



Quality Assurance for Higher National and Vocational Qualifications 2015–18

Enhanced guidance for training providers on writing data management procedures for category 6

- 6.1 Candidates' personal data submitted by centres to SQA must accurately reflect the current status of the candidate.**
- 6.2 Data on candidate entries submitted by centres to SQA must accurately reflect the current status of the candidate and the qualification.**
- 6.3 Data on candidate results submitted by centres to SQA must accurately reflect the current status of the candidate and the qualification.**
- 6.4 There must be an effective and documented system for the accurate recording, storage and retention of assessment records, internal verification records and candidate records of achievement in line with SQA requirements.**

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Introduction to your procedures

Your procedures can take the form of written descriptions of the stages of data management (see headings below for guidance), or flowcharts/process maps (see example provided). There may be more detailed work instructions sitting beneath these.

Operational responsibilities should be made clear at each stage, but you should also state who has responsibility for managing and reviewing the effectiveness of your data management processes.

State how you will disseminate this information to all relevant staff.

Obtaining personal information from candidates

Personal information must include the candidate's:

- ◆ full name
- ◆ date of birth
- ◆ gender
- ◆ home address
- ◆ Scottish Candidate Number (if known by the candidate)

Explain how you will get personal information from candidates, eg completion of enrolment form on paper or online. Also, you should inform candidates at induction that they must inform you promptly of any changes in their personal details and tell them how to do this.

If a candidate knows their SCN, you can look it up on SQA Connect and update their personal details if necessary.

When will this happen?

Who has responsibility for organising this?

Candidate data protection

Explain how you will get the candidates to sign a data protection and data exchange statement, eg include on the enrolment form, a separate statement to be signed at induction.

Who has responsibility for organising this?

Where will this information be stored? How will you ensure that it is stored securely?

Under what circumstances can this information be shared (this should be mentioned in the statement signed by the candidate)?

Checking Scottish Candidate Numbers (SCNs)

A candidate will already have an SCN if they attended a school, college or a training provider in Scotland where they undertook an SQA qualification. If they know their SCN, they should provide it to you, eg on their enrolment form. If they don't know it, you can check for an existing SCN on Connect using their personal details.

If a candidate does not have an SCN, they can be allocated one via SQA Connect.

SQA's system will automatically check for duplicate candidates during the registration process and you will be notified if a match is found. You will then have to check whether or not this is the same person.

Who has responsibility for checking SCNs and allocating new SCNs?

When will this be done?

Registration of new candidates with SQA

Candidates who have never been previously registered with SQA should be registered via SQA Connect.

Who has responsibility for this?

When will this be done?

Unit and Group Award entries

Who has responsibility for deciding which Units and Group Awards candidates will be entered for (eg assessor, internal verifier, manager)? Decide on estimated completion date. Who will check the entry information?

How will this person communicate this information to the person who has responsibility for entering this data onto your system, eg on paper forms or online system?

Who will check on SQA Connect that your centre is approved to offer these Units and Group Awards, check that the award has not finished or entered its lapsing period? (This must be done before you start to deliver the programme to candidates.)

Who will enter the entry information onto your system?

Who will send the entry information to SQA, using SQA Connect?

When will this happen? Please note the requirements of SQA for:

- ◆ entries to be submitted as soon as possible after the start of the programme
- ◆ the SVQ 10-week rule (SVQ awards and Units, Workplace Core Skills Units and Assessor and Verifier Units cannot be certificated within 10 weeks of the entry date of the qualification)

Results

Who has responsibility for recording candidates' results (eg assessor)?

Are results to be submitted on a Unit-by-Unit basis, or only when the Group Award is completed?

How do they do this, eg on paper forms (how will they receive these) or direct entry onto an electronic system?

How will you ensure that these results have been subject to internal verification, eg signature of internal verifier on a form, electronic authorisation by an internal verifier or senior colleague?

Who has responsibility for submitting results to the data management staff (eg assessor, internal verifier, manager)?

Who has responsibility for submitting results to SQA on Connect?

When will this be done?

Data cleansing

Who has responsibility for cleansing candidate information on your system and communicating changes to SQA? This includes:

- ◆ changes to candidates' personal details (eg change of surname, change of address).
- ◆ withdrawal of Unit and Group Award entries when past their completion date and not resulted as a pass or fail
- ◆ extending Unit and/or Group Award entry dates where candidates have been granted an extension

Note: You may change the candidate's home address to the centre's address prior to resulting in order to receive the certificate, for evidence of attainment for funding purposes. However, you must reinstate the candidate's home address following certification. If this is applicable to your centre, your documented procedures should state how this will be done.

Record retention

Your procedures should address SQA record retention requirements. (Note: SQA retention requirements may be shorter than for other purposes, eg funding, so you must take all external and internal requirements into consideration in your policy and procedures.)

Centres must retain records for one calendar year following completion of SQA qualifications. Centres delivering Ofqual or Qualifications Wales regulated qualifications must retain records of candidate assessment for at least six years.

These records are:

- ◆ a list of candidates registered with SQA for each qualification offered in the centre
- ◆ details of candidate assessment, including the name of the assessor, location, date and outcome
- ◆ internal verification activity
- ◆ certificates claimed

In the case of an appeal against an internal assessment result, the centre must retain records, including all materials and evidence, until the appeal has been resolved. For appeals to SQA against an internal assessment result in a regulated qualification - **assessment and internal verification records** for appeals cases should be retained for six years thereafter, unless there is a legitimate reason to retain records for a further period.

Where an investigation of suspected malpractice is carried out, the centre must retain related records and documentation for three years for non-regulated and six years for regulated qualifications. In the case of an appeal to SQA against the outcome of a malpractice investigation, assessment records must be retained for six years. In an investigation involving a potential criminal prosecution or civil claim, records and documentation should be retained for six years after the case and any appeal has been heard. If the centre is in any doubt about whether criminal or civil proceedings will take place, it should keep records for the full six year period.

Who will take responsibility for ensuring that the appropriate assessment records are retained for the required periods, and for destroying them when they are no longer required?

Where will assessment records be securely stored?