SQA

Guidance on assessment of Scottish Vocational Qualifications (SVQs)

Contents

1   About this guide

This guide offers practical advice on how to begin to go about assessing your candidates for an SVQ. This advice is offered as examples of good practice — you may develop your own approaches to assessing your candidates which also work well. This guide also contains suggested recording documentation, which you may amend as appropriate.

Before assessing any candidate, you must read the Assessment Strategy produced by the standards-setting body for the SVQ. This is published on the SVQ subject page on SQA's website (**www.sqa.org.uk**).

The Assessment Strategy outlines the following requirements:

♦ the occupational expertise of assessors and verifiers
♦ a definition of simulation
♦ definition of the workplace
♦ information on a model of external quality control of assessment

2   About SVQs

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy. They are usually delivered in the workplace or in partnership with a college or other training provider. The qualifications have been designed by standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

Each standards-setting body is responsible for developing National Occupational Standards (NOS) which define *what* employees (or potential employees) must be able to do, *how well*, and *in what circumstances*, to show that they are competent in their work.

SVQs are a means of recognising the skills and knowledge people need in employment, ie job competence. Successful completion of an SVQ provides clear evidence that the candidate works to nationally-recognised occupational standards.

There are SVQs for nearly all occupations in Scotland, and they range from SVQ level 1 to level 5.

Some SVQs or SVQ Units are incorporated into other qualifications or programmes including Higher National Certificates and/or Diplomas and Modern Apprenticeships. SVQ Units can also be taken individually without the need to complete a full SVQ.

People will take SVQs for a variety of reasons including: to prove their job competence, personal development, and promotion.

How are SVQs structured?

An SVQ is made up of a number of National Occupational Standards (NOS), which are often referred to as Units. Each Unit defines one aspect of a job or work-role, and what it is to be competent in that aspect of the job. To be awarded a full SVQ, candidates must achieve each of the SVQ Units that make it up by demonstrating that they are competent in that aspect of the job.

The standards-setting body develops the NOS and determines the structure of an SVQ in consultation with employers, professional bodies, trade unions, education and voluntary organisations. The SVQ is broken down into a number of Units, which are identified as mandatory or optional. The mandatory section will consist of Units that employers consider to be crucial to the job role — meaning that all candidates doing the SVQ need to do them. The optional section provides candidates with an opportunity to choose Units that are most relevant to their specific job role.

How are standards defined?

The Units define the broad functions carried out in the sector, and are made up of a number of performance statements and Knowledge and Understanding statements.

The performance statements describe what the candidate has to do and how well they have to do it.

The Knowledge and Understanding statements describe what candidates must know and understand, and how this knowledge applies to their jobs.

Varying terminology may be used in different SVQs, depending on how the standard-setting body has defined the NOS, but all will be recognisable as either a performance statement or knowledge and understanding statement.

Explanation of SVQ levels

SVQ1   Competence involves the application of knowledge and skills in the performance of a range of varied work activities, most of which may be routine or predictable.

SVQ2   Competence involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. At this level, there will be activities, which are complex or non-routine and there is some individual responsibility and autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.

SVQ3   Competence involves the application of knowledge and skills in a broad range of varied work activities, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often present.

SVQ4   Competence involves the application of knowledge and skills in a broad range of complex technical or professional work activities, performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.

SVQ5   Competence involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal accountability.

3   SVQs and the SCQF

What is the Scottish Credit and Qualifications Framework (SCQF)?

The SCQF provides a national framework for qualifications in Scotland by bringing together all Scottish mainstream qualifications, including SVQs, into a single unified framework.

How does the SCQF work?

The SCQF uses two measures: the **level** of a qualification or learning programme (level 12 is the most challenging) and the **number of credit points** awarded (the size of the qualification).

Each SVQ that a standards-setting body develops has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared.

Individual SVQs sit at differing SCQF levels and have differing amounts of credit points, depending on the structure and context of the SVQ.

SVQ levels	Scottish Credit and Qualifications Framework (SCQF)
SVQ level 5	12
	11
	10
SVQ level 4	9
	8
SVQ level 3	7
	6
SVQ level 2	5
SVQ level 1	4
	3
	2
	1

The level of a qualification indicates the level of difficulty and the number of credit points indicates the typical length of time it takes to complete. One SCQF credit point represents an average of 10 notional hours of learning time.

Titling in SVQs

All new and re-accredited SVQs are assigned a level in the SCQF. 'Credit rating' is the term given to the process for the allocation of an SCQF level and the calculation of SCQF credit points.

All SCQF credit rating must be confirmed and approved by an authorised credit rating body for the SCQF. SQA Accreditation is an approved SCQF credit rating body, and is also the qualifications regulator for Scotland.

For those SVQs that have been credit rated and levelled, the titling convention is for example, 'SVQ 2 Customer Service SCQF level 5'.

The '2' is indicative of the current SVQ level. The word 'level' has been removed as it would be confusing to include references to both the SCQF level and the SVQ level in the qualification title.

For those SVQs that have not been allocated SCQF level and credit, the SVQ titling convention will remain unchanged, eg 'SVQ in Customer Service level 2', until such time as the SVQ is credit rated. Please note however, that in a small number of cases it has not proven possible to allocate an overall SCQF level to a full SVQ. In such circumstances the individual Units within the SVQ will have been allocated a level and credit value.

For further information on the SCQF go to **www.scqf.org.uk**.

For further information on credit rating, go to the Accreditation section of the SQA website **www.sqa.org.uk**.

4 Who is involved in SVQs?

There are several roles:

Candidate the person who wants to achieve the SVQ (eg an employee)

Assessor* the person who assesses the candidates and decides if they are competent (eg supervisor)

Internal verifier* an individual nominated by the centre (eg a company) who ensures that assessors apply the standards uniformly and consistently across all assessors (eg supervisor's line manager)

External Verifier* an individual appointed by SQA who ensures that standards are being applied uniformly and consistently across all centres offering the SVQ

*Assessors and verifiers in centres will be asked by SQA to prove they have the appropriate occupational competence to assess and verify the SVQ. Occupational competence will have been defined by the standards-setting body in the Assessment Strategy for each SVQ — see SQA's website: **www.sqa.org.uk**.

Assessors and verifiers are also expected to obtain an appropriate qualification in assessment and verification — this can be the Assessor/Verifier Units (the national standards for assessment and verification), or an alternative qualification that SQA recognises.

Your role as an assessor

Both you and the candidate should be clear on your roles in the assessment process before you begin. Your role follows these stages:

♦ plan for assessment
♦ ensure candidates understand what is to be assessed and how it is to be assessed
♦ ensure the conditions and resources required for assessment are available
♦ ensure candidates know how to identify and gather evidence
♦ observe and record candidates carrying out the activities described in the standards — records should say what has been observed, how it was carried out, and what it demonstrates
♦ assess products of the candidate's own work
♦ question candidates and record results
♦ help candidates to present evidence
♦ authenticate the evidence candidates provide
♦ judge evidence and make assessment decisions
♦ identify gaps or shortfalls in candidates' competence
♦ provide feedback to candidates throughout the assessment process
♦ record achievement

Candidates' role

♦ prepare for assessment — become familiar with the standards, what is to be assessed and how it is to be assessed
♦ carry out activities, and/or produce products of own work, and/or answer questions
♦ gather and present evidence
♦ receive and act on feedback from the assessor

5   Methods of assessment

Assessment may involve a range of assessment methods. For SVQs, some of the most commonly used methods are observation, product evidence, and questioning. Examples in the context of a typical Health and Safety Unit are provided.

Observation

Observation by an assessor is considered to be the most valid and reliable method of assessment. It can be organised in a variety of ways:

♦ working alongside the candidate
♦ arranging to visit when naturally-occurring activities are carried out by the candidate
♦ arranging for activities to take place

Observation by the assessor can often be supplemented by other types of assessment methods such as questioning. For example, it may be appropriate to ask oral questions of candidates as they carry out naturally-occurring activities.

Example

Observation can be used for assessment in a variety of ways, such as:

♦ Assessor could observe the candidate undertaking a formal Health and Safety risk assessment of the work environment. The assessor can note if the candidate 'misses' any key factors to support performance and Knowledge and Understanding statements and can also use question and answer techniques alongside this observation to see what the candidate did/did not notice.
♦ Assessor could observe the candidate presenting the plan resulting from the findings of the review to the responsible people. The structure and the clarity of this presentation would be important for the assessor to observe.

Product evidence

As candidates work towards achieving the SVQ, they will produce evidence in the form of products of their work. The nature of this evidence can vary widely depending on what the candidate's job entails, but examples of product evidence include:

Example

♦ Plan of areas to be inspected and potential hazards to look for
♦ Presentation to senior management team
♦ Risk assessment report for senior management team

Questioning

Candidates have to show that they can meet the knowledge statements for the SVQs. Much of a candidate's knowledge and understanding will be apparent from what they do or produce as part of their work, but this will not always be the case, and questioning can be a useful way of confirming what candidates know and understand.

Questions can be asked in a variety of forms, such as oral questions, short answer written questions, and multiple-choice.

You should be careful that the method of questioning does not go beyond the competence required for the SVQ and become a barrier to fair assessment. For example, some candidates will feel more comfortable with oral questions than written.

Example of oral questioning

Q Whilst observing you undertaking your review of the workplace, I noticed you referenced a trip hazard as a potential problem. Could you explain how you would go about controlling the risk?

A I would talk to the staff about both short and long-term solutions to the problem, asking them why the trip hazard is there in the first place. If it needs to stay there, then in the short-term they need to look at adequate signage, but in the long-term there needs to be a solution that removes the trip hazard, this may involve moving equipment, adding extra plug sockets, etc.

Q Having completed your review, how adequate do you consider current control measures to be and how effectively are they being applied?

A I'd say that on the whole, existing control measures throughout the workplace are adequate and staff are following them as required. I found examples of good practice in some areas and also identified areas of current practice which could be improved upon.

Other methods of assessment

These methods, like questioning, are often used for authentication. See Section 8 for more about authenticating candidates' evidence.

Professional discussion

Professional discussion is a structured and recorded talk between the candidate and the assessor. The objective of the discussion is to allow the candidate to present evidence of competence to you, and to demonstrate skills, knowledge and understanding by discussing the evidence they have presented and showing how it relates to the standards. It is seen as a more holistic approach than straight question and answer.

Your role is to guide the discussion by using open questioning, active listening and knowledge of the standards so that the discussion stays focused on the competences and the knowledge being explored.

This is not an easy alternative to questioning — it requires careful planning to stay focused. It can be successful only when both assessor and candidate have a good knowledge of the standards. It is most appropriate when the level and scope of the work activities is complex and when the underpinning knowledge required to do the range of activities competently is interrelated.

As a method of assessment it lends itself to audio or video recording, but can be recorded by paper-based methods.

Personal statements (or 'reflective accounts')

You might sometimes find it helpful to ask a candidate to give an account of why they did an activity in a certain way or how they produced a product of their work. This is often referred to as a *personal statement*. You should take care to ensure that by asking candidates to produce such statements, you are not asking them to demonstrate competence beyond what is required by the standards. You should also be selective in the use of personal statements, and make sure they have not been produced as a substitute to a more valid, reliable and practical method of assessment.

Example

A personal statement could be used as an opportunity for the candidate to say how helpful their research was in helping them prepare to carry out a formal Health and Safety risk assessment in their workplace. The candidate could be asked to explain how their research contributed towards their plan of areas to be inspected and potential hazards to look for. Similarly, following the formal risk assessment, a personal statement could provide evidence of a candidate's knowledge and understanding for example, explaining how recommendations for change/ improvement of current control methods were derived.

Witness testimony

For practical reasons, you may not be able to observe all the activities carried out by your candidates, but might feel that other people may be able to provide a statement on what your candidates have been doing or producing as part of their work. Statements of this kind are called *witness testimony*, and are often used to support other evidence produced by candidates. If witness testimony is used, you should, ideally, identify potential witnesses and opportunities for using their testimony as part of assessment planning.

You should bear in mind that the weight of the evidence will vary, depending on the knowledge and expertise of the witness. You will have to take these factors into account as you make your judgement.

Strongest   Someone with considerable occupational expertise in the candidate's
area of work and who is familiar with the standards. This person may
also be an assessor or internal verifier qualified with the Assessor/Verifier
Units.

Someone with considerable occupational expertise in the candidate's
area of work and who is familiar with the standards.

Someone with considerable occupational expertise in the candidate's
area of work, but with no knowledge of the standards.

Someone who may be a colleague of the candidate, but with no
knowledge of the standards.

Weakest   Someone with no or little knowledge of the candidate's work or no
knowledge of the standards.

Witness testimony is unlikely to be sufficient in itself for a decision about the
candidate's competence, and would normally be supplemented by questioning
candidates.

Simulation

Simulation is any structured assessment exercise involving a specific task which
reproduces real-life situations.

On some occasions, it may not be practical to assess a candidate in real work.
Examples might be where the standards require candidates to carry out emergency
or contingency procedures, or where client confidentiality is an issue, or where a
candidate's job role does not cover all aspects of the qualification.

The Assessment Strategy produced by the standards-setting body will define what it
regards as simulation, and will specify the standards where simulation is and is not
acceptable. The standards will also state when candidates must demonstrate
competence in the workplace.

For more details on simulation and what constitutes performance in the workplace,
look at the Assessment Strategy for the qualification being assessed on the SVQ
subject qualification page on SQA's website: **www.sqa.org.uk**.

Other sources of evidence

Other sources of evidence can be previous experience or learning, case studies or
assignments. SQA's *Guide to Assessment* has more advice on methods of
assessment and how to ensure that your assessment is valid, reliable and
practicable.

Selecting methods of assessment

The methods of assessment you use should be valid, reliable and practicable.

♦ By *valid* we mean that the assessment method should be appropriate to the standards.
♦ By *reliable* we mean that the assessment method should ensure consistent results when used with different candidates, different assessors and on different occasions.
♦ By *practicable* we mean that the method ensures that the assessment makes best use of available resources, equipment and time.

Before you assess a candidate, you must make sure that the methods of assessment you have chosen to use, along with any assessment materials (such as questions and sample answers) have been agreed within your centre through its system of internal quality assurance. This system is often called *internal verification* — its purpose is to help to ensure that assessment methods are valid, reliable and practicable.

The benefits of assessing in the workplace might be:

♦ assessment can take place at a time and location suitable to the candidate
♦ assessment can accommodate the candidate's pace of learning

The challenges might be:

♦ finding suitable times for assessment to take place, especially if the assessor is based at a different site from the candidate
♦ meeting the needs of candidates for assessment whilst maintaining client confidentiality
♦ identifying appropriate witness testimony where evidence from assessor observation is not available

---

Example

You could agree with a candidate working in an engineering firm who has to ensure that relevant information and advice on health and safety is provided in a timely way, that this will be carried out by **observation** when situations arise. If you are an assessor who is working alongside the candidate you should be well placed to observe the candidate's performance, perhaps using a prepared checklist, and to question the candidate about the situation afterwards.

Filling the gaps

There may come a time when your candidate has provided evidence for most of the Unit (or SVQ), but there are some gaps. For example, you may find that certain situations, such as handling contingencies, have not arisen during assessment. Often these will relate to dealing with health and safety issues, or unexpected problems with workflow like delays in receiving information from another part of the organisation.

You may be able to overcome these through 'what if' questions either by questioning or professional discussion. You might also want to consider extending the time period for the overall completion of the Unit, so that the candidate has adequate time to provide relevant information and advice when it is needed. If acceptable, evidence may be gathered through simulation or opportunities to take on different roles within the organisation.

Guidance and support to candidates

At all times during the assessment process — from planning through to making your assessment decision — feedback should be ongoing, clear and constructive. Feedback should be given against the Units by relating it to the evidence provided, including the knowledge specifications.

Where there are any shortfalls in a candidate's competence, you should discuss these with your candidate and make plans for re-assessment.

6   Planning for assessment

One of the first things to do is to find out why your candidates want to do the SVQ, and to advise them of the appropriateness of the qualification. They need advice to ensure that their existing job remit, skills, experience, and their plans for progression, are matched to the SVQ they have selected. It does not have to be you as the assessor, who carries out the matching process, but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

In planning for assessment, you will find it helpful to meet with your candidate and plan what is to be assessed, in what way, and when and where the assessment is to take place. This discussion can be confirmed in the form of an agreed assessment plan between you and your candidate.

You should treat assessment plans as working documents — they can be updated and changed as you review progress with your candidate.

As you are planning assessment, don't forget to make the most of opportunities to *integrate* assessment. This means planning to assess an activity which draws on the contents of different Units, in full or in part. It can be a practical and cost-effective way of assessing your candidate's competence.

If you are a new assessor working towards your Assessor/Verifier Units (the national standards in assessment and verification) you will need copies of completed assessment plans as part of your evidence.

To help you and your candidates plan for assessment, we have produced an example of an assessment plan which covers a typical health and safety Unit. It is included as guidance only. Examples relevant to this Unit are used throughout the rest of this guidance.

Producing an assessment plan will help focus the discussion with your candidate around possible sources of evidence and assessment methods.

You will notice that we have included spaces to enter dates when the assessment plan has been reviewed. Any gaps identified during these reviews should be discussed with your candidates and noted for action in the assessment plan.

Extract from an SVQ Unit

Unit number: H2RN 04

Unit title: Promote, monitor and maintain health, safety and security

Unit overview:

It is the responsibility of all individuals, in all working contexts, to operate to certain standards of health, safety and security. This standard covers the key activities that are required to prevent (as far as possible) any accidents, health problems or emergencies from occurring and to promote good health, safety and security practice.

An important aspect of this standard is risk assessment. You will be able to conduct a risk assessment prior to work activities, and to take action to minimise the potential risks to yourself and others within the workplace. Work activities must adhere to health and safety codes of practice and relevant legislation.

Performance statements set out the standard of performance you need to demonstrate consistently to claim competence.

Performance statement

You must be able to:

P1   carry out a formal risk assessment for work activities as required by legislation
P2   identify the hazards, evaluate the risks and implement suitable control measures
P3   where existing control measures are in place ensure that they are adequate and applied
P4   communicate the findings of the risk assessment to those at risk and promote good health and safety practice

The **knowledge and understanding** requirements state what you must know and understand, and how this applies to your job.

Knowledge and Understanding

You need to know and understand:

K1   the difference between 'hazard' and 'risk' and how to carry out a risk assessment
K2   the hierarchy of measures to control risks (including elimination, substitution, relevant engineering controls, safe systems of work, training/instruction and Personal Protective Equipment (PPE)
K3   how to communicate the findings of the risk assessment and health and safety precautions to those at risk
K4   relevant health and safety legislation and the standards of protection to be achieved

Assessment plan

Unit title	Promote, monitor and maintain health, safety and security					
Activities	**Performance/ Knowledge and Understanding Statement**	**Method of assessment/sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units**
Visit the HSE website for practical guidance on what a risk assessment is and how to go about it.	P1, K1, K2, K4	Review documentation (product evidence) Personal statement	By 08/01/13 By 17/01/13		
Walk around the workplace and look at what could reasonably be expected to cause harm.	P1 and 2, K1 and K2	Observation	By 20/01/13		
Ask employees for their thoughts on potential hazards.	P1 and 2	Observation	By 20/01/13		
Check manufacturers' instructions or data sheets for chemicals and equipment to determine potential hazards and any counter measures.	P1 and 2	Observation	By 20/01/13		
		Informal review to chat through how things are progressing and discuss any issues or concerns	10/02/13		
Read through the company's accident and ill-health records to identify hazards that have occurred and frequency.	P1 and 2	Review documentation (product evidence)	By 25/02/13		

Unit title	Promote, monitor and maintain health, safety and security				
Activities	**Performance/ Knowledge and Understanding Statement**	**Method of assessment/sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units**
Evaluate findings.	P1 and P2	Question and Answer (second review)	By 05/03/13		
Identify and implement control measures.	P1 and P2	Review documentation (product evidence) Witness testimony	By 10/03/13 By 10/03/13		
Identify, source and review current company policy, documentation and procedures to determine what existing control measures are in place.	P3	Review documentation (product evidence)	By 15/03/13		
Check how well the existing control measures are applied by employees through observation of working practice, visibility of health and safety notices, etc.	P3	Review of documentation (product evidence)	By 20/01/13		
Check existing control measures are adequate by comparing them with examples of good practice identified on HSE's website.	P3, K4	Review of documentation (product evidence)	By 20/03/13		
Identify any additional precautionary measures that should be applied to bring control measures up to current standard.	P3	Review of documentation (product evidence)	By 20/03/13		

Unit title	Promote, monitor and maintain health, safety and security					
Activities		**Performance/ Knowledge and Understanding Statement**	**Method of assessment/sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units**
Produce a report that records details of the hazards identified, adequacy of existing control measures and recommendations for updating existing control measures to meet current standards and new control measures to be introduced.		P4	Review of documentation (product evidence)	By 23/03/13		
Communicate Health and Safety control measures through staff presentations, handbooks, procedures and signage.		P4, K3	Review of documentation (product evidence)	By 31/03/13		

Assessor's signature   _Peter Hoskins_   **1st review due**   _10/02/13_

Candidate's signature   _Paul Lee_   **2nd review due**   _05/03/13_

Date of agreement   05/01/13   **Date of completion**   01/04/13

7 Generating and collecting evidence

The methods of assessment you use should generate sufficient evidence to demonstrate the candidate's competence.

We described earlier the circumstances in which you might choose to use different methods of assessment. Starting on the next page, this section gives you examples of forms which you can use to record and present evidence of:

♦ observation (by the assessor)
♦ questions and candidate responses
♦ personal statement (produced by the candidate)
♦ witness testimony

These forms can be amended/incorporated into other materials.

Observation

For observation, note that the form asks you to record the skills and activities observed. This helps you to make a judgement on how the activity was carried out and what it demonstrates.

Observation record

Unit title	Promote, monitor and maintain health, safety and security
Candidate's name	Paul Lee
Evidence index number	3
Date of observation	19/01/13

Skills/activities observed

Prior to carrying out the risk assessment, Paul prepared a plan detailing the areas of the organisation to be inspected and potential hazards to look for. This approach proved very successful as it helped him focus on what to look for in terms of hazard, risk and control measures either currently in place or that should be implemented.

Throughout the risk assessment, Paul spoke with several members of staff to gather their understanding of health and safety in general and any potential hazards they considered to be present. He then asked if they had any ideas on how they could be avoided which seemed to promote a greater interest by staff on what Paul was doing and why.

Paul always concluded his discussion with staff by asking them if they knew where information on health and safety relating specifically to the organisation was located. Paul made comprehensive notes during the review including a note of all chemicals used in the organisation and the manufacturers' instructions on precautions and counter measures.

Knowledge and understanding apparent from this observation

Current level of understanding and support for health and safety instructions and procedures

It is clear from the plan that Paul produced prior to carrying out the risk assessment that he has a good knowledge and understanding of the importance of health and safety and how to go about carrying out a risk assessment.

Communication strategies in respect of health and safety

Through discussions with employees during his review Paul was able to identify the current level of understanding and support for health and safety within the organisation and how accessible information is to employees. The information gained from these discussions will make a valuable contribution to his report.

Performance/Knowledge and Understanding statements covered

P1, 2 and 3, K1, 2

Other Units to which this evidence may contribute

Assessor's comments and feedback to candidate

The research and preparation you undertook beforehand enabled you to carry out a very thorough risk assessment and gather invaluable evidence that will help support any recommended actions you consider will be beneficial to the organisation.

Well done.

I can confirm the candidate's performance was satisfactory.

Assessor's signature   *Peter Hoskins*   **Date**   *19/01/13*

Candidate's signature   *Paul Lee*   **Date**   *19/01/13*

Questions and candidate responses

This form can be used to record any questions you might ask the candidate to establish what they know and understand. You should note the candidate's responses on this form too.

Note that there is a space near the top of the form for you to record when, where, how and why you asked the questions.

Where you want to give the candidate written questions, this form could also be used.

Record of questions and candidate's answers

Unit title	Promote, monitor and maintain health, safety and security
Evidence index number	4

First review session with candidate.

(Considering Performance/Knowledge and Understanding statements: P1, 2 and 3, K1, 2, 3 and 4

List of questions and candidate's responses	
Q	Can you explain the difference between a hazard and a risk?
A	Hazard — anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer. Risk — the chance, high or low, that somebody could be harmed by these and other hazards and how series the harm could be.
Q	Can you outline the hierarchy of measures to control risk?
A	The hierarchy of control is a sequence of options which offer you a number of ways to approach the control of hazards. You begin by working your way down the list, and implement the best measure possible for your situation. **Eliminate the hazard** ♦ if possible, remove the cause or source of the noise, by eliminating the machine, task or work process. If this is not practical, then: **Substitute the hazard with a lesser risk** ♦ use a less-noisy machine for the task, or introduce a less-noisy work process. If this is not practical, then: **Isolate the hazard** ♦ separate the noisy process or equipment from the workers by relocation or by changing the hours of operation so that the noisy task is carried out when the majority of workers are not in the vicinity.

	List of questions and candidate's responses
	If this is not practical, then: **Use engineering controls** ♦ introduce enclosures and barriers around the noise source or between the source and the workers to modify the sound pathways and dampen the source of the noise. ♦ improve maintenance procedures to ensure the effectiveness of sound damping and muffling equipment. If this is not practical, then: **Use administrative controls** ♦ use strategies such as rest breaks, pause exercises and job rotation. ♦ establish hearing protection zones and use signage to warn workers of noise risks. If this is not practical, then: **Use personal protective equipment** ♦ provide protective equipment appropriate to the risk. ♦ provide training information and supervision to ensure that personal hearing protection is fitted, used and maintained appropriately.
Q	Now you have completed your risk assessment, how will you ensure that those at risk are aware of the findings?
A	The results of my findings and any recommendations I make have to be approved by senior management in the first instance. If approved, my intention for communicating changes to staff is through a series of presentations. Working with relevant colleagues to update the staff handbook, departmental procedures and signage throughout the organisation.
Q	Tell me about the health and safety legislation that applies to your organisation.
A	Section 3 (i) of the Health and Safety at Work Act 1974 which states that: 'It shall be the duty of every employer to conduct his undertaking in such a way as to ensure, so far as is reasonably practicable, that persons not in his employment who may be affected are not thereby exposed to risks to their health or safety.'

List of questions and candidate's responses	
Q	What standards of protection must be achieved in your organisation?
A	Management of Health and Safety at Work (Amendment) Regulations 2006
	Health and Safety (Display Screen Equipment) Regulations 1992
	Health and Safety (First Aid) Regulations 1981 — **Note** Changes are expected to come into force on 1st October, 2013 (subject to Parliamentary agreement).
	Reporting of Injuries, Diseases and Dangerous Occurrences (Amendment) 2012 — (RIDDOR)
	Workplace (Health, Safety and Welfare) Regulations 1992
	Manual Handling Operations Regulations 1992 (As Amended)
	Although not strictly under Health and Safety Regs the Fire Safety (Scotland) Regulations 2006 does affect us greatly.

Assessor's signature   *Peter Hoskins*   **Date**   *16/03/13*

Candidate's signature   *Paul Lee*   **Date**   *16/03/13*

Candidate's personal statement (reflective account)

If a personal statement is being used as evidence, it should be completed by the candidate. The statement should record what they did, how and why they chose to carry out an activity or produce work in a certain way. Where other people may have been present during an activity and they may be able to provide witness testimony, the candidate should record how the statement links to other evidence in the column provided.

Personal statement

Evidence index number	Details of statement	Performance/ Knowledge and Understanding statements covered
2	I was dreading doing this Unit as the idea of carrying out a risk assessment of my workplace sounded really boring. However, I actually found it really interesting as it has made me aware of the importance of health and safety and how lucky we are to have such legislation in place as it protects the workforce. Not following the legislative requirements could result in an employee being needlessly injured or killed and the organisation being sued. I found the information on the HSE website really helpful and very easy to read. Until I started this Unit I had always thought of health and safety as being about hazardous substances, electrical/gas appliances and stuff like that. I never realised that health and safety covers things such as use of VDUs, repetitive strain, stress, etc. Everyone has a legal and moral duty for ensuring the safety and well-being of employees and visitors. The Chief Executive has overall responsibility for the provision and maintenance of standards necessary to achieve compliance. As a manager, I have to be aware of the rules and regulations with regard to health and safety and know what the procedures are in the event of an accident or injury occurring in my area of responsibility and also what is available to staff to prevent any injuries. All employees have a responsibility to make themselves familiar with, and comply with any control procedures in place; bring to the knowledge of his/her line manager any process, situation or other circumstances which in their opinion constitutes a hazard; take reasonable care for the health and safety of themselves and others who may be affected by their acts or omissions.	P1 and 2, K1, K4

Evidence index number	Details of statement	Performance/ Knowledge and Understanding statements covered
	The HSE website had a really helpful leaflet that explained, in simple language, what a risk assessment is and how to go about assessing the risks in the workplace. I really appreciated the definition on what is meant by a hazard (anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer) and what is meant by the risk (the chance, high or low, that somebody could be harmed by these and other hazards and how series the harm could be). The leaflet provided information on the five steps to follow when carrying out a risk assessment: 1 Identify the hazards 2 Decide who might be harmed and how 3 Evaluate the risks and decide on precautions 4 Record your findings and implement them 5 Review your risk assessment and update if necessary Having read the information in this leaflet I now feel I have the necessary knowledge and understanding of what a risk assessment is and how to go about it. I have gone from dreading doing this Unit to cannot wait to get started!!	

Candidate's signature *Paul Lee* **Date** *13/01/13*

Witness testimony

Remember when you begin to use witness testimony that it must be capable of being authenticated — even if the testimony itself is being used to authenticate a candidate's claim to competence.

To make sure the witness testimony is genuine, you must ensure that you have a record of who is acting as a witness, their contact details and their relationship to the candidate (eg supervisor, client) address.

Witness testimony

Qualification title	Promote, monitor and maintain health, safety and security
Candidate's name	Paul Lee
Performance/Knowledge and Understanding statements covered	
Evidence index no	5
Date of evidence	18/02/13
Name of witness	Dave Mulvaney (on behalf of senior management team)
Address of witness	SQA The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ
Telephone number of witness	0141–666 9999
Designation/relationship to candidate	Senior manager responsible for health and safety, line manager of Paul Lee

Details of testimony

Paul delivered a very interesting and informative presentation to senior management today about the risk assessment he carried out in January this year.

He began by explaining what a risk assessment is and what is meant by a hazard, risk and control measures. He then handed us a blank risk assessment template he had produced. He then put a picture of our general office up on the screen and asked us to see whether we could see any hazards. This prompted a very interesting discussion as some hazards are much more obvious than others.

Having identified the hazards, Paul then asked us to consider who might be harmed and how? Again, this prompted good discussion as it encouraged us to think about the consequences of what could happen to the individual and the organisation.

Paul then put up a slide detailing the control measures currently in place which was good to see. He then asked us to think about if there was anything more we could do. Initially we thought we had it well covered however, Paul then suggested a couple of things which got us all thinking and before we knew it the original list had almost doubled which was a surprise to us all.

Paul then presented us with a report of his risk assessment findings which included:

♦ a completed risk assessment template for all areas of the organisation
♦ an action plan detailing recommendations for improvement, who would do them and when
♦ a proposed communication strategy to employees.

After reading through the report and discussing some aspects with Paul, all members of the senior management team agreed with most of Paul's recommendations and requested he implement them as soon as possible.

I can confirm the candidate's performance was satisfactory.

Witness's signature *Dave Mulvaney*   **Date** *24/02/13*

Witness (please select the appropriate box)**:**

☒ Holds appropriate qualifications and/or experience

☒ Is familiar with the Units to which the candidate is working

8 Judging candidate evidence and making an assessment decision

In judging candidate evidence, you must be satisfied that your candidates can work to the required standard, and that the evidence they have produced is their own. You must consider whether your candidate understands and applies the knowledge evidence and how this links to performance evidence.

Evidence must:

♦ be relevant to the SVQ
♦ be current, valid, authentic and sufficient

Assessments must be:

♦ valid, fair, reliable and safe
♦ made against specified criteria

Insufficient evidence

You have to judge whether the candidate has produced enough evidence required by the standards for you to reach a decision about their evidence.

Where there is insufficient evidence, you should say this to your candidate. You should tell them that it is not that they are not yet competent — there is simply not enough evidence on which to make a decision.

In this situation, your feedback to your candidates must help them produce more evidence and/or plan for further assessment.

Authenticating candidates' evidence

Authentication is required where you have not observed candidates' performance at first hand.

You can check whether a candidate has produced evidence which they claim shows their competence by questioning them or, if this is appropriate, asking them to produce a personal statement, using witness testimony, or seeking peer reports from other colleagues of the candidate.

The candidate's portfolio should contain a declaration that confirms that the content of their portfolio is their own work.

9 Recording achievement

You should retain all evidence — clearly referenced — for internal and external verification.

The candidate's evidence is normally kept in a file, often called a *portfolio*. These documents help you and your candidates to collect, present and cross-reference the evidence to the national standards. They are also a means of recording your assessment decisions, and they tell an External Verifier what stage a candidate has reached in achieving the SVQ.

Recording documents do not need to be paper-based — it is possible to use an electronic format for collecting and structuring the evidence. Whatever format you and your candidates choose to use, the documents must show what evidence was generated, the assessment decisions you made, how the evidence meets the standards, and where the evidence can be located. You should avoid photocopying items simply to put them in a portfolio — a clear explanation of where the evidence can be found (for example, in a filing cabinet) may be sufficient for the External Verifier to follow it up and include it in the visit.

There are various reasons why record-keeping is so important:

♦ it provides a way of tracking a candidate's progress in achieving an SVQ
♦ it helps candidates to make claims for certification of their competence
♦ internal verifiers and External Verifiers use the records to sample assessment decisions
♦ it helps us to monitor the quality assurance of our qualifications

If your candidates' evidence is incomplete, or cannot be located, or if there is inaccurate cross-referencing to the standards, there is a risk that an internal verifier or External Verifier will be unable to confirm your assessment decisions.

To help you and your candidate present evidence and record your assessment decision, we have provided examples of the forms which you and your candidate might use to compile the portfolio.

♦ Using the evidence index
♦ Completing the Unit progress record
♦ Completing the achievement record

These forms are also used in SQA's portfolio.

Completing the Unit progress record

You should complete this form each time your candidate achieves a Unit from the SVQ by adding your signature and the date next to the relevant Unit.

At this stage, candidates should make sure they have completed the recording documents correctly and that their evidence can be easily located. Only then should they circle the relevant Unit number at the top of the form. This enables both of you to see at a glance what stage the candidate is at in their SVQ.

Scottish Vocational Qualifications (SVQ)

Unit progress record

Qualification and level

Candidate's name   Paul Lee

To achieve the whole qualification, you must prove competence in insert No of mandatory Units mandatory Units and insert No of optional Units optional Units.

Unit Checklist

Mandatory	H2RN 04							
Optional								

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
H2RN 04	Promote, monitor and maintain health, safety and security	*Peter Hoskins*	*01/04/13*

Optional Units achieved

Unit number	Title	Assessor's signature	Date

Using the index of evidence

The purpose of the index of evidence is to help you locate and work through the candidate's evidence. It should give you a summary of what evidence the candidate has collected, and where (eg in a portfolio) it can be found.

The index of evidence should be completed by entering:

♦ the index number for each piece of evidence
♦ a description of each piece of evidence
♦ the place or location where it can be found
♦ the initials of the internal verifier and the date (if they have sampled the candidate's evidence)

Ideally, it should be candidates themselves (with your support and encouragement) who complete the index.

You must make sure that the information in the evidence index is accurate when your candidates' portfolios are presented for assessment and verification — particularly the information about where the evidence can be located. This is important because we suggest that anything which has been produced as day-to-day work is kept in its normal location, but anything which has been produced through assessment for the SVQ, eg observation checklists, is filed in the candidate's portfolio. In this way, your candidate can avoid having to photocopy work products just for the sake of including them in a portfolio. It also means that evidence produced as a result of assessment is kept safely in a central file.

If the index of evidence is not completed with an accurate description and location of the evidence, there is a risk that an internal verifier or External Verifier might be unable to confirm your assessment decisions.

Index of evidence

Qualification title and level			
Evidence number	**Description of evidence**	**Included in portfolio (Yes/No) If No, state location**	**Sampled by the IV (initials and date)**
1	Plan of areas to be inspected and potential hazards to look for	Yes — Section 1, page 1	SM — 04/04/13
2	Personal statement reflecting on the importance and benefit of promoting a culture of health and safety within the organisation	Yes — Section 1, page 2	SM — 04/04/13
3	Observation record of workplace review	Yes — Section 1, page 3	SM – 04/04/13
4	Record of questions and answers	Yes — Section 1, page 4	SM — 04/04/13
5	Witness testimony of responsible people	Yes — Section 1, page 5	SM — 04/04/13
6	Presentation to senior management team	Yes — Section 1, page 6	SM — 04/04/13
7	Risk assessment report for senior management team	Yes — Section 1, page 7	SM — 04/04/13

Completing the Achievement Record

To help you and your candidates cross-reference the evidence to the standards of the SVQs, we have provided records similar to those produced in the SQA portfolio. Use one record for each Unit. The grids should be completed by:

♦ entering the evidence index number in the first column
♦ giving a brief description of the evidence in the second
♦ ticking the relevant boxes for the Performance statements
♦ entering the areas of knowledge and understanding the piece of evidence covers

If integrated assessment is used (linking performance or Knowledge and Understanding statements across different Units) the evidence should be cross-referenced back to the relevant Units.

We have provided a completed example to show how to use the record.

Achievement Record

Unit title   Promote, monitor and maintain health, safety and security

Evidence Index No	Description of Evidence	Performance/Knowledge and Understanding statements covered							
		P1	**P2**	**P3**	**P4**	**K1**	**K2**	**K3**	**K4**
1	Plan of areas to be inspected and potential hazards to look for	✓	✓	✓		✓			
2	Personal statement reflecting on carrying out a risk assessment	✓	✓			✓			
3	Observation record of workplace review	✓	✓			✓	✓		
4	Record of questions and answers	✓	✓	✓		✓	✓	✓	✓
5	Witness testimony from Dave Mulvaney (on behalf of senior management team)	✓	✓	✓	✓	✓			✓
6	Presentation to senior management team	✓	✓	✓	✓	✓		✓	
7	Risk assessment report for senior management team	✓	✓	✓	✓	✓	✓	✓	✓

Assessor's notes/comments
Paul has worked conscientiously on this Unit and produced some very good evidence that will benefit both himself and the organisation.

The candidate has satisfied the assessor and internal verifier that the performance evidence has been met.

Candidate's signature *Paul Lee* **Date** *04/04/13*

Assessor's signature *Peter Hoskins* **Date** *04/04/13*

Internal verifier's signature *Sharon Moore* **Date** *04/04/13*

10 Further information

The publications listed here provide additional information on how to implement SVQs. Details of these and other SQA publications are available on our website at **www.sqa.org.uk** on the 'Publications, Sales and Downloads' section. They can be ordered from SQA's Business Development and Customer Support Team — telephone 0303 333 0330. Please note that there may be a charge for some of these publications.

Assessor/Verifier Units: assessment guidance

External Verification: A Guide for Centres

Guide to Assessment

Introduction to Assessment Arrangements for Schools and Colleges

SQA's Quality Framework: a guide for centres

Operational Help Centre

The Operational Guide for Centres has been replaced by the online Operational Help Centre on **www.sqa.org.uk**

E-assessment

SQA believes that e-assessment will play an increasingly important role in supporting delivery of our qualifications. We believe that e-assessment offers significant benefits to SQA, centres and in particular the candidates that take our qualifications.

SQA has produced criteria designed to advise SQA centres and SQA External Verifiers about the **standards expected of e-assessment systems** which are used to deliver SQA qualifications.

To find out more about e-assessment in SQA visit **http://www.sqa.org.uk/sqa/5606.html**