



# 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
GR7R 46	Scottish Certificate for Personal Licence Holders at SCQF level 6
GR7T 46	Scottish Certificate for Personal Licence Holders (Refresher) at SCQF level 6
GR7P 45	Scottish Certificate for Safe Sale and Service of Alcohol at SCQF level 5 <sup>1</sup>

These qualifications were developed to support the mandatory qualification and training requirements arising from the Licensing (Scotland) Act 2005 and subsequent regulations.

The Scottish Certificate for Personal Licence Holders and the Scottish Certificate for Personal Licence Holders (Refresher) are accredited by SQA Accreditation. They are based on the updated qualification standard developed by People 1<sup>st</sup> International and Scottish Government.

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. They are available in paper-based format or online via SQA's online assessment platform (SOLAR).

Paper-based question papers are marked in centres using answer keys provided by SQA. SOLAR automatically marks the online versions. Both options are subject to external verification.

This handbook provides information on quality assurance and administrative arrangements for the above qualifications. It complements a range of general SQA quality assurance and operational publications. Details are provided in Appendix 1.

These qualifications are supported by a dedicated [Licensing Qualifications web page](#).

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

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<sup>1</sup> This qualification was developed to complement the staff training requirements but is not accredited by SQA Accreditation

## 2 The qualifications

Each qualification consists of a single unit. The unit specifications can be downloaded from <https://www.sqa.org.uk/sqa/66469.html>. 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**

<b>Group award code</b>	GR7R 46	GR7T 46	GR7P 45
<b>Qualification title</b>	Scottish Certificate for Personal Licence Holders at SCQF level 6	Scottish Certificate for Personal Licence Holders (Refresher) at SCQF level 6	Scottish Certificate for Safe Sale and Service of Alcohol at SCQF level 5
<b>Unit code</b>	J50F 46	J50G 46	J50H 45
<b>Unit title</b>	Scottish Personal Licence Holder Standard	Scottish Personal Licence Holder Standard (Refresher)	Licensing for Staff Responsible for Selling and Serving Alcohol
<b>SCQF level*</b>	6	6	5
<b>SCQF credit points*</b>	1	1	1
<b>Minimum course delivery time</b>	6 hours	3 hours	2 hours
<b>Duration of exam</b>	1 hour	1 hour	45 minutes
<b>Question paper marked out of</b>	40	40	25
<b>Pass mark</b>	28	28	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 National 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 Safe Sale and Service of Alcohol qualification.

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

- ◆ Tel: 0345 279 1000
- ◆ Fax: 0345 213 5000
- ◆ Email: [customer@sqa.org.uk](mailto: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. An electronic version of the handbook will be provided to a centre when it is initially approved to offer the alcohol licensing qualifications. This can be issued to candidates ahead of the training and a physical handbook supplied at the start of the training to minimise postage costs.

Tutor materials will also 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 permitted group size for course delivery is 18 and the recommended minimum is two.

The exam can be administered with a larger group where appropriate facilities are available, for example in test or assessment centres with appropriate invigilation arrangements.

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.

Delivery should never be aimed at the contents of the examination alone. Coaching directed at any examination paper is totally prohibited.

Tutors must be able to adapt and contextualise course delivery appropriate to individual groups. 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 must be registered before being entered for any SQA qualification.

Many candidates will already be registered with SQA and have a Scottish Candidate Number (SCN); therefore, you should allow enough 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. This is the element of the certification package that candidates should be advised to present to the Licensing Board when applying for a personal licence. The process for entering the exam date is outlined in 4.1 below.

### 4. 1 How to submit the assessment date to SQA

The Scottish Certificate for Personal Licence Holders and Refresher qualifications are certificated as part of SQA group award runs on a Monday, Wednesday and Friday. It is a requirement for the delivering centre to provide SQA with the date the candidate undertook the assessment so that this can be reported on the candidate's certificate. *Please note that this process does not apply to Scottish Certificate for Safe Sale and Service of Alcohol at SCQF level 5.*

All delivering centres must submit the assessment date against the **unit** codes for each qualification via SQA Connect.

- ◆ J50F 46 Scottish Personal Licence Holder Standard
- ◆ J50G 46 Scottish Personal Licence Holder Standard (Refresher)

The date submitted cannot be a date in the future, it must be the current date or a date in the past.

If a centre normally submits candidate results through SQA Connect — Candidate Services, the system will ask you to provide an assessment date before submitting the unit result. The system will not allow a result to be processed without an assessment date for these units. The screenshot below shows that both the assessment date and the unit result are entered before submitting.

Qual Code	Title	Centre	Entry Date	Completion Date	Assessment Date	Result Date	Result	Cert Date	Status	PBE
GR7T 46	Scottish Certificate for Personal Licence Holders (Refresher) at SCQF Level 6	9994971	27 06 2022	June 2022					1 - Open	
J50G 46	Scottish Personal Licence Holder Standard (Refresher)	9994971	27 06 2022	June 2022	27 6 2022		P		1 - Open	

If you normally submit your results by bulk upload through SQA Connect — Exchange, the unit result can still be processed this way, however the user must then access SQA Connect — Candidate Services to enter the assessment date. The screenshot below shows the result already there as it was processed by the upload file, and the assessment date is blank. The user would click on Edit to allow the assessment date to be entered.

Qual Code	Title	Centre	Entry Date	Completion Date	Assessment Date	Result Date	Result	Cert Date	Status	PBE
GR7T 46	Scottish Certificate for Personal Licence Holders (Refresher) at SCQF Level 6	9994971	27 06 2022	June 2022					1 - Open	
J50G 46	Scottish Personal Licence Holder Standard (Refresher)	9994971	27 06 2022	Jun 2022	27 6 2022	27 06 2022	P		4 - Resulted	

Centres should contact Centre Support with any queries relating to the above process:

- ◆ Tel: 0345 213 6015
- ◆ Email: [candidate.records@sqa.org.uk](mailto:candidate.records@sqa.org.uk) for any queries with regards to registration or candidate updates [certification@sqa.org.uk](mailto:certification@sqa.org.uk) for any certification related queries

## 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.

For details on how to use SOLAR for these qualifications go to:

<https://www.sgasolar.org.uk/mini/27322.html>

### 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:

<https://www.sqa.org.uk/sqa/14976.html>



## 6 Examination administration

Centres should identify an individual who will be responsible for administration of the examinations. This individual must maintain a detailed inventory of question papers used within their centre. An example of a question paper control document is available at <https://www.sqa.org.uk/sqa/66475.html>. Centres will mark paper-based examinations which will be subject to external verification.

Centres offering these qualifications have a responsibility for 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 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 will be available via a secure area of the alcohol licensing website and must always be retained securely — and separate from question papers.

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/course notification

#### Question paper ordering

Question papers are issued on a quarterly basis; centres will be contacted by email ahead of each quarterly distribution and asked how many of each question paper they require for the courses they plan to deliver during the next three-month period.

#### Exceptional circumstances

In exceptional circumstances, centres may be issued with question papers outwith the quarterly distributions. Requests should be emailed to [licensingqualifications@sqa.org.uk](mailto:licensingqualifications@sqa.org.uk) giving minimum of 10 working days' notice.

#### Course Notification

It is a requirement that centres notify SQA of the date, time and exact location of each test session that they propose to run, including re-sits. Centres must notify SQA of their course dates using the online [course notification form](#).

A copy of the form is included in Appendix 3 for reference.

Centres must indicate on the form whether an independent invigilator will be used for the examination. This will assist in targeting external verification.

The following automatic message confirming that the course notification has been successfully submitted will be generated:

*'Thank you, your submission has been successful.'*

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 Safe Sale and Service of Alcohol — peach

## 6.2 Examination paper rotation

Examination 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 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 re-sits an examination **must not** take the same paper again and the centre must keep clear records of the version(s) used for each candidate.

## 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 (for the paper-based question papers, exams via SOLAR are marked automatically). Centres must complete a brief [marker report](#) after each examination. This provides SQA with information on pass rates, number of re-sit 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 marker report can be downloaded from the [Information for Centres section](#) of the Alcohol Licensing Qualifications web page. A copy of the marker's report is included in Appendix 3 for reference. The completed report should be emailed to the [licensingqualifications@sqa.org.uk](mailto:licensingqualifications@sqa.org.uk) mailbox within five working days of the examination date.

A copy of the marker's 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 always be kept under secure conditions.

## 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 always be kept under secure conditions 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.

These are licence to practise qualifications. It is the centre's responsibility to administer strict processes 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 photocard driving licence **or**
- ◆ a valid passport, **or**
- ◆ a valid identity card from within the EU, **or**
- ◆ a military identity card, **or**
- ◆ a Government identity card, **or**
- ◆ a Security Industry Authority Card, **or**
- ◆ a Personal Licence, issued by a Scottish Licensing Board **or**
- ◆ 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 examination.

## 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 checklist.

- ◆ 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 always be able to see all of the candidates 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 because 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.

*\*Or if COVID-19 restrictions are in force at time of the exam, all government guidelines must be adhered to.*

### 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 conducting examinations where:

- ◆ 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, except for:

- ◆ 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 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 a 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.

## **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, they 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 included in Appendix 3). The centre's processes for malpractice 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 PDAs, smart watches 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 re-sit candidates in a group should be recorded on the marker report.

## **6.9 Re-sits**

There is no restriction on the number of times a candidate may re-sit the examination. SQA does not currently charge for re-sits, although this will be kept under review. It is not an SQA requirement for candidates to attend a further training course prior to re-sitting 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 with requirements

All 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 checklists 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 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.

Tutors must:

- ◆ have relevant occupational knowledge or experience which supports the delivery of the qualifications (listed in Section 2) to the licensed trade
- ◆ have successfully achieved and been issued with the appropriate certificate for the Scottish Certificate for Personal Licence Holders (SCPLH) qualification

- ◆ 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
- ◆ adhere to awarding body assessment requirements and practise standardised assessment principles
- ◆ maintain occupational knowledge through planned continuous professional development

### **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. It should be a planned process and reviewed on an annual basis.

Evidence could include the following:

<p><b>Updating occupational knowledge</b></p>	<ul style="list-style-type: none"> <li>◆ Subscribing to and reading relevant licensing trade print journals and articles, and web-based journals and articles</li> <li>◆ Internal and external work placements</li> <li>◆ Work experience and shadowing within licensed premises</li> <li>◆ Completing external visits to other organisations</li> <li>◆ Attending training sessions to update skills</li> <li>◆ Attending trade fairs</li> <li>◆ Trade body membership</li> <li>◆ Attending local licensing forum meetings</li> </ul>
<p><b>Keeping up to date with developments in the licensed trade and new legislation</b></p>	<ul style="list-style-type: none"> <li>◆ Relevant sector websites, journals and articles eg from SLTN, SGF, AFS</li> <li>◆ Membership of professional bodies</li> <li>◆ Papers and documents on legislative change eg from the Scottish Government, Licensing Boards</li> <li>◆ Networking events</li> <li>◆ Seminars, conferences, workshops</li> <li>◆ Membership of committees/working parties</li> <li>◆ SCPLH Refresher training</li> <li>◆ Staff development days</li> </ul>
<p><b>Standardisation and best practice in training delivery</b></p>	<ul style="list-style-type: none"> <li>◆ Regular standardisation meeting with colleagues</li> <li>◆ Taking part in CPD forums</li> <li>◆ Sharing best practice through internal meetings, newsletters, email circulars</li> <li>◆ Comparison of training and delivery in other sectors</li> <li>◆ Attending awarding body meetings/seminars/workshops</li> <li>◆ Completing further training qualifications</li> <li>◆ SQA Academy</li> </ul>

## 7.2 External quality assurance

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 where malpractice is identified.

### Initial approval and changes/additions

New centres should apply for initial approval as a centre following the processes outlined at <https://www.sqa.org.uk/sqa/63278.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 or variations to a pre-approved programme, 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 or required actions will be.

If required actions have been identified, the qualification verifier will discuss any required actions that the centre must now take 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, usually within 15 working days of the date of the visit.

The report will confirm any action required by the centre and 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 to meet the quality assurance criteria will be detailed with the agreed action date stipulated.

## **Sanctions**

Where a centre is unable to meet the evidence requirements for quality assurance criteria and/or fails 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:

[https://www.sqa.org.uk/files\\_ccc/Appeals\\_Process.pdf](https://www.sqa.org.uk/files_ccc/Appeals_Process.pdf)

# Appendix 1: Further information and contacts

The following documents are available to download from [SQA's website](#).

## Information

[Customer Charter](#)

[Customer Support](#)

[Feedback form](#)

[E-assessment/Solar](#)

[Malpractice: Information for Centres](#)

[Assessment Arrangements](#)

[The Appeals Process: Information for Centres](#)

## Contacts

Customer Contact Centre on:

- ◆ Telephone: 0345 279 1000
- ◆ Email enquiries: [customer@sqa.org.uk](mailto:customer@sqa.org.uk)

Christine Keenan — Qualifications Manager: [christine.keenan@sqa.org.uk](mailto:christine.keenan@sqa.org.uk)

Carol McEvoy — Qualifications Officer: [carol.mcevoy@sqa.org.uk](mailto:carol.mcevoy@sqa.org.uk)

## Appendix 2: 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 qualification standard; 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 several 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 specification (this reflects the national qualification standard) in a cogent and proactive 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 proactive 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 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, 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 copy 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.

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 qualification standard 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 for the administration of SQA alcohol licensing qualifications**

The following forms are reproduced on the following pages:

- ◆ Course Notification Form
- ◆ Marker Report Form
- ◆ Invigilator's/Malpractice Form



### Alcohol Licensing Course Notification Form for Approved Centres

Please complete the details below to notify SQA of a course taking place. It is a requirement that centres notify SQA of the date, time and exact location of each test session that they propose to run. At least 5 days' notice of planned course dates should be given.

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.

A confirmation message will be displayed when your course notification has been successfully submitted.

\* indicates a mandatory field.

#### \*Select a Qualification:

- Scottish Certificate for Personal Licence Holders
- Scottish Certificate for Personal Licence Holders (Refresher)
- Scottish Certificate for Safe Sale and Service of Alcohol

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

Yes  No

\*No. of candidates expected:

\*Date of assessment: (dd/mm/yyyy)

\*Time of Assessment:

\*Venue Address:

\*Venue Town:

\*Venue Postcode:

\*Venue Name:

\*Centre Number:

\*Centre Name:

\*Centre Address:

Centre Postcode:

\*For the attention of (name):

\*Telephone Number:

Thank you for taking the time to complete this form.

For more details about how SQA uses your personal information, please read our [Privacy Statement](#).

**SUBMIT**

- 1 Centres must submit candidate results to SQA via their usual method 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 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
GR7R 46	Scottish Certificate for Personal Licence Holders at SCQF level 6			
GR7T 46	Scottish Certificate for Personal Licence Holders (Refresher) at SCQF level 6			
GR7P 45	Scottish Certificate for Safe Sale and Service of Alcohol at SCQF level 5			

**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:



**Alcohol Licensing qualifications  
Invigilator Incident Report Form**

<b>Centre</b>		<b>Centre number</b>	
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Please complete and send a copy to [licensingqualifications@sqa.org.uk](mailto:licensingqualifications@sqa.org.uk) and keep a copy with the completed candidate question papers retained in the centre.

<b>Code</b>	<b>Title</b>	<b>Please tick</b>
GR7R 46	Scottish Certificate for Personal Licence Holders	
GR7T 46	Scottish Certificate for Personal Licence Holders (Refresher)	
GR7P 45	Scottish Certificate for Safe Sale and Service of Alcohol	

<b>Date of examination</b>	
----------------------------	--

<b>Candidate name(s)</b>	<b>Candidate number(s)</b>

Issue relating to QP     Administration     Incident/interruption   

Malpractice?     Other

If malpractice:

Mobile phone     Disruption     Unauthorised aid   

Other

**Details:**

<b>Signature (invigilator)</b>		<b>Date:</b>	
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<b>Signature (internal verifier)</b>		<b>Date:</b>	
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**If malpractice:**

<b>Head of centre's signature</b>		<b>Date:</b>	
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## SQA Alcohol Licensing Qualifications Exam Paper Control Document

SCPLH exam papers	Date	Version 1	Version 2	Version 3	Version 4	Version 5	Version 6	Version 7	Version 8
<i>Example:</i>									
<i>Opening Stock</i>	<i>01.08.21</i>	<i>10</i>	<i>10</i>						
<i>Course in Glasgow</i>	<i>06.08.21</i>	<i>-5</i>							
<i>Course in Edinburgh</i>	<i>02.09.21</i>		<i>-8</i>						
<i>New Stock</i>	<i>05.09.21</i>			<i>20</i>					
<b>TOTALS</b>		<b>5</b>	<b>2</b>	<b>20</b>					

**(NB: This document is available as an Excel spreadsheet on the [Alcohol Licensing Qualifications webpage](#))**





### SQA Alcohol Licensing Qualifications Exam Paper Control Document

SCPLH(R) Exam Papers	Date	Version 1	Version 2	Version 3	Version 4	Version 5	Version 6	Version 7	Version 8
<i>Example:</i>									
<i>Opening Stock</i>	<i>01.08.21</i>	<i>10</i>	<i>10</i>						
<i>Course in Glasgow</i>	<i>06.08.21</i>	<i>-5</i>							
<i>Course in Edinburgh</i>	<i>02.09.21</i>		<i>-8</i>						
<i>New Stock</i>	<i>05.09.21</i>			<i>20</i>					
<b>TOTALS</b>		<b>5</b>	<b>2</b>	<b>20</b>					

(NB: This document is available as an Excel spreadsheet on the [Alcohol Licensing Qualifications webpage](#))



**SQA Alcohol Licensing Qualifications Exam Paper Control Document**

<b>SCSSSA Exam Papers</b>	<b>Date</b>	<b>Version 1</b>	<b>Version 2</b>	<b>Version 3</b>	<b>Version 4</b>	<b>Version 5</b>	<b>Version 6</b>	<b>Version 7</b>	<b>Version 8</b>
<i>Example:</i>									
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(NB: This document is available as an Excel spreadsheet on the [Alcohol Licensing Qualifications webpage](#))