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Section 1: Introduction

As an Approved Delivery Centre (ADC), Scottish Swimming operates within the criteria laid down by Scottish Qualifications Authority (SQA).

Anyone wishing to organise a Scottish Swimming course should follow the guidance contained in this document.

Section 2: Scottish Swimming Education contact details

Address:

Scottish Swimming Education
National Swimming Academy
University of Stirling
Stirling
FK9 4LA

Telephone: 01786 466519

Email: education@scottishswimming.com

Section 3: Assessment

3.1 General assessment policy

Scottish Swimming expects licensed tutors and course organisers to ensure that candidates/learners are made fully aware of the criteria and standards against which their progress and success will be judged.

It is the responsibility of the course organiser to ensure that a Scottish Swimming licensed tutor is appointed to tutor and assess the “on course” elements of assessment for the qualifications.

The marking of the written examinations element of the qualifications is the responsibility of Scottish Swimming.

Course organisers and tutors must use Scottish Swimming assessment documentation which is provided as part of the course resources.



All candidates/learners should be made aware of:

- The timing of assessment to allow preparation to meet deadlines
- The criteria against which they will be assessed, to ensure that they are adequately prepared
- The standards to be applied to measure success
- The method/s by which they will be assessed - to ensure that these are fair
- The outcome of assessment and the reasons for that outcome - to allow candidates/learners to judge their own performance for future reference
- The cost of any formal reassessment opportunities

This is underpinned by the following principles:

- All assessments will be carried out in a fair and equitable way, without prejudice or favour.
- Any deviation from this policy in favour of one candidate/learner must be fair to all other candidates/learners Where a candidate/learner requires an alternative form of assessment it must be clear that although the form of assessment may change the knowledge or skill being assessed must not change and the standard to be achieved must not change
- It is the responsibility of the candidate/learner to ensure understanding of the assessment criteria and standards before presenting for assessment
- A candidate/learner has the right of appeal against any outcome

Internally assessed work will conform to the standards and outcomes set by SQA and Scottish Swimming.

- An assessment plan will be agreed with candidate/learners showing when key assessments will be set or carried out and by when they are to be completed
- Assessment dates and deadlines may be altered by the tutor according to operational needs or re-negotiated with candidate/learner(s) according to individual circumstance. Any re-negotiation based on an individual's circumstances must be fair to all other candidate/learners



- The assessment criteria and how these will be applied should be made known to candidates/learners to enable them to familiarise themselves with the assessment criteria prior to the submission of their work for assessment
- If a candidate/learner fails to meet a deadline and has made no attempt to negotiate an extension, this should be clearly noted in all records and the candidate/learner should be made aware that it has been recorded. This could lead to the candidate/learner not being able to achieve the qualification within the agreed timescale
- Where the tutor feels that an exceptional number of extensions to deadlines have been granted, this should be discussed with the candidate/learner concerned. If the outcome of the discussion is that no further extensions are to be granted then Scottish Swimming should be notified of this
- Candidates/learners should be made aware of the specific number of occasions on which they may be formally reassessed
- Any candidate/learner dissatisfied with the process or outcome of an assessment should have the right of appeal

External examinations and assessments are set by Scottish Swimming and should be conducted according to the criteria set for the particular examination. (Please refer to examination guidance).



3.2 Guidance for Video Assessment

Scottish Swimming (SASA) strongly recommend that all assessments are observed in a live setting. Where, in some circumstances, recorded assessment has been agreed by SASA the assessment should conform to the following guidelines:

1. The assessment must be presented in digital format
2. The recording must be accompanied by details of the learner's full name, date of birth, date of assessment, Scottish Candidate Number (SCN), and clearly marked stating the qualification title
3. The recording must contain footage of the assessment only, which must commence at the beginning of the recording
4. The assessment must be shot in one take. Assessors should refer the assessment if the recording contains edits
5. The learner and participant(s) must be in camera shot throughout the entire recording
6. The learner must be clearly heard at all times throughout the recording. If it is difficult to hear the learner's instructions, they should be referred
7. Any comments made by the participant(s) should be clearly audible at all times
8. The assessment must be conducted in a suitable environment e.g. a pool setting. If the venue is deemed to be unsatisfactory, the learner will be referred on their assessment
9. A copy of the lesson plans and video recording consent forms (*see appendix 1*) for all of the participants being filmed must accompany video assessment submissions
10. The video produced must cover the assessment range required in the unit/qualification assessment guidelines (please refer to the appropriate observation checklist)
11. Use of Skype or equivalent: Skype may be used to conduct oral Professional Discussions or Vivas. A written record and/ or electronic recorded audio/ video file of the discussion must also be made and kept for quality assurance purposes, and retained in accordance with SQA's assessment evidence retention guidance. ***(NB Skype cannot be used for the purposes of assessment of practical skills)***



Appendix 1 – Education Photography & Filming Consent Form

Please note: This consent form is for use of photography/ filming for UKCC/ SQA assessment purposes only.

Throughout this lesson/ session the Teacher/ Coach will be filming pool based activity. The images/ footage are intended solely for UKCC/ SQA assessment purposes and as such will be stored securely and will not be shared with externals other than the Awarding Body (SQA) if requested.

All participants (and/or parent/carer of child participants/ swimmers where relevant) are required to acknowledge the above upon entering the facility and before the practical lesson/ session begins.

Scottish Swimming will take all steps to ensure this footage/ images are used solely for the purposes they are intended. If you become aware that this footage/ images are being used inappropriately you should inform Scottish Swimming immediately.

Filming/ Photography of Children:

In accordance with our child protection policy we will not permit photographs, video or other images of young people to be taken without the consent of the parents/carers and the child.

Consent information:			
To be completed by participant/ swimmer:			
<input type="checkbox"/> I _____ (<i>insert name</i>) consent to _____ (<i>Teacher/ Coach</i>) photographing or videoing my involvement in <i>pool based activities</i> .			
<input type="checkbox"/> I confirm that I have read and agree to all information as outlined on this form.			
Participant/ Swimmer Signature			
Participant/ Swimmer Print Name		Date	
To be completed by parent/carer (where relevant):			
<input type="checkbox"/> I consent to _____ (<i>Teacher/ Coach</i>) photographing or videoing my child _____ (<i>insert child's name</i>)			
<input type="checkbox"/> I confirm that I have read and agree to all information as outlined on this form.			
<input type="checkbox"/> I can confirm that I have read, or been made aware of how the organisation's will use these images or videos in future and how these images or videos will be stored within the organisation.			
Child/young person Signature			
Child/young person Print Name		Date	
Parent /carer Signature			
Parent/carer Print Name		Date	

Please return this form to the Teacher/ Coach. - To be returned to Scottish Swimming Education. education@scottishswimming.com



Section 4: Appeals

This section applies to appeals against assessment decisions. Candidates/learners should be made aware of the appeals procedure during induction or at the start of their course.

Procedure for an Appeal against the Assessment Decision

Overview

- Candidates/learners have the right to appeal against decisions made by their assessor
- Any candidate/learner who has been considered to have failed an assessment, or failed to demonstrate competence, will be provided with one further opportunity for remediation and reassessment. This will be taken forward on an individual basis between the candidate/learner and their tutor / assessor. If the candidate/learner disagrees with the assessment decision they can appeal, through the Appeals Procedure
- Initially, any concerns about assessment will be dealt with by the assessor within 10 working days of assessment result being notified to the candidate/learner. If the matter has been discussed and no satisfactory outcome has been achieved, the candidate/learner and assessor should refer to the internal verifier, in writing, within the next 10 working days.
- If no satisfactory outcome has been achieved after this stage, the candidate/learner may appeal, in writing, to an independent third party within 10 working days. This could be another internal verifier not previously involved in the assessment of the candidate/learner or someone from within or from outside the centre with a broad expertise in the award area.
- Details of the appeal – i.e. its nature, persons involved and dates of discussion and meeting – will be recorded as evidence that an appeal has been processed. Records must be retained for a period of 3 years or 5 years. 5 years applies where any criminal proceedings are involved.
- Candidates/learners are advised that they can appeal against the centre's internal assessment decision to SQA. Candidates/learners should submit appeals to the Director of Development in writing within fifteen working days of receiving written notification from their centre outcome of the appeal.
- SQA will have the final say in the outcome of the appeal.
- If still dissatisfied candidate/learners can appeal to SQA Accreditation.

Please see full procedure overleaf:



4.1 APPEALS PROCEDURE: On course assessment

Assessment should be ongoing with the candidate/learner participating through planning and review. It must be accepted that, at times, a candidate/learner's perception of the application of assessment outcomes and standards will differ from those of the tutor / assessor. When this occurs candidate/learners should have a right of appeal.

If a candidate/learner feels there is a justified reason for disagreeing with the assessment made by the tutor / assessor or the internal verifier (IV) the following procedures should be adopted. This applies to the assessment of the practical teaching/coaching and other on course assessments only. Appeals against the written examinations should be made directly to Scottish Swimming.

Stage 1

The first stage in the appeals procedure is to the course tutor / assessor and should be made in writing stating the nature of the appeal. This appeal must be lodged with the tutor / assessor prior to the completion of the course. A copy should be sent to the course organiser and Scottish Swimming.

Stage 2

The tutor / assessor is required to respond to the appeal within 10 working days with a copy to the course organiser and Scottish Swimming.

A. The tutor / assessor(s) may:

- I. Confirm the original assessment.
- II. Revise the original assessment with explanation / justification.

B. In light of the above the candidate/learner may:

- I. Accept the assessment.
- II. Appeal to the IV, via Scottish Swimming.

This appeal must be received within 10 working days of the candidate/learner receiving the decision from the tutor / assessor. The IV will respond to the appeal within 21 working days of the date that the appeal is received. This response will be copied to the candidate/learner, tutor / assessor and Scottish Swimming.

C. In the event of B.II, the IV may:

- I. Confirm the original assessment made
- II. Support the appeal on the basis of the evidence produced and reach an agreement with the tutor / assessor and candidate/learner. In the event of a disagreement between the tutor / assessor and IV regarding the assessment of a candidate/learner the decision of the IV will prevail.
- III. Be unable to make a decision on the basis of the evidence provided.

D. In the event of C.III the IV will submit a full report to Scottish Swimming which may:

- I. Confirm the original assessment.
- II. Support the appeal on the basis of the evidence produced.

In addition to the above, the outcome of the appeal may require the candidate/learner to be re-assessed on a specific area or against the overall assessment criteria. In this instance Scottish Swimming's decision is final.

NB. In the event of an appeal being submitted to Scottish Swimming a fee equal to the Scottish Swimming reassessment fee will be charged. This will only be refunded if the appeal is upheld.

4.2 Appeals procedure: Examinations

Stage 1

- A.** If a tutor / assessor or a candidate/learner is of the opinion that the results of a written theory examination differ materially from those expected, a re-mark and report may be requested. A fee equal to the current examination fees will be charged to the candidate/learner. See section 20 of the Education Policies and Operations Manual for further details.
- B.** Requests for a re-mark should be made in writing to Scottish Swimming Education accompanied by the set fee. The request and fee must be received within 14 days of the date of dispatch of the results from Scottish Swimming. In the event of a re-mark resulting in a pass result, the re-mark fee will be refunded.

Stage 2

- A.** If the candidate/learner does not accept the final decision after the paper has been re-marked they can implement an appeal against a decision taken by Scottish Swimming through the Scottish Swimming appeals procedure which is detailed in R14.0 of the Company's Governance Documentation.
- B.** In the event of an appeal being submitted to Scottish Swimming a fee equal to the current Scottish Swimming appeal fee will be charged. This may be refunded if the appeal is upheld. *As of November 2015 this cost is £100*
- C.** If the candidate/learner does not accept the decision once the Scottish Swimming appeals procedure has been exhausted, an appeal can be taken to the awarding body, SQA.
- D.** Following an appeal to awarding body, SQA, if the candidate/learner feels this has not been dealt with appropriately, or if they disagree with the outcome an appeal can be taken to SQA accreditation or Ofqual.

In addition to the above, the outcome of the appeal may require the candidate/learner to be re-assessed on a specific area or against the overall assessment criteria. In this instance Scottish Swimming's decision is final.

NB In the event of an appeal being submitted to Scottish Swimming a fee equal to the Scottish Swimming reassessment fee will be charged. This will only be refunded if the appeal is upheld.

Any documentation relating to an appeal will be retained by Scottish Swimming for a period of 5 years.

Appeal form templates and further information on who to contact can be requested from the Scottish Swimming Education department.

Section 5: Examinations

External examinations and assessments are set by Scottish Swimming and should be conducted according to the criteria set for the particular examination. Conduct of examinations is outlined in section 6.

All assessments must be carried out in a fair and equitable manner, which does not prejudice or favour any candidate/learners.

Any deviation from this process must be fair to all candidate/learners and must be notified to Scottish Swimming.

Scottish Swimming produces examination question and answer papers. These remain the property of Scottish Swimming and secure and confidential storage at all times remains the responsibility of the course organisers and/or tutor.

Examinations must take place at the date, time and location advised on the course application form. Any changes need to be agreed in advance with Scottish Swimming.

Appeals against examination results are outlined in section 4.

Examinations are undertaken in approved satellite centres according to the guidelines set by Scottish Swimming as outlined in section 6.

Candidate/learners are prepared for examination by their tutors.

Examiners are appointed by Scottish Swimming to mark the papers according to a set mark scheme.

Scottish Swimming does not enter into discussion with candidate/learners or tutors regarding their individual performance. If a candidate/learner or tutor has concerns that the candidate/learner's results were not an accurate reflection of the candidate/learner's ability the examination appeals process may be used. This is outlined in section 4.



5.1 Special arrangements

Special examination arrangements (reasonable adjustments – section 8) are available for candidate/learners who have speech impairment, physical impairment, visual impairment, hearing impairment, learning difficulties and/or disabilities or whose first language is not English.

It is the candidate/learner's responsibility to discuss their requirements with their tutor and provide evidence of their needs. The tutor should liaise with the course organiser and should inform Scottish Swimming at least three weeks in advance of the examination of any special arrangements made providing the evidence which will be stored on file by Scottish Swimming.

If it is impractical to identify the candidate/learner's special arrangements requirement in advance of the scheduled examination date the tutor and organiser will have to make alternative arrangements for the candidate/learner to undertake the examination. The tutor /course organiser should liaise with Scottish Swimming to confirm that the general invigilation and conduct of examinations processes are in place and appropriate. Please refer to the reasonable adjustments policy in section 8 of this document.

Section 6: Conduct of examinations and tests

The course organiser must appoint suitable personnel to oversee the conduct of the Scottish Swimming examinations (invigilator).

They must be familiar with all aspects of Scottish Swimming's examination policy and procedures as set out below.

All examination papers will be sent to the organiser by recorded delivery to receive, store and distribute to candidate/learners at the time of assessment.

The organiser should ensure that:-

- They check with the tutor prior to the start of the examination whether any candidate/learner requires any special arrangement e.g. extra time, the use of a bilingual dictionary etc. and these should be catered for
- Candidate/learners having the services of a reader and/or scribe are accommodated in a separate room to avoid disturbing other candidate/learners. A second invigilator should also be in attendance
- Examination papers are kept securely locked



- Examination papers (including unused papers) and signed Invigilator Agreement are returned to Scottish Swimming by recorded delivery or courier
- The examination papers are only opened in the presence of the candidate/learners at the commencement of the examination
- That appropriate people are appointed as invigilators

Invigilators will therefore ensure that:

- The examination takes place in a quiet, well-ventilated and light room
- Desks or tables are arranged so that candidate/learners are unable to see the work of other candidate/learners or be disturbed by them
- There is a clock visible to all candidate/learners
- Candidate/learners are provided with sufficient paper or answer booklets and are informed of the type of pen or pencil appropriate for the particular examination. It is advisable for invigilators to have a supply of the required pens and pencils for candidate/learners' use
- The examination starts at the appointed time
- Candidate/learners presenting themselves for the examination are entitled to undertake the examination
- Candidate/learners are informed of the time and duration of the examination
- Candidate/learners are reminded to include their full name and details on the examination paper
- Candidate/learners are informed of the specific requirements of the examination
- Candidate/learners are informed that they may not use correction fluid/whitener and should neatly cross through work they do not wish to be considered by the independent assessor/examiner
- Candidate/learners are informed that all written material must be submitted with the examination paper at the conclusion of the examination
- Candidate/learners are advised that they may not leave the room and return during the examination
- Candidate/learners do not have any materials or equipment available to them during the examination (candidate/learners with special requirements should be accommodated separately)



- The envelope containing the examination papers is opened in the presence of the candidate/learners and distributed to them by the invigilator
- Candidate/learners are advised that they may not communicate with each other during the examination and that any communication with the invigilator should be discrete and should not include any queries about the questions or tasks
- Candidate/learners are not to be admitted to the examination after it has commenced
- At the end of the examination they collect all the candidate/learners' answer books or papers before they are permitted to leave their desk or table – if a candidate/learner leaves before the end of an exam they must hand in all paperwork to the invigilator
- All examination papers (used and unused) are secured in the envelope provided along with the completed Invigilator Agreement and posted to Scottish Swimming by recorded delivery or courier within **two** working days of the conclusion of the examination
- The examination papers should be kept securely locked away at all times

6.1 Issuing results

Scottish Swimming will endeavor to issue results to candidate/learners after receipt of the examination and all course documentation within eight weeks.

In order for Scottish Swimming to do so the organiser and tutor must abide by the timescales as laid down by Scottish Swimming. All course fees must have been paid and all assessment materials and other required documentation returned to Scottish Swimming. Any delays to the receipt of this documentation will delay the issuing of results.

Examination results will be issued to candidate/learners by post/e-mail/OneFile. Examination results will also be disclosed to the tutor of the course. Scottish Swimming will not discuss examination results prior to their issue.

Results will not be issued to candidate/learners for whom Scottish Swimming has not received the candidate/learner fee or completed paperwork and/or assessment materials.

If a tutor or a candidate/learner feels that the results of a written theory examination differ materially from those expected a re-mark and report may be requested. A fee equal to the current examination fees will be charged to the candidate/learner.

Please refer to section 4 for the full appeals procedure and section 19 for fee information.



Section 7: Reassessment

If a candidate/learner does not achieve the required pass mark for the written examination component of their qualification they will be required to complete an examination reassessment in order to achieve the qualification.

Scottish Swimming fee for reassessment examinations do incur a charge; please refer to section 20 for fee information.

Reassessment examinations should be arranged by the candidate/learner directly with Scottish Swimming by completing and submitting a reassessment application form together with the appropriate fee to Scottish Swimming who will arrange a reassessment. Opportunities to be reassessed will be held regionally and details of dates and locations will be advised to the candidate/learner.

The reassessment application form is available upon request and is also available on the Scottish Swimming website. The reassessment fee should be submitted with the reassessment application form. Payment can be made by card sale, bank transfer or cheque; cheques should be made payable to Scottish Swimming.

Scottish Swimming will dispatch examination materials to the appropriate location only after receipt of the appropriate reassessment fee.

The conduct of reassessment examinations should follow the same process and pattern as that outlined in the conduct of examinations in section 6 of this document.

Candidate/learners will be granted one official on course assessment / examination of any assessed element. If an element is deemed as not yet competent, candidates/ learners are granted one post course reassessment. A third and final assessment is permitted if there is only one assessed element outstanding overall. If, following the third assessment the candidate/learner has not been deemed competent on all course elements the candidate/learner will be required to attend another full course.

Reassessment of non-examinable course work (including assessed homework) is the responsibility of the tutor. Scottish Swimming guidelines for assessment are explained in section 3 of this document.



7.1 Rescheduling of examinations

It may be possible to arrange an alternative date for candidate/learners who are unable to sit an examination at the allocated time. Organisers are required to inform Scottish Swimming of the reason for the candidate/learner non-attendance at an examination and provide documentary evidence e.g. a medical certificate. If Scottish Swimming approves the rescheduling of the examination a reassessment form must be completed indicating that this is a reschedule rather than a reassessment. In these circumstances Scottish Swimming will not normally require the payment of an additional fee.

7.2 Reassessment completion timescales

UKCC Level 1/SSTQ candidate/learners are granted 3 months and UKCC Level 2 candidates/learners are granted 6 months to complete a course following the final day of course delivery, otherwise they will be required to pay for late coursework / assessing or attend a new course.

For UKCC Level 3 a period of 12 months is granted following the final day of course delivery for course completion otherwise they will be required to pay for late coursework / assessing or attend a new course.

(See section 21 for details on late fees)

Section 8: Reasonable adjustments policy (RAP)

Written examinations and other assessments

The teaching and coaching of Swimming, Diving, Synchronised Swimming and Water Polo takes place in what is potentially a hazardous environment. The guiding principle of any arrangements for the assessment and/or examination of Scottish Swimming qualifications must therefore be safety at all times.

Scottish Swimming's reasonable adjustments policy is designed to assist candidate/learners who, because of a permanent, long term or temporary disposition, have special assessment needs in examinations and/or other aspects of the assessment process. The paper is for guidance only and cannot cover every circumstance where some form of reasonable adjustment may be required. Organisers or tutors whose candidate/learners' particular needs have not been addressed in this document should contact, in the first instance, Scottish Swimming for guidance.



8.1 General principles for reasonable adjustments:

- Reasonable adjustments are arrangements which are approved before the examination/assessment to enable candidate/learners who might not otherwise be able to do so, to demonstrate their level of understanding and/or competence
- Reasonable adjustments are available for candidate/learners who have a range of difficulties including; speech impairment, physical impairment, visual impairment, hearing impairment, learning difficulties and/or disabilities. Reasonable adjustments are also available for those candidate/learners whose first language is not English
- The overall permission for granting reasonable adjustments rests with Scottish Swimming. However, in many situations decisions related to the application of this policy can be made by the tutor who should be the first point of contact and who must then inform Scottish Swimming of the reasonable adjustment and reason for it
- The candidate/learner's individual needs will determine the nature of the adjustment decision
- Reasonable adjustments must not give the candidate/learner an unfair advantage over other candidate/learners
- Reasonable adjustments must not compromise the quality, integrity and validity of the qualification
- Failure to comply with the regulations contained in this guidance paper may lead to a candidate/learner's results being invalidated and certification withheld
- The candidate/learner has a responsibility to raise issues related to reasonable adjustments before a course commences or as soon in the course as the need for such adjustments are identified. Organisers should ensure that pre-course candidate/learner information encourages candidate/learners to identify any known difficulties that may fall within the scope of this policy



8.2 Reasonable adjustments to written examinations

It is the candidate/learner's responsibility to discuss their requirements with their tutor and provide evidence of their needs.

Written examinations should not be considered to be a test of speed but as a means of ascertaining the candidate/learners' level of underpinning knowledge. Therefore the decision regarding the allocation of additional time for written examinations can be made based upon the following;

- Level 1 certificate – the maximum additional time allowed is 25% of the stated examination time.
- Level 2 certificate - the maximum additional time allowed is 25% of the stated examination time.

An allowance greater than that stated above may be permitted only in exceptional circumstances following discussion between the tutor and Scottish Swimming.

Requests for additional time must be made to the course organiser at the point of candidate/learner booking and be supported by evidence which must be presented to Scottish Swimming and will be saved on file.

If it is impractical to identify the candidate/learner's special arrangements requirement in advance of the scheduled examination date the tutor and course organiser should make alternative arrangements for the candidate/learner to undertake the examination and liaise directly with Scottish Swimming.

In many circumstances a candidate/learner receiving some adjustment to the written examination process will not necessitate changes to the normal organisation of the written examination/test other than the provision of extra time. Whilst it is unreasonable to expect all candidate/learners to remain in the examination room for the extra period of time care needs to be taken to ensure that the departure of other candidate/learners does not adversely affect the candidate/learner(s) who remain.

If the requirement is for the use of a reader or a scribe then an alternative room will be required. In this situation a second invigilator must also be in attendance. In the case of a deaf candidate/learner the reader and/or scribe should be an experienced sign language interpreter.



8.3 Examinations in a language other than English

It is not practicable for Scottish Swimming to offer candidate/learners a choice of languages in which to take the examination.

8.4 Bilingual dictionaries

Bilingual dictionaries may be used by candidate/learners whose first language is not English. Additional time may also be granted if writing in English presents candidate/learners with a difficulty.

8.5 Reader

A reader will be a responsible adult who does not have specific technical knowledge of the subject matter; his/her function is to read, but must not explain questions to the candidate/learner. The reader must not add to or explain any of the words or phrases used in the question and must provide no additional guidance. The question may be repeated as many times as required by the candidate/learner.

The answers must be the candidate/learner's own and the candidate/learner will be required to provide written answers. Extra time will be allowed in accordance with that detailed in 8.2 above.

8.6 Scribe

A scribe will be a responsible adult does not have specific technical knowledge of the subject area. His/her role is to read the question to the candidate/learner and then write down the answers provided by the candidate/learner. He/she may not add to or explain any of the words or phrases used in the question and must provide no additional guidance. The question may be repeated as many times as required by the candidate/learner. The answers must be the candidate/learner's own. The scribe may read back the answer if requested by the candidate/learner and make any changes requested by the candidate/learner. Extra time will be allowed in accordance with that detailed in 8.2 above.



8.7 Reasonable adjustments for on course assessments

On course assessment refers to the practical teaching/coaching and other tasks required to show that the stated outcomes for the qualification have been met. Organisers may make reasonable adjustments to the on-course assessment of candidate/learners in the following circumstances:

- Candidate/learners who have dyslexia
- Candidate/learners who require help with reading
- Candidate/learners whose first language is not English
- Candidate/learners who have a physical, visual, speech or hearing impairment
- Candidate/learners who have a learning disability or difficulty

However, organisers and tutors must ensure that they have clearly identified and recorded their reasons for granting any adjustments and that internal verifiers have access to this evidence. The organiser and tutor must keep securely and confidentially all records of adjustments and return them to Scottish Swimming with the course documentation and assessment materials.

Tutors must abide by Scottish Swimming's general principles and inform them at the start of the course, in writing, of the adjustments made or to be made to the assessment process.

The over-riding consideration in granting adjustments must be the safety of the candidate/learners and the participants in their charge and this must not be compromised. In addition all candidate/learners will be required to meet the criteria identified on the assessment sheets, but may do so in a manner suited to their particular needs.

The type of support provided under the reasonable adjustment policy for on course assessments includes:

An enabler may be allowed in certain circumstances to assist the candidate/learners to carry out some of the tasks, which might reasonably be expected of a teacher or coach.

Candidate/learners must neither endanger the participants in their charge or themselves and must, with the assistance of the enabler, be able to meet and achieve all aspects of the assessment criteria. The tutor will have to assess candidate/learners carefully to ascertain whether the use of an enabler is appropriate and to seek confirmation from Scottish Swimming that this is acceptable.



Sign language may be used to enable candidate/learners who are deaf or who have a hearing impairment to communicate effectively with the tutor and the pupils.

Additional time may be allocated for candidate/learners to present any written assessment work in accordance with the general principles outlined in 8.1.

Alternative forms of evidence for assessment; candidate/learners may present work for assessment through other mediums e.g. audio, video etc.

Interpreters; effective communication is an essential requirement for a swimming teacher and coach. Although communication used during the course will be in English, interpreters may be used to assist candidate/learners whose first language is not English during the theory sessions or as a reader for the written examination/test (see 8.5). It is likely that the latter will be in conjunction with the provision of additional time.

8.8 Special considerations related to on course and written examination assessments

In certain circumstances Scottish Swimming will grant special consideration to candidate/learners who have not been able to complete the course for the following reasons:

- A candidate/learner who has suffered a very recent bereavement or trauma, or who has had to deal with matters relating to the bereavement/trauma
- A candidate/learner who is suffering or recovering, from an illness or injury
- A candidate/learner who has been affected by a disruption to the examination or assessment e.g. a fire alert resulting in evacuation of the building, other specific environmental occurrences

Requests for special considerations related, or similar, to those outlined above should, in the first instance, be discussed with Scottish Swimming.

The request for special consideration must be made by the tutor on behalf of the candidate/learner. The request should be made no later than when the examination papers are sent to Scottish Swimming at the end of the course.



8.9 The decision making process

The following guidance is provided for the organiser and tutor when considering issues relating to the application of this reasonable adjustments policy (RAP);

Stage 1: Issue related to the possible application of the RAP identified

Stage 2: Organiser discusses issue with the candidate/learner and the tutor and obtains evidence

Stage 3: Tutor agrees/disagrees that an application for reasonable adjustment should be made and sends evidence to Scottish Swimming

Stage 4: Tutor or organiser contacts the Scottish Swimming for further discussion

Stage 5: Scottish Swimming agrees/disagrees with the recommendation made by the tutor

Appeals: If the tutor is not satisfied with the outcome of any of stages three to five an appeal can be made in accordance with the Scottish Swimming appeals procedure in section 4.

Section 9: Internal Verification Policy

This is an abbreviated version of our IV policy – the full policy including templates is available from Scottish Swimming.

As a centre for delivering qualifications and awards it is essential that there is a policy which supports the procedure for the quality and audit of the awards which are offered.

The method for this is through internal verification, ensuring that Scottish Swimming has the correct assessment instruments and that the assessments of the candidates /learners meet the award criteria.

Internal verification is a crucial element of SQA's quality assurance. It ensures that all candidates /learners entered for the same qualification are assessed fairly and consistently to the specified standard. Internal verification also ensures that all courses/programmes are delivered in a consistent and standard manner.

Every SQA centre is responsible for operating an effective and documented internal quality assurance system; this is a requirement of being an SQA-approved centre.



To ensure effective assessment and internal verification, centres must regularly review the effectiveness of their procedures and make any necessary improvements, and ensure that changes made by SQA are adopted.

This policy acts as a guide for the internal verification and system verification carried out by Scottish Swimming in relation to SQA approved and accredited courses and programmes. The internal verification procedure gives the structure to assessment checking, provision of evidence and maintaining of standards.

Internal verification may take place both during and after a course and all courses may be subject to internal verification. An internal verifier (IV) may attend at any point during a course and prior notice does not need to be provided. The course organiser and Tutor /Assessor are required to co-operate fully with the IV during this process.

The IV is appointed by Scottish Swimming to undertake the internal quality assurance of the programmes/courses offered. The role of the IV will therefore be to ensure that Tutor /Assessors apply consistent assessment practices in line with SQA and Scottish Swimming criteria. All Scottish Swimming licensed Tutor /Assessors should hold an A1 Assessors award or equivalent or be enrolled on an award with evidence submitted to Scottish Swimming.

IVs should hold a recognised internal verifier qualification – V1 Verifier Award or equivalent and are appointed by Scottish Swimming.

Roles of Internal Verifiers

Internal Verifiers will be selected from the list of licenced qualified Scottish Swimming Tutor /Assessors and are required to hold or be working towards the Verifier qualification.

IVs are responsible for ensuring that assessments and assessment decisions are valid, reliable, practicable, fair and equitable. They must ensure that records of verifications are accurate, secure and complete. They are also responsible for responding to Tutors /Assessors and candidates /learners wherever necessary regarding the process of internal verification. (Further information regarding roles and responsibilities can be found in the Scottish Swimming Tutor /Assessor/ Licencing Application Policy). A Tutor /Assessor cannot internally verify their own work or the work of anyone they have a personal relationship with.

The IV will also be responsible for:

- Maintaining internal quality assurance procedures
- Ensuring that delivery and assessment policies and procedures are available and adhered to
- Ensuring the consistent application of criteria and standards
- Providing support to Tutor /Assessors including identification of their development and training needs where appropriate
- Ensuring that Tutor /Assessors apply the appropriate assessment methods, standards and recording procedures
- Supporting Tutor /Assessors and identifying any additional training which may be required
- Ensuring that appropriate requirements in relation to appeals, complaints and equal opportunities are in place and are operational
- Liaising fully with the External Verifier (EV) appointed by the SQA, as required
- Providing the EV with any information required
- Identifying their own training and development needs
- Attending appropriate training events or workshops
- Producing a verification plan for each course as necessary
- Verifying each programme or course as appointed
- Sampling assessments and discussing the outcomes with the Tutor /Assessors
- Maintaining consistency of assessment practices



- Completing all programme/course documentation supplied by Scottish Swimming including assessment decisions and action plans
- Ensuring that candidate/learners are fully informed of the assessment process
- Attending Scottish Swimming standardisation meetings
- Ensuring that Scottish Swimming is operating in accordance with the Awarding Body requirements and regulations relating to assessment standards
- Providing Scottish Swimming with copies of all records and documentation as required

Section 10: External verification

External verification is the process by which the Awarding Body (SQA) ensures that all its courses/programmes are delivered by the Approved Delivery Centre (ADC/Scottish Swimming) in a consistent and standard manner and that the ADC policies and procedures are appropriate and upheld. The SQA appoints external verifiers to ensure that its standards and criteria are met. External verification visits occur on a regular basis.

External verification focuses upon the policies and procedures implemented by Scottish Swimming. This includes the administration and internal verification system, ensuring that the standardisation of assessment and delivery provided by the IVs is appropriate.

Section 11: Equal opportunities

“Equal opportunity in sport is about fairness, equality of access, recognizing inequalities and taking steps to address them. It is about ensuring the culture and structure of sport is equally accessible to everyone in society.”

Course organisers and course tutors are advised to access and abide by the current Scottish Swimming Equal opportunities policy which can be found within the governance documentation on www.scottishswimming.com



Section 12: Malpractice & sanctions policy

Malpractice consists of those acts which undermine the integrity and validity of an assessment or examination, the certification of qualifications and/or damage the authority of those responsible for conducting the assessment, examination and certification.

The malpractice policy provides Scottish Swimming, its course organisers and tutor/assessors with the procedures for dealing with malpractice on the part of learners, members and any others involved in providing Scottish Swimming courses.

Introduction

Course organisers and tutor/assessors must be vigilant regarding examination malpractice and where malpractice occurs it must be dealt with in an open and fair manner.

In the interests of learners, course organisers and tutor/assessors need to respond effectively and openly to all requests for an investigation into an incident or a suspected incident of malpractice. Course organisers and/or tutor/assessors are required to inform learners suspected of malpractice of their responsibilities and rights, and inform Scottish Swimming immediately of the alleged incident for investigation. In the event that malpractice is suspected by the course organiser or tutor/assessor, the issue should be referred directly to Scottish Swimming for investigation.

Scottish Swimming reserves the right, in suspected cases of malpractice, to withhold the issuing of results or certificates while an investigation is in progress. Depending on the outcome of the investigation, results or certificates may be released or withheld.

The following guidelines are for suspected incidences of malpractice or maladministration by learners, tutor/assessors and course organisers.

Learner Malpractice

Attempting or actually carrying out any malpractice activity is not permitted by Scottish Swimming. The following are examples of malpractice by learners; this list is not exhaustive and other instances of malpractice may be considered by Scottish Swimming at its discretion:

- Plagiarism — failure to acknowledge sources properly and/or the submission of another person's work as if it were the candidate's own.
- Collusion with others when an assessment must be completed by individual candidates
- Copying from another candidate manually or electronically (including using ICT to do so)
- Personation — pretending to be someone else.
- Fabrication of results – e.g. The alteration of any results document including certificates



- Failing to abide by the instructions of an invigilator, or Scottish Swimming conditions in relation to examination rules, regulations and security
- Inappropriate behaviour during an internal assessment that causes disruption to others. This includes shouting and/or aggressive behaviour or language.
- Behaving in such a way as to undermine the integrity of the assessment or examination
- Misuse of examination material
- Introduction of unauthorised material
- Cheating to gain an unfair advantage

Where a learner is suspected of malpractice during an assessment or an examination the course organiser or tutor/assessor must immediately inform Scottish Swimming. A detailed report of the malpractice must then be submitted to Scottish Swimming.

The work or examination paper must be assessed or marked in the usual way. Scottish Swimming will consider the evidence and the learner's results will be withheld until a decision is made.

Course Organiser and Tutor/Assessor Malpractice

The following are examples of malpractice by Course organisers and/or Tutor/assessors. This list is not exhaustive and other instances of malpractice may be considered by Scottish Swimming at its discretion:

- Failing to keep any Scottish Swimming examination papers and learner assessment documentation secure
- Alteration of any Scottish Swimming examination papers
- Facilitating and allowing impersonation
- Misusing the conditions for learners with reasonable adjustment requests
- Failing to keep electronic or paper files secure
- Falsifying records or certificates
- Obtaining unauthorised access to examination papers or material prior to an examination or practical assessment

Where there are grounds to suspect that a course organiser or tutor/assessor has acted inappropriately in the conduct of course delivery, assessments or examinations or where there are grounds to doubt the integrity of assessments or of assessment procedures, Scottish Swimming will investigate and will suspend the issue of results during the investigation.



Centre Malpractice

The following are examples of centre malpractice, but the awarding body, SQA reserves the right to consider other instances of suspected centre malpractice which may undermine the integrity of our qualifications. The examples include:

- Misuse of assessments, including repeated re-assessment contrary to requirements, or inappropriate adjustments to assessment decisions.
- Insecure storage of assessment instruments and marking guidance.
- Failure to comply with requirements for accurate and safe retention of candidate evidence, assessment and internal verification records.
- Failure to comply with SQA's procedures for managing and transferring accurate candidate data.
- Excessive direction from assessors to candidates on how to meet national standards.
- Deliberate falsification of records in order to claim certificates.

Investigating Alleged Malpractice

When dealing with alleged malpractice, Scottish Swimming will deal with the course organiser and tutor/assessor. Scottish Swimming will require full access to all course paperwork and records for investigation purposes.

As part of the investigation, Scottish Swimming retains the right to involve and deal with the learner and others in the investigation process

During the investigation period, Scottish Swimming may, pending the outcome of the investigation:

- Refuse learner registrations
- Withhold the release of results or certificates
- Withhold examination papers if the security of the examination is considered at risk

If malpractice is discovered by Scottish Swimming or has been reported directly to Scottish Swimming by a third party, Scottish Swimming will conduct an investigation in a form commensurate with the nature of the alleged malpractice. Such an investigation will require the full involvement of the all personnel linked to the allegation. In suspected cases of malpractice that involve Scottish Swimming representatives (e.g. Internal Verifier), Scottish Swimming will conduct an investigation appropriate to the nature of the allegation.



Dealing with Malpractice

It is the responsibility of Scottish Swimming to carry out an investigation into allegations of malpractice. The alleged incident must be reported to Scottish Swimming at the earliest opportunity. Scottish Swimming reserves the right to carry out an independent investigation in full under any circumstances of alleged malpractice relating to a Scottish Swimming course and the full co-operation of all involved personnel will be expected.

If a course organiser or tutor/assessor discovers or suspects anyone of malpractice, they must inform Scottish Swimming in writing at the earliest opportunity to allow Scottish Swimming to investigate. Scottish Swimming will inform the learner in writing and make the individual fully aware of the nature of the alleged malpractice. Scottish Swimming will inform the learner of the possible consequences should malpractice be proven.

If a course organiser or tutor/assessor is alleging an individual may have been involved in an act of malpractice, the individual will be given the opportunity to respond in writing to the allegations made. Scottish Swimming will also inform such individuals of the avenues for appealing should a judgement be made against them.

Scottish Swimming reserves the right to access any documents held by the course organiser or tutor/assessor in relation to alleged malpractice. It may be necessary during the process to notify SQA, and other regulatory and funding authorities and for Scottish Swimming to share information with other bodies. In some cases of malpractice (e.g. where it is considered to be of a criminal nature) Scottish Swimming may be required to notify SQA and the police prior to an investigation.

Scottish Swimming will report cases of malpractice to the regulatory authorities whenever it finds evidence that certificates may be invalid. Scottish Swimming will co-operate with any follow-up investigations required and act upon any appropriate remedial action.

Record keeping and retention of records for all investigations of malpractice will be provided to SQA upon request. Records must be retained for a period of 3 years or 6 years. 6 years applies where any criminal proceedings are involved.



Penalties and Sanctions applied by Scottish Swimming

Where malpractice against a course organiser, tutor/assessor or learner is proven, Scottish Swimming will have to consider whether the integrity of its examination or assessment might be jeopardised if the course organiser or tutor/assessor or learner in question were to be involved in future Scottish Swimming courses.

Scottish Swimming may take action to protect the integrity of its courses, examinations and assessments in the future. This action may include:

- Scottish Swimming refusing to accept course and/or learner registrations from a course organiser or tutor/assessor or learner in cases where malpractice is established
- Scottish Swimming reserving the right to withdraw course approval from course organisers and tutor/assessors where malpractice has been identified
- Scottish Swimming reserving the right to remove learners from a course
- Scottish Swimming reserving the right to refuse to issue or to withdraw certificates from learners
- Scottish Swimming requesting a reassessment be carried out
- Scottish Swimming reserving the right to withdraw a Scottish Swimming tutor/assessor or teacher/coach license where malpractice has been identified.
- Scottish Swimming referring to processes outlined within any disciplinary procedures in place.

The Scottish Swimming Director of Development will consider the evidence of any issue of malpractice. Where necessary, the Scottish Swimming Director of Development will convene a panel to consider the evidence. The panel will consist of the Scottish Swimming Director of Development, a member of the Scottish Swimming Education Department and an independent person.

Remedial action will be taken if it is found that there are grounds to invalidate the assessment process and consequently invalidate any certificates.



Appeals

Course organisers, tutor/assessors or learners who wish to consider appeals against penalties or sanctions resulting from malpractice can find further information within section 4 of the Policies and Operations Manual and in R14.0 of the Company's Governance Documentation.

Section 13: Workforce Protection Policy

This Workforce Protection Policy is in place to protect Scottish Swimming candidates/ learners and the Education workforce, including but not limited to Tutors, Presenters, Assessors and Internal Verifiers. For the purpose of this policy all of the above will be collectively referred to as the individual/ individuals.

This policy is designed to help support a positive environment for all. *Please see the Education Policies and Operations Manual for all related policies.*

INTRODUCTION

- 1 Scottish Swimming has a continuing responsibility to maintain, as far as reasonably practical, the health, safety and welfare of candidates/ learners and all members of the Education workforce whilst representing Scottish Swimming. In accordance with this, Scottish Swimming seeks to ensure that all individuals are treated with dignity and respect during the course of their duties. The Education workforce and candidates/ learners should note that harassing or bullying behaviour during Scottish Swimming Education courses and/or events will not be tolerated.

AIM OF THE POLICY

- 2 This policy aims to inform the Education workforce and candidates/ learners of the types of behaviour, which Scottish Swimming deems unacceptable. The policy provides individuals with a recognised, structured means of resolving the problem should they be involved in bullying or harassment.

If a Scottish Swimming candidate/ learner believes they have been subject to unacceptable behaviour by a member of the workforce, then they should inform the Scottish Swimming Education team and if desired follow the complaints procedure.



DEFINITION OF BULLYING AND HARASSMENT

- 3 **Bullying** can be defined as:
Persistent, offensive, abusive, intimidating, malicious or insulting behaviour, which makes the recipient feel upset, threatened, humiliated or vulnerable, undermines their self-confidence and may cause them to suffer stress.
- 4 Examples of bullying behaviour, which Scottish Swimming considers unacceptable, are listed below. However, please note that bullying has many forms and this list is not exhaustive.
- 4.1 Shouting at an individual
 - 4.2 Persistent negative attacks on an individual's personal or professional performance
 - 4.3 Belittling or unprofessional criticism of an individual in front of others
 - 4.4 Spreading malicious rumours or allegations
 - 4.5 Threatening behaviour or attack, both verbal and physical
 - 4.6 Isolating an individual by treating them as non-existent

Harassment can be defined as:

- 5 Any behaviour or conduct, which is inappropriate or unsolicited, unwanted and unacceptable to the recipient making them feel upset, embarrassed, offended, isolated, threatened or humiliated
- 6 Forms of harassment can range from the use of offensive language to extreme violence. In whatever form, it is unwanted, unwelcome and unpleasant. People can be subjected to harassment on a variety of grounds including but not limited to:
- 6.1 Age
 - 6.2 Disability
 - 6.3 Gender reassignment
 - 6.4 Marriage and civil partnership
 - 6.5 Pregnancy and maternity
 - 6.6 Race
 - 6.7 Religion and belief
 - 6.8 Sex
 - 6.9 Sexual orientation
- 7 It is important to note, that it is not the intention of the perpetrator but the behaviour or actions and their impact upon the recipient that constitutes harassment.
- 8 Examples of harassment include, but are not limited to:
- 8.1 Unwelcome physical contact, ranging from touching to serious assault
 - 8.2 Inappropriate jokes or gossip, offensive language or e-mails/texts, slander or sectarian songs (in verbal or written form)
 - 8.3 Display of offensive posters, emblems or graffiti; obscene gestures
 - 8.4 Isolation or non-cooperation at work
 - 8.5 Exclusion from social activities otherwise open to all in a work group
 - 8.6 Coercion for sexual favours or pressure to participate in political/ religious groups
 - 8.7 Intrusion by pestering (including emails & texts), spying, stalking



CONSEQUENCES OF BULLYING AND HARASSMENT

- 9 Anyone can be a victim of bullying or harassment. Bullying and harassment are not only unacceptable on moral grounds but may, if unchecked or badly handled, cause serious problems for both the workforce and the organisation. Consequences may include:

For the individual / workforce

- 1 Loss of confidence and self-esteem
- 2 De-motivation
- 3 Poor work quality and reduced output
- 4 Stress or anxiety related ill-health
- 5 Stress and strain in personal or family life
- 6 Resignation from work

For the organisation

- 1 Increased workforce turnover
 - 2 Decline in workforce relations, loss of team spirit or possible industrial unrest
 - 3 Lack of motivation within the workforce
 - 4 Decline in productivity
 - 5 Damage to the organisation's reputation
- 10 Achieving high levels of performance from the workforce essential for an organisation to be successful. Members of the workforce cannot contribute their best or work well when under fear of harassment, bullying or abuse from either colleagues or candidates/learners. Scottish Swimming will not tolerate such behaviour and accordingly encourages an open and trusting culture where candidates/learners and the workforce has the confidence to report bullying or harassment without fear of the consequences.

MANAGING A LIVE SITUATION

- 11 Individuals who are managing a live situation where they feel they are being treated inappropriately should:
- 11.1 Request that the abusive/threatening behaviour cease with immediate effect
 - 11.2 Request again and advise that communication will be terminated if behaviour continues
 - 11.3 Cease communication; by terminating a call, by advising the harasser that the session/discussion is at an end, by leaving the session or asking the person to leave.



REPORTING AN INCIDENT

- 12 Scottish Swimming acknowledges the sensitive nature of complaints involving bullying or harassment and will follow up on incidents of abusive/ threatening behaviour toward the workforce. Individuals who wish to discuss such complaints in confidence should contact the Workforce Development Manager, or, if unavailable, the Education Executive Officer. Once abusive/ threatening behaviour has been reported, the Workforce Development Manager will listen sympathetically to the individual's concerns and will record the discussion held.

The individual should also put their complaint in writing while the matter remains fresh in their mind; this should include:

- 12.1 The name of the harasser
 - 12.2 The nature of the harassment
 - 12.3 Dates and times when harassment occurred
 - 12.4 The names of any witnesses to the harassment
 - 12.5 Any action taken by the complainant to stop the harassment
- 13 Subsequent to the reporting of the incident, the Workforce Development Manager will determine whether an informal approach is appropriate or formal
- 14 Scottish Swimming recognises that it is preferable for all concerned if complaints of bullying or harassment are dealt with informally wherever possible. The informal approach (para 15) can produce speedy and effective results, minimising stress. However, Scottish Swimming is aware that formal procedures (para 17) may be necessary;
- 14.1 Where the informal approach proves ineffective
 - 14.2 For more serious instances of bullying or harassment, or
 - 14.3 Where an individual prefers to use the formal procedure

INFORMAL PROCEDURE

- 15 The Workforce Development Manager will approach the harasser to explain the impact his/her behaviour has had on the member of the workforce. It may be that the perpetrator has been unaware of, or is insensitive to the impact of their behaviour on the bullied/harassed individual and so this informal approach will put an end to the situation. The harasser may opt to apologise to the complainant, or to confirm that they understand the impact of the behaviour and agree to ensure it does not transpire again.

Thereafter, if the reaction from the harasser is not positive and supportive, or if the behaviour continues, the complainant may decide, in conjunction with the Workforce Development Manager, to progress with the formal procedure.



FORMAL PROCEDURE

- 16 Initially, complaints of inappropriate behaviour should be raised with the Workforce Development Manager as per paragraph 12.
- 17 The Workforce Development Manager will be responsible for coordinating a thorough investigation as quickly as possible, usually within fourteen working days.
- 18 The alleged bully or harasser will be informed in writing that an allegation has been made and the nature of the allegation.
- 19 Where the alleged bullying or harassment is serious, (e.g. serious verbal intimidation or physical attack) the alleged bully or harasser may be suspended from the course / training pending investigation by the Workforce Development Manager.
- 20 The complainant, alleged bully/harasser and any witnesses will be interviewed by Workforce Development Manager to ascertain the facts of the case. Where possible, written statements will be taken. The Director of Development may also be approached to support the investigation.
- 21 All matters relating to the investigation process will be kept confidential.
- 22 A group will be formed to discuss the information gathered. This group will include:
 - 22.1 The Director of Development
 - 22.2 The Workforce Development Manager
 - 22.3 The Education Executive Officer (where required)

The group will develop recommendations, determining whether or not to proceed with any punitive action (letter of apology, suspension of training / course attendance).

- 23 Should the alleged bully/harasser wish to continue with their course, they must agree to comply with the recommendation of the initial investigation; otherwise, they will be suspended from future training.
- 24 Where it is concluded that the allegation of bullying or harassment is unjustified or that evidence is insufficient or inconclusive, the complainant shall be informed in writing that no formal disciplinary action will be taken. All paperwork relating to the investigation will then be destroyed.

MONITORING

- 25 Responsibility for monitoring the application of this policy will rest with Workforce Development Manager. This policy will be reviewed and monitored on an on-going basis.

This policy/function will have no impact on people from any of the equality groups and an Equality Impact Assessment is not required.



Section 14: Course Organisation – UKCC qualifications

14.1 Scottish Swimming UKCC Levels 1 and 2

Guidance to organisers for registration of Scottish Swimming UKCC Level 1 and 2 qualifications. – Please also see the Course Organiser Guide available on www.scottishswimming.com

Registration

Courses may only take place in Scottish Swimming approved satellite centres. Further information and approved satellite centre application packs are available on the Scottish Swimming website at www.scottishswimming.com. This approval must be granted prior to the course registration being submitted.

The course registration form must be correctly completed and submitted to Scottish Swimming at least four weeks and a maximum of 52 weeks prior to the start of the course - the exception to this is the registration period for UKCC Level 2 Teaching Aquatics which must be registered a minimum of 6 weeks and a maximum of 52 weeks before the start of the course. Only official registration forms will be accepted. Course registration forms are available on the Scottish Swimming website - www.scottishswimming.com. Each course should be registered on a separate form.

The organiser is responsible for ensuring that courses are registered in a timely manner with Scottish Swimming. Course Registration forms will not be accepted under any circumstances fewer than 28 days (42 days for UKCC Level 2) prior to the proposed course start date.

When registering courses, organisers should be familiar with the current Scottish Swimming regulations and conditions. They should ensure that the pool depth, number and ability of the participants and the hours required are appropriate for the course. It is essential to ensure that there are sufficient pupils at the appropriate level for the candidate/learners to work with (advice may be sought from the tutor). Please see the Safe Supervision document on the Scottish Swimming website for further information.

Scottish Swimming will process the registration and dispatch the confirmation.

Bookings and course costs

It is the organiser's responsibility to appoint and pay for the tutor, all facilities and course expenses and to take the candidate/learner bookings. It should be noted that there are maximum fees that an organiser may charge a candidate/learner for Scottish Swimming UKCC courses. Please see the Education Fees section for further information regarding recommended tutor fees and candidate/learner fees.

Maximum candidate/learners per licensed tutor:

UKCC Level 1 – A maximum of 12 candidate/learners per licensed tutor. Application may be made to Scottish Swimming for delivery above 12 to a maximum of 16 - this will be subject to tutor experience, evidence of timetable provision to accommodate extra numbers, evidence of sufficient swimmers.

UKCC Level 2 – A maximum of 12 candidate/learners per licensed tutor.

Probationary Tutor – A maximum of 6 candidate/learners per course - supervised at all times by a licensed tutor .Please note that for UKCC level 1 the number of candidate/learners cannot exceed 18 , the probationary tutor 6 learners are part of the maximum 18.

Organisers should carefully check that their candidate/learners have the required pre-requisites/entry requirements for the qualification and provide evidence to Scottish Swimming.

UKCC/SSTQ Subsidies

Candidate/learners may apply for a Sport Scotland subsidy to assist with the cost of a UKCC/SSTQ Full course. Payment of these subsidies is subject to satisfactory attendance on the course and details of subsidy rates and application process can be found on the Scottish Swimming website



Course administration

All candidate/learner details and fees must be received by Scottish Swimming no later than 14 days prior to the proposed start date (28 days for Level 2 Teaching Aquatics). Payment can be made by cheque, credit card or BACS. In the case of payment by BACS a remittance **must** be provided. On receipt of the fees and candidate/learner details Scottish Swimming will send all resources, assessment packs, exams and documentation to the organiser or where OneFile is being used the candidate/learners/candidates will receive login details from Scottish Swimming to access their resources online.

Please see the Education Fees section for further information regarding fees.

A course organiser must ensure that Scottish Swimming is contacted regarding any possible changes to candidate/learner details within 14 days of the proposed course start date.

For paper based courses, the organiser must return all unused resources, assessment packs, exams and documentation to Scottish Swimming with the completed course documentation, assessment packs and exams. Return mail should be sent by recorded or personal delivery to the Scottish Swimming office (during office hours only – Mon- Thurs 9.00am – 5.00pm and Fri 9.00am – 4.00pm). Proof of postage or a Scottish Swimming receipt (in the case of personal delivery) must be retained by the organiser. Under no circumstances must this documentation be passed to a third party for delivery.

For electronic Onefile courses all exam papers (used and unused) must be sent to Scottish Swimming as per above.

14.2 Guidance to candidates/learners (including guidance on exemptions)

Organisers/tutors should make sure that they provide detailed and realistic guidance to candidates/learners who wish to undertake Scottish Swimming qualifications. Successful achievement by candidates/learners is dependent upon realistic guidance. Organisers/tutors must keep evidence of their guidance to candidates/learners and make this available to IVs and other Scottish Swimming personnel as requested. Candidate/learners' pre-requisites/entry requirements should be carefully checked as well as their prior experience. It is the course organiser and tutors responsibility to ensure that candidate/learners have the correct pre-requisites to join a course.



14.3 Candidate/learner registration

All candidates/learners undertaking UKCC qualifications must be current member of Scottish Swimming through an affiliated club or swim school. Further information can be found on the Scottish Swimming website: www.scottishswimming.com

For paper based courses the candidate/learner registration form must be completed and submitted by the course organiser to Scottish Swimming with Candidate List and Fees.

Section 15: Qualification guidance

Please also see syllabus details at www.scottishswimming.com

15.1 Scottish Swimming UKCC Level 1 Certificate in Coaching - all disciplines

The qualification is designed for candidates/learners who wish to work in the aquatic environment. Evidence to meet the criteria for the qualification must be generated through observed performance. Simulations are not acceptable. A written theory exam will also form part of the assessment.

The Scottish Swimming UKCC Level 1 Certificate in Coaching is accredited by the SQA and is on the Scottish Credit and Qualifications Framework (SCQF) as a Level 4 National Progression Award.

The Level 1 Certificate in Coaching is the first formally assessed qualification on the coaching qualifications pathway. Unit one focuses on the 'How to' coach content and the Unit 2 focuses on technical and practical coaching.

The qualification should be delivered using a combination of theory and practice throughout units one and two.

Pre-requisites/entry requirements

- Candidates/learners must be at least 16 years of age at the start of the learning programme
- Candidates/learners must hold current Scottish Swimming membership

Assessment

Unit one is assessed by the tutor

Unit two is assessed by both the tutor and a written examination. The examination is set and marked by Scottish Swimming

All units will be subject to internal verification by a Scottish Swimming IV

All programmes will be subject to external verification by the SQA

Certificates

Certificates are issued by SQA and are sent directly to each candidate/learner. If a candidate/learner requires an additional Scottish Swimming certificate this is available by application.

Scottish Swimming is unable to authorise or issue certificates for candidate/learners whose fees, assessment packs and/or associated documentation has not been submitted.

Progression

Achievement of this qualification will enable the candidate/learner to seek employment to act as an assistant/support to a more senior qualified/licensed coach at any level, in the delivery of a pre-prepared session. The Level 1 coach will be expected to have an understanding of the sport and a basic understanding of appropriate corrections to common faults.

As unit one is common to all the Level 1 Scottish Swimming UKCC qualifications, candidate/learners wishing to progress to Level 1 teaching aquatics may do so by undertaking unit two of the Teaching Aquatics qualification and in this situation need to contact Scottish Swimming to discuss. Candidate/learners, after gaining experience, may progress to the UKCC Level 2 Certificate in Coaching qualification.

15.2 Scottish Swimming Level 2 Certificate in Coaching – all disciplines

The qualification comprises six units. Candidate/learners wishing to undertake this qualification must be working in a competitive aquatic environment and with competitors with a range of abilities. Candidate/learners should therefore be working, in a paid or voluntary capacity, with a club. Evidence required to meet the criteria for the qualification must be generated through observed performance. Simulations are not acceptable. Written theory exams will also form part of the assessment.

Candidate/learners not currently working in a competitive club environment will be required to gain experience in this area and work closely with a club in order to be able to fulfil the course requirements.

Pre-requisites/entry requirements

- Candidates/learners must be at least 17 years of age at the start of the learning programme
- Candidates/learners must hold current Scottish Swimming membership

And hold the following qualification:

- Scottish Swimming UKCC Level 1 Certificate for Coaching (appropriate discipline)



Where candidates/learners hold the below qualifications they must submit a CV and evidence of current coaching practice to apply to attend the course. This should be submitted to Scottish Swimming at least 28 days prior to course start date:

- Scottish Swimming UKCC Level 1 Certificate in Teaching Aquatics
- ASA Level 1 Certificate for Teaching post 2002 – pre 2007
- ASA Assistant Teacher Certificate post Sept 1994

Holders of all other qualifications:

Application for exemption submitted to Scottish Swimming 28 days prior to enrolment on the learning programme – details of exemptions/overseas comparison and recognition of prior learning (RPL) are available on the Scottish Swimming website.

Assessment

Units one and four are assessed by an examination set and marked by Scottish Swimming. The examination must be conducted according to Scottish Swimming requirements.

Units two, three, five and six are assessed by a licensed tutor who will hold an A1 or equivalent (or have enrolled on an A1 programme and is anticipated to achieve the award within a year of enrolment).

Assessment for unit six must take place after the completion of units one – five.

The tutor is fully responsible for the assessment of candidate/learners' competence.

All programmes will be subject to internal verification by Scottish Swimming.

Certificates

Certificates are issued by SQA and are sent directly to each candidate/learner. If a candidate/learner requires an additional Scottish Swimming certificate this is available by application.

Scottish Swimming is unable to authorise or issue certificates for candidate/learners whose fees, assessment packs and/or associated documentation has not been submitted.

Progression

Achievement of this qualification will enable the candidate/learner to seek employment (paid or voluntary) as a coach/teacher.

Candidates/learners, after gaining experience, may progress to the Level 3 Certificate in Coaching qualification.



15.3 Scottish Swimming Teacher Qualification (SSTQ)

The SSTQ is accredited by the SQA and is on the Scottish Credit and Qualifications Framework (SCQF) at Level 7 as a Professional Development Award, titled Aquatics: Swimming Teaching. This qualification is designed for candidates/learners who wish to work in the aquatic environment. Evidence to meet the criteria for the qualification must be generated through observed performance. Simulations are not acceptable. The qualification should be delivered using a combination of theory and practical based activity.

Pre-requisites/entry requirements

- Candidates/learners must be at least 16 years of age at the start of the learning programme
- Candidates/learners must hold current Scottish Swimming membership
- Candidates/learners must complete the pre-course SwimRight module before progressing to the course

SwimRight is the mandatory pre-course module for the Scottish Swimming Teacher Qualification (SSTQ) covering elements relating to Health and Safety, Child Protection and the National LTS Framework. SwimRight must be completed before candidates/learners can participate in on-course work with children in pool sessions.

Assessment

The SSTQ is primarily assessed by practically assessed swimming teaching.

Additional learning tasks and on-course projects will be undertaken, including topics on: core aquatic skills; skill/stroke analysis; lesson plans; technical knowledge; growth & development; mechanical principles; and, reflective practice

All programmes will be subject to internal verification by Scottish Swimming through Practitioner Assessors.

All programmes will be subject to external verification by the Scottish Qualifications Authority.

Certificates

Certificates are issued by Scottish Swimming, accredited by the SQA, and are sent directly to each candidate/learner.

Scottish Swimming is unable to authorise or issue certificates for candidate/learners whose fees, assessment packs and/or associated documentation have not been submitted.

Progression

Achievement of this qualification may enable the candidate/learner to secure employment (paid or voluntary) as a teacher of aquatics utilising the Scottish Swimming Learn to Swim Framework or equivalent.



Section 16: Tutor/Assessor guidance

Tutors/assessors are licensed by Scottish Swimming to deliver Scottish Swimming education courses. Tutor licences are valid for up to two years and it is the tutor's responsibility to ensure that they maintain a valid licence. Only licensed tutors can deliver UKCC courses and will be subject to Moderation and Internal Verification visits.

Tutors are responsible for ensuring that: -

- They are qualified and licensed to deliver the course
- They deliver to a maximum of 12 candidates/learners per licensed tutor and six candidates/learners per probationary tutor - application to deliver to 16 candidates/learners at Level 1 may be made as detailed in section 13 of this document
- They hold a valid and appropriate Scottish Swimming Tutor licence.
- They are familiar with the syllabus and have the knowledge and understanding to deliver the course
- They maintain a current knowledge of their subject and regularly review their delivery and resources
- They have prepared adequately to deliver the course
- They plan the delivery of the course to meet the needs of the candidates//learners and the syllabus outcomes
- Candidates/learners have been given appropriate guidance and are fully informed about the details and requirements of the qualification and course being taken
- They liaise with Scottish Swimming and the organiser to use appropriate resources to deliver the course
- Candidates/learners are assessed in accordance with the assessment procedures and that the appropriate standards are applied as required by Scottish Swimming and the SQA
- The learning programme provided is appropriate to the qualification, the needs of the candidate/learner and the requirements of Scottish Swimming
- They liaise with the organiser to ensure that all candidates/learners fulfil the course pre-requisites
- They liaise with the organiser to ensure that any reasonable adjustment in accordance with Scottish Swimming guidelines is applied. Please see the Reasonable Adjustment section for further information



- They liaise with the organiser to ensure that the course and candidate/learners are registered with Scottish Swimming in accordance with Scottish Swimming guidelines
- They liaise with the organiser to ensure the smooth running of the course.
- Candidate/learners' work is assessed consistently, accurately and fairly
- They have read and understood all Scottish Swimming guidelines and policies and procedures and operate within them
- They liaise with the organiser to ensure that all the course documentation (including attendance sheet), assessment documents and examinations are completed and sent to Scottish Swimming in accordance with published guidelines
- They liaise with Moderators and IVs as required to ensure candidate/learners' assessments meet the requirements of Scottish Swimming
- They have signed and adhere to the tutor code of conduct

Section 17: Approved Satellite Centres

17.1 Scottish Swimming education courses may only take place at Scottish Swimming

Approved Satellite Centres. Further information and Approved Satellite Centre application packs are available on the Scottish Swimming website at www.scottishswimming.com. This approval must be granted prior to the course registration being submitted and is subject to an annual fee of £20.00 (please see Education Fees section).

17.2 Overseas centres will have to fulfil Scottish Swimming Approved Satellite Centre requirements before they are granted approval to deliver Scottish Swimming qualifications.

Centres will be required to provide written and pictorial evidence of their facilities.

Overseas centres will be able to deliver all qualifications but will be required to pay a course registration fee of £50.00 per course in addition to the normal candidate/learner fees will also apply.

Overseas centres may have to pay an additional fee for resources dependent on their location.

Scottish Swimming will confirm this at the time of registration.

Fees – for overseas centres

Approval Fee: £50.00

Course Registration fee £50.00

Further costs for overseas centres may also apply, please contact Scottish Swimming for further information.



Section 18 Overseas qualifications comparison

Candidates/learners who may hold an overseas qualification may apply to Scottish Swimming to ascertain whether their qualification is appropriate for teaching and coaching swimming in Scotland. There is an administrative fee for this process of £19.50 including VAT, which is non-refundable.

Applications will be considered and the applicants will be informed in writing of the decision within 28 days of the application being received.

It is recommended that the candidate/learner should, in the first instance, apply to the National Recognition Information Centre for the UK (NARIC) for an academic comparison of their teaching qualification*.

Candidates/learners must apply in writing to Scottish Swimming and include the following details:

- Scottish Swimming Overseas Comparative Qualification application form which is available from the website www.scottishswimming.com
- Letter from NARIC identifying the qualification comparison*
- Copies of relevant certificates
- Detailed account of the qualification
- Translation of the qualification/s by an official translator
- Curriculum Vitae
- Written detail of teaching / coaching experience countersigned from employer / Head Coach
- Payment of £25 – payable by bank transfer, card sale, or cheque made payable to Scottish Swimming

Scottish Swimming will inform the candidate/learner in writing of the outcome of their application.

Organisers should make sure that candidates/learners with overseas qualifications provide them with a copy of the Scottish Swimming decision before they enrol on to a course and attach a copy of the decision letter to the candidate list and fees form when submitting to Scottish Swimming no later than 14 days prior to the commencement of the course (28 days for UKCC Level 2).

* NARIC compares academic qualifications gained outside the United Kingdom from school leaving certificates to post graduate qualifications. To contact NARIC please visit their website www.naric.org.uk and follow their guidance.



Section 19: Exemptions

Exemptions from Scottish Swimming qualifications pre-requisites may, in certain circumstances, be granted to applicants who have qualifications or experiences other than those already listed for the qualification they wish to undertake.

Candidates/learners wishing to apply for exemption should apply to Scottish Swimming using the Exemption application form which can be found on the website www.scottishswimming.com.

Candidates/learners must apply in writing to Scottish Swimming and include the following details:

- A detailed CV including details of their experience in teaching or coaching
- Copies of any relevant certificates
- An outline of the content of the syllabus/es covered in gaining any relevant qualifications held
- Written detail of teaching / coaching experience countersigned from employer / Head Coach
- Payment of £25 (non-refundable) – payable by bank transfer, card sale, or cheque made payable to Scottish Swimming

Applications should be sent to Scottish Swimming for consideration no later than 28 days before the course start date and the applicants will be informed in writing of the decision.

Organisers should make sure that candidates/learners provide them with a copy of the Scottish Swimming decision before they enrol on to a course and attach a copy of the decision letter to the candidate list and fees form when submitting to Scottish Swimming no later than 14 days prior to the commencement of the course (28 days for UKCC Level 2).

Section 20: Recognition of Prior Learning (RPL)

SQA's policy is to recognise prior learning as a method of assessing whether a learner's experience and achievements meet the evidence requirements (ie the standard) of a SQA Unit or Units and which may or may not have been developed through a course of learning.

Scottish Swimming recognises that there are many avenues, outside of the United Kingdom Coaching Certificate pathway, by which individuals may have developed their teaching/coaching skills. Scottish Swimming values these skills and welcomes coaches from different backgrounds into our sport in Scotland.



RPL is open to anyone who wishes to map their current skills and experience to the UKCC pathway for swimming. E.g. PE teachers who may have extensive experience in the 'how to coach' techniques may only need to complete certain units to achieve UKCC Level 2.

Candidates/learners must apply in writing to Scottish Swimming and include the following details:

- A detailed CV including details of their experience in teaching or coaching
- Copies of any relevant certificates
- An outline of the content of the syllabus/es covered in gaining any relevant qualifications held
- Payment of £25 (non-refundable) – payable by bank transfer, card sale, or cheque made payable to Scottish Swimming

Applications should be sent to Scottish Swimming for consideration no later than 28 days before the course start date and the applicants will be informed in writing of the decision.

Organisers should make sure that candidates/learners provide them with a copy of the Scottish Swimming decision before they enrol on to a course and attach a copy of the decision letter to the candidate list and fees form when submitting to Scottish Swimming no later than 14 days prior to the commencement of the course (28 days for UKCC Level 2).



Section 21: Scottish Swimming Education Fees

Candidate/learner fees (payable from course organiser to Scottish Swimming)

- Scottish Swimming UKCC/ Level 1 Certificate in Coaching all disciplines £150.00
- Scottish Swimming UKCC Level 2 Certificate in Coaching all disciplines £270.00
- Scottish Swimming Teacher Qualification (SSTQ) £275.00
- Scottish Swimming Teacher Qualification (SSTQ) Conversion/Upskill: £137.50

Course fees per candidate/learner (payable from candidates/learners to course organiser)

- UKCC Level 1 - Maximum £300.00 per complete course (this includes £150.00 Scottish Swimming Fee)
- UKCC Level 2 - Maximum £600.00 per complete course (this includes £270.00 Scottish Swimming Fee)
- SSTQ- Maximum £550.00 per complete course (this includes £275.00 Scottish Swimming Fee)
- SSTQ (Conversion/Upskill)- Maximum £275.00 per complete course (this includes £137.50 Scottish Swimming Fee)

Recommended tutor fees per course (payable to the tutor by organiser, and subject to local negotiation)

- Level 1 - £1000 (based on £25 p/h)
- Level 2 - £2500 (based on £30 p/h)
- SSTQ - £2000 (based on (£31.25 p/h)

Recommended tutor cancellation fee (subject to local agreement and locally agreed timescales)

- Level 1 - 20% agreed fee
- Level 2 - 30% agreed fee
- SSTQ – 30% agreed fee

UKCC Subsidy payment for Scottish Swimming members:

See website for subsidy rates.



Cancellation of registered courses

- Up to 28 days before the course start date – No charge
- Up to 21 day before the course start date – £20.00
- Up to 14 days before the course start date – £50.00
- 14 days onwards before the course start date– full payment required

Re assessment for written examination fees

- Level 1 - £30.00
- Level 2 - single examined unit £35.00
- Level 2 - both examined units £65.00

Re assessment for practical and on course assessments

- Level 1 - £42.50
- Level 2 - £50.00
- Level 3 Site Visit - £162.50

Approved Satellite Centre Annual Fee

- Main site - £20.00
- Overseas centres - £50.00 (Some additional postage costs may apply to overseas centres. Scottish Swimming will advise at the time of registration.)

Additional Scottish Swimming UKCC certificates

A fee of £5.00 per printed certificate is payable.

Replacement of SQA National Progression Award certificates

A fee of £38.00 per SQA certificate is payable. Please visit www.sqa.org for information

Candidate/learner services

- Overseas comparison - £25.00
- Exemptions - £25.00
- Recognition of Prior Learning (RPL) - £25.00

Candidate/learner Examination re-mark/specific feedback request

- Level 1 £30.00
- Level 2 £35.00 single examined unit paper
- Level 2 £65.00 both examined unit papers



Candidate late course submission / completion

SASA Fees

- SSTQ; coursework submitted for marking 3 months or more following the last day of course delivery. Fee to learner = £30.00
- UKCC Level 1; coursework submitted for marking 3 months or more following the last day of course delivery. Fee to learner = £30.00
- UKCC Level 2; coursework submitted for marking 6 months or more following the last day of course delivery. Fee to learner = £35.00 for 1 single unit & £65.00 for 2 or more unit submissions.
- UKCC Level 3; coursework submitted for marking 12 months or more following the last day of course delivery. Fee to learner = £40.00 for 1 single unit & £75.00 for 2 units (more than 2 units at discretion of Scottish swimming)

SQA Fees

- SQA Level 1; course not completed 18 months from course start date. Fee to learner = £22.50.
- SQA Level 2; course not completed 18 months from course start date Fee to learner = £15.00
- SQA Level 3; course not completed 36 months from course start date Fee to learner = £30.00



Section 22: Roles and Responsibilities

The Roles and Responsibilities of the SQA Co-ordinator, Lead Internal Verifier, Lead Assessor, Assessor and Candidates are set out to improve understanding of the accreditation and assessment process within centres. These arrangements will be reviewed ongoing and at Standardisation Meetings.

SQA Coordinator: Roles and Responsibilities

- To be the first point of contact between the centre and SQA
- To ensure policies and procedures are in place to support the quality assurance process
- To ensure that policies and procedures are reviewed regularly and updated in line with current SQA guidance and with centre decisions
- To ensure that the most current version of all documentation is used
- To enable internal verifiers and assessors to meet on a regular basis
- To support the sharing of best practice among Assessors and Internal Verifiers
- To ensure updates are provided to staff who have been inactive in the roles of assessors and internal verification for some time or where there has been any considerable changes to centre procedures.
- To liaise between SQA quality assurance staff and Assessors/Internal Verifiers when SQA quality assurance staff wish to visit
- To circulate the subsequent Quality Assurance report to appropriate personnel
- To ensure that any required actions and development points identified in a Quality Assurance report are discussed and acted upon promptly.
- To ensure all data passed on by Internal Verifiers and Assessors is processed and submitted to SQA, according to the Centre's Data Management Policy.
- To ensure that relevant Centre staff check for Scottish Candidate Number (SCN) of new candidates.
- Arrange Additional Assessor/Internal Verifier Induction as required.
- To notify SQA of any changes that may affect the centre's ability to meet the Quality Assurance criteria. Information required on:
 - Change of premises
 - Change of head of centre, owner or SQA Co-ordinator
 - Change of name of centre or business
 - Change of contact details
 - Outcome of internal/external investigations
 - Removal of centre and/or qualification approval by another Awarding body
 - Lack of appropriate assessors or internal verifiers
- To ensure the secure storage of candidate records of achievement within a locked cabinet and office.
- To initiate qualification approval procedure.



External Verifier: Roles and Responsibilities

External Verifiers are appointed to Scottish Swimming from the Awarding Body (SQA)

- Participate in central verification events, carry out external verification visits and/or participate in postal verification visits as required
- Participate in prior verification of centres' internally devised instruments of assessment
- Participate in approval, post approval and development visits to centres
- Assist Internal Assessment Delivery and Quality Assurance staff with policy and subject specific enquiries from centres and SQA officers
- Deliver and participate in external verifier training events
- Submit CPD record within agreed timescales where appropriate
- Submit a current Personal Development Plan (PDP) within the agreed timescales where appropriate

Lead Internal Verifier: Roles and Responsibilities

- To facilitate and support Assessors to meet on a regular basis
- To assist Assessors in the standardisation of assessment evidence and sharing of best practice
- To sample assessment evidence according to the Internal Verification Policy
- To countersign evidence as confirmation of verification
- To complete internal verification reports and summary sheets
- To measure feedback and ensure internal audit compliance and quality control is met
- To undertake training observations at least once per year
- To facilitate and attend quarterly reviews with all staff to seek feedback for development and implementation of material to support learners
- For regulated qualifications only, to maintain a CPD record and make this available to SQA's external Quality Assurance staff on request
- To contribute to the Centre's review of policies, procedures, learning and assessment material and resources
- To participate in any assessment appeal as indicated in the Centre Appeals Procedure
- To participate in any complaint as indicated in the Centre Complaints Procedure
- To attend and participate in any visits by SQA Quality Assurance staff, as required
- To be aware of the risk of malpractice and act according to the Centre procedure.
- The assessment of candidates with identified additional assessment requirements shall be monitored to ensure this meets the candidate's needs and complies with QA requirements



Internal Verifier

- Ensuring that assessments and assessment decisions are valid, reliable, practicable, fair and equitable.
- Maintaining internal quality assurance procedures
- Ensuring that delivery and assessment policies and procedures are available and adhered to
- Ensuring the consistent application of criteria and standards
- Providing support to Tutor /Assessors including identification of their development and training needs where appropriate
- Ensuring that Tutor /Assessors apply the appropriate assessment methods, standards and recording procedures
- Supporting Tutor /Assessors and identifying any additional training which may be required
- Ensuring that appropriate requirements in relation to appeals, complaints and equal opportunities are in place and are operational
- Liaising fully with the External Verifier (EV) appointed by the SQA, as required
- Providing the EV with any information required
- Identifying their own training and development needs
- Attending appropriate training events or workshops
- Producing a verification plan for each course as necessary
- Verifying each programme or course as appointed
- Sampling assessments and discussing the outcomes with the Tutor /Assessors
- Maintaining consistency of assessment practices
- Completing all programme/course documentation supplied by Scottish Swimming including assessment decisions and action plans
- Ensuring that candidate/learners are fully informed of the assessment process
- Attending Scottish Swimming standardisation meetings
- Ensuring that Scottish Swimming is operating in accordance with the Awarding Body requirements and regulations relating to assessment standards
- Providing Scottish Swimming with copies of all records and documentation as required



Lead Tutor / Assessor: Roles and Responsibilities

- Design and ongoing development of course material
- To ensure that all Assessors and Verifiers are aware of Safeguarding Measures and are aware of company policies regarding Equality and Diversity
- To provide feedback and support to Trainers, Internal Verifiers, Assessors and candidates, as required, in relation to course material
- To promote to learners the opportunity of undertaking the qualification
- To attend quarterly reviews with all staff and to seek feedback for development and implementation of material to support learners
- The assessment of candidates with identified additional assessment requirements shall be monitored to ensure this meets the candidate's needs and complies with QA requirements

Tutor / Assessor: Roles and Responsibilities

- To undertake candidate induction and ensure that correct paperwork is completed
- To support the candidate through the qualification
- To provide remediation and re-assessment for candidates where necessary
- To assess candidate evidence against the National standards.
- to record assessment decisions and provide feedback to candidates on submitted evidence
- To identify and support candidates who require assessment arrangements
- To discuss candidate assessment arrangements with colleagues to ensure a standardised approach
- To attend and participate in Standardisation Meetings
- For regulated qualifications, to maintain a CPD record and make this available to SQA's External Quality Assurance staff on request
- To contribute to the centre's review of policies, procedures, learning and assessment material and resources
- To participate in any Assessment Appeal, as indicated in the centre appeals procedure
- To participate in any complaint as indicated in the centre complaints procedure
- To attend and participate in any visits by SQA Quality Assurance staff, as required
- To be aware of the risk of malpractice and act according to the centre procedure.



Candidate / Learner: Roles and Responsibilities

- To attend planned meetings with Assessor and to bring updated Portfolio
- To ensure all contact information is kept up-to-date and to notify your Assessor of any changes
- To notify the Assessor in advance if unable to meet agreed timescales or to attend meetings
- To commit to training and studying
- To respond positively to advice and support from your Assessor
- To ensure that all evidence provided to the Assessor is your own work

Section 23 Data Management

Scottish Swimming Education Data Management Policy

Accurate data is sought from candidates at induction through completion of Centre 'Candidate Registration form.

Candidate will then be entered for the award on SQA Connect and once this process is complete the form information will be filed and stored electronically.

If candidate marries/changes address or a candidate is withdrawn assessor will ensure that a 'Change of Candidate details' form is completed which the assessor will pass securely to the Centre Contact for processing. The Centre Contact will update SQA via SQA Connect to ensure that information held is accurate.

Any queries regarding the information supplied should be clarified prior to any information being entered onto the data base.

If candidate is not going to complete the qualification by the expected completion date, a new completion date will be entered on SQA Connect.

Candidates not yet certificated will be checked with SQA to ensure that the results are not being blocked by the outstanding results of other Centre or College.

Monthly Navigator reports are run to identify candidate status.

A current list of candidates undertaking assessment and other records related to the centre will be kept electronically and password-protected. This is securely stored on the OneFile system.

Completions:

Once a candidate has completed the following process must be followed:

1. Tutors / Assessors contact the SQA Co-ordinator via email / OneFile message to confirm final candidate completion
2. SQA Co-ordinator completes a final check of all candidate OneFile assessments, units and core skills achieved and electronic Candidate Registration Form. The Candidate Registration form must include the candidate home address details so that all information is accurate for SQA certification
3. The candidate is then resulted for core skills and units and group awards on SQA Connect

All paper-based records of the Centre will be scanned and stored electronically in a secure password protected / restricted folder for a period of 12 months following completion of the group award.

The Centre operates in line with GDPR.



Section 24 Complaints

Overview - Procedure for Making a Complaint Against a Tutor

This procedure relates to aspects connected to the delivery of a course leading to a Scottish Swimming certificate. The procedure for an appeal against the assessment decision can be found in the appeals procedure.

Complaints dealt with under this procedure will relate to all aspects of delivery and will include areas such as:

- Ineffective delivery by the tutor
- Omission in respect of the syllabus to be covered
- Inappropriate activities by the tutor including any behaviour which may cause
- Concern or offence
- Irregularities in the way in which the course is delivered or assessed.

Complaints may be made during a course or at the end. In the case of the latter this must be received by the course organiser and copied to Scottish Swimming within 28 days of the completion of the course. Complaints received after this date will not be acknowledged.

Details of the complaint – i.e. its nature, persons involved and dates of discussion and meeting – will be recorded as evidence that a complaint has been processed. Records must be retained for a period of 3 years or 5 years. 5 years applies where any criminal proceedings are involved.

Introduction

The object of the complaints policy set out below is to provide a means for dealing promptly with any complaint which you may have in the course of dealing with the centre.

We are committed to providing a high-quality service to all. When something goes wrong, we need you to tell us about it. This will help us to improve our standards.

If you have a complaint, in the first instance please speak to your course organiser. Your course organiser will make a record of your complaint including any action and outcome. If, however, you feel you cannot speak to the course organiser or are not satisfied with the response or outcome you should put your complaint in writing to the Scottish Swimming Education department.

STAGE 1

Complaints should be addressed to the course organiser and should be made in writing stating clearly the nature of the complaint. The letter should be dated and signed and a copy sent to the Education department at Scottish Swimming.

If the course organiser is also the tutor then the complaint should be sent direct to the Education department, again this should be made in writing stating clearly the nature of the complaint.

STAGE 2

The course organiser is required to respond to the complaint within 14 working days from receipt of the complaint. The letter should be dated and signed and a copy sent to the Education department at Scottish Swimming.



STAGE 3

We will then investigate your complaint. This will normally involve passing your complaint to our Director of Development or nominated member of the management team, who will review your complaint and speak to the member of staff who is your named contact.

STAGE 4

The Director of Development, or nominated person, will contact you to discuss and arrange a meeting if required to hopefully resolve your complaint. S/he will do this within 14 days of sending you the acknowledgement letter.

STAGE 5

Within 5 working days of the discussion / meeting, the Director of Development or nominated member of the management team will write to you to confirm what took place and any solutions s/he has agreed with you.

STAGE 6

If the complainant is not satisfied with the outcome of the complaint to the course organiser, the complainant then has 14 working days to forward to the Education department for consideration and response.

STAGE 7

If the complainant is not satisfied with the outcome of the complaint to Scottish Swimming the correspondence will be forwarded to the Chief Executive Officer for consideration and response by the Education department.

The Chief Executive Officer will be the final means of complaint within the Training Provider and will have 28 working days to consider the complaint.

The Chief Executive Officer will respond direct to the complainant in writing copying in the Education department.

STAGE 8

In the case of the matter in relation to Awarding body qualifications you will have the right to refer your complaint to them within 10 working days. SQA Accreditation or Ofqual Regulatory * Bodies will look at any appeal you may have if you still remain dissatisfied.



Sanctions

Scottish Swimming can impose the following sanctions:

1. Suspensions and fines may be imposed on tutors by Scottish Swimming.
2. Decisions taken by Scottish Swimming are mandatory on any tutor who finds themselves the subject of a complaint.
3. If a tutor has been suspended and is required go through the recertification/retraining process this must be carried out by the tutor prior to the new license period. Any tutor who is subject to suspension and does not take up the offer to recertificate/retrain within the current license period will not be eligible for a Scottish Swimming tutor License at a future date.
4. If a tutor has been suspended and goes through the recertification process as detailed in 3 above and then finds themselves the cause of a future complaint (and is found guilty) relating to the same the tutor will be automatically expelled from Scottish Swimming and this expulsion will be final.

Appeal by a Tutor Against a Decision Taken By Scottish Swimming

The procedure for an appeal against a decision taken by Scottish Swimming is through the Scottish Swimming Complaints Procedure which is detailed in R12.0 of the Company's Governance Documentation.

Please also see the Appeals Procedure.

*** Scottish Qualifications Authority**

The Optima Building
58 Robertson Street
Glasgow, G2 8DQ

Ofqual

Customer Relations

public.enquiries@ofqual.gov.uk



Procedure for a Complaint against the Training Provider (Scottish Swimming)

Complaints relating to the Training Provider functions are dealt with as follows:

Stage 1

Complaint received and acknowledged by the Workforce Development Manager.

Stage 2

Workforce Development Manager investigates complaint and provides the complainant with a formal written response.

Stage 3

If the response is accepted by the complainant the correspondence is retained on file for a period of 5 years.

Stage 4

If complainant does not accept the response from the Scottish Swimming Workforce Development Manager the complaint will be forwarded to the Director of Development for attention.

Stage 5

The Director of Development will investigate the complaint and provide a formal written response.

Stage 6

If the response is accepted by the complainant the correspondence is retained on file for a period of 6 years.

Stage 7

If the complainant does not accept the response from the Director of Development the complaint will be forwarded to the Chief Executive Officer. The Chief Executive Officer will be the final means of complaint within the Training Provider.

NB Any discrepancies in the response provided at any stage in the Training Provider process will be discussed by all parties as part of the complaints review process in order to clarify areas of apparent disagreement.

Section 24 Conflict of Interest

Scottish Swimming is a National Governing Body, which has a high level of standards and professionalism, with this it is essential that we ensure that we are open and transparent with regards to equity and fairness.

This policy will apply to all Scottish swimming workforce (**tutors, assessors, Internal verifiers & Invigilators*) delivering certificated courses.



Definition of Conflict of Interest

A conflict of interest is a situation where a member of the Scottish Swimming workforce has competing interests or loyalties. Examples of this may include:

- Where a member of the workforce works for or carries out work for Scottish Swimming who has friends or relatives taking SQA or Scottish Swimming qualifications, assessments or examinations
- Where a member of the workforce works for or carries out work for Scottish Swimming, but who may have personal interests (Paid or Unpaid) in another business which conflicts with the courses, examinations or assessments

It is important for all members of the workforce to be aware that from time to time that potential conflicts of interest may arise and this should be brought to the attention of Scottish swimming at the earliest possible point (this may occur prior to the course starting).

Responsibilities

Where there is potential or actual conflict of interests, it is important to document any issues clearly to Scottish Swimming Education Department (education@scottishswimming.com)

Scottish Swimming Education responsibilities

- To manage any potential conflict of interest within the courses that has been identified by a member of the workforce
- To ensure that the conflict of Interest policy is up to date and current
- To make decisions on appropriate action regarding potential or actual conflicts of interest
- To be responsible for deciding when and how matters are escalates relating to potential or actual conflicts of interest, once reported
- To retain records for 1 year following completion of the award.