



Assessor's guidelines for the SVQ in SVQ3 Achieving Excellence in Sports Performance at SCQF level 8

Publication date: July 2013
Publication code: DB4611/2

Published by the Scottish Qualifications Authority
The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ, and
Lowden, 24 Wester Shawfair, Dalkeith, Midlothian, EH22 1FD

The information in this publication may be reproduced in support of SQA qualifications. If it is reproduced, SQA should be clearly acknowledged as the source. If it is to be used for any other purpose, then written permission must be obtained from the Support Materials Development Officer at SQA. It must not be reproduced for trade or commercial purpose.

© Scottish Qualifications Authority 2013

Contents

About this guide	1
Introduction	2
About SVQs	2
How are standards defined in SVQs?	3
Who is involved in SVQs?	3
The steps involved in assessing a candidate for an SVQ	4
1 The SVQ3 Achieving Excellence in Sports Performance at SCQF level 8	5
Structure of the SVQs	5
An assessment strategy for the SVQ	6
Why would people be interested in the SVQ?	6
How do candidates begin?	6
Choosing the SVQ	6
2 Preparing to assess the SVQ	9
Your role and your candidate's role	9
Planning	10
Assessment plan	11
Selecting methods of assessment	12
Methods of assessment	13
Observation	13
Product evidence	13
Questioning	14
Other methods of assessment	15
Other sources of evidence	17
3 Generating evidence	18
Observation	19
Questions and candidate responses	21
Candidate's personal statement	23
Witness testimony	25
Filling the gaps	27
Guidance and support to candidates	27
Insufficient evidence	28
Authenticating candidates' evidence	28
4 Recording achievement	29
Completing the Unit progress record	31
Using the index of evidence	33
Completing the Element achievement record	35
5 Further information	38
Appendix 1: Blank recording forms	39

About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ3 Achieving Excellence in Sports Performance at SCQF level 8**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

Using assessments based on these examples does not guarantee successful verification — it is still your responsibility to ensure that internal quality assurance procedures are followed.

Introduction

This introduction provides a brief overview of SVQs and how they are assessed in the workplace. If you are already familiar with the concept of SVQs, you may wish to go to the next section.

About SVQs

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy. 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 standards 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.

Each SVQ which a standards-setting body develops has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared. SVQs are specified at five levels which reflect the various technical and supervisory skills knowledge and experience, which employees should have as they progress in their industry.

Explanation of levels

- Level 1** Defines competent performance in a range of activities which are largely routine and predictable.
- Level 2** Specifies that competent performance must be shown in a broader range of work activities which are less routine and predictable. The employee will have more autonomy and responsibility, and may have to work as part of a team.
- Level 3** Specifies that competent performance must involve the employee in carrying out a broad range of varied work activities, most of which are complex and non-routine. There is considerable autonomy and responsibility, including the possibility of controlling or guiding others.
- Level 4** Specifies competence as complex technical or professional work activities which require a substantial degree of personal autonomy or responsibility. Managing staff and other resources is often involved.
- Level 5** Specifies competent performance as involving the employee in carrying out a significant range of activities in a wide variety of situations which are often unpredictable. Substantial responsibility and autonomy is involved in the work, which requires decision-making in the allocation of resources and the work of others. This will require complex skills such as analysis, design and evaluation.

How are standards defined in SVQs?

All SVQs consist of standards which can be broken down into various parts.

Units define the broad functions carried out in the sector, and are made up of a number of Elements. These **Elements** describe the activities which employees have to perform, and will require candidates to demonstrate certain skills or knowledge and understanding.

The quality of performance in what people must be able to do — how well they have to perform — is described by **Performance Criteria**. These may also be called **statements of competence** or **what candidates should do**.

The section on **knowledge and understanding** says what candidates must know and understand, and how this knowledge applies to their jobs.

You may also come across standards containing statements on **scope**. These statements could, for example, list the equipment that candidates are expected to be familiar with and use in their occupational area.

Increasingly, you may see changes to this format as standards become more user-friendly and are written in plain English. For example, there may be some standards containing **Range Statements** or **Evidence Requirements**, but over time these should disappear. You may, however, find that information on the context, nature and amount of evidence which is required to prove competence (which used to be given in Range Statements and Evidence Requirements) is now defined in the **assessment guidance** for the qualification. Assessment guidance is drawn up by the awarding body and is packaged along with the standards to form the SVQ.

Who is involved in SVQs?

There are several roles:

- ◆ **the candidate:** the person who wants to achieve the SVQ (eg an employee)
- ◆ **the assessor*:** the person who assesses the candidates and decides if they are competent (eg supervisor)
- ◆ **the internal verifier*:** an individual nominated by the centre (eg a company) who ensures that assessors apply the standards uniformly and consistently (eg supervisor's line manager)
- ◆ **the 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 has been defined by the standards-setting body in the assessment strategy for this 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) either in their current form or as 'D-Units', or an alternative qualification which SQA also recognises.

The steps involved in assessing a candidate for an SVQ

In deciding whether a candidate should get an SVQ, you will go through these stages:

- ◆ planning for assessment
- ◆ generating and collecting evidence of the candidate's competence in the Units
- ◆ judging the evidence of the candidate's ability and making an assessment decision based on the evidence
- ◆ recording the assessment decision and the candidate's achievement

1 The SVQ3 Achieving Excellence in Sports Performance at SCQF level 8

The SVQ3 Achieving Excellence in Sports Performance at SCQF level 8 has been developed by SkillsActive and is intended for people in the Sport and Recreation sector.

These people may be working as athletes who have the realistic potential to achieve excellence in their sport and are seeking to perform at the highest level as their main career goal. They will require skills and knowledge in the following to achieve excellence in their sport:

- ◆ planning, applying and evaluating their:
 - technical skills
 - tactical skills
 - physical capability
 - attitudes and mental skills
- ◆ planning and managing their lifestyle
- ◆ managing their sporting career
- ◆ communicating and working effectively with other people
- ◆ maintaining health and safety of self and others

The SVQs are designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the SVQ is likely to be delivered include: professional sports teams/groups, sports academies and Institutes, National Governing Body institutions, elite performance facilities and in partnership with local colleges or university departments.

Structure of the SVQs

This section lists the Units which form the SVQ3 Achieving Excellence in Sports Performance at SCQF level 8.

Level 3

Mandatory

SQA Ref	SSC Ref	Title
F4B8 04	ES1	Plan, Apply and Evaluate Your Technical Skills to Achieve Excellence in Your Sport
F4B9 04	ES2	Plan, Apply and Evaluate Your Tactical Skills to Achieve Excellence in Your Sport
F4BA 04	ES3	Plan, Apply and Evaluate Your Physical Capability to Achieve Excellence in Your Sport
F4BB 04	ES4	Plan, Apply and Evaluate the Attitudes and Mental Skills Needed to Achieve Excellence in Your Sport

SQA Ref	SSC Ref	Title
F4BC 04	ES5	Plan and Manage Your Lifestyle to Achieve Excellence in Your Sport
F4BD 04	ES6	Manage Your Sporting Career
F4BE 04	ES7	Communicate and Work Effectively with Other People Whilst Seeking to Achieve Excellence in Your Sport
F4BF 04	ES8	Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport

An assessment strategy for the SVQ

As part of its review of the SVQ, the standards-setting body SkillsActive has developed an assessment strategy which defines a range of requirements:

- ◆ the occupational expertise of assessors and verifiers
- ◆ a definition of simulation
- ◆ definition of the workplace
- ◆ information on a model of independent assessment or external quality control

The relevant parts of the assessment strategy are available on SQA's website (www.sqa.org.uk), and both SQA and centres must comply with these requirements.

Why would people be interested in the SVQ?

People will take SVQs for a variety of reasons: to gain promotion, to prove their job competence, or for personal development. There will be other reasons too. 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. If anyone is acting as a coach or mentor to your candidates, they might help you to do this.

How do candidates begin?

Choosing the SVQ

You should make sure that candidates get guidance before starting out on an SVQ — they need advice to ensure that their existing job remit, skills, experience, and their plans for progression, are matched to the SVQ 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.

An example

Sam is an 'apprentice academy' player with his local professional rugby team. He wants to gain a nationally-recognised workplace qualification during his apprenticeship which will also assist him in his own sports development.

His Team Manager advises him to consider an SVQ3 Achieving Excellence in Sports Performance at SCQF level 8.

When the Team Manager matches Sam's training and playing remit and existing skills and experience with the SVQ, it emerges that Sam should be able to generate sufficient evidence to meet the requirements of the following SVQ Units:

- ◆ ES7 Communicate and Work Effectively with Other People Whilst Seeking to Achieve Excellence in Your Sport
- ◆ ES8 Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport

The Team Manager arranged for an assessor from the Scottish Rugby Association to provide Sam with guidance on how to collect evidence and construct a portfolio to achieve these Units.

Sam also had some experience in relation to two further Units, however, some planning was required in order to provide him with the opportunity to demonstrate competence in these areas.

The Units were:

- ◆ ES5 Plan and Manage Your Lifestyle to Achieve Excellence in Your Sport
- ◆ ES6 Manage Your Sporting Career

The Team Manager arranged for the assessor to accompany Sam during training sessions and on match days to observe and assess him for both of these Units.

Sam had no experience of the areas covered by the final four Units:

- ◆ ES1 Plan, Apply and Evaluate Your Technical Skills to Achieve Excellence in Your Sport
- ◆ ES2 Plan, Apply and Evaluate Your Tactical Skills to Achieve Excellence in Your Sport
- ◆ ES3 Plan, Apply and Evaluate Your Physical Capability to Achieve Excellence in Your Sport
- ◆ ES4 Plan, Apply and Evaluate the Attitudes and Mental Skills Needed to Achieve Excellence in Your Sport

To help Sam to provide evidence of competence in these areas, the Team Manager arranged for him to attend monthly interviews and personal development meetings with the personnel department of the SRA to generate appropriate evidence towards completing the first of these Units.

For the final Unit, the Team Manager arranged for Sam to shadow a more experienced coach, focusing on the collecting and analysing of information.

All these arrangements were agreed by everyone involved and then written up in an assessment plan for Sam.

2 Preparing to assess the SVQ

This section offers practical advice on how to begin to go about assessing you candidates for the SVQ. This advice is offered as examples of good practice — you may develop your own approaches to assessing your candidates which also work well.

Your role and your candidate's role

Assessing the SVQ will involve several stages. Both you and the candidate should be clear on your roles in the assessment process before you begin.

Your role

- ◆ 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
- ◆ help candidates 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
- ◆ help to identify sources of evidence and how these could 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

Planning

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 or Elements. It can be a practical and cost-effective way of assessing your candidate's competence.

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

To help you plan for assessment, we have produced an assessment plan which covers Unit ES8 *Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport*.

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.

Assessment plan

Units: ES8 Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport					
Elements: ES8.1 Work in a healthy and safe way					
Activities	PCs	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PCs and range)
Investigate and gather appropriate up-to-date information on health and safety requirements for your area of work Risk assess possible hazards and take appropriate action according to the level of risk Share your findings with the colleague responsible	1 2, 3, 4, 5 6	Observation report from assessor Candidate product evidence Minutes of meetings Witness statements	01/06/08	Up-to-date health and safety requirements	ES7.1, .2, .3
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review	K2, K4, K5, K6, K8,				

Assessor's signature: *Amir Shah*

1st review due: *15/06/08*

Candidate's signature: *Sam Armstrong*

2nd review due: *28/06/08*

Date of agreement: 24/05/08

Date of completion: 01/07/08

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.

There are both benefits and challenges when you are assessing SVQs in the workplace, or in conditions in the workplace. When you select methods of assessment, you should try to offer the candidate the benefits of workplace assessment and minimise any potential difficulties.

The benefits might be:

- ◆ the candidate feels more comfortable in familiar surroundings
- ◆ evidence can be generated ‘naturally’ across a range of Units
- ◆ possibility of relevant ‘unplanned’ evidence being generated in the course of work
- ◆ evidence can be generated at a pace dictated by the candidate and their workload

The challenges might be:

- ◆ rest days
- ◆ injury and recovery
- ◆ training cycles
- ◆ travel to competition
- ◆ training camps
- ◆ workload of coaches/managers and assessors

Example

You might agree with a candidate the most appropriate methods of assessments when they intend to undertake the Unit ES1 *Plan, Apply and Evaluate Your Technical Skills to Achieve Excellence in Your Sport*. This aspect of their assessment will be carried out by **observation** as and when such 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 review the session at the end. You may wish to ask the candidate **oral questions** to cover aspects of the range the candidate may not have covered by actual performance.

Methods of assessment

Assessment may involve a range of assessment methods. For SVQs, some of the most commonly used methods are observation, product evaluation, and questioning.

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.

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:

- ◆ Unit ES8 Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport, Element 2 Work in a healthy and safe way. Here the candidate will be need to carry out a risk assessment as prescribed by the Health and Safety Executive and those layed down by the organisation, equipment manufacturers and activity governing bodies. This knowledge has then to be put into practice when the candidate undertakes a formal/written risk assessment, appropriate to the relevant aspects of this Unit/Element.

- ◆ Unit ES1 Plan, Apply and Evaluate Your Technical Skills to Achieve Excellence in Your Sport, Element 1, 2, and 3. The candidate is expected to identify, agree and implement a programme to improve their technical skills. Product evidence required from the candidate could include: evidence from training programmes that have been designed with and for the candidate, logbooks that show the candidate's progress, video evidence of the candidate's performance during training and competition, etc.

Questioning

Candidates have to show that they can meet the knowledge specifications for the SVQs. For these SVQs, knowledge and understanding is specified for each Unit. 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

Unit ES 3 Plan, Apply and Evaluate Your Physical Capability to Achieve Excellence in Your Sport. *To be competent in this Unit, you must know and understand the following:*

Question K6: What types of physical priorities do athletes in your role have to concentrate on to achieve excellence?

Answer: I would ensure that research was carried out on the range of physical demands appropriate and suitable to my physical goals. This would be in consultation with the coaching staff/or other staff and the outcome of this would be agreed and recorded.

Unit ES8 Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport. *To be competent in this Unit, you must know and understand the following:*

Question K5: What types of hazards are likely to occur in your area of work?

Answer: There could be a range of hazards that may occur during the physical activity programmes, for example, weather and location suitability, damaged, poorly maintained or inappropriate use of equipment. These hazards are checked before the activities begin, and risk assessments are carried out which would have identified relevant hazards in relation to the activity and equipment.

Other methods of assessment

These methods, like questioning, are often used for authentication. See section 3 for more about authenticating candidates' evidence.

Personal statements

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.

Examples of where a personal statement can be used, are as follows:

- ◆ where further details need to be recorded about the candidate's assessment.
- ◆ where some assessments do not require direct observation from the assessor, ie research, planning activity programmes.

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 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 person providing the witness testimony. You will have to take these factors into account as you make your judgement.

Strongest	<p>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 A/V Units or 'D-Units'.</p> <p>Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.</p> <p>Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.</p>
	<p>Someone who may be a colleague of the candidate, but with no knowledge of the standards.</p>
Weakest	<p>Someone with no or little knowledge of the candidate's work or no knowledge of the standards.</p>

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.

Examples of who can give witness statements are:

Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.	A person in the same line of work as the candidate, ie other instructional staff who work at their centre, who are not the candidate's assessor.
<hr/>	
Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards	A person in the same line of work as the candidate, ie freelance instructors.
<hr/>	
Someone who may be a colleague of the candidate, but with no knowledge of the standards.	A person who works alongside the candidate on a daily basis, ie office staff, domestic staff.
<hr/>	
Someone with no or little knowledge of the candidate's work or no knowledge of the standards.	This is a person could be anyone who is in contact with the candidate, ie visiting clients, staff.

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.

For more details on simulation and what constitutes performance in the workplace, look at the assessment strategy on SQA's website (www.sqa.org.uk).

Evidence Requirements and Assessment Guidance are provided by SkillsActive. This document gives guidance to assessors, for example:

- ◆ Which Units can be assessed by simulation or *must* be assessed by observation only.
- ◆ Indicates what requirements the candidate has to do under the 'What you must cover' sections in the elements
- ◆ The provision of evidence to cover the candidate's knowledge and understanding

For this SVQ, the 'Agreed Common Evidence Requirements and Assessment Guidance' states that simulation is **only allowed** for the following Unit:

- ◆ **Unit ES8 Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport:** Simulation is allowed for Element ES8.2 'Respond to emergencies' if there is no real evidence of undertaking this type of activity. All simulations must meet the requirements of the Assessment Strategy.

Other sources of evidence

Other sources of evidence can be previous experience or learning, case studies or assignments.

SQA's *Guides to Assessment and Quality Assurance* (see section 5) have more advice on methods of assessment and how to ensure that your assessment is valid, reliable and practicable.

3 Generating 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

There are blank forms which you can copy and use in assessment in Appendix 1.

When an assessor is using observation as a form of assessment, a form of checklist is usually used. This checklist is linked to aspects of the Element that the candidate must do and cover through performance as stated in the *Agreed Common Evidence Requirements and Assessment Guidance* for the qualification. Using this, the assessor will ask a range of questions that will go over what the candidate has not been able to cover through observation and also to cover any knowledge and understanding.

Candidates will also be required to generate *product evidence*. This type of evidence is gathered to back up candidate assessments as proof of the candidate carrying out a task, for example, for Unit ES1 *Plan, Apply and Evaluate Your Technical Skills to Achieve Excellence in Your Sport*. In some cases it may be more appropriate that the candidate writes a short personal statement, providing details of how the candidate has completed a range of tasks set by the assessor, or when the assessor was not present, for example, Unit ES7 *Communicate and Work Effectively with Other People Whilst Seeking to Achieve Excellence in Your Sport*.

Witnesses may be used to provide the assessor with evidence the candidate has completed on one or more aspects of a Unit. The witness can cover a broad range of people, for example, a person who is:

- ◆ technically competent and knows the standards (eg another assessor)
- ◆ technically competent (eg colleague, supervisor/line manager)
- ◆ neither competent or knows the standards, but works with the candidate (eg works in a different department, bystander, spectator)

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.

Using observation as a form of assessment of a candidate may need to be planned by the assessor and agreed upon by the candidate, this is usually written down in the action plan. This is to ensure that both the candidate and assessor are both available in the workplace to carry out the assessment. During the candidate's assessment, the assessor should ensure that the candidate is carrying out their daily work duties, as agreed in the action plan. The assessor may use a type of checklist detailing what the candidate must do and what they must cover and may use integration over different Units and/or Elements.

Candidates may also be observed by others, for example, other colleagues, emergency services, such as Red Cross etc. These are called witnesses and they too can provide evidence for the candidate to prove they have carried out tasks or work in their area of responsibility, for example in a statement.

Observation record

Unit/Element(s): ES1.2

Candidate: Sam Armstrong

Evidence index number: 1

Date of observation: 01/06/08

Skills/activities observed:	PCs covered:
<p>Over Sam's assessment period, I observed Sam take part in the programme he had planned, which took into account his technical goals, where he showed commitment and determination throughout. He was able to study and follow analyses, instructions and demonstrations by other coaching staff and contribute to ongoing assessments. At the end, he provided feedback to other coaching staff on how well the programme met his needs and worked well with the coaching staff to improve his programme in the future.</p>	<p>1, 3, 4, 5, 6, 7</p>

Knowledge and understanding apparent from this observation:

K9, K11, K12, K13, K17

Other Units/Elements to which this evidence may contribute:

ES7, ES6

Assessor's comments and feedback to candidate:

Feedback was given to Sam, (see above observation record). Sam has demonstrated that he is able to implement his technical skills from the agreed drawn up programme, which he was able to take part in as per planned. Sam has good communication skills and was able to converse competently with other coaching staff to fulfill the requirements of this Element.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *Amir Shah*

Date: *01/06/08*

Candidate's signature: *Sam Armstrong*

Date: *01/06/08*

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.

It is important that the candidate covers all the minimum requirements under 'what you must cover'. This type of questioning and candidate responses can be used to 'fill in the blanks'. The Assessment Guidance and Evidence Requirements state that for Unit ES8.1, that a minimum of four (out of the five) types of health and safety requirements, and a minimum of two (out of three) hazards, must be evidenced by the candidate's work, for example, through observation. This leaves one out of the three not covered, therefore, the assessor should ask a question to the candidate to answer, and both the question and candidate's response should be recorded.

The assessor may ask more questions about specific tasks the candidate carried out and needed more clarification to complete their assessment.

Record of questions and candidate's answers

Unit: ES8	Element(s): 1	
Evidence index number: 2		
<p>Circumstances of assessment:</p> <p>Sam carried out a risk assessment of his area of work; however he was not able to cover the following on the day of assessment. Oral questions below cover aspects of '<i>what you must cover</i>':</p> <p>(a) health and safety requirements – 2. Manual Handling (b) hazards – 4. Security breaches</p>		
<p>List of questions and candidate's responses:</p> <p>Q: When conducting a risk assessment of your area of work, what actions would you take if you found other coaching staff were using incorrect methods of manual handling?</p> <p>A: It would need to be dealt with ASAP. My supervisor would be informed and appropriate training would need to be organised for the appropriate members of staff.</p> <p>Q: During your assessment of hazards in your area of work, how would you deal with any breaches in security?</p> <p>A: I would need to inform my supervisor; this could be in a team meeting, where my assessment of the hazard would be put forward, and appropriate action would be taken.</p>		
Assessor's signature:	<i>Amir Shah</i>	Date: <i>01/06/08</i>
Candidate's signature:	<i>Sam Armstrong</i>	Date: <i>01/06/08</i>

Candidate's personal statement

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.

A candidate's personal statement can be used when the candidate wishes to provide details of how they have carried out the agreed tasks against certain Performance Criteria. This can be due to the assessor not being present while the candidate had carried out these duties/tasks, for example, when candidate and assessor are on different shifts or venues.

The personal statement may also highlight areas of knowledge and understanding that have been identified, or the candidate will need to take part in further training in specific areas, for example, 'Does the candidate have the knowledge and understanding for: Unit ES7 — K30 What types of sensitive issues may you encounter at events and how would you deal with these?'

Personal statements will usually come accompanied with other evidence to back up the candidate's statement of events, such as witness statements, product evidence, etc.

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered
5/6/08	3	<p>Once a month, meetings take place amongst the coaching staff. All coaches are encouraged to contribute to the agenda and raise specific issues in relation to their area of work.</p> <p>During this meeting I raised an issue in relation to health and safety — use of facilities and equipment.</p> <p>While I have been conducting risk assessments of my area of work, I have noticed that certain equipment storage areas are not being kept clean and tidy as required. I pointed out in the meeting that this poses a risk to other coaching staff and to client groups as equipment may become damaged.</p> <p>The senior coaches agreed that they would monitor users of the equipment, and review the progress in the next meeting.</p>	E8.1	Unit: ES7.1 PCs: 1, 2, 3, 4, 5, 6

Signed (candidate): *Sam Armstrong*

Date: *02/06/08*

Witness testimony

Remember when you 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 relationship to the candidate (eg supervisor, client) address, telephone number and the date. There are spaces for this information in the form.

Witness testimonies are also a way of backing up other peices of evidence the candidate has produced for their assessment, for example, personal statement, product evidence etc.

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.

In this SVQ, such gaps are likely to occur in generating evidence for some of the Units, however, you may be able to overcome these through using different methods of assessment, for example:

- ◆ Oral questioning
- ◆ Written questioning
- ◆ Simulation/Project

The evidence will be closely examined by the External Verifier on their visits to ensure that centres are working to the assessment strategy and common evidence requirements.

Guidance and support to candidates

At all times during the assessment process — from planning through to making your assessment decision — feedback should be on-going, clear and constructive. Feedback should be given against the national standards 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.

Judging candidate evidence and making an assessment decision

In judging candidate evidence, you must be satisfied that your candidates can work consistently 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 authentic
- ◆ show current competence
- ◆ be sufficient to help you form a decision about the candidate's competence

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.

Example

Make sure that the candidate's work is authentic:

- ◆ Check that any handwritten work, from the candidate or assessor, is in pen or has been photocopied (to avoid the work being tampered with).
- ◆ Encourage use of 'real evidence', not 'manufactured evidence' (unless the evidence is from a simulation and therefore should be marked as such).
- ◆ Check that both the candidate and the assessor sign and date their work and any work that has been submitted as evidence.

4 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.

SQA provide centres with material which can be used for both assessors and candidates in their portfolio. Centres may wish to develop and produce their own material to suit their centre or organisation. All material contained within the candidate's portfolio, assessment decisions and internal verification records will have to be presented for external verifiers on their visits.

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 SQA 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.

- ◆ Completing the Unit progress record
- ◆ Using the evidence index
- ◆ Completing the Element 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.

On the following page is an example of a Unit progress record. This form is used to show the progress of the candidate through their qualification. The Unit Checklist is used as a visual aid to show instantly what Units have been achieved so far, by crossing or circling the relevant Units.

Unit progress record

Qualification and level: SVQ3 Achieving Excellence in Sports Performance
at SCQF level 8

Candidate: Sam Armstrong

To achieve the whole qualification, you must prove competence in 8 **mandatory** Units.

Unit Checklist

Mandatory	ES1	ES2	ES3	ES4	ES5	ES6	ES7	ES8				
-----------	-----	-----	-----	-----	-----	-----	-----	-----	--	--	--	--

Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
ES1	Plan, Apply and Evaluate Your Technical Skills to Achieve Excellence in Your Sport		
ES2	Plan, Apply and Evaluate Your Tactical Skills to Achieve Excellence in Your Sport		
ES3	Plan, Apply and Evaluate Your Physical Capability to Achieve Excellence in Your Sport		
ES4	Plan, Apply and Evaluate the Attitudes and Mental Skills Needed to Achieve Excellence in Your Sport		
ES5	Plan and Manage Your Lifestyle to Achieve Excellence in Your Sport		
ES6	Manage Your Sporting Career		
ES7	Communicate and Work Effectively with Other People Whilst Seeking to Achieve Excellence in Your Sport		
ES8	Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport	<i>Amir Shah</i>	01/07/08

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

SVQ title and level: SVQ3 Achieving Excellence in Sports Performance at SCQF level 8

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	Observation Record	Yes	CW
2	Record of questions and candidate's answers	Yes	CW
3	Personal statement	Yes	CW
4	Witness statement	Yes	CW
5	Risk assessment	Yes	CW
6	Minutes of meetings	Yes	CW
7	Candidate log book records	Yes	CW

Completing the Element 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 Element. 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 Criteria (or statements of competence as they are sometimes known)
- ◆ entering the areas of knowledge and understanding the piece of evidence covers

If integrated assessment is used (linking PCs or Elements 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.

Element achievement record

Unit: ES8 Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport

Element: ES8.1 Work in a healthy and safe way

Evidence Index No	Description of Evidence	PCs						Areas of knowledge and understanding												
		1	2	3	4	5	6	K1	K2	K3	K4	K5	K6	K7	K8	K9	K10	K11	K12	K13
3	Personal statement	✓	✓	✓	✓	✓	✓					✓				✓	✓		✓	
4	Witness testimony			✓	✓	✓	✓													✓
5	Risk assessment												✓	✓	✓					

Unit: ES8 Maintain the Health and Safety of Self and Others Whilst Seeking to Achieve Excellence in Your Sport

Element: ES8.1 Work in a healthy and safe way

Notes/Comments

Sam has demonstrated to a satisfactory level that he can collect the necessary up-to-date information relating to health and safety requirements. From this he was able to comply with these requirements on a daily basis as well as actively look out for possible hazards. Sam also carried out a risk assessment of his area of work where he was able to identify a range of hazards and take out corrective action, for example use of facilities and equipment issues amongst some staff members.

Sam was also able to bring this topic up at our monthly meeting, where it was discussed amongst his colleagues and senior coaches, where the matter was dealt with and Sam will monitor and update the team at next month's meeting.

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: *Sam Armstrong*

Date: *01/07/08*

Assessor: *Amir Shah*

Date: *01/07/08*

Internal Verifier *Christopher Wave*

Date: *15/07/08*

5 Further information

What else should I read?

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**

Appendix 1: Blank recording forms

Unit:

Element:

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate:

Date:

Assessor:

Date:

Internal Verifier:

Date:

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered

Signed by candidate:

Date:

Observation record

Unit/Element(s):

Candidate:

Date of observation:

Evidence index number:

Skills/activities observed:	PCs covered:

Knowledge and understanding apparent from this observation:

Other Units/Elements to which this evidence may contribute:

Assessor's comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor's signature:

Date:

Candidate's signature:

Date:

Record of questions and candidate's answers

Unit:	Element(s):
Evidence index number:	
Circumstances of assessment:	
List of questions and candidate's responses:	
Assessor's signature:	Date:
Candidate's signature:	Date: