

# Guide to assessing SVQs

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# About this guide

This guide provides some practical examples of how to assess your candidates for SVQs. 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 straight to the next section.

## About SVQs

Scottish Vocational Qualifications (SVQs) are workbased 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 from employers, professional bodies, trade unions, education and the 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 at their work.

Each SVQ which a lead body develops must fit into a broad framework which allows for comparison of qualifications in the UK and throughout Europe. 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.

### Levels of SVQs

- ◆ **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 competence 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 present.
- ◆ **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.

The setting for assessing the qualification is likely to be a workplace, for example:

- ◆ the salon
- ◆ the shop floor
- ◆ hospital wards
- ◆ during work placements
- ◆ (sometimes) in FE colleges in conditions of the workplace

# How are standards defined in SVQs?

The standards for every SVQ are designed to a similar format, and can be broken down into various parts:

- ◆ units
- ◆ elements
- ◆ performance criteria
- ◆ range statements
- ◆ evidence requirements
- ◆ knowledge and understanding
- ◆ assessment guidance

**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 may relate to skills or to the demonstration of knowledge and understanding.

The level and quality of performance required in these activities is determined by statements called '**performance criteria**'.

A **range statement** defines the various circumstances in which candidates must be able to prove their competence. Items in the range statements must not be treated as optional.

The **evidence requirements** specify the amount and type of evidence which candidates need to provide to show that they have met the standard specified in the performance criteria and in the circumstances defined in the range statements.

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

**Assessment guidance** provides some examples of where to find the evidence and may offer some advice on how to interpret the standards. This section is for guidance only and should not be treated as mandatory.

Increasingly, standards will be written in a more user-friendly format which may result in changes to this approach.

# Who is involved in SVQs?

There are several roles:

- ◆ **the candidate:** the person who wants to achieve the SVQ (e.g. an employee)
- ◆ **the assessor\*:** the person who assesses the candidates and decides if they are competent (e.g. supervisor)
- ◆ **the internal verifier\*:** an individual nominated by the centre (e.g. a company) who ensures that assessors apply the standards uniformly and consistently (e.g. supervisor's line manager)
- ◆ **the external verifier\*:** an individual appointed by the SQA who ensures that standards are being applied uniformly and consistently across all centres offering the SVQ

\*Assessors and verifiers should have occupational expertise in the SVQs which they are assessing and verifying. They are also expected to obtain an appropriate qualification in assessment and verification — this can be in the form of the D-units (the national standards for assessment and verification) or an alternative qualification which the SQA recognises.

## How do you assess 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

# Your SVQ

There is some general information about the SVQ you will be assessing in the information sheet enclosed with this guide. It will give you details of:

- ◆ the type of person the qualification is intended for
- ◆ the lead body responsible for developing the qualification
- ◆ the structure of the qualification and the units it contains
- ◆ ways of accessing the qualification
- ◆ useful publications
- ◆ addresses and telephone numbers for further information
- ◆ reference numbers for the SVQ and details of its currency

## What SVQs are available for the industry and who are they for?

As all SVQs are available at different levels, each SVQ will cover different levels of skill, knowledge and understanding. It is important to become familiar with the structure of each qualification you assess, as each one will be made up of a different number of mandatory and optional units.

Here's an example of how levels work in practice (taken from the Travel and Tourism sector).

### Example

The level 2 SVQs in Travel and Tourism would be appropriate for anyone who has been working in the industry for six months or more, for example as a travel agency assistant. These qualifications would also be suitable for someone who has already achieved a qualification in Travel and Tourism, such as a National Certificate or Higher National award. Candidates entering at level 2 should expect to be given some autonomy and responsibility and may have to work as part of a team.

Level 3 SVQs in Travel and Tourism would be appropriate for someone who has either been in the industry for several years and has a high level of technical experience or is in a supervisory job or hoping to move into one. The awards include tasks in planning, organising and evaluating work and would be suitable, for example, for someone in the position of supervisor, team leader, assistant manager or tour leader. Candidates entering at this level should expect to take individual responsibility for staff and/or activities within the workplace'.

Level 4 SVQs would be appropriate for someone in a managerial position or hoping to pursue a career in management. The awards include tasks such as planning and allocating work, and evaluating own work and others' work, and would be suitable, for example, for someone in the position of manager or

trainee manager. Candidates entering at this level should expect to take personal responsibility for tasks which include complex, technical or professional work activities'.

## 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.

### Example: case study from Travel and Tourism

James had worked as a tour operator for four years but did not possess any formal qualifications. He wanted to do an award which would recognise the skills he already had and offer him the chance to gain a nationally-recognised qualification. Because of his experience in both planning and delivering tours the Training and Development Manager in his company advised him to consider a level 3 in Travel Services: Field Operations.

When the Training and Development Manager matched James's job remit and existing skills and experience with the SVQ it emerged that James should be able to generate sufficient evidence to meet the requirements of the following SVQ units:

- ◆ Planning Tours
- ◆ Leading Tour Groups
- ◆ Preparing/Providing On-Site Information/Advice/Assistance for Groups
- ◆ Presenting Information on Areas for Groups
- ◆ Enhancing Own Performance at Work

The T&D Manager arranged for one of the company's assessor's to provide James with guidance on how to collect evidence and construct a portfolio, for Accreditation of Prior Learning, to achieve these units.

James also had some experience in relation to three further units, however some planning was required in order to provide him with the opportunity to demonstrate competence in these areas. The units were:

- ◆ Contributing to On-Site Promotions
- ◆ Resolving On-Site Emergencies
- ◆ Create, Maintain and Enhance Positive Working Relationships

The T&D Manager arranged for the assessor to accompany James on a tour to observe and assess him for the first of these units. A simulated emergency situation was set up for the assessment of the second unit, and plans were made to assess the third unit through a combination of observation and questioning and assessment of work products.

James had no experience of the areas covered by the final five units, which were:

- ◆ Maintain Services and Operations to Meet Quality Standards
- ◆ Contribute to Establish/Maintain/Enhancing Customer Satisfaction/Loyalty
- ◆ Contribute to Maintenance of Standards of Travel Services Supplies
- ◆ Contribute to the Planning, Monitoring and Controlling of Resources
- ◆ Provide Information and Advice for Action Towards Meeting Organisational Objectives

Since James's job remit would not cover all these areas of the SVQ, the T&D Manager arranged for him to attend a local FE college and to shadow a senior member of staff for observation and practice in relation to the company.

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

### **Example: case study from Distribution and Warehousing SVQ level 2**

George had worked in a variety of warehouse and distribution outlets and recently obtained employment as a warehouse operative in the distribution centre of a large retail chain. During the first few weeks in his new job, George followed the company's induction course and during which he was told about the company's staff development programme.

Following the induction course, George had a meeting with the company's Depot Training Officer who explained the range of training opportunities available.

George decided he would like to achieve the level 2 SVQ in Distribution and Warehouse Operations due to his experience, skills and knowledge, so a further meeting was arranged with the Depot Training Officer to discuss the qualification in more detail and agree a training plan (Assessment Plan) for George to follow.

As a result of George's previous experience it was decided that he would be able to generate evidence to meet the requirements of the following units:

- ◆ Assemble Bulk Orders For Distribution To Customers
- ◆ Select Stock Items And Assemble Orders For Delivery To Individual Customers
- ◆ Process Customers' Orders For Goods
- ◆ Provide goods from stock on request

The Depot Training Officer arranged for George's shift supervisor, (who was also a trained assessor) to assist him with his collation of evidence for the above units. George was given guidance on the types of evidence which he would require.

# 2 Assessing the SVQ

## Planning

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 effective approaches to assessing your candidates.

### 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. Here is a bullet-point breakdown of each role:

#### Your role

- ◆ make sure that candidates understand what is going to be assessed, and how it is going to be assessed
- ◆ make sure that the conditions and materials that will be needed for assessment are available
- ◆ observe and record candidates carrying out the activities described in the standards — your records should say what has been observed, how it was carried out, and what it demonstrates
- ◆ question candidates and record the results
- ◆ authenticate the evidence that candidates provide (make sure they can prove it is really evidence of their own skills, knowledge, understanding etc.)
- ◆ help candidates to gather and present their evidence
- ◆ judge the evidence
- ◆ record candidates' achievement
- ◆ identify gaps or shortfalls in candidates' competence
- ◆ provide feedback to candidates

#### Candidates' role

- ◆ prepare for their assessment by familiarising themselves with the standards, making sure they know what is going to be assessed and how it is going to be assessed
- ◆ carry out the activities, and/or answer the questions, and/or gather and present the evidence for assessment
- ◆ receive feedback from the assessor

# Working with the standards

An important part of the assessor's role is to record how your candidate meets the standards. To enable you to do this effectively you will have to familiarise yourself with the standards, the knowledge requirements for each unit, the recommended assessment methods and sources/types of acceptable evidence.

## Planning for assessment

Planning is a crucial part of anyone's job and can often include written notes to help the individual remember key facts and figures. Assessment should be seen as no exception.

You should see workplace assessment as a natural process. This particularly applies if you are a workplace supervisor — assessing is already an element of your job. It should be structured in such a way as to cause the minimum disruption to the work environment. It helps if you make sure that all the assessment documentation you will need is ready before commencing.

Assessment opportunities should be identified as early as possible, and you should try to make the most of naturally-occurring events. You should also plan to make use of the work products available, for example cash float sheet, pricing sheets, stock control sheets, delivery/advice notes, checklist for cleaning rota.

You must take into account the availability of resources, including time. For example: equipment, tools, staffing, delivery times and busy trading periods.

Workplace assessment need not be a costly or time consuming process if your candidate is briefed and opportunities for observing several units/elements of competence are identified, i.e. if the assessment is integrated. This is especially useful for reducing the assessment workload of the candidate and assessor.

Planning for assessment does not mean that you should not make the most of any opportunities for assessment which happen to present themselves unplanned. Indeed, you should make the most of any unplanned opportunities, as this will minimise disruption to the work environment. For example, opportunities to assess:

- ◆ candidates dealing with customer complaints
- ◆ candidates carrying out display and merchandising
- ◆ candidates participating in good housekeeping
- ◆ may arise during the course of assessment of other activities

Peripatetic assessors will have to plan, organise, and schedule their assessing in a much more structured fashion than work-based assessors — making diary dates and times, and liaising with the various line managers prior to arranging assessment with candidates. This applies, for example, to: training providers whose candidates are on work experience placement, or Company Training Officers with responsibility for several site locations. Communication is the key to success for the peripatetic assessor.

## Matching your candidate's job activities to the standards

Your starting point for assessment will be interviews with candidates at which you will discuss their job role, and match the various activities their roles involve against the standards. Since you will be discussing the content of the candidates' jobs, some sort of job description document can be useful as a starting point for matching their skill areas against the standards. There is no specified or mandatory form for this, but a matrix in which you can match each element and performance criterion from each unit to each job activity an individual candidate regularly undertakes is a good starting point. You will also have to think about how these job activities cover the range.

### Example: case study from Retail Operations level 2

Susan felt she had little experience in these areas:

7764136    Contribute to the Maintenance of Health and Safety in the Workplace

7884016    Contribute to the Security of the Workplace

Since her job did not cover all aspects of those units, the Personnel and Training Manager arranged for the store's Health and Safety Officer and Security Manager to spend time with Susan and provide the necessary training. Simulation would be set up to observe how Susan would respond in an emergency situation. Susan was also provided with an assignment/case studies project for both Health and Safety, and Security. This consisted of questions, case studies, and fact finding missions about her store. It also formed part of a recent training package primarily introduced for induction purposes and would become part of the Company's in-house training programme. On completion of the training programme the Personnel and Training Manager recorded this information in Susan's personal file. Susan received a company-recognised certificate for her successful completion of, and participation in, this training programme — she placed a copy of it in her portfolio as evidence.

As 'developing and maintaining effective working relationships' is a key part of Susan's job, it was felt by meeting the requirements of the other units she would also generate evidence for *7954296 Contribute to Effective Working Relationships*. Extracts from her performance-appraisal report could also be used to demonstrate her competence in this area.

As a result of the meeting with the store's Personnel and Training Manager, an assessment plan was created for Susan detailing the units she would undertake. The assessment plan also included details of the assessment methods and the time scale involved. Susan and the Personnel and Training Manager agreed to meet again at a future date to review the progress made.

## The assessment plan

This next stage involves agreeing the assessment plan which details the units for assessment and methods to be used with your candidate. Discussing the assessment plan with your candidate is essential to ensure the candidates understanding of how, where and when they will be assessed. There's an example of a completed assessment plan on the next two pages.

Creating a written assessment plan allows the candidate to be involved and take ownership of the planning process. It also leaves both parties free of ambiguity as to what is required, including when and what has been agreed.

The plan will need to be periodically reviewed, and this will sometimes involve remedial action due to a change in the candidate's circumstances. For example, if the candidate were moved to another department, it might now be difficult to achieve a particular unit.

## Candidate Assessment Plan

Qualification/Award Title: SVQ in Retail Operations Level II																	
Candidate: Susan Jones																	
Assessor: A Smith																	
Unit Title(s):	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">Meet Customer Needs for Information and Advice</td> <td style="width: 50%;">5794076</td> </tr> <tr> <td>Process Payments for Purchases</td> <td>6734146</td> </tr> <tr> <td>Control Cash and Credit Transactions</td> <td>6734076</td> </tr> <tr> <td>Help Customers Choose Between Products</td> <td>5794136</td> </tr> <tr> <td>Display Stock</td> <td>5724056</td> </tr> <tr> <td>Provide Goods from Stock</td> <td>5724196</td> </tr> <tr> <td>Health and Safety</td> <td>7764136</td> </tr> <tr> <td>Security</td> <td>7884016</td> </tr> </table>	Meet Customer Needs for Information and Advice	5794076	Process Payments for Purchases	6734146	Control Cash and Credit Transactions	6734076	Help Customers Choose Between Products	5794136	Display Stock	5724056	Provide Goods from Stock	5724196	Health and Safety	7764136	Security	7884016
Meet Customer Needs for Information and Advice	5794076																
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Display Stock	5724056																
Provide Goods from Stock	5724196																
Health and Safety	7764136																
Security	7884016																
Unit Number(s):																	
Element Number(s): All associated with above																	

Unit/Elements	Activity/Evidence to be provided	Method of Assessment	Target date for assessment	Comments
5794076 6734146	Interaction with customers, answering questions, serving customers at cash point.	Observation, questioning and witness testimony	February 1997	
5794136	Assisting customers, selecting goods	Observation and questioning	March 1997	
6734076	Secondment to Finance Office to undertake Credit Control and Customer's Accounts	Observation, questioning and examination of product	April 1997	Will provide greater understanding and will assist individual when dealing with customer queries

<p><b>Training Needs Identified and Agreed: (insert details)</b></p> <p>Requires training in some aspects of display and will spend time assisting display team.</p> <p>Secondment to Stock Room to obtain experience of operating in-house stock control system.</p> <p>Health and Safety plus Security to be covered by the Company's in-house training programme - information received at Company induction course.</p>
---

**This plan has been agreed by the candidate and the assessor.**

**Assessor's Signature:**                      A Smith          

**Candidate's Signature:**                  Susan Jones

## Candidate Assessment Plan (cont'd)

<b>Review/Remedial Assessment Plan</b>					
Date	Unit/Elements	Activity/Evidence to be produced	Method of Assessment	Target date for achievement	Comments
Mar 97	5724196	Operating in Stock Room locating and obtaining goods for Customers	Observation, Witness Testimony and Questioning	May 97	Observation to be conducted by Stock Room Supervisor

**This plan has been agreed by the candidate and the assessor.**

**Assessor's Signature:**           A Smith                **Candidate's Signature:**           Susan Jones          

Date	Unit/Elements	Activity/Evidence to be produced	Method of Assessment	Target date for achievement	Comments
June 97	5724056	Opportunity to Create Promotional Displays - Seasonal Theme, Summer and Special Promotions	Observation, Questioning and Witness Testimony	June 97	Observations and Witness Testimony from Display Supervisor

**This plan has been agreed by the candidate and the assessor.**

**Assessor's Signature:**           A Smith                **Candidate's Signature:**           Susan Jones          

Date	Unit/Elements	Activity/Evidence to be produced	Method of Assessment	Target date for achievement	Comments
June 97	7764136 and 7884016	Given responsibility for safety checks over 3 month period including time spent analysing pre-recorded and live CCTV to identify potential hazards and security issues	Observation, Questioning, Witness Testimony and Examination of Product Evidence	Oct 97	Following training by Health and Safety and Security staff, opportunities will be created to allow demonstration of competence within these areas backed by assignments and questioning

**This plan has been agreed by the candidate and the assessor.**

**Assessor's Signature:**           A Smith                **Candidate's Signature:**           Susan Jones

# 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 takes account of available resources, equipment and time

## **Example: selecting assessment methods (from Using Information Technology level 2)**

It is likely that many methods of assessment will be utilised for the PCs and range in each element. There is an illustration of the types of evidence which can be used for unit 8864055 *Enable Use of Information Technology Solution* opposite and overleaf.

The evidence in the tables is only an indication of what could be assessed and is in no way exhaustive. You will also find that evidence for this unit can be used across other units and elements, resulting in time being saved for both candidate and assessor. You should identify this up front.

### **Observation**

Observing performance of IT skills will be the most common method used in assessing the SVQ. The evidence requirements throughout the SVQ say that observation of the candidate is required.

There are many areas in the qualification where observation is the most suitable form of assessment. Examples include:

- ◆ candidate following regulations
- ◆ preparing equipment correctly for use
- ◆ cleaning of equipment
- ◆ candidate communicating effectively

Obviously, on most occasions the candidate will be able to support observation with other types of evidence.

### **Product evidence**

Product evidence will be used a lot — several elements include the production and printing of documents. The exact nature of this evidence can vary widely depending on what the candidate's job entails, but examples of product evidence include: letters, memos, lists, posters, graphs, reports etc.

## **Examination of records/documentation**

Records will be an important source of evidence that will require to be assessed as many logs or reports are essential to complete parts of the SVQ. These include:

- ◆ worksheets
- ◆ error log
- ◆ maintenance records
- ◆ file structure prints
- ◆ fault reports
- ◆ backup log
- ◆ development plans
- ◆ record of achievement
- ◆ schedules
- ◆ health & safety reports

<b>Element 1 Prepare Use of Information Technology</b>	
<b>PC</b>	<b>typical evidence (not all evidence may be necessary)</b>
a	Copy of specification/customer requirements Candidate report detailing what IT used to meet spec. ie what software appropriate (Preparation report) Observation from assessor/supervisor
b	Candidate report about what equipment and materials selected and their suitability to the task (Preparation report) Observation from assessor/supervisor via checklist
c	Logbook entry showing candidate checked equipment Observation from assessor/supervisor
d	Candidate report stating how accessed and chose software (Preparation report) Observation from assessor/supervisor
e	Copy of data to be used Supervisors/peer report stating permission was given to candidate about data
Notes on RANGE Checklist to make sure all range is covered. Candidate statement to identify the regulations candidate adhering to whilst at work.	
<b>Element 2 Monitor Use of Information Technology</b>	
<b>PC</b>	<b>typical evidence (not all evidence may be necessary)</b>
a	Candidate statement about environment working in Observation from assessor/supervisor
b	Candidate health & safety checklist Observation from assessor/supervisor
c	Fault/error report Candidate logbook Candidate schedule
d	Candidate report about how this is maintained. Supervisor/peer report Observation from assessor/supervisor
e	Supervisor/peer report Observation from assessor/supervisor
f	Fault/error report Candidate logbook detailing problem and how it was solved Copy of regulations followed if applicable Statement from other person involved if applicable Observation from assessor/supervisor
Notes on RANGE Checklist to make sure range covered. Outside own authority - statement from person candidate asked/received help from.	

<b>Element 3 Conclude Use of Information Technology</b>	
<b>PC</b>	<b>typical evidence (not all evidence may be necessary)</b>
a	Directory listing once file saved to check filename and location Observation from assessor/supervisor
b	Candidate statement about where files are secured and procedure followed Observation from assessor/supervisor
c	Directory listing before deletion Directory listing after deletion Observation from assessor/supervisor
d	Directory listing before deletion Directory listing after deletion Supervisors/peer report stating permission given Memo from appropriate authority giving permission Observation from assessor/supervisor
e	Logbook entry Observation from assessor/supervisor
f	Statement from supervisor/peer Observation from assessor/supervisor
Notes on RANGE Checklist to make sure all range is covered.	

## Questioning and simulation

Both questioning and simulation are likely to be used at some time with all candidates, depending on what evidence and knowledge is generated naturally. Questioning is generally used to support other evidence and show knowledge and understanding of each element. It can also be used alongside simulations for gap-filling.

## Testimony — personal & witness

Testimonies are very useful sources of evidence for the SVQ as they can describe each activity in detail. This is useful as many IT activities need explanation before they can be used as evidence. Generally, testimonies will be used to support other evidence produced.

## Documents to help you

### Observation/Questioning Checklists

Observation plays a large role in assessing the level 2 SVQ, and you will find it useful to have checklists ready prepared for different situations and activities. As you are preparing for assessment with the candidate, now is a good time to start to think about preparing your checklists — doing this may well arise naturally out of drawing up the assessment plan.

You will also find it helpful to refer to some schematic representation of the way the candidate's job activities relate to the standards. Here we suggest a matrix, but you might be able to think of another way of doing this.

### Matrices for job activities

Drawing up an evidence matrix, for each element, allows you (or the candidate) to record the job activities performed against the performance criteria, range and knowledge specification. You and the candidate can fill the matrix in as the candidate progresses through the SVQ, but you may both find simply having it a useful guide to where to start. Once you and the candidate have started to fill it in, you will be able to see at a glance the candidate's progress in each element, and the type and location of the evidence in the portfolio.

The evidence matrix shown is for element 1 in Unit 8864055. It has spaces for:

- ◆ candidate's name and assessor's name
- ◆ date achieved
- ◆ assessors initial
- ◆ portfolio reference number
- ◆ activity/description
- ◆ type of evidence
- ◆ range
- ◆ PCs
- ◆ knowledge specification
- ◆ internal verifier date & initial

Additionally, the matrix has spaces for the signature of the candidate and the date the element was achieved. This allows it to be used as an achievement record. Your internal verifier and external verifier will also be able to use the matrix as an aid to the verification process. These are the various parts of the matrix:

<b>achieved (date)</b>	this is the date that the assessor assesses all the evidence relating to a particular task
<b>assessor</b>	the assessor will initial to show the verifier who assessed the evidence
<b>portfolio ref no</b>	this is the number/code that identifies where the evidence can be found in the portfolio
<b>activity/ description</b>	this is a brief explanation of the type of task that is being assessed. Mail merge is the example given
<b>type of evidence</b>	this identifies the types of evidence in the portfolio. The example shows that observation, finished product, documentation and personal testimony have been used
<b>evidence ref no</b>	this identifies the evidence in each portfolio pack — you are likely to have many different pieces of evidence to examine for a particular task, and it may not all be relevant to individual elements. If the evidence is held together in one wallet, it will be beneficial to number each piece of evidence
<b>range</b>	<p>the range has been assigned a number and each range statement a letter, even though it is not that way in the standards. e.g.</p> <ol style="list-style-type: none"> <li>1. Materials: (a) magnetic media, (b) consumables</li> <li>2. Equipment: (a) installed supplied processor, (b) installed supplied input device, (c) installed supplied output device</li> <li>3. Software: (a) pre-installed application software,(b) system software</li> <li>4. Regulations: (a) organisations, (b) legislation, (c) health &amp; safety, (d) equipment manufacturers, (d)software supplier</li> </ol> <p>This allows you to put letters in the boxes if only some of the range is completed or a tick if all range has been covered. The example shows that all the range is covered</p>
<b>performance criteria</b>	the performance criterion can be ticked if it was covered
<b>IV date &amp; initial</b>	the date that internal verification was performed on a certain pack of evidence and the initial of the internal verifier will be recorded here

**Evidence Matrix**

**Candidate:** Miss Candidate      **Assessor:** Mrs Assessor      **Date Started:**

**Qualification:** SVQ in Using Information Technology, Level 2

**Unit:** 8864055 Enable Use of Information Technology Solution      **element 1** 'Prepare use of Information Technology'

Achieved (date)	Assessor ref	Portfolio	Activity/Description	Type of Evidence	Evidence ref no	Range				Performance Criteria					I.V.Date & Initial
						1	2	3	4	a	b	c	d	e	
21/08	MA	pack 1	Mail Merge	O,F,D,P	1-4										10/09 MI
02/09	MA	pack 4	Equipment diagnostics	O,D	1&2	a		b							10/09 MI

Portfolio ref no	knowledge specifications						type of evidence
	i	ii	iii	iv	v	vi	

**KEY**  
 Assignments & Projects (A),  
 Documentation/Records (D),  
 Finished Product (F),  
 Logbook (L),  
 Observation (O),  
 Personal Statement (P),  
 Questioning (Q),  
 Simulation (S),  
 Witness Testimony (T)

**Date of achievement of element:**

**Candidate's Signature:**

If you need more information about methods of assessment and approaches to assessment, you can refer to the SQA's *Guide to assessment*, which describes and explains various methods.

## Setting the scene

Some points to remember about workplace assessment:

- ◆ workplace assessment requires planning, but should still be a natural process, as far as is possible
- ◆ your time with the candidate and others involved should be planned — secure time for assessment and get the agreement of line managers, if needed
- ◆ candidates should understand the standards and the terminology, and what is to be assessed
- ◆ assessment activities should be designed to identify and make the most of opportunities available to the candidate in the workplace (e.g. use naturally-occurring evidence such as memos, letters and other work-products, and make the most of naturally-occurring activities and situations, such as dealing with difficult customers)
- ◆ the required equipment/resources/realistic work environment/quiet atmosphere etc. should be secured
- ◆ opportunities for repeat assessments, if required, should be planned
- ◆ the use of integrated assessment, if it is appropriate, requires planning — **and is especially important for reducing the assessment workload on both the candidate and the assessor**
- ◆ visiting (peripatetic) assessment (where you do not work for the same organisation, or on the same site, as the candidate) may also require more planning (see *Guide to assessment*)
- ◆ mentors can sometimes be used in helping the candidate prepare for assessment (see *Guide to assessment* for the role of the mentor)

Before starting the SVQ it is important that you know that your candidates will be able to generate the evidence specified in the evidence requirements of the standards, and that they are working in the proper working environment — i.e. with pressures, constraints and interruptions — and have access to the equipment they will need.

The greatest part of the evidence should be generated through naturally occurring evidence in the workplace i.e. evidence generated through natural day-to-day work. This evidence should be assessed as it occurs, and you can make sure that this happens by thorough planning and scheduling. This also saves candidates from repeating work for assessment, which saves time for both you and the candidate.

You should plan for assessment to be undertaken with the natural interruptions which usually occur in the candidate's position i.e. if the candidate usually answers the telephone while completing any task, then this type of interruption should be dealt with as normal.

## **Planning for contingencies**

The only area which is always hard to plan for is assessing contingency situations, such as faults and errors, and emergency or health and safety situations — these situations, by their nature, occur spontaneously. This type of evidence should be assessed as it occurs to allow consistency in the ‘natural environment’.

## **Help for candidates**

When working towards the qualification, the candidate may require help in planning and gathering evidence. They may receive help and guidance from a mentor. This person, who is usually in a supervisory role, should have considerable professional experience and knowledge of the SVQ subject area. Mentors should advise the candidate on how to progress through the award by giving guidance on what the qualification consists of and how candidates can generate necessary evidence. They should be able to assist candidates with retaining evidence for the assessor, and with proving the authenticity of evidence by providing witness testimonies to support it.

## **Planning for visiting assessors**

Visiting assessors must be utilised in your organisation if you do not have any suitable assessors available. This may be due to:

- ◆ not having a qualified assessor in your organisation
- ◆ the assessor being related to the candidate and therefore prohibited from acting as an assessor
- ◆ the qualified assessor working on shifts which do not correspond to the candidate’s hours

Using a visiting assessor will involve further planning and organising, as more emphasis will be placed on arranging the most suitable time for assessment. Dates and times should be arranged and agreed with candidates first (to allow them the best opportunities to demonstrate their competence in their job role). All the necessary forms — observation checklists etc. — should be ready for use to save valuable time for both parties. Integrating the assessment of various units and elements is a good way to optimise the use of the assessor’s time.

Correct and careful planning throughout the qualification is good practice to ensure that the award runs smoothly from start to finish, minimising pressures on the candidate or others involved and insuring the SVQ is achieved in a reasonable amount of time.

# Benefits and challenges of assessing SVQs in the workplace

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

The benefits include the fact that assessment can take place when candidates feel they are ready to be assessed, and at their own pace. Candidates should, because they are in their own place of work, be familiar with the work routine, and have carried out the procedures or performed the task being assessed several times before actually being assessed. Candidates will be able to identify and make use of naturally-occurring evidence and activities such as memos, letters, and other work products, which arise as they carry out their normal duties.

The challenges to be faced could include the possible non-availability of the assessor when the candidate is, for example, chairing a meeting, or carrying out an inspection with management, which the assessor might wish to observe. Another is that the pressure of work in the workplace could affect candidates (and other people involved) when undertaking an assessment. A third is that, because candidates will be very familiar with the workplace, obvious hazards could be overlooked.

## Examples (from Occupational Health and Safety level 2)

1. If you work alongside the candidate, you should be well placed to observe the candidate's performance by observation as situations arise naturally. It would be useful to have a prepared checklist available and a set of devised questions to ask about the situation afterwards.
2. Unit 7747055 *Maintain the Health and Safety Policy* element 1 'Determine and draft changes to the policy', can, under certain circumstances, cause problems to candidates. You can accept evidence based on a case study with candidates carrying out a review of their organisation's safety policy, highlighting its strengths and weaknesses, and making recommendations on changes where necessary.

# Generating evidence

The methods of assessment you use should generate evidence which meets the evidence requirements section of the standards for the SVQ. Here are some examples of the ways in which various assessment methods can be applied. Again, if you need more explanation of any of these methods of assessment, please see the SQA publication *Guide to assessment*.

## Observation

### Example (from Procurement levels 3 & 4)

#### Observation

Much Procurement activity is of an interactive nature and candidates will spend a considerable part of their working day in consultation and information exchange with both internal colleagues and representatives of external suppliers. Some of this communication will be formal contractual type documents for example enquiries, quotations, purchase orders, acknowledgements, delivery notes and invoices etc. There will also be letters, faxed messages, electronic mail and notes of meetings, visits and negotiations. A lot of documentary evidence will be available from naturally occurring events, decisions and records.

However much of the contact will be verbal some of it face to face, some of it in meetings, some of it recorded in notes or correspondence, but the majority probably by telephone, and largely unconfirmed in writing:

- ◆ accessing information sources — level 3 units 9, 16, 24, 25, 31, 32, 33, 34, 35; level 4 units 17, 22, 24, 27, 28, 37, 38, 39, 40, 41, 42
- ◆ dealing with enquiries — level 3, units 16, 24
- ◆ interaction with colleagues and suppliers — level 3 units 9, 10, 11, 12, 14, 15, 16, 23, 24, 25, 31, 32, 33, 34, 35, 36; level 4 units 13, 17, 18, 19, 20, 21, 22, 24, 26, 27, 28, 38, 40, 41, 42
- ◆ mentoring colleagues — level 4 unit 18
- ◆ progress chasing — level 3 unit 14,16,24,36; level 3 unit 22.

These are the sort of activities where observation is necessary as part of the assessment of competence. Evidence sheets recording observed performance should say what was observed, how the activity was carried out, why, what it demonstrates etc.

## Questioning for knowledge and understanding

### Example (from Procurement levels 3 & 4)

#### Questioning for knowledge and understanding

The Procurement function in an organisation is complex and wide ranging. Staff involved in Procurement are seldom bored because of the wide variety of tasks and duties undertaken. This breadth of activity requires considerable underpinning knowledge and a key part of the assessment is that this knowledge is adequately tested.

Wherever possible the candidate's knowledge and understanding should be assessed in parallel with assessment of practical competence. If this is not practicable you must ensure that the candidate fully understands how they link together. Oral questioning can be replaced with, or supported by, written questions but this should not be allowed to become a barrier to the candidate.

The candidate should be aware of the reasons for questioning:

- ◆ to check that candidates know why they have done something in a certain way ('why' type questions)
- ◆ to check on transferability of skills and to infer competence in other areas of the range ('what if' type questions)
- ◆ to check on all related or relevant areas of knowledge
- ◆ to check on process skills, and for authentication if a product has been produced or where witness testimony has been used

For example the level 4 mandatory unit 6850226 *Provide Commercial Input to Decision Making* calls for the following underpinning knowledge and understanding:

- ◆ analysis and evaluation methods and techniques (elements 1, 2, 3)
- ◆ financial analysis and forecasts, costs, prices, flows (elements 1, 3)
- ◆ information sources: databases, journals, indexes (element 2)
- ◆ market analysis (elements 1, 2)
- ◆ organisational procedures, purchasing, work activities (elements 1, 2)
- ◆ organisational strategies, policies and plans: general sourcing, purchasing (elements 1, 2)
- ◆ providing and presenting information (element 3)
- ◆ risk analysis (elements 1, 2)

To meet these requirements candidates should be able to demonstrate their knowledge and understanding of the following:

- ◆ how to analyse organisational plans
- ◆ what type of commercial action can be taken, and how procurement can contribute to its achievement
- ◆ how the procurement function can assist in addressing commercial issues

- ◆ what are the organisations strategies, policies and plans that are relevant
- ◆ what type of financial analysis and forecasts could be used
- ◆ what type of risks and benefits can arise from the analysis of commercial issues
- ◆ what commercial issues have emerged in the past
- ◆ why is it important to conduct a market analysis
- ◆ how should recommendations be presented

This unit is all about how Procurement takes its lead from the objectives of the overall organisation's plan and aligns its strategies and actions to help achieve these ends. It is also about how Procurement with its responsibility for managing external resources, carefully examines how they match up to the needs of the plan and identifies and recommends actions to realise fully any available benefits and to minimise risks.

There are many other examples of questions and answers which might prove useful as examples of the sort of thing you could be asking candidates to prove their knowledge and understanding. For example, at level III in unit 010 Maintain the effectiveness of procurement operations, questions might include:

**Q** Who are the users of purchasing operations?

**A** Internal customers including specifiers, end users in production and service departments, processing departments for conversion of incoming materials, directors, senior managers and heads of departments for guidance on, and good management of external resources.

**Q** How should procurement objectives be specified?

**A** Procurement objectives will be flowed down from senior management and will be aligned to the objectives of the of the company or overall organisation. There will be long-term strategic objectives and shorter term more tactical goals and targets to improve the effectiveness of the procurement operation and the relationship between the business or organisation and key suppliers. Objectives will be agreed by multi-functional teams working together to achieve them.

**Q** What criteria are used to assess proposed procurement operations?

**A** Value added contribution in the form of savings and risk reduction  
 Contribution to the aims and objectives of the overall organisation  
 Achieving scheduled delivery requirements  
 Optimising inventory levels and stock turnover

**Q** What types of personal targets for procurement can be established?

**A** Cost and risk reduction. Negotiation targets. Involvement in specification process and cross functional value analysis and value engineering teams. Throughput times for purchase order processing. Supplier development. Vendor rating improvement. Improve service level, overdue delivery and shortage reduction.

**Q** What types of key indicator can be used?

**A** Ratios and values including purchasing operating cost as a percentage of turnover, number of purchase orders per year, average value of purchase orders, percentage of orders under £200, cost of order, purchase order cycle time, value of savings.

**Q** What is the relevant legislation relating to procurement operations?

**A** Sale of Goods Act, Law of Contract, Health and Safety at Work, Control of Substances Hazardous to Health (COSHH)

EC Procurement Directives for public sector organisations and utilities. World Trade Organisation (formerly GATT).

## **Product evaluation**

Product evaluation can involve assessment of the actual product (supported by questioning) or assessment of records of the product. You should assess the product using the standards or checklists drawn from the standards.

### **Example (from Guidance level 3)**

Product evaluation can involve assessment of actual products (supported by questioning) or assessment of records of the product. You should assess the product using the standards or checklists drawn from the standards. To ensure confidentiality is maintained, clients' names and personal details should be omitted from any products such as clients' records.

### **Examples**

Client case-notes or records of interviews can provide evidence for performance criteria from various elements such as 'Establish interaction with clients' (unit 7930605 element 1), 'Enable clients to identify issues and concerns' (unit 7930605 element 2), 'Evaluate own practice' (unit 7930565 element 1), 'Identify options for referral' (unit 7930705 element 1).

Copies of implementation plans or action plans produced with individual clients can provide evidence for 'Assist clients to plan the implementation of the course of action' (unit 7930695 element 1) or 'Enable clients to select an option' (unit 7930725 element 1).

## **Simulation**

Simulation is any structured assessment exercise involving a specific task which reproduces real-life situations. You should check the evidence requirements for guidance.

Simulations are special assessment situations carried out in the workplace or away from it and should reproduce workplace conditions. Simulations enable you

to assess elements which are impossible to observe during normal work, such as emergencies, infrequently occurring events, or those including confidentiality.

### **Example (from Retail Operations level 2)**

Simulation is any structured assessment exercise involving a specific task which produces real-life situations. You should check the evidence requirements for guidance on whether simulation is appropriate to what you are about to assess before considering using it.

Element 3 of unit 7764136 *Contribute to the Maintenance of Health and Safety in the Workplace*, requires your candidate to 'Implement procedures to deal with the risks to health and safety'. As this may not be a naturally occurring event, a simulation could be designed to allow candidates to demonstrate their competence.

Roleplay supported by oral questioning would be an appropriate assessment method for 7884016 *Contribute to the Security of the Workplace*, which requires candidates to take action to reduce risks if people are behaving violently.

To be successful, simulations rely on candidates being fully briefed on the content of the material and the assessment method being used. They also need to be clear about how the outcome of the simulation relates to the overall assessment process they are undertaking. By designing the situation, briefing your candidate, and observing their performance, you will be able to elicit evidence which will help you judge how your candidate is most likely to perform in given situations.

### **Filling the gaps in candidates' evidence**

It may be that your candidate has provided evidence for most of the unit (or SVQ) but there are some gaps (for example, handling contingency situations). This is quite a common situation which must not be allowed to prevent a capable candidate from achieving the SVQ. You may find that you will need to use questioning for supplementary evidence, or to create a simulation by presenting the candidate with a 'what if?' case study. In some circumstances, particularly at level 4, this may be insufficient to cover a wide gap, and there may be no real alternative to arranging for the candidate to move to another location to gain experience and have an opportunity for assessment in the area of competence in question.

### **Example (from Procurement levels 3 & 4)**

For an example of how a 'small' gap can be filled, consider unit 6850216 *Contribute to the Establishment and Evaluation of Current and Future Requirements for Supply* element 3 PC 1 'Type of supply agreement recommended is appropriate to the present and anticipated needs of own organisation'.

The evidence supplied by one candidate was a series of purchase agreements, including one which had been negotiated for a range of standard consumable items (in this case disposable gloves for a research institution) arranged as a

scheduled order with deliveries at the start of each month. Why not use spot orders or a 'call-off' agreement?

The candidate was set an assignment to set out the costs, benefits and drawbacks associated with each type of order and to tabulate these to justify the choice of a scheduled order for the disposable gloves. This was done by calculating all aspects of the cost of ordering for a twelve month period (see next page):

Categories	Spot	Call off	Schedule d
Order value	£5472	£5472	£5472
Staff time to raise order 20 mins (notional)	<a href="#">12@£5=60</a>	5	5
Staff time to clear invoice (notional)	<a href="#">12@£5=60</a>	60	60
Phone/fax/postage	4.80	4.80	4.80
Delivery	120	120	0
Price discount offered	0	-228	-456
Storage cost (notional)	100	75	50
Waiting time (potential)	7 to 10 days	1 day	1 day
Total administrative cost	£344.80	£36.80	-£336.20 (saving)
<b>Total cost of acquisition</b>	<b>£5816.80</b>	<b>£5508.80</b>	<b>£5135.80</b>

<p><b>Spot</b></p> <p><b>benefits:</b> minimal risk of being over-stocked</p> <p><b>drawbacks:</b> highest administration costs, no guarantee of supplier stock levels, 7 to 10 days lead time, no discount benefits, highest storage cost, highest overall cost</p>
<p><b>Call off</b></p> <p><b>benefits:</b> lower administration cost than spot, discount bonus, guaranteed supplier stocking levels, minimal lead time</p> <p><b>drawbacks:</b> storage cost higher than scheduled (assuming uniform usage), less discount than with scheduled</p>
<p><b>Scheduled</b></p> <p><b>benefits:</b> lowest administration cost, improved discount, guaranteed supplier stocking levels, known delivery dates, no delivery charges, lowest overall cost</p> <p><b>drawbacks:</b> less flexible than call off</p>

While some of the cost figures are clearly notional, the candidate's response now shows a good understanding of the analytical process required to back up the choice of type of supply agreement appropriate to the present and anticipated future needs of own organisation.

At level 4 gaps may be more difficult to fill by assignment. For instance, in

unit 6710586 *Initiate and implement change and improvement in services, products and systems*, for some candidates it may be necessary to arrange a secondment or a temporary move to a section or division involved in a Total Quality Management process to satisfactorily meet some of the performance criteria.

### **Integration**

Identifying assessment of real work activities usually means designing an integrated assessment which draws on the contents of different units.

Evidence of integrated assessment should be cross-referenced to original PCs, elements and units for verification.

### **Example: case study from Using Information Technology level 2**

Assessing real work activities usually means designing an integrated assessment which draws on the contents of different units. It will also mean having to cross-reference evidence to original PCs, elements and units for verification.

The standards for this award have been written in a way that combines all units, enabling you to integrate assessments. Candidates will naturally cover different parts of the award simultaneously if good IT working practices are followed.

It is good practice for assessors to look at each activity as a whole, and assess it across all the units it is relevant to. This is the most sensible approach to the SVQ, since focusing only on small sections will result in lost opportunities for assessment, repetition of assessable work, and wastage of time and resources. Using the 'integrated' approach will enable the evidence to be put to better use, as the task will cover many elements across the award.

The approach will also be beneficial to the candidate, as they will see the relevance of what they are doing to all units, which will help them achieve the SVQ more quickly.

The scenario below shows how a job activity can provide evidence across the SVQ as a whole.

### **Scenario**

Lorraine was asked by the Marketing Officer to send out an urgent mail shot to the company's existing 300 clients, detailing the company's new address and telephone/fax numbers. This task involved:

- ◆ rescheduling her workload
- ◆ creating a database (which is compatible with the word processor) and entering all the contact names and addresses from information found in the filing cabinet
- ◆ typing up the standard letter (utilising paragraph numbering), given by the Marketing Officer, that was to be sent to all the clients on the company wordprocessor using company letter format

- ◆ proof reading and spellchecking of database and letter for accuracy
- ◆ saving the two documents created using company procedure
- ◆ consulting on-line help for mail merge procedure
- ◆ mail merging the letter and database
- ◆ printing the letters on letterheaded paper and addresses onto labels
- ◆ backing up the database on to floppy disk so it could be used again and is safe
- ◆ filling in a worksheet detailing job information
- ◆ following all regulations whilst doing the job
- ◆ giving the letters and labels to mail person for mailing

Throughout the task Lorraine consulted the Marketing Officer with any queries she had.

The table opposite gives an indication of the pcs and range in each unit that this task could be relevant for. Obviously, each case may have different circumstances e.g. the candidate may make an error while carrying out the task. The evidence that could be generated might include:

- ◆ observation checklist
- ◆ personal statement
- ◆ customer requirement/job request/worksheet
- ◆ copy of schedule/action plan
- ◆ copy of standard letter (possibly showing merged field names)
- ◆ copy of database file (if not confidential)
- ◆ witness testimony from mail person to show information passed on
- ◆ witness testimony from marketing officer stating job completed satisfactorily
- ◆ file structure print — to show files saved
- ◆ copy of completed backup form
- ◆ copies of original data source
- ◆ printout from on-line help
- ◆ list of resources used

Clearly, it is not necessary for all this evidence to be presented for assessment — the list simply highlights the different types of evidence that may be available.

This example demonstrates how the use of integrated assessing will be beneficial in the award as it minimises repetition of assessing, thus saving time.

**Integration Table**

UNIT	ELEM.	PC	RANGE	KNOWLEDGE
8864055	1	a,b,c,d,e	Materials: All Covered Equipment: All Covered Software: All Covered Regulations: All Covered	i-vi
8864055	2	a,b,c,d,e	W. Env.: Equipment,Software, Furniture Specified Req.: Own Authority Regulations: All Covered Records: Worksheets System: All Covered Materials: All Covered	ii-iv; vi
8864055	3	a,b,e,f	Data:Sources Security Requirements: All Covered Materials: All Covered System: All Covered	i-viii
8864065	1	a,b,c,d,e,f	File: All Covered Data Requirements:Unspecified Data:Text Device: All Covered Org. Standards: All Covered	i - vi
8864065	2	a,c,d,e,f	Data: Text Layout: Page Size, Page Orientation Format: Appearance, Margins, Paragraphs Document Handling Facilities: Merge Structure Facilities: Paragraph Numbering	i - v
8864065	3	a,b,c,d,e,f	Destination device: All Covered Output Parameters:No of Copies, Print Definition	i - v
8864075	2	c,d,e,f,g	File Operations:Storage drive, Path, Directories Security Requirements:Frequency, Location, Media Records: Backup Log	v
8864085	1	a,d,e,f	Facilities: All Covered Resources: All Covered Materials: All Covered	i,ii
8864085	2	a,b	Reference Materials: On-line Help	i, iii
8864085	3	a,b,c,e,f,g	Tasks: Unexpected, Important, Urgent Resources: All Covered Planning Aids: Schedules, Action Plans	i,iii,iv
8864085	4	a,b,c,d,f	Colleagues:Line Manager, Other Related Colleagues Opportunities: Informal Communication: Oral	i,ii,iv

## **Guidance and support to candidates**

The feedback you give to your candidates should be on-going, and should relate to the standards, including the range and evidence required.

You should provide guidance on the need for repeat assessments — and any shortfall in competence. These should be discussed in terms of ways to plan for re-assessment.

You should also give feedback to candidates' line managers to encourage and support candidates, and to the mentor, if a mentor is being used.

# Judging evidence and making an assessment decision

## Sufficiency of evidence

Evidence should cover the performance criteria, range, knowledge and understanding requirements, and evidence requirements (including the stipulations for ‘performance’ vs ‘knowledge’ evidence etc.) of the standards.

Remember — the range is mandatory, and evidence should show that it has been covered.

### Example (from Procurement levels 3 & 4)

Sufficient evidence must be presented to convince the assessor that the candidate can perform competently, now and in the future, to the required standard. The extent of evidence depends on the requirements for each element, but generally portfolios containing a wider variety of evidence will be more convincing than those which contain only examples of the same type. Where the evidence as a whole convinces the assessor that the candidate can confidently and ably repeat the process in the future without help, then there will probably be sufficiency of evidence.

For example in unit 6710576 *Contribute to the Development of Policies and Plans*, the information obtained to assist in the evaluation of policies and plans will be much more convincing in demonstrating the sufficiency of the candidate's competence if it includes all of the following:

1. Future volume requirements from the organisation plan; market availability forecasts and capacity plans from key suppliers.
2. Product cost breakdown to meet marketing targets; pricing forecasts by suppliers, and trends extrapolated from pricing history compared to relevant databases and indices.
3. Implications of exchange rate changes on imported materials; extrapolated trends.
4. Innovative opportunities and product position in design life cycle; potential new market entrants or developing alternative supplies.
5. Quality improvement and waste reduction potential.
6. Changes in legislation, any environmental considerations.

In unit 6850226 *Provide Commercial Input to Decision Making*, the candidate's evidence collection for competence in risk and benefit analysis will be easier to accept as sufficient if the following processes are included:

1. Value engineering of new products and processes and value analysis of existing ones.

2. Challenging risks in the specification.
3. Risk analysis of the sourcing decision.
4. Risk protection in contracts including contract price adjustment formulae.
5. Exchange rate considerations.
6. Advance payments and performance guarantees.
7. Risks associated with time including the value of liquidated damages clauses.
8. Environmental risk criteria.

## **Authentication**

Authentication is required where you have not observed a candidate's performance at first hand — the evidence which has been generated can be checked through questioning the candidate, or by using witness testimony.

### **Example (from Retail Operations level 2)**

Authentication is required where you have not observed performance at first hand — evidence can be checked through questioning the candidate or by using witness testimony.

Evidence should refer to the candidate's own work. However, there may be occasions where your candidate has worked as part of a team to achieve an objective. For example: 5724056 *Display Stock to Specification to Attract Customer Interest*. If the display is particularly large, say a large window display, then your candidate may have worked with others to produce the end result. This may have benefits in terms of integrating assessment with other elements (e.g. 7954296 element 2 'Work with colleagues to optimise productivity') but you will also have to take care to authenticate what aspects of the evidence is directly attributable to your candidate. This can be achieved by asking questions of your candidate or obtaining witness testimony from the others involved.

## **Witness testimony**

Witness testimony should be viewed as supporting evidence — it is unlikely to be sufficient in itself for an assessment decision to be made and would normally be supplemented by questioning candidates.

If it is used, you should ideally identify witnesses and opportunities for using witness testimony as part of the assessment planning. The testimony should record what the candidate has demonstrated, how, and in what circumstances. It should also say who witnessed the candidate (including a description of the

person's job-role or relation to the candidate), and whether he or she is familiar with the standards. In judging the evidence, you will have to consider the value of the evidence from witness testimony.

**Example (from Using Information Technology level 2)**

The testimony should be a summary of a job that has been completed by the candidate, which should be written by any member of staff who worked closely with the candidate during the task. The testimony should contain details of how the candidate performed a certain task — for example details of: communication with staff, software used, resources used and requested — where this type of information is not apparent from the evidence generated.

These testimonies are important as evidence due to the large extent which IT is used in organisations — IT duties can be complex in that one task may utilise many different facilities and procedures in different departments. This makes it virtually impossible for you to observe everything that the candidate accomplishes for the qualification.

You may find witness testimonies useful in the following areas :

- ◆ When any mentors are used during the award. This may be when integrated in other departments, or during everyday work if you do not work closely with the candidate.
- ◆ Testimonies will be required from other staff involved, when the candidate is temporarily performing tasks, or requesting resources from other departments.
- ◆ If the candidate and yourself work on different shifts and you must rely on testimonies from other staff.
- ◆ When using confidential information, staff who worked closely with the candidate from in that department should compile witness testimonies to backup the other evidence.
- ◆ When a contingency situation occurs where the assessor is not available to perform an observation.

In the following example, you can see how a member of staff has produced a witness testimony for a candidate who briefly worked alongside him. While the candidate was working in another department, an error occurred while printing. Since the assessor was not available to observe the candidate repairing this error, her colleague detailed what happened in witness testimony for the candidate to use as evidence.

**WITNESS TESTIMONY**

Witness Name : Mr Witness Candidate Name : Miss Candidate  
Department : Accounts  
Job Title : Accountant Date : 10 Feb.

I was working alongside the candidate when a fault occurred with the printer when in use. Candidate had mistakenly placed too much paper in the tray and had caused a paper jam. She then proceeded to clear the jam by first switching off the printer and un-plugging the equipment from the wall. She carefully opened the printer and managed, without assistance, to remove the paper, close the printer, and reconnect the power. She then removed some of the paper from the tray to save further jamming and replaced the excess paper back in the correct location.

The document was then successfully printed without any further problems.

The candidate followed all regulations when diagnosing & correcting this error.

Witness Signature Mr Witness Date 10 Feb  
Working Relationship Colleague

## **Recording achievement**

You should retain all evidence — clearly referenced — for internal and external verification. Evidence resulting from questioning (oral or written) should also be retained. If integrated assessment has been used (linking PCs or elements across different units) the evidence should be cross-referenced back to all the units for which it is relevant.

Recording documents may need to be counter-signed by the internal verifier.

Remember that you should provide feedback to candidates.

On the next pages there are examples of recording documents from SVQs in Motor Vehicles Maintenance, and Hairdressing, and a completed document from an SVQ in Training and Development.

SVQ Motor Vehicles Maintenance: Assessment record 1/4

Candidate's name:

Unit A1: Contract with customers to provide for their vehicle needs

Element A1.1: Advise and inform customers of current and anticipated vehicle needs

Notes on assessment:

- 1 This element may be integrated with element A1.2, A10.1 and A12 for assessment purposes.**
- 2 All the performance criteria must be achieved.**
- 3 Performance evidence (five items)  
Observations on at least five occasions of the candidate's working relationship with customers pertaining to performance criteria 1.1.1 to 1.1.7.**
- 4 Knowledge evidence (one item)  
Written or oral assessment of the underpinning knowledge not fully assessed by performance evidence.**

Range	Ref	Specification	Portfolio ref.	Initials	Date
<b>1</b> <b>Types of vehicle:</b>	<b>a</b>	<b>those normally deal with by the company</b>			
<b>2</b> <b>Methods of testing::</b>	<b>a</b>	<b>aural</b>			
	<b>b</b>	<b>visual</b>			
	<b>c</b>	<b>road tests</b>			
<b>3</b> <b>Customers:</b>	<b>a</b>	<b>business</b>			
	<b>b</b>	<b>private</b>			
	<b>c</b>	<b>informed</b>			
	<b>d</b>	<b>non-informed</b>			
	<b>e</b>	<b>new</b>			
	<b>f</b>	<b>regular</b>			
<b>4</b> <b>Courses of action:</b>	<b>a</b>	<b>service</b>			
	<b>b</b>	<b>diagnosis of system faults</b>			
	<b>c</b>	<b>dismantling for further inspection and testing</b>			
	<b>d</b>	<b>repair</b>			
	<b>e</b>	<b>replacement</b>			
	<b>f</b>	<b>augmentation</b>			
<b>5</b> <b>Information sources:</b>	<b>a</b>	<b>technical data</b>			
	<b>b</b>	<b>operating procedures</b>			

Key for Methods of Assessment:

(OW) = Observation in workplace (P) = Evaluation of work products (W) = Witness Testimony (O) = Other eg Simulation (specify)

Element A1.1 Advise and inform customers of current and anticipated vehicle needs				
Performance Criteria	Method of Assessment (see key)	Details of Evidence and Portfolio Reference	Initials	Date
<b>1.1.1 appropriate information is gathered from customers regarding perceived vehicle needs</b>				
<b>1.1.2 customers are advised about tests appropriate to the identification and confirmation of vehicle needs</b>				
<b>1.1.3 customers are encouraged to ask questions and seek clarification</b>				
<b>1.1.4 appropriate information is accessed from appropriate sources to inform the requirements for attending to vehicle needs</b>				
<b>1.1.5 customers are advised as appropriate on alternative courses of action and the implications</b>				
<b>1.1.6 specific action is identified and agreed with customers</b>				
<b>1.1.7 customers are advised of estimated costs and timescales</b>				
<b>1.1.8 information is communicated clearly and accurately to customers</b>				

Underpinning Knowledge Requirements	Method of Assessment (see key)	Details of Evidence and Portfolio Reference	Initials	Date
<b>Vehicle test programmes</b>				
<b>Courses of action</b>				
<b>Customer relations</b>				
<b>Estimating costs and times</b>				
<b>Company services</b>				
<b>Resources available</b>				

Candidate's signature:

Date

Assessor's signature:

Date:

## Evidence Key

- A Observation of workplace activity  
**This means that you observe the candidate carrying out the tasks defined in the performance criteria**
- B Product evidence  
**This is evidence produced by the candidate. This allows you to assess the quality of the product, rather than the process of producing it, eg consultation/analysis sheets, record cards, checklists, appointment schedules, stock sheets etc.**
- C Witness testimony  
**A statement made by another person to support the candidate's claim to competence. All statements must be authenticated by stating the contact name and address for the witness.**
- D Personal statement  
**A statement made by the candidate on how, why, when and where a specific task was undertaken.**
- E Simulated Activities  
**A situation created in order to provide evidence for a specific task which seeks to reproduce real life situations.**
- F Accreditation of prior learning  
**A process that enables a candidate to receive formal certification of prior learning, training and experience.**
- G Projects/case studies/assignments/practical exercises  
**Other ways of assessing the candidate which may cover more than one unit.**
- H Oral Questions  
**Oral questions are useful in assessment when a candidate has been observed carrying out a task competently but not all the knowledge and understanding associated with the task has been apparent from the candidate's performance. Oral questions ensure that the candidate knows and understands why the activity was carried out or the product produced for a specific purpose.**  
  
**The scope of these questions when used should be noted in the assessors comments box at the end of each element.**
- I Written questions  
**Questions that require a written answer from the candidate.**
- J Video Recording  
**Used to record a practical or simulated performance eg. role play. It can also be used to record a demonstration or a show.**
- K Photographs  
**Maybe used to support product evidence.**

Maintain client care procedures

Element 1:

Minimum number of observed performances 6

Consult with clients on technical services and products

Date	Location of evidence	Date	Location of evidence

Performance criteria	Types of evidence* and date					
a) Consultation takes place before services and as required throughout services.						
b) Client wishes for services and products are identified and discussed with the client.						
c) Factors that may limit or affect services and choice of products to be offered are identified correctly through questioning, observation, testing and reference to client records.						
d) Any necessary tests on hair, skin and scalp are conducted in accordance with specified procedures.						
e) Any problems identified during consultation which cannot be dealt with by the individual are reported promptly to the designated person.						
f) Services to be provided, products to be used and the likely outcome are suited to, and are agreed with the client on the basis of consultation and test results.						
g) The client is advised of the cost and likely duration of agreed services.						
h) The client is encouraged to seek clarification of areas about which he or she is unsure.						
i) All communication with the client is conducted effectively and in a manner that maintains client goodwill, trust and confidentiality.						
j) Client records are up-to-date, accurate and complete						

\* Use the key to identify the types of evidence

Range statements						
<b>i Clients:</b>						
<b>C new</b>						
<b>C existing</b>						
<b>ii Problems to be reported:</b>						
<b>C suspected infections</b>						
<b>C suspected infestations</b>						
<b>iii Suitability of services and products is influenced by the following factors:</b>						
<b>C adverse hair, skin and scalp conditions</b>						
<b>C incompatibility of previous services and products used</b>						
<b>C head and face shape</b>						
<b>C lifestyle</b>						
<b>C hair growth pattern</b>						
Assessor's initials						

Essential knowledge and understanding requirements	Types of Evidence and Date	Location of Evidence
<b>Technical services and products available for use, and their suitability for use in conjunction with different influencing factors.</b>		
<b>Why it is important to identify factors that may limit or affect services and products that can be used.</b>		
<b>Salon procedures and manufacturer's instructions in relation to conducting tests.</b>		
<b>Potential consequences of failing to carry consultations correctly.</b>		
<b>How to communicate effectively with clients and why this is important.</b>		
<b>Salon rules of confidentiality and potential consequences of breaking them.</b>		
<b>Requirements of the Data Protection Act.</b>		
<b>How to recognise suspected infections and infestations.</b>		
Assessor's initials		

Assessor's comments (if required).

**Candidate's signature**

**Assessor's signature**

**Date**

# Training and Development: Evidence claim

Candidate's name: *Carole Smith*

Unit: *6793354 Assess Candidate Performance*

Outcome no: *1*

No	Content: brief description of evidence	Range items covered	Performance criteria															
			a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	
<i>1</i>	<i>Assessment plan covering 3 elements</i>	<i>1(a) and (b) 2(a), (b) and (c) 3(a)</i>	✓	✓	✓	✓		✓			✓	✓						
<i>2</i>	<i>Records of meetings to support evidence 1</i>	<i>1(a) and (b) 2(a), (b) and (c) 3(a)</i>	✓	✓	✓	✓		✓			✓	✓						
<i>7</i>	<i>Statements on assessment planning and recording progress</i>	<i>1a and b 2 — all 3a</i>	✓	✓	✓	✓		✓			✓	✓						
<i>8</i>	<i>Assessor statements to support D32</i>	<i>1(a) and (b) 2 — all 3(b) and (c)</i>	✓	✓	✓	✓	✓			✓								

*Range: 1 Evidence: (a) performance evidence, (b) knowledge evidence*

*2 Evidence derived from: (a) examination of products, (b) observations of process, (c) responses to questions*

*3 Opportunities for evidence collection (a) naturally occurring, (b) pre-set simulations and tests, (c) for candidates with special assessment requirements*