



# **Assessor's guidelines for the SVQ in Occupational Work Supervision (Construction) at level 3**

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# About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ in Occupational Work Supervision (Construction) at level 3**. 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. Standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations have designed the qualifications.

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 are 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 **component parts**:

- ◆ Unit title
- ◆ Unit number
- ◆ Description of what the Unit is about
- ◆ Performance Criteria
- ◆ Scope (range) of performance
- ◆ Knowledge and understanding related to Performance Criteria
- ◆ Scope of knowledge and understanding

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

**Scope (range) of performance** lists the breadth of performance the candidate has to be competent in.

**Knowledge and understanding relating to Performance Criteria** lists what candidates must know and understand in relation to the performance criteria.

**Scope of knowledge and understanding** lists the breadth of knowledge and understanding evidence requirements in relation to the occupational area being assessed.

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 a supervisor)
- ◆ **the internal verifier\*:** an individual nominated by the centre (eg a company) who ensures that assessors apply the standards uniformly and consistently (eg the 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 these SVQs — see the appendix.

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 SVQ in Occupational Work Supervision (Construction) at level 3

The SVQ in Occupational Work Supervision (Construction) has been developed by ConstructionSkills and is intended for people in the craft sector of the construction industry.

These people may be already working within the construction industry. They will require skills and knowledge in, among others: practical ability, health and safety, interpreting information and working to timescales.

The SVQ is 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 construction sites and training centres.

## Structure of the SVQ

This section lists the Units which form the SVQ in Occupational Work Supervision (Construction) at level 3.

### SVQ in Occupational Work Supervision (Construction) at level 3 (G9FV 23)

Candidates must complete five mandatory Units plus two optional Units.

#### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F7A9 04			VR 209	Confirm Work Activities and Resources for the Work
F7AA 04			VR 210	Develop and Maintain Good Working Relationships
F7AB 04			VR 211	Confirm the Occupational Method of Work
F7AC 04			VR 212	Implement and Maintain Health, Safety and Welfare
F7AD 04			VR 213	Co-ordinate and Organise Work Operations

### Optional Units (two Units required)

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F6XN 04			VR 214	Allocate and Monitor the Use of Plant and Equipment
F77R 04			VR 215	Monitor Progress Against Work Schedules
F707 04			VR 216	Confirm Work Meets Quality Standards
F74L 04			VR 217	Implement Procedures to Support Team's Performance
DX9M 04	6	17	VR 218	Co-ordinate and Confirm the Dimensional Requirements of the Work
F70A 04			VR 219	Contribute to the Circulation of Information

**Note:** Where industry requests, qualifications can, where applicable, be endorsed to show the option route and the type of resources and/or activities that relate to the Unit.

### An Assessment Strategy for the SVQ

As part of their review of the SVQ in Occupational Work Supervision (Construction) at level 3, the standards-setting body ConstructionSkills 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 published on SQA's website ([www.sqa.org.uk](http://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 carried out the matching process, but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

## New entrant

Candidates must be employed in the construction industry. They will receive training and assessment in both the workplace and off the job where necessary. In addition to this, candidates may be required to sit and pass the ConstructionSkills Health and Safety test, dependent on the SVQ they undertake.

## Example

James left school and was deciding which career to follow. He had taken qualifications at school and studied the Scottish Progression Awards in Construction. Therefore, James felt he would be suited to a hands-on type of role. With this in mind, James contacted ConstructionSkills and completed an application form. He was invited to sit the ConstructionSkills learning exercise which he passed at a level suitable for him to pursue a career in Occupational Work Supervision. After contacting some local companies, James managed to secure a Modern Apprenticeship. He worked with his company gaining relevant training, experience and assessment on site, and also attended the local training school for additional off the job training. During his four year apprenticeship James also sat and passed his Health and Safety test, which allowed him to successfully complete his SVQ in Occupational Work Supervision (Construction) at level 3.

## Experienced worker route

This route is available to candidates who have been employed as a foreman for several years, but hold no formal qualifications giving them national recognition for their existing skills.

A skills matching exercise would be undertaken, recording the candidate's skills, knowledge, and expertise against the SVQ Units. The candidate would then, under guidance from the assessor, construct a portfolio of evidence to achieve these Units.

Where candidates are unable to generate sufficient evidence to meet the requirements of the Units, some planning would be required in order to provide the candidate with the opportunity to demonstrate competence in these areas.

All these arrangements would be agreed by everyone involved and written up into an assessment plan for the candidate.

### **Example**

Angus had served his apprenticeship with a small company but had not had the opportunity to attend college to gain certification for his training. He had a vast knowledge of his trade, and many years practical experience, but no formal qualifications. To enable Angus to apply for work on more sites, he had to have a construction operative registration card, which was only issued on proof of relevant qualifications such as SVQs. To enable him to be eligible for a card he enrolled for the SVQ in Occupational Work Supervision (Construction) at level 3 with a local training provider. The training provider allocated an assessor to Angus, who completed a skills match against the Units to see what expertise Angus already had and to identify any training needs. As a result of this, an assessment plan was drawn up for Angus and agreed by all the parties involved.

With assistance from his assessor, Angus proceeded to gather evidence to meet the Performance Criteria of the Units using observations, witness testimonies, personal statements and practical evidence. He was questioned by his assessor to ensure he had the knowledge and understanding of the performance evidence which was recorded in his portfolio.

After gathering sufficient evidence for all the Units required, Angus could expect to be awarded the SVQ in Occupational Work Supervision (Construction) at level 3.

## 2 Preparing to assess the SVQ

This section offers practical advice on how to begin to go about assessing your 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 VR 211 *Confirm the Occupational Method of Work*.

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	VR 211 Confirm the Occupational Method of Work				
Activities	Performance Criteria (PC)	Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
<ul style="list-style-type: none"> <li>◆ Assess the available project data accurately to determine the occupational work method to be made.</li> <li>◆ Obtain more information from alternative sources in cases where the available project data is insufficient.</li> <li>◆ Identify work methods that will make the best use of resources and meet project, statutory and contractual requirements.</li> <li>◆ Confirm and communicate the selected work method to relevant personnel.</li> </ul>	<p>PC1</p> <p>PC2</p> <p>PC3</p> <p>PC4</p>	<p>Observation, product evidence and questions</p>	<p>10/02/09</p>	<p>Witness testimony</p>	<p>VR209, VR210, VR213, VR215, VR216, VR218, VR219.</p>
<p><b>Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review</b></p>					

<b>Assessor's signature</b>	<u>Robert Watson</u>	<b>1st review due</b>	<u>22/02/11</u>
<b>Candidate's signature</b>	<u>James Cameron</u>	<b>2nd review due</b>	<u>22/03/11</u>
<b>Date of agreement</b>	<u>07/01/11</u>	<b>Date of completion</b>	<u>tbc</u>

# 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:

- ◆ performance and product evidence will be valid and can be authenticated
- ◆ resources to be used are readily available
- ◆ familiarity of the work area and equipment, so the candidate is comfortable during the assessment
- ◆ candidate can progress at his/her own pace

The challenges might be:

- ◆ pressure of work
- ◆ location of workplace
- ◆ all criteria not met during the assessment

## Example

Agreement might be made to observe a candidate who has to demonstrate how to supervise within their trade occupation. If the assessor is working alongside the candidate they would be well placed to observe the candidate's performance, perhaps using a prepared checklist, and to question the candidate afterwards.

## 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.

### 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:

- ◆ a product of work completed by the candidate and documented by an expert witness, work records or photographic evidence (indirect evidence)
- ◆ written evidence in the form of an assessment by the assessor (direct evidence)

## 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 PC. 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.

**Q** State the most appropriate fire extinguisher to be used on EACH of the following fires:

- a natural gas
- b electrical
- c solid fuel
- d inflammable liquid

**A**

- a natural gas — dry powder
- b electrical — CO<sub>2</sub> or dry powder
- c solid fuel — water or foam
- d inflammable liquid — foam or CO<sub>2</sub>

**Q** Describe why is it important to liaise with other operatives?

**A** To avoid hold-ups, delays and confrontation.

## 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.

## Example

The candidate could use a personal statement in Unit VR 211 *Confirm the Occupational Method of Work*. You may not have been able to observe the candidate meeting all the Performance Criteria. The personal statement would allow the candidate to explain the process and procedures as well as demonstrating their grasp of knowledge and understanding.

## 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	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'.
	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.

## Example

In Unit VR 211 *Confirm the Occupational Method of Work*, candidates are required to 'Identify work methods that will make the best use of resources and meet project, statutory and contractual requirements'. **A witness testimony produced by the candidate's supervisor or employer would be very useful, as it could detail the aptitude of the candidate to conform to legislation in their work role.**

## 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.

ConstructionSkills has defined what it regards as simulation, and has specified in the standards when simulation is and is not acceptable. The standards 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 on SQA's website: **[www.sqa.org.uk](http://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* (see section 5) has 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.

## **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

<b>Unit/Element(s)</b>	VR 211 Confirm the Occupational Method of Work
<b>Candidate</b>	James Cameron
<b>Evidence index number</b>	02
<b>Date of observation</b>	10/02/11

<b>Skills/activities observed</b>	<b>Performance Criteria covered</b>
<p>Methods of work.</p> <p>I observed James working with his group of operatives setting out a bulkhead for a suspended ceiling. This will allow for all the range requirements of range statement 1 in particular to be observed.</p> <p>James was checking the site dimensions against the drawings, specification and manufacturers details before explaining the correct procedure to follow to his team.</p> <p>Once James was satisfied that the team were carrying out the task to the specification, we moved to the company's site office to examine documentary product evidence and discuss the role of the supervisor.</p> <p>James produced examples of the programme of work, method statement and risk assessment specific to his occupational group; work orders, schedule of prices and periodic invoices; day work and variation orders. All of which he discussed in detail, explaining his involvement with each of the documents.</p> <p>James also produced minutes of the contractors weekly site meetings that he had been involved in, showing specific actions that he had taken responsibility for, and his contribution to the proceedings.</p>	<p>PC1 range 1, PC4 range 1</p> <p>PC1 range 1, PC2 range 1, PC3 range1, PC4 range 1</p> <p>PC2 range 1, PC3 range 1</p> <p>PC2 range 1, PC3 range 1, PC4 range 1</p>

<p><b>Knowledge and understanding apparent from this observation</b></p> <p>K1, K2, K4, K5</p> <p><b>Knowledge and understanding (performance criteria) Not apparent from this observation:</b></p> <p>K3</p>
---

**Other Units/Elements to which this evidence may contribute**

VR209, VR210, VR213, VR215, VR216, VR218, VR219.

**Assessor's comments and feedback to candidate**

James, you carried out the task in a professional and assured manner, focusing on the need to meet the specification and adjusting to suit on-site conditions. At all times you were aware of your responsibilities regarding health and safety and other operatives in the vicinity.

I would ask you to obtain a copy of all non-sensitive documents you made reference to or used today, and place them in the supporting evidence section of your portfolio for evidence cross-referencing purposes.

Knowledge questions to cover K3 will be conducted at our next planned event.

I can confirm the candidate's performance was satisfactory.

**Assessor's signature** Robert Watson      **Date** 10/02/11

**Candidate's signature** James Cameron      **Date** 10/02/11

## **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

<b>Unit</b>	VR 211 Confirm the Occupational Method of Work
<b>Element(s)</b>	VR211, K3
<b>Evidence index number</b>	03
<b>Circumstances of assessment</b>	
Following observation the following questions were asked to cover the knowledge and understanding not confirmed by the observation.	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	State <b>five</b> ways of transferring information from one person to another.
<b>A</b>	<ol style="list-style-type: none"> <li>1 telephone</li> <li>2 fax</li> <li>3 personal contact</li> <li>4 memo</li> <li>5 e-mail</li> </ol>
<b>Q</b>	State <b>five</b> advisory responsibilities to management that the person responsible for health and Safety has.
<b>A</b>	<ol style="list-style-type: none"> <li>1 Preventing injury to personnel.</li> <li>2 Identifying hazards.</li> <li>3 Site surveys (new sites).</li> <li>4 Determining the cause of accidents.</li> <li>5 Advising on, and assisting with, training needs.</li> </ol>

**Assessor's signature** Robert Watson **Date** 11/02/11

**Candidate's signature** James Cameron **Date** 11/02/11

## **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.

## Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
08/03/11	05	<p>I was working on site with my team of operatives setting out a bulkhead for a suspended ceiling.</p> <p>I checked the site dimensions against the drawings, specification and manufacturers details before demonstrating and explaining the correct procedure for the team to follow.</p> <p>When I was satisfied that the team were carrying out the task to the specification, I took my assessor to the company's site office to examine documentary product evidence and discuss my responsibilities as a supervisor.</p> <p>I showed my assessor examples of the programme of work, method statement and risk assessment specific to his occupational group; work orders, schedule of prices and periodic invoices; day work and variation orders.</p>	Witness testimony (evidence no 09)	VR211, PC1, PC2, PC3, PC4.

		<p>We discussed in detail my level of involvement with each of the documents.</p> <p>I also produced minutes of the contractors weekly site meetings that I attend when representing my company; showing my contribution to the meeting and specific actions that I have taken responsibility for.</p>		
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**Candidate's signature** James Cameron **Date** 08/03/11

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

## Witness testimony

<b>SVQ title and level</b>	SVQ in Occupational Work Supervision (Construction) at level 3
<b>Candidate's name</b>	James Cameron
<b>Evidence index no</b>	09
<b>Index no of other evidence which this testimony relates to (if any)</b>	05
<b>Element(s)</b>	VR211, PC1, PC2, PC3, PC4.
<b>Date of evidence</b>	08/03/11
<b>Name of witness</b>	Mr Gordon (Site agent)
<b>Designation/relationship to candidate</b>	Site Agent 07123 456789
<b>Details of testimony</b>	
<p>I can testify to the significant contribution James has made to the smooth running of this contract since his company appointed him as supervisor for his occupational area.</p> <p>He has attended the weekly site meetings and proved on several occasions his ability to solve problems swiftly and efficiently.</p> <p>He has a wide knowledge of products and systems used by his team, and has been able to source additional technical information from the manufacturers when necessary, to overcome design difficulties.</p> <p>He has shown excellent communication skills when relaying specific work methods to his team.</p> <p>Contact 07123 456789</p>	

I can confirm the candidate's performance was satisfactory.

**Witness's signature** Archie Gordon **Date** 08/03/11

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

- Holds A1/A2 or D32/D33 qualifications
- Is familiar with the SVQ standards to which the candidate is working

## **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.

## **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**

Authentication will be required when a candidate has produced a piece of evidence that could appear to have been produced by anyone. For example, a candidate may have constructed a product of work. It may require the use of a personal statement, candidate questioning, witness testimony or photographic evidence to confirm that the work is genuinely the candidates own.

## 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.

An SQA document, *Candidate Guidance and Portfolio*, specific to the SVQ in Occupational Work Supervision at level 3 is available. This publication contains much of the control and recording documentation for use by both the assessor and candidate and collectively they have the potential to form the basis for the production of a well-ordered candidate portfolio of evidence. Should you choose to use your own recording material, this has to be approved by us.

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.

- ◆ 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.

## Unit progress record

**Qualification and level** SVQ in Occupational Work Supervision (Construction) at level 3

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**Candidate** James Cameron

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To achieve the whole qualification, you must prove competence in five **mandatory** Units and two **optional** Units.

### Unit Checklist

<b>Mandatory</b>	VR 209	VR 210	VR 211	VR 212	VR 213	
<b>Optional</b>	VR 214	VR 215	VR 216	VR 217	VR 218	VR 219

### Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
VR 209	Confirm Work Activities and Resources for the Work	<i>Robert Watson</i>	16/05/11
VR 210	Develop and Maintain Good Working Relationships		
VR 211	Confirm the Occupational Method of Work		
VR 212	Implement and Maintain Health, Safety and Welfare		
VR 213	Co-ordinate and Organise Work Operations		

### Optional Units achieved

Unit number	Title	Assessor's signature	Date
VR 214	Allocate and Monitor the Use of Plant and Equipment		
VR 215	Monitor Progress Against Work Schedules		
VR 216	Confirm Work Meets Quality Standards		
VR 217	Implement Procedures to Support Team's Performance		
VR 218	Co-ordinate and Confirm the Dimensional Requirements of the Work		
VR 219	Contribute to the Circulation of Information		

## 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.



## **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 VR211 Confirm the Occupational Method of Work

Evidence index No.	Description of Evidence	Performance Criteria				Scope				Knowledge and Understanding (performance Criteria)							Knowledge and Understanding (Range)						
		1	2	3	4	1	2	3	4	K1	K2	K3	K4	K5	K6	K7	K1	K2	K3	K4	K5	K6	K7
2	Performance observation	✓	✓	✓	✓	✓	✓		✓	✓		✓											
15	Performance observation			✓					✓												✓		
4	Written knowledge questions											✓							✓	✓	✓		
9	Witness testimony			✓	✓									✓		✓							

**Unit** VR211 Confirm the Occupational Method of Work

**Notes/Comments**

James carried out the tasks in a confident manner demonstrating the ability to recognise problems and come up with a solution, ensuring he still conformed to the specification. He showed good communication skills and the ability to follow company procedures.

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

**Candidate's signature** James Cameron **Date** 12/07/11

**Assessor's signature** Robert Watson **Date** 12/07/11

**Internal verifier's signature** Alan Green **Date** 11/08/11

# 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 progress record

Qualification and level \_\_\_\_\_

Candidate \_\_\_\_\_

To achieve the whole qualification, you must prove competence in xx **mandatory** Units and xx **optional** Units.

### Unit Checklist

<b>Mandatory</b>									
<b>Optional</b>									

### Mandatory Units achieved

Unit number	Title	Assessor's signature	Date

### Optional Units achieved

Unit number	Title	Assessor's signature	Date





**Unit**

**Element**

**Notes/Comments**

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

**Candidate's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Assessor's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Internal verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

## Assessment plan

Units					
Elements					
Activities	Performance Criteria (PC)	Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (Performance Criteria and Range)
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review					

**Assessor's signature** \_\_\_\_\_ **1st review due** \_\_\_\_\_  
**Candidate's signature** \_\_\_\_\_ **2nd review due** \_\_\_\_\_  
**Date of agreement** \_\_\_\_\_ **Date of completion** \_\_\_\_\_

**Personal statement**

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered

**Candidate's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

## Observation record

Unit/Element(s) \_\_\_\_\_  
Candidate \_\_\_\_\_  
Evidence index number \_\_\_\_\_  
Date of observation \_\_\_\_\_

Skills/activities observed	Performance Criteria 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 \_\_\_\_\_

## Witness testimony

<b>SVQ title and level</b>	
<b>Candidate's name</b>	
<b>Evidence index no</b>	
<b>Index no of other evidence which this testimony relates to (if any)</b>	
<b>Element(s)</b>	
<b>Date of evidence</b>	
<b>Name of witness</b>	
<b>Designation/relationship to candidate</b>	
<b>Details of testimony</b>	

I can confirm the candidate's performance was satisfactory.

**Witness's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

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

- Holds A1/A2 or D32/D33 qualifications
- Is familiar with the SVQ standards to which the candidate is working

**Record of questions and candidate's answers**

<b>Unit</b>	
<b>Element(s)</b>	
<b>Evidence index number</b>	
<b>Circumstances of assessment</b>	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	
<b>A</b>	

**Assessor's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Candidate's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

# Record of Photographic Evidence

<b>Unit</b>		
<b>Evidence index number</b>		
<b>Circumstances of assessment</b>		
<p><b>Description of Candidates Activity (If more than one photo is used, please sequence correctly)</b></p> <p style="text-align: center;"><b>PLEASE AFFIX PHOTOGRAPH(S) HERE</b></p>		
<b>Site name</b>		<b>Exact site location</b>
<b>Candidate's signature</b>		<b>Date of activity</b>