

Customer Charter

(Home > About SQA> Policies > Customer Charter)

Customer Support:

(Home>Help&Support>Customer Support

Feedback:

(Home>Help&Support>Customer Support>Contact Us>Feedback form

E-assessment:

<http://www.sqa.org.uk/sqa/5606.html>

<http://www.sqasolar.org.uk/mini/27322.html>

Candidate Malpractice in External Assessments (BA3143)

(Home > Help& Support > Publications Sales & Downloads > Information for Centres)

Assessment Arrangements:

(Home > I am a Coordinator> Assessment Arrangements)

Appeals:

http://www.sqa.org.uk/sqa/files_ccc/Appeals_Process.pdf

Contacts

Customer Contact Centre on:

Telephone: 0345 279 1000

E-mail enquiries: customer@sqa.org.uk

Christine Keenan — Qualifications Manager

E-mail: christine.keenan@sqa.org.uk

Carol McEvoy — Qualifications Officer

E-mail: carol.mcevoy@sqa.org.uk

Appendix 2

Criteria for adapting course material

The aim of this appendix is to provide information to ensure that all approved centres are using course material which will enable them to comply with the requirements of the training specifications set out under the Licensing (Scotland) Act 2005; and to ensure that, following the completion of training, all candidates will have in their possession written material on the content of the course to which they can refer. If centres do not use the SQA produced tutor and candidate materials then the following will apply.

Requirements for tutor notes

All approved training providers must, as part of the conditions under which they are approved, have a set of tutor notes. These notes may be produced in a number of ways; however it would be beneficial, to expedite the approval process, to have these available in electronic form.

The notes must be in a form that will permit a tutor to deliver material covering the whole of the Unit specifications (these reflect the national training specifications) in a cogent and pro-active manner. They must not be in the form of a continuous narrative that would encourage an instructor to read from them. Delivery must be directed at covering all aspects of the course in such a way that the essential elements are not only understood, but also retained in the memory. This requires a pro-active style of delivery that engages as many of the senses as possible for the maximum possible time. This must be achieved through the use of a combination of: an attractive and lively presentation (supported by a variety of visual aids including actual examples); and the participation of the candidates through questioning, discussion, and the use of real examples from their own experience. Individual tutors will have their own ways of doing this, and there must be flexibility for them to express their own personalities.

The notes must also:

- ◆ be in addition to any course visual aids — reproduction of course OHP slides or PowerPoint illustrations alone will not meet this requirement
- ◆ cover the whole of the course content, with no omissions, and with the minimum of extraneous or additional material
- ◆ be numbered in such a way as to facilitate the identification of each part within the course, in order to facilitate the verification process. The numbering must relate to the programmes being followed by the tutor, so that there is no doubt as to the order and duration of each part of the course
- ◆ be sufficiently detailed to ensure that there can be no errors either of fact or in the technical content
- ◆ demonstrate a logical development of ideas
- ◆ indicate the level of training to be given, both in terms of total content, and in the amount of detail that the candidates are expected to understand
- ◆ indicate the point at which videos, exercises, and practical exercises are to be introduced

Each tutor must have their own hardcopy of the course notes, and must use them for all the courses run by the centre.

Updating

Centres are responsible for ensuring that all copies of the course notes in use by them are amended and updated whenever there are changes to regulations, approved documents, codes of practice, or any other matters affecting the content of courses run under this scheme.

Centres must ensure that tutors receive information affecting the content of courses as soon as it is available, and that they act on that information by updating and amending course material straight away. Providers using course notes obtained from a third party are not absolved from this responsibility and must ensure that appropriate updating action is taken, even if the providers of the material are in default. The material to be updated will include tutors' notes, course handouts, handbooks and visual aids.

Centres may use outside assistance to update course material, but final responsibility for standards lies with the centre.

Any plans for significant changes to approved course material (beyond basic updating), should be discussed in advance with SQA. A further approval decision may be necessary.

Candidate handbooks

Candidate handbooks must cover all the topics within the National Standards prescribed for each qualification. The material must be in a durable form (able to last for five years) and suitable for the candidate to use, both in revising for the examination and for reference purposes after the course is completed.

Appendix 3

Forms used in the administration of SQA licensing qualifications

Question Paper Order/Course Notification Form

Marker Report Form

Invigilator's/Malpractice Form



Question Paper Order/Course Notification Form for Approved Centres

Please complete the details below to order question papers or notify SQA of a course taking place. It is a requirement that, when ordering question papers, centres notify SQA of the date, time and exact location of each test session that they propose to run. If the form is being used only to notify SQA of a course taking place but for which no papers are required, please enter 'Nil' in the "No of question papers required" box. SQA reserves the right to send an external verifier to a test venue and if there is no assessment taking place on that day/time at the venue, the centre will be charged to cover the cost of the verifier's time plus expenses.

Question papers will be dispatched within seven working days of receipt of request (normally sooner). Question papers should not be ordered more than 15 working days ahead of the examination date.

Please select a qualification*

GG7T 46	Scottish Certificate for Personal Licence Holders
GG7N 46	Scottish Certificate for Personal Licence Holders (Refresher)
GG7R 46	Scottish Certificate for Safe Sale and Service of Alcohol

Will an independent invigilator be used to invigilate the exam?*

No of question papers required*

Date of assessment*

Time of assessment*

Full address of venue*

Centre name*

Centre number*

Centre address for delivery*

For the attention of (name)*

Telephone number*

Date*

*Mandatory fields

- 1 Centres must submit candidate results to SQA via their usual method in order for certification to occur.
- 2 Centres must retain completed candidate question papers for a minimum of six months from the date of each examination, for scrutiny by SQA verifiers



Alcohol Licensing Qualifications

Marker's report

Centre:

Please complete this report after each examination. Please send a copy to **licensingqualifications@sqa.org.uk** within five working days of the date of the examination and retain a copy with the completed candidate question papers. These should be kept under secure conditions in the centre for six months and will be subject to external verification.

Code	Title	Please Tick	Version No.	No. of Re-sit Candidates
GG7T 46	Scottish Certificate for Personal Licence Holders			
GG7N 46	Scottish Certificate for Personal Licence Holders (Refresher)			
GG7R 45	Scottish Certificate for Safe Sale and Service of Alcohol			

Date of examination:

Number of candidates in group:

How many candidates achieved the minimum pass mark?

1 General comments on the overall response of candidates.

2 Any areas where results justify special mention.

3 Wording of questions (please quote version number of question paper and number of relevant question).

Marker Signature:

Date:

Counter Signature:

Date:



Licensing qualifications

Invigilator Incident Report Form

Centre _____ Centre number _____

Please complete and send a copy to licensingqualifications@sqa.org.uk and keep a copy with the completed candidate question papers retained in the centre.

Code	Title	Please tick
GG7T 46	Scottish Certificate for Personal Licence Holders	
GG7N 46	Scottish Certificate for Personal Licence Holders (Refresher)	
GG7R 45	Scottish Certificate for Safe Sale and Service of Alcohol	

Date of examination _____

Candidate name(s)	Candidate number(s)

Issue relating to QP Administration Incident/interruption

Malpractice? Other

If malpractice:

Mobile phone Disruption Unauthorised aid

Other

Details:

Signature (Invigilator) _____ **Date:** _____

Signature (Internal verifier) _____ **Date:** _____

If malpractice:

Head of Centre's signature _____ **Date:** _____

