

Use of Alternative Assessment Sites and Partnership Arrangements for the Delivery and Assessment of SQA Qualifications: Information for Centres

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1 Introduction

SQA approved centres may use multiple assessment sites, including distance learning and assessment, and enter into partnership or sub-contracting arrangements for the delivery and assessment of SQA qualifications, for operational or business reasons.

SQA must protect the integrity of its qualifications and the interests of candidates. It must, therefore, be made aware of such arrangements and be satisfied that they are appropriate.

We have reviewed our approach to this and the following updated 2018 guidance provides details on the actions that centres must take in relation to ensuring the appropriateness of different types of alternative assessment sites, partnerships and sub-contracts and informing SQA about these. This applies at initial approval, on-going qualification approvals and changes made to arrangements for assessment post-approval. Requirements for providing information are different if assessment is conducted in the same country as the main site or in another country.

SQA’s approach to considering these arrangements will be fair and proportionate, and based on the level of risk that the arrangements could pose to the integrity of its qualifications and its reputation.

2 Centre responsibilities for assessment sites

At the qualification approval stage, centres must provide evidence that the appropriate checks of all assessment sites have been carried out. Scottish colleges with devolved authority must establish this through their internal approval processes. Thereafter, it is the responsibility of the centre to carry out site checks and keep up-to-date records:

* When a new site is being used for the first time
* If new qualifications are to be assessed at an existing and/or new site
* To review the on-going suitability of the site (at least annually, or if there is a changes of circumstances or key personnel at the site)

#### Checklist of requirements at all assessment sites

* Is the assessment environment appropriate for assessing the award? (Refer to the assessment strategy and any specific requirements for assessment of the qualifications being assessed at the site.)
* Are appropriate equipment and resources available for assessment?
* Is the assessment environment safe for candidates and staff?
* Do all candidates have equal access to assessment at this site?
* Is there agreed access to the site for centre assessors and internal verifiers?\*
* Is there agreed access to the site for SQA QA staff (for all qualifications) and regulatory body staff (for regulated qualifications)?\*
* Is there secure storage at the site for assessment materials and records?

*\*Note*: There may be exceptional circumstances at some assessment sites that make physical access impossible, but there must be remote access to candidates and evidence in these cases, and confirmation of the other points on the checklist.

If you have staff and/or candidates based entirely, or for part of their time, at a site that is not owned or managed by your centre, you must also consider the following issues:

* Are candidates, assessors and internal verifiers based at this site given induction covering the requirements of SQA?
* Do candidates and staff have access to the relevant policies and procedures of the centre?
* Is the centre’s quality assurance system being applied at this assessment site?
* Are there effective mechanisms in place for collecting, submitting and securely storing candidates’ personal, entry and results data, in line with the centre’s data management policy and procedures?

Centres should have copies of up-to-date records of checks of assessment sites available for SQA qualification and systems verifiers to view.

One form of evidence of this process is a site checklist — SQA provides two templates for this (see appendices 1 and 2) — but other types of record can also be used, at the discretion of the centre, if they cover the issues required by SQA (see checklist above). These may be included as part of a wider document.

The site checklist, or other agreement document, must be signed and dated by representatives of both the centre and the organisation which owns the site.

**In addition, centres are required to notify SQA of assessment sites in countries other than the country of their main site – both at initial qualification approval and on-going basis, if assessment in other countries is introduced post-approval.**

**This includes sites in different nations within the UK and different states within a country, where there are different governance arrangements for education.**

The information on assessment sites will be used to inform qualification verification selections and sampling. Qualification verifiers will also ask for evidence of review of the on-going suitability of the sites for assessment of the qualification being verified, under quality assurance criterion 2.4:

 2.4 There must be evidence of initial and on-going reviews of assessment environment(s), assessment procedures, equipment, learning and assessment materials.

Systems verifiers will discuss with the centre their arrangements for managing assessment sites and ensuring that their quality assurance processes are implemented effectively across all sites, under quality assurance criteria 2.3 and 2.5:

 2.3 There must be a documented system for initial and ongoing reviews of assessment environments; equipment; and reference, learning and assessment materials.

 2.5 All sites where candidates undertake assessments for SQA qualifications must be safe and appropriately resourced, and must provide access for candidates, staff and SQA personnel.

3 Requirements for notifying SQA about alternative assessment sites and partnerships

Centres must inform SQA of their intention to use alternative assessment sites, satellite sites or remote assessment in another **country, nation within the UK, or state**, or to enter into partnership arrangements for the delivery and assessment of SQA qualifications. Details of the definitions of terms and requirements are provided in the following sections.

Where these plans are known at the centre and/or qualification approval stage, they must be included in the approval application.

Centres must make clear to SQA whether any of their plans involve delivery and assessment of qualifications in a country other than that in which the centre was originally approved by SQA. This also applies to different states within a country, where there are different governance arrangements for education.

**Centres must also notify SQA if they plan to enter into such arrangements after centre approval and/or the original approval of the qualification. A declaration form is available for this purpose.**

SQA’s approach to considering these proposed arrangements will be fair and proportionate, and based on the level of risk that the arrangements could pose to the integrity of its qualifications and its reputation.

Information on plans to use alternative assessment sites, satellite sites in other countries, or remote assessment; or to enter into partnership or sub-contracts and the candidate entries, will be used by SQA to plan verification activity.

Any partnership arrangements or sub-contracts must be documented, including clear allocation of roles and responsibilities to the different parties.

The centre which submits entries and results for the candidates to SQA will be responsible for the quality assurance processes and for standards being met and maintained.

SQA reserves the right to refuse, suspend or withdraw approval if the arrangements do not fully meet its requirements, as expressed in the quality assurance criteria.

4 Requirements for different types of assessment site

The ‘main site’ is defined as the address held by SQA for the centre.

#### 4.1 Satellite site

A satellite site is geographically separate from the main site, but is owned and operated by the centre, under the same policies and procedures, and with staff employed by the centre.

Centres must notify SQA if they intend to open a satellite site only if it is **in a different country, nation within the UK or state**. A declaration form is available for this purpose (Appendix 3).

#### 4.2 Alternative assessment site

An alternative assessment site is premises owned and operated by a different organisation, and not by the approved centre. It could be in the same country as the main site of the centre or in another country.

The centre must ensure that the site is suitable for assessment, both initially and on an on-going basis, and keep up-to-date records of the agreement with the organisation which owns the site.

If candidates and/or your centre’s staff are based at this site for all or part of their time, you must also ensure that they have the same rights and information as candidates and staff based at your main site (eg access to information about, and the mechanism for, making a complaint).

If your centre is hiring a site owned by another organisation, it is likely that you will have a formal rental agreement or contract. This may address responsibilities for the safety and maintenance of the site, and provision of certain facilities, but may not cover issues relating to assessment and quality assurance. It may be appropriate in this circumstance to use the SQA exemplar site checklist in its entirety, or a similar document, in addition to any rental agreement or contract.

Scottish colleges with devolved authority for qualification approval should carry out checks at the time of initial approval on assessment sites to be used. Checks must also be carried out on new assessment sites introduced after the approval stage for every qualification. The site checklist could be used as a record for both purposes.

Regular reviews should be carried out of the continued suitability of assessment sites. Outcomes of reviews and any actions to be taken may be recorded in the centre’s own records of meetings or other quality review documentation.

Site checklists are signed agreements and should have regular planned review dates. They should also be reviewed and updated if there are any significant changes at the assessment site before the planned review date (eg change of ownership, change of key personnel, changes to facilities).

Centres must notify SQA if they intend to use an alternative assessment site only if it is **in a different country, nation within the UK or state**. A declaration form is available for this purpose (Appendix 3).

#### 4.3 Candidate’s workplace (employed candidates)

If an employed candidate is being assessed for an SQA qualification in their usual place of work, their employer will already have responsibility for them as their employee. However, your centre has responsibility for them as a candidate. In particular, you must ensure that:

* the activities, environment and resources at the site will allow the candidate to be assessed in line with the assessment strategy for the qualification
* workplace assessors are competent to carry out assessment
* there is agreed access to the site for your centre assessors and internal verifiers to carry out their roles, and also, if required, for SQA quality assurance personnel and regulatory body personnel (where regulated qualifications are being delivered)
* candidates must have equal access to assessment in any sites — including the provision of any agreed assessment arrangements
* any concerns about safety at the site are raised with the employer

For multiple workplaces, it may be appropriate to use a shortened and adapted version of the SQA exemplar site checklist (Appendix 2), to ensure that you have a signed record of your agreement with the candidates’ employers to meet these requirements. These may be included in approval records, although this will probably only be if you are working with a few key employers from the start of the delivery of the qualification.

There is no requirement for centres to make declarations to SQA about employed candidates’ workplaces.

#### 4.4 Temporary candidate work placement

If there is any assessment to be carried out at the work placement site, you will need to ensure that the site is suitable for the assessment and that there is agreed access for assessors to carry out that assessment.

It is likely that you will be carrying out a risk assessment on the site. You may wish to combine relevant elements of the SQA exemplar site checklist with your risk assessment record.

There is no requirement for centres to make declarations to SQA about candidates’ temporary work placements.

#### 4.5 Remote assessment

In remote assessment, the assessment is being conducted in locations other than the centre’s premises, either online or by mail. There may be groups of candidates undertaking assessments in one venue or individuals undertaking assessments in a range of locations, including their own homes or workplaces. Candidates may be in the same country as the main site of the centre or in another country.

Centres must ensure that all conditions of assessment for the qualification are met — whether using paper-based or on-line assessment. This includes aspects such as:

* authentication of candidates’ identity
* invigilation or on-line proctoring arrangements
* security of assessments

Candidate assessment evidence and assessment and internal verification records must be accessible for SQA qualification verifiers.

Qualification verifiers will also verify conditions of assessment, under criterion 4.4:

 4.4: Assessment evidence must be the candidate’s own work, generated under SQA’s required conditions.

Centres must notify SQA if they intend to use remote assessment only if the candidates are based **in a different country, nation within the UK or state**. A declaration form is available for this purpose (Appendix 3).

4 Partnerships and sub-contracting

Partnership or sub-contracting is where a centre enters into an arrangement with another organisation for all or part of the delivery and assessment of SQA qualifications. This organisation may be in the same country as the main site of the centre or in another country or devolved nation/state.

The centre which submits entries and results for the candidates to SQA will be responsible for the quality assurance processes and for standards being met and maintained.

Staff employed by the partner or sub-contractor who are involved in the assessment and/or internal verification of the qualification must be appropriately qualified and experienced.

Copies of partnership or sub-contracting agreements must be provided with qualification approval applications to which they apply.

Any updates to these should be brought to the attention of qualification and systems verifiers in relation to verification visits.

Qualification verifiers will use information about partnerships and sub-contracts to inform their sampling strategy and in consideration of the staff qualifications and the effectiveness of the implementation of internal verification procedures.

Systems verifiers will discuss with the centre their arrangements for managing partnerships and sub-contracts and ensuring that quality assurance processes are implemented effectively, under quality assurance criterion 1.4:

 1.4 The roles and responsibilities of those involved in the administration, management, assessment and quality assurance of SQA qualifications across all sites must be clearly documented and disseminated.

**Specific requirement:** If applicable, centres must have documented agreements in place for sub-contracted services or partnership arrangements in relation to assessment and quality assurance of SQA qualifications.

Centres must notify SQA if they intend to use partnerships or sub-contracts only if the assessment will be carried out **in a different country, nation within the UK or state**. A declaration form is available for this purpose (Appendix 3).

### Appendix 1: Site Checklist Form (full version — exemplar)

This form is for recording checks of sites to be used for assessment of SQA qualifications which are not owned, leased or managed by the approved centre.

|  |  |
| --- | --- |
| Centre name |  |
| Name of assessment site |  |
| Organisation which owns the site |  |
| Address of assessment site (including country) |  |
|  |  |
|  |  |
| Postcode |  |
| Phone number of site |  |
| Contact name at site |  |
| Qualification(s) being assessed at this site |  |

##### Comments on how site is used:

|  |
| --- |
|  |

**Checklist**

##### Section 1: Assessment requirements

Reference should be made to the assessment strategy and any specific requirements for assessment of the specific award(s) being assessed at the site when completing this section.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Yes** | **No** | **Comment** |
| Is the assessment environment appropriate for assessing the award? |  |  |  |
| Are appropriate equipment and resources available for assessment? |  |  |  |

##### Section 2: The site

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Yes** | **No** | **Comment** |
| Is the assessment environment safe for candidates and staff? |  |  |  |
| Do all candidates have equal access to assessment at this site? |  |  |  |
| Is there agreed access to the site for centre assessors and internal verifiers? |  |  |  |
| Is there agreed access to the site for SQA and regulatory body QA staff? |  |  |  |
| Is there secure storage at the site for assessment materials and records? |  |  |  |

##### Section 3: Support for candidates and staff

This section should only be completed if centre staff and/or candidates are based at the site.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Yes** | **No** | **Comment** |
| Are candidates based at this site given induction covering the requirements of SQA? |  |  |  |
| Are assessors and internal verifiers based at this site given induction covering the requirements of SQA? |  |  |  |
| Do candidates and staff have access to the centre’s policies and procedures? |  |  |  |
| Is the centre’s quality assurance system being applied at this assessment site? |  |  |  |
| Are there effective mechanisms in place for collecting, submitting and securely storing candidates’ personal, entry and results data, in line with the centre’s data management policy and procedures? |  |  |  |

##### Section 4: Declaration

We declare that, to the best of our knowledge, the information given in this form is correct:

**Centre representative**

|  |  |
| --- | --- |
| Name |  |
| Designation |  |
| Signature  |  |
| Date |  |

**Site representative**

|  |  |
| --- | --- |
| Name |  |
| Designation |  |
| Signature  |  |
| Date |  |

|  |  |
| --- | --- |
| Date of next planned review |  |

### Appendix 2: Site Checklist Form (shortened version — exemplar)

Site checklists are used for recording checks of sites to be used for assessment of SQA qualifications which are not owned, leased or managed by the approved centre.

This shortened version is for use for employed candidates’ workplaces.

|  |  |
| --- | --- |
| Centre name |  |
| Name of assessment site |  |
| Organisation which owns the site |  |
| Address of assessment site (including country) |  |
|  |  |
|  |  |
| Postcode |  |
| Phone number of site |  |
| Contact name at site |  |
| Qualification(s) being assessed at this site |  |

#### Checklist

##### Section 1: Assessment requirements

Reference should be made to the assessment strategy and any specific requirements for assessment of the specific award(s) being assessed at the site when completing this section.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Yes** | **No** | **Comment** |
| Is the assessment environment appropriate for assessing the award? |  |  |  |
| Are appropriate equipment and resources available for assessment? |  |  |  |

##### Section 2: The site

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Yes** | **No** | **Comment** |
| Is the assessment environment safe for candidates and staff? |  |  |  |
| Do all candidates have equal access to assessment at this site? |  |  |  |
| Is there agreed access to the site for centre assessors and internal verifiers? |  |  |  |
| Is there agreed access to the site for SQA and regulatory body QA staff? |  |  |  |
| Is there secure storage at the site for assessment materials and records? |  |  |  |

##### Section 3: Workplace assessors

|  |
| --- |
| (Add information on induction, training, support for and qualifications of any workplace assessors.) |

##### Section 4: Declaration

We declare that, to the best of our knowledge, the information given in this form is correct:

**Centre representative**

|  |  |
| --- | --- |
| Name |  |
| Designation |  |
| Signature  |  |
| Date |  |

**Site representative**

|  |  |
| --- | --- |
| Name |  |
| Designation |  |
| Signature  |  |
| Date |  |

|  |  |
| --- | --- |
| Date of next planned review |  |

### Appendix 3: Instructions on completing the Alternative Assessment Sites Declaration Form

#### Section 1: About your centre

Please enter your centre name and number and contact details.

#### Section 2: Qualification or unit you wish to deliver via distance learning and assessment (online or via mail)

|  |  |
| --- | --- |
| Qualification/unit title, eg Management | Please enter the full name of the qualification, including the type of qualification (eg HND, SQA Advanced Diploma, PDA, SVQ).Use a separate line for each qualification. |
| Product code eg GB11 23 | Please check that you are you using the correct and current code, that your centre has approval for this qualification and that it is not in its lapsing period or finished. |
| Number of candidates to be entered for this qualification | Please give the estimated number of candidates undertaking this qualification via distance learning and assessment that you intend to enter with SQA in the first year of delivery. |
| Country (the qualification is being delivered/ assessed in) | Please select the country in which the candidates will be located who are undertaking this qualification by distance learning and assessment.If more than one, use a separate line for each country, entering the qualification details again.If the countries for distance delivery are not restricted and you cannot list all countries that candidates may be based in, please select ‘all countries’. |
| Is a Partner of Sub-contractor delivering any part of the assessment?  | Please select Yes if any other organisation will be working with you as a partner or sub-contractor – if this relates to the delivery, assessment and/or quality assurance of this qualification. |
| Partnership Agreement filename | Please give the title you have used for your document and attach it when e-mailing the declaration form. This should specify each party’s responsibilities in relation to delivery, assessment and/or quality assurance of this qualification. |

**Section 3: Qualification or unit you wish to deliver at an alternative assessment site**

|  |  |
| --- | --- |
| Qualification/unit title eg Management | Please enter the full name of the qualification, including the type of qualification (eg HND, SQA Advanced Diploma, PDA, SVQ).Use a separate line for each qualification. |
| Product code eg GB11 23 | Please check that you are you using the correct and current code, that your centre has approval for this qualification and that it is not in its lapsing period or finished. |
| Number of candidates to be entered for this qualification at the alternative assessment site | Please give the estimated number of candidates undertaking this qualification at the alternative assessment site that you intend to enter with SQA in the first year of delivery. |
| Type of alternative assessment site | Remember that this declaration form only applies to sites in different countries, nations within the UK, or states with a different education system from your main centre.Please select from the drop down menu to indicate if the site is:* A satellite site owned and operated by your centre, under the same policies and procedures, and with staff employed by your centre.
* Partnership sub-contracting agreement, where the delivery, assessment and/or quality assurance is carried out by staff employed by another organisation
* An alternative assessment site owned and operated by a different organisation, but where delivery, assessment and quality assurance is carried out by staff employed by your centre.

You do not need to declare individual employed candidates’ workplaces or temporary work placements. |
| Country (the qualification is being delivered/assessed in) | Please select the country in which the candidates will be located and undertake assessment.If more than one, use a separate line for each country, entering the qualification details again. |
| Partnership agreement filename | If any other organisation will be working with you as a partner or sub-contractor in relation to the delivery, assessment and/or quality assurance of this qualification you must provide a copy of the partnership agreement.Please give the title you have used for your document and attach it when e-mailing the declaration form. This should specify each party’s responsibilities in relation to delivery, assessment and/or quality assurance of this qualification at this assessment site. |
| Site checklist filename | You should hold records providing evidence that you have carried out appropriate checks of all assessment sites have been. See the guidance document on use of alternative assessment sites for details. These records should be a site checklist or equivalent document. Please state if a partnership agreement already provided also covers this requirement.Please give the title you have used for your document and attach it when e-mailing the declaration form. |
| Full postal address of where this qualification is to be delivered/assessed | Please provide the address of the satellite/alternative assessment site, including postcode/zip code. |

**Section 4: Declaration**

It is a requirement that your Head of Centre or SQA Co‑ordinator signs this declaration, confirming that the information in it is accurate.