

The Spirits
Industry
Vocational
Qualification

2

**ASSESSMENT &
VERIFICATION**

A GUIDE FOR
ASSESSORS AND
VERIFIERS

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Section A – Introduction to Assessment

In Booklet 1 'Getting Started' there is information about the SIVQ, how an organization can become a Centre and how to choose appropriate units to suit the needs of your organization and candidates. There is also a general description of the unit structure and about the different roles involved (assessor, internal verifier, external verifier).

Evidence of Assessor and Verifier Competence

For the SIVQ, assessors and internal verifiers are required to have occupational expertise in the parts of the qualification they are assessing/verifying. In other words they must be able to understand the processes, practices and activities. For this reason, many Centres pick supervisors or line managers to become assessors and verifiers.

It is also important that the assessors and verifiers are good at assessing and verifying and they understand the processes involved!

There are national occupational standards available for assessors and verifiers that are often referred to as the A1 and V1 units and are available from:

ENTO
Kimberley House
47 Vaughan Way
Leicester
LE1 4SG
tel: 0116-251 7979
fax: 0116-251 1464
e-mail: info@empnto.co.uk

Although, assessors and verifiers do not necessarily have to achieve an A1 or A2 qualification for the SIVQ, it is nevertheless important to be assured of their competence to comply with SQA's quality assurance criteria. The DISWG has therefore recommended that assessors and verifiers should have:

- a) Occupational expertise and experience in the relevant part of the award they are assessing or verifying against; AND
- b) Preferably to have or be working towards an A1 or V1 qualifications (whichever is most appropriate) or to have undertaken some other recognised internal/external training/qualification to satisfy the DISWG that they are capable of carrying out assessor/verifier duties. It has been suggested that training in-house should be undertaken by a qualified assessor to ensure an equivalent level of competence; AND
- c) Be able to provide evidence that they are assessing and verifying to an equivalent standard¹. You can do this in any one of the following ways:

¹ A summary of the standards required of assessors and verifiers can be seen in Appendix 2/1 and 2/2.

- Asking assessors and verifiers to keep a portfolio of their assessment activities and decisions which proves competence against these standards.
- Testing or otherwise evaluating assessors and verifiers against these standards and keeping records
- Asking assessors and verifiers to achieve the A1 or V1 awards (which will include building a portfolio).

SQA expect assessors and verifiers to be working to the standards of A1 and V1. Any other qualifications and/or experience would be investigated by SQA to ensure its criteria were met. It is in the best interests of assessors/verifiers to have a recognised assessor/verifier qualification. The standards of performance expected by assessors and verifiers for this award are itemised in Appendix 2.1 and 2.2 at the back of this booklet.

How is the SIVQ assessed?

Assessment is based on what the candidate can do and what the candidate knows.

As an assessor it is up to you to ensure that the candidate has appropriate opportunities to demonstrate what they can do (performance criteria) and what they know (knowledge and understanding) against the SIVQ standards.

Assessment is flexible and a candidate can be certificated for each unit they successfully achieve, even if they do not complete the full SIVQ.²

There is no set period of time in which candidates need to complete a unit. However, you should work with the candidate to set target dates for completing them; otherwise the process could go on forever.

There are many factors (such as the candidates' previous experience; demands within your workplace and an availability of resources) which will affect how quickly you can complete the assessment process and candidates ability to achieve the qualification.

What is evidence?

To claim competence for an SIVQ unit you need to gather evidence which shows that candidates have met the required standards. It is important that the evidence you collect is easily understood so that it can be checked against the standards, by you, the Centre and the external verifier from SQA.

Evidence can take many forms including:

- ♦ direct observation of candidates' performance
- ♦ products of candidates' work
- ♦ authenticated statement — witness testimony

² A minimum of 8 units to include the 2 compulsory units and at least one process unit (see Booklet 1 -Getting Started, page 3).

- ◆ personal statement
- ◆ outcomes from questioning
- ◆ outcomes from simulation
- ◆ case studies
- ◆ assignments or projects

It is important that the evidence you collect is:

- ◆ **valid** — it relates to the SIVQ standard
- ◆ **authentic** — the evidence, or an identified part of it (e.g. a report) was produced **by the candidate**
- ◆ **consistent** — achieved on more than one occasion
- ◆ **current** — usually not more than two years old
- ◆ **sufficient** — covers all the performance and knowledge requirements laid down in the SIVQ standards

Evidence can also be produced in various formats, e.g. candidate's reports; testimonies from colleagues, supervisors or other appropriate people; projects; models; audio tapes, photographs; videos.

When you first begin the SIVQ you and your candidates should identify all the units and elements where **integration of assessment** can be used. Further details about integration of assessment can be found on page 9.

Demonstrating knowledge, understanding and skills

In order to meet the standards, you will also be required to prove the candidate's knowledge and understanding.

Each unit contains a list summarising the knowledge, understanding and skills a candidate must possess. Evidence of knowledge and understanding **could be included in the performance evidence**. For example, a common knowledge and understanding statement in the SIVQ is:

'....you must show that you understand:

- i. the organisational health and safety, hygiene and environmental standards and instructions, Revenue and Customs rules / and what may happen if they are not followed.'

This statement is repeated in many of the process units. The first part of the statement could be assessed by **observing** that when the candidate works **in this context** (e.g. milling, filling, filtering etc.) **they obey all the standards and instructions**. You might also seek a **witness testimony** from their supervisor.

The second part of the statement asks 'what may happen if they are not followed?' For this you might ask the candidate a direct question e.g. what would happen if you didn't wear gloves/ didn't fill in the records correctly/ poured that into the drain?

In other words, sometimes by doing something correctly a candidate shows they know **HOW**, but this may not prove that the candidate **UNDERSTANDS WHY** it has to be done in that way.

Evidence of knowledge may therefore either be shown in a candidate's performance, or consist of any of the following:

- ◆ written or verbal descriptions of why a particular approach was used
- ◆ assessment interviews
- ◆ assessment tests
- ◆ correct responses to questioning
- ◆ a report by the candidate which shows how knowledge and understanding was applied

Evidence of these should be included in the candidates' portfolios.

Range

Two of the units in the SIVQ (Unit 6 and 13) also specify a **range** of **items** or **circumstances** in which evidence must be collected. A statement in the evidence requirements for the relevant unit explains this. For example, in Unit 6 Hygiene Cleaning evidence over a range of **items** is required:

'In order to be recognised as competent you must demonstrate to your assessor that you can obtain, wear and store or dispose of at least 3 of the following types of **personal protective equipment**[®]:

- (a) overalls
- (b) protective footwear
- (c) goggles
- (d) gloves
- (e) masks'

In Unit 13 a range of **circumstances** are called for:

'In order to be recognised as competent in element 2 you must demonstrate to your assessor that you can respond to **at least two** of the following types of **incident**[®]:

- (a) fire
- (b) spillage
- (c) explosion
- (d) release of hazardous substances
- (e) problems with plant and equipment'

A small symbol '**®**' is shown in the performance criteria to which the range refers. The range is a way to broaden the standards to include a wider set of circumstances or items, by specifying a minimum number from a list (e.g. 2 of 5). The candidate and assessor have a choice of which range items are most appropriate for their workplace and evidence must be collected for each of these.

When can simulation be used?

Throughout the SIVQ, the emphasis is on candidates being able to carry out real work activities so assessment will normally be carried out in the workplace itself.

There may be times, however, when it might not be appropriate for candidates to be assessed while they are working.

Exceptions are:

1.4 Respond to emergencies

13.2 Deal with risks arising from potential environmental incidents

Simulation is any structured exercise involving a specific task which reproduces real-life situations. Care must be taken though to ensure that the conditions in which candidates are assessed *exactly* mirror the work environment i.e. it is a **realistic working environment**.

Good Assessment Practice

The most common methods of assessment in the SIVQ will be observation and questioning, so here are some tips about collecting evidence for assessment in this way:

Assessment through observation

Direct observation of the candidate in the workplace will be the main method of assessment in the spirits industry as for most SVQs at that level. There are a number of important principles for the assessor:

1. The assessor should be near enough the candidates to observe without interrupting or getting in their way.
2. The assessor should never interfere in the process unless it is a necessary part of procedures.
3. The assessment must be carried out in the workplace.

Workplace assessment is new to many organisations. In order to give status to the concept it will be necessary to ensure that assessments are well planned and that they can proceed without undue interference while making them relaxed. Other people in the workplace should understand and respect this and it is up to the assessor and internal verifier to ensure that this is the case.

Although assessments are based on specific criteria being met it will sometimes be necessary to make up an observation checklist. This process means looking at each of the performance and knowledge statements and deciding '**what this means in this department and in this company**'.

For example, look at this section of Unit 1 Health and Safety of Self and Others – Element 1.2 - USE TOOLS AND EQUIPMENT SAFELY

When using tools and equipment you must show that you:

- a) carry out all operations according to **organisational instructions** regarding:
 - Health and Safety
 - Product Hygiene
 - Environmental Standards
- b) take **precautions** to protect self and others
- c) wear appropriate **personal protective equipment**
- d) check that **tools and work equipment** are fit for use and take appropriate action where this is not the case
- e) **Maintain tools and work equipment** within limits of your authority
- f) **replace tools and work equipment** in the right place after use
- g) maintain effective **communication** where required

Exactly what this means depends on the product, the environment and on specific company rules. First you will agree with the candidates how and where this element will be assessed? However, the assessor needs to ensure that they know:

- Which tools and work equipment?
- What would be the relevant precautions or PPE?
- How do they know the specific tools/work equipment are fit for use and how much input they have in keeping them that way.
- Where are they stored?

Company procedures or work instructions will play a major role in the assessment process as they will stipulate correct procedures, systems and will encompass the company's interpretation of appropriate laws such as Control of Major Accident Hazards Regulations 1999 (COMAH) and Control of Substances Hazardous to Health Regulations 1988 (COSHH), etc.

Therefore it may be necessary to list what these are in order to assess units more accurately. Once observation records are developed for a particular area they can be used for many candidates doing the same job. Any completed observation checklists can then be included in the candidate's evidence record.

Questioning to determine knowledge evidence

In all units there will be a requirement to ask questions to determine the candidate's knowledge of the process and to ensure that all aspects of the standards are covered. There will be two types of questions:

1. Pre-planned questions

These are normally determined during the planning stage when an assessor will consider what questions may be necessary to cover the knowledge evidence and the range. These can be saved in a 'question bank' with selected questions being asked when required. Sometimes assessors collaborate on a bank of questions with new ones being added as issues arise.

2. Impromptu questions

Sometimes, during the course of an assessment, an issue will arise. The assessor can use this as the basis of a question following the assessment.

Questioning is normally carried out after the observed assessment and preferably away from interference, interruptions or noise. Naturally there will be times when this cannot happen because of the nature of the process. The main thing is to ask questions in such a way and in a place where the candidate is relaxed and comfortable. It may not be relaxed to take him or her away from the job.

Sometimes, if a process is long, relaxed or has natural breaks and interruptions there may be an opportunity to ask questions as you go along, but you must still ensure that your questioning does not get in the way of the candidate carrying out their work.

Examples of questions are given in 'Example 8' of the worked examples on page 28. Note the open questions starting with 'What?' and 'How?' You could also start questions with 'Why?', 'Who?', 'Where?' and 'When?' Such questions are called 'open' ones because they can open up a discussion and help you explore the candidate's knowledge. Questions giving 'yes' or 'no' answers can be appropriate but sometimes can restrict a discussion. This document should be used to record questions asked along with the answers given.

Key points for asking questions are:

- 1 Prepare questions in advance.
- 2 Ask impromptu questions if they arise.
- 3 Ask 'open' questions to get full answers.
- 4 Avoid leading questions such as 'you wouldn't do that would you?'
- 5 Keep questions short and simple. Don't confuse the candidate.
- 6 Make sure the questions are relevant to the criteria and to the knowledge requirements.

Integration of assessment

It is not necessary for you to assess each unit/element separately — doing so could result in assessment which takes too long and places too great a burden on both you and your candidate.

There will be instances when you will be able to use one piece of evidence to prove a candidate's competence across different units/elements or performance criteria. You may even find that evidence is relevant for different units — this is called **integration of assessment**.

When you first begin your SIVQ , you and your candidates should spend time looking at the units, planning how much time you are both able to devote to the qualification and drawing up an action plan.

At this stage, you should identify any activities which relate to more than one unit or outcome and arrange for the best way to collect a single piece of evidence which satisfactorily covers all the performance criteria.

If you are going to integrate assessments, make sure that the evidence is cross-referenced to the relevant units. Details of how to cross-reference your evidence can be found in Section B 'How to compile a candidate portfolio.'

The Inexperienced Assessor

John has arranged to carryout a period of observation with Joanne who is operating a filling machine in the bottling hall. They are hoping that Joanne will display sufficient evidence of her competence to complete Unit 33 Filling. Unfortunately about 15 minutes into the session the filler breaks down. Joanne has to stop the machine and try to fix the problem.

John leaves the shop floor telling Joanne that they'll have to reschedule their session, though he's about to go on annual leave. What a shame he has collected hardly any evidence.

The Experience Assessor

As John is on holiday Pat agrees to the observation with Joanne the following week. Unfortunately, once again not far in to the session the filler breaks down. Joanne has to stop the machine and try to fix the problem. She explains to Pat that she thinks the machine keeps stopping because the belt edges are worn and occasionally catch and that this has an effect on production outputs. She speaks to her supervisor and asks if a maintenance technician will come and check. Meantime she puts up warning signs whilst she dons gloves and clears up the broken glass, she then washes down the area and completes the relevant documentation. When the technician arrives she explains the problem and asks for his help. She demonstrates the issue and explains what problems it is causing. The technician agrees to change the belt and Joanne's supervisor moves her to another filler.

Pat stays throughout this incident and he gathers raft of observation evidence for Unit 1 'Health & Safety of Self and Others' (particularly 1.2 and 1.3). She also demonstrates plenty of competence covered in the Unit 2 'Work with Others' and unit 5 'Diagnose and Overcome Operating Procedures.' He also gathers sufficient evidence of Joanne on the new filler to complete Unit 33!

Once John becomes familiar with the standards and is able to 'think integration' he will become just as efficient as Pat.

Section B - How to compile a candidate portfolio (including worked examples)

General information

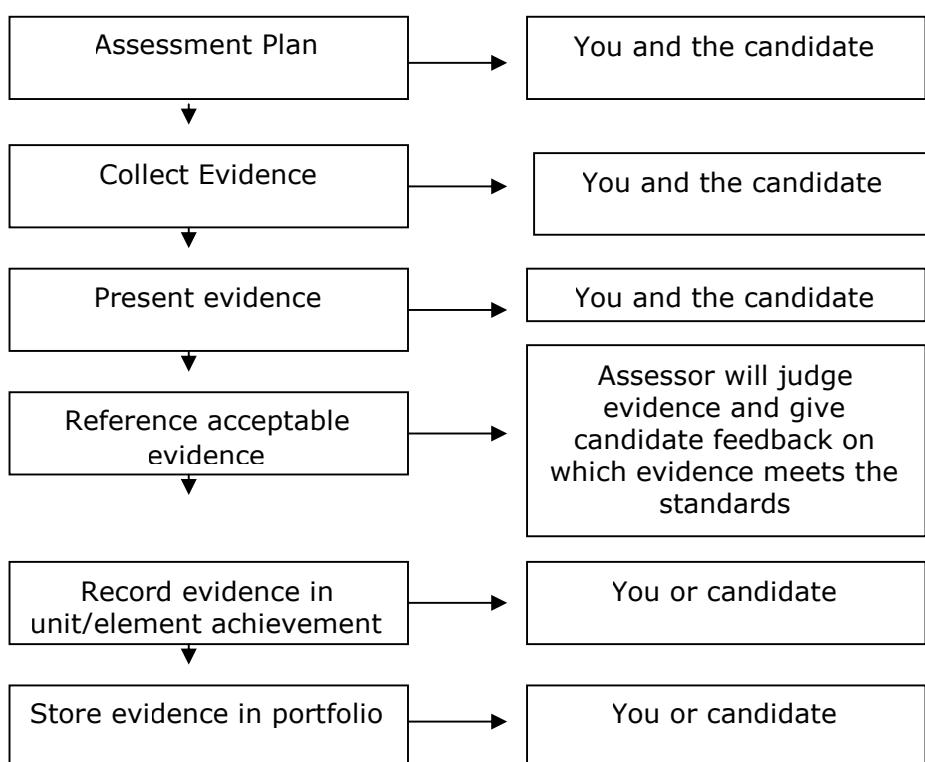
A portfolio, like a log book, is a way of recording evidence of one candidate's achievements. It is a collection of different items of evidence which indicates that they have the required skills, knowledge and understanding to support their claim to a certificate.

The production of a well-organised, clearly labelled portfolio, which relates each piece of evidence to the relevant outcomes and performance criteria, requires a careful methodical approach. When you, the internal or external verifier look through your portfolio, the task of making judgements about the candidate's competence will be much easier if the information is presented in a logical sequence.

You will need to present the evidence collected in a format that is easy to read and in which materials can be added or taken away. This section gives suggestions on how to lay out and present your evidence and includes worked examples. There are also forms and matrices which will assist you to chart your progress through the SIVQ.

You do not have to lay out your evidence in the way suggested but you may find it helpful to do so. Each portfolio will be different in content but all should include information about the candidate, the organisation where the assessment is taking place, the assessor (s) and so on. For internal purposes, you may wish to use the simple unit numbers for the award (Units 1 to 44). However, when sending information about units to SQA you will need to use the SQA Unit numbers (see appendix 2/3).

Evidence collection process



Planning your portfolios

Start by carefully reading through the standards and, together with your candidates, decide which units you might like to work on first. **You do not have to do the units in order.** There may be some units that relate to tasks which the candidates carry out on a regular basis, therefore making it easier to collect evidence right away. Alternatively, there may be activities in other units which candidates only undertake now and again, these can be left until a suitable opportunity arises for you to collect evidence.

Before you start looking for different kinds of evidence and deciding if they should be included in the portfolio(s), you will find it helpful to plan how you will carry out the assessment and how long it is going to take.

The plan is usually referred to as an "**assessment plan**". It should be produced in discussion with your candidates and will set out the different stages in developing their portfolios. You will probably want to produce a plan for each unit.

It is unlikely that you will be able to complete all of the units straight away and you should therefore think about starting with those units in which the candidate feels most confident and will generate evidence easily. You should also remember to identify any opportunities for **integration of assessment**.

We have provided you with a "**Unit progress record**" — see Example 2. Each time candidates complete a unit, the assessor should sign and date the relevant section on the form.

At this stage, it might be a good idea to check that all your evidence and recording documents have been completed correctly and can easily be located. You can then circle the reference number of that unit in the checkboxes at the top of the form so that you can see at a glance what stage you are at in your SIVQ.

Starting a portfolio

Make sure that you clearly label each portfolio (or disk if you are recording your evidence electronically) with your candidate's name together with the title 'SIVQ'.

Each candidate's portfolio will need a *title page* and a *contents page*. They should also complete a *Personal Profile* which records details about themselves and their job as well as providing information about the employer. Blank samples of these forms are provided in Section 4.

We recommend that you compile each portfolio in the following order:

Title Page

Contents Checklist

Personal Profile

Unit Progress Record

**Completed Unit/Element
Achievement Records**

Index of Evidence

Pieces of Evidence

Glossary of terms

Contents checklist

You might also find it useful to complete the following checklist as you work your way through each portfolio. This will help you to see if you have included all the relevant items. Once each portfolio has been completed, you will be able to use this checklist again as a contents page, by inserting the relevant page or section numbers in the right hand column:

	Completed?	Page/Section number
Title page for the portfolio	<input type="checkbox"/>	
Personal profile		
◆ candidate's own personal details	<input type="checkbox"/>	
◆ a brief CV or career profile	<input type="checkbox"/>	
◆ description of candidate's job	<input type="checkbox"/>	
◆ information about employer/training provider/college (if applicable)	<input type="checkbox"/>	
Unit Assessment Plans	<input type="checkbox"/>	
Unit progress record	<input type="checkbox"/>	
Completed Unit/Element Achievement Records		
◆ signed by candidate, assessor and the internal verifier (where relevant)	<input type="checkbox"/>	
◆ evidence reference numbers included	<input type="checkbox"/>	
Index of evidence (with cross-referencing information completed)	<input type="checkbox"/>	
Evidence (with reference numbers)		
◆ observation records	<input type="checkbox"/>	
◆ details of witnesses (witness testimony sheets)	<input type="checkbox"/>	
◆ personal statements	<input type="checkbox"/>	
◆ products of performance	<input type="checkbox"/>	

Collecting the evidence

All of the evidence which you collect and present for assessment must be relevant to the SIVQ.

We have provided blank forms in Section 4 of this document, which you can photocopy to help you record and present your evidence. Although we have provided you with sample forms, you may like to develop your own 'customised' recording documents which fit with work practices, plant and procedures in your Centre.

Some of these forms, e.g. **observation records** and the **record of questions and answers** will be completed by the assessor. **Witness testimonies** will be used by people to testify that they have observed the candidate doing their job, and there is one for candidates to complete called a **personal statement**.

Explanations are given below about how and when these forms should be used.

Assessment plan and feedback report (Example 4)

Good assessment practice requires that planning should take place throughout the collection of evidence for the award. The assessor and candidate should meet to plan ongoing periods of assessment and for the assessor to give the candidate feedback on his or her progress. This can be recorded on the Assessment Plan and Feedback Report which is in two parts.

After a period of assessment it may become clear that there are areas where the candidate is not yet competent and may need further training. Alternatively, the candidate may have shown that they are competent across planned units and it is time for the assessor and candidate to move on to the other units the candidate is hoping to achieve.

The 'Assessment Plan and Feedback Report' has three uses;

1. To plan each session of assessment
2. For the assessor to give the candidate feedback after that session
3. To plan what needs to be done next

Observation record (Example 6)

The observation record is used by the assessor to record what tasks candidates have performed and to what standard. There is also a section for the assessor to note which other units or outcomes are covered by this evidence ('integration of assessment').

You must discuss with each candidate which performance criteria they have successfully achieved and give them feedback. This form should then be given a reference number and included in the candidate's portfolio as part of the evidence.

Witness testimony (Example 7)

There will be occasions when the assessor is not available to candidates carrying out certain aspects of their job. In such instances, it may be appropriate for another person to comment about their performance by completing a statement called a 'witness testimony'.

Witness testimony should only be used as supporting evidence and should:

- ◆ be provided by a person, not related to the candidate, who is in a position to make a valid comment about their performance e.g. supervisor, line manager or possibly a colleague.
- ◆ contain comments which specifically relate the candidate's performance to the standards
- ◆ be authenticated by the inclusion of the witness's signature, role, address, telephone number and the date

It is unlikely that you would make an assessment decision based on witness testimony alone. As an assessor you would normally supplement this type of evidence with questioning.

Record of questions and candidate's answers (Example 8)

This form is used to record any questions which you ask the candidate, to establish whether they have the required level of knowledge and understanding associated with each unit. There is also space on the form for their answers to be noted.

Personal statement (Example 5)

There will be times when you may need a candidate to put a piece of evidence in context for you, so that you can decide if it is relevant to the SIVQ units being assessed. You can ask candidates to complete personal statements to help you do this - these can relate either to the pieces of evidence or to each outcome or unit.

For example, a candidate may refer to paperwork which is often used in the organisation to help pass on information to a colleague. It may not be clear to the assessor why they are communicating to their colleague in this way and a **brief** explanation of the paperwork and why it is relevant to a particular part of your job may be required.

A personal statement might also be used to record a candidate's experience of something, such as, how they handled a specific situation. This can be documented in a personal statement and should be a description of what they did, how they did it and why they did it. It will also allow you to include details of the people who were present and either assisted the candidate or witnessed their actions. This, in turn, might identify who you should approach for 'witness testimony'.

For example a candidate working towards 'Unit 14 – Security', might deal with a breach of security one night when the assessor isn't there. They would be generating a vast amount of evidence which could afterwards be captured by a personal statement and backed up by witness testimony and questioning.

In their personal statement the candidate could also refer to product evidence that they have produced (e.g. reports, notes, completed forms); these can also be included as evidence in their portfolio.

The personal statement can be a piece of evidence in itself and should therefore be included in the portfolio.

Presenting evidence

It is important to present all of your evidence in a clear, consistent and legible manner. However, it is not necessary to produce all of your evidence in typewritten format - some hand-written pieces of evidence, such as notes, will be perfectly acceptable.

There may also be items of evidence which you cannot physically include in candidate portfolios. This might be for confidentiality reasons or it could be that something which the candidate has produced as part of their day-to-day work is too big or too valuable or it may be a report or sheet which is normally kept in a filing cabinet or stored electronically.

In compiling candidate's portfolios, we suggest that anything they produce as part of their day-to-day work is kept in its normal location, but those pieces of evidence which have been produced specifically for assessment, photo's e.g. witness testimony statements or personal statements, are filed in your portfolio.

Referencing Evidence

The candidate, other assessor's, as well as the internal and external verifiers will need to find their way around a portfolio, so you should give each piece of evidence a number.

Remember, that where you have used "integration of assessment", you need to give details of all the units and elements which are linked to a specific piece of evidence. The links should be noted on the pieces of evidence themselves as well as on the index of evidence (cross-referencing).

How to complete the Index of evidence (Example 1)

You should complete an *index of evidence* sheet and file it immediately before the actual pieces of evidence in each portfolio.

The index of evidence should be completed by:

- ◆ entering the evidence number in the first column
- ◆ giving a brief description of each piece of evidence in the second column

- ♦ explaining where the evidence can be found in the third column

You must make sure that the information contained in the evidence index is accurate, particularly in relation to where the physical evidence can be located.

Completing the Unit/Element Achievement Records (Example 3)

There is a blank Unit/Element Achievement Record which can be photocopied and completed for every unit/element within each portfolio. These records have been designed to allow you to record the evidence you have gathered for each unit/element. Each record has boxes across it which represent the performance criteria, evidence requirements and knowledge and understanding statements. These will differ from element to element so it is important to make sure you are using the right one.

Whilst collecting your evidence you should use these grids to display the performance criteria, range, knowledge and understanding and evidence requirements that each piece of evidence relates to. In the first box write the evidence index number you have given to that piece of evidence. In the second box give a brief description of the evidence, then tick against the relevant performance criteria, range, evidence requirements and knowledge and understanding.

Worked examples

To give you a clearer picture of how to compile candidate portfolios, you will find worked examples of the various forms over the next few pages. You should ask your internal verifier for further advice and support if you are still unsure about how to use the forms and who should complete them.

SIVQ Index of Evidence

(Example 1)

Spirits Industry Vocational Qualification (SQA Group Award G8FR 04)

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1 a - h	Observation Checklists	Yes	
2 a- h	Records of Questions and Answers	Yes	
3 a - c	Witness Testimonies	Yes	
4 a - d	Checklists for product specifications	Yes	
5 a & b	QA sheets	Yes	
6 a & b	Personal Statements	Yes	
7 a,b & c	Completed question sheets	Yes	
8	Company procedures manual	No. Can be found in department	

(IV = Internal Verifier)

SIVQ Unit Progress Record

(Example 2)

Candidate: Brian Thomas

Circle the reference numbers as the candidate completes each unit. It can then easily be seen at what stage the candidate has reached in the SIVO

To achieve the full SIVQ certificate, you must prove competence in both mandatory units plus 6 other units **at least one of which must be from the process units section.**

It is important that the SQA unit numbers are used in all your recording documentation and when your results are communicated to SQA.

Unit Checklist - circle the reference number of each unit as you complete it.

Mandatory	1	2			
Optional	5	9	10	35	38

Unit Number	Title	Assessor	Date
1	Health & Safety of Self and Others		
2	Working with Other	P.Jones	28/4/2000

This section of the form is for the assessor to sign and date each time the candidate successfully achieves a unit.

Optional Units

5	Diagnose & Overcome Operating Problems		
9	Bulk Intake		
10	Intake Goods and Materials		
35	Case Coding		
38	Storage & Monitoring of Full Casks		
42	Despatch Casked or Bulk Spirit		

SIVQ Unit/Element Achievement Record

(Example 3)

Unit title: Environmental Controls

Element: 13.1 Work in Ways which Support Environmental Safety

Evid. Index No	Description of Evidence	Performance Criteria																				Knowledge & Understanding												
1	Action Plan	✓	✓			✓																												
2	Personal Statement	✓					✓			✓																								
3	Observation record			✓	✓																													
5	Record of Questions & answers	✓	✓	✓		✓																												
These numbers relate to your Evidence Index and will allow your assessor to find your evidence easily	Give a brief description of the evidence you are offering for assessment against each performance criteria, range and piece of knowledge and understanding	✓	✓	✓		✓			✓	✓	✓																							

Candidate: _____

Assessor: _____

IV: _____

Date: _____

Date: _____

Date: _____

SIVQ Assessment Plan

(Example 4)

It is intended that the assessor should use this form to both plan assessment with a candidate and to give the candidate feedback afterwards. This feedback session should include completing a new plan for the next part of the assessment.

Candidate:

Assessor:

Activity(ies) to provide evidence:

e.g. What part (s) of the candidate's job will generate the evidence – working in the tun room/bottling hall/receiving a delivery etc.

Unit/Element Numbers	Assessment methods	Assessment Period
e.g. What are you and the candidate hoping this will generate evidence for? Write the unit numbers and names	e.g. How are you going to collect/generate evidence? Observation Questioning Recorded discussion Personal statement Witness statement etc.	When is this going to take place?

Feedback Report

Assessor's Feedback Comments:

How much evidence of the candidate's competence was collected? Was it sufficient to meet the standards?

Candidate's Comments:

If they would like to add any comments

Follow-up Action:

What needs to be done (if anything) to meet any gaps. Is more training needed etc.

Candidate's Signature:

Date:

Assessor's Signature:

Date:

SIVQ Personal Statement

(Example 5)

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Units, elements, pcs, and range covered
4/4/08	2	<p>Statement that I know and understand the approved management system for environmental controls (included in portfolio) and I regularly carry this out during my normal work including correct disposal of waste, separating recyclables and correctly disposing of chemicals.</p> <p>I use all services economically by complying with the work instructions.</p> <p>Non-compliance with instructions would cause unnecessary waste and mean more materials went to land fill sites rather than for re-use. If chemicals are disposed of incorrectly you can cause poisoning of the land and water supplies and the health/safety of others.</p> <p>All these things could also cause the company to be fined.</p>	3, 6	13.1 a,b,d,f,g, i, iv, vi, vii, viii

Candidate signature: Brian Thomas

Date: 2/4/2000

SIVQ Observation Record

(Example 6)

Unit/Element(s): 13.1 Work in Ways which Support Environmental Safety

Candidate: Brian Thomas

Date of observation: 28/4/2000

Evidence index number: 3

Skills/activities observed:	PCs and range covered:
Correct handling and disposing of waste, recyclables and cleaning chemicals	13.1 a,b,d,f,g, i, iv, vi, vii, viii

Knowledge and understanding apparent from this observation:

Candidate can separate and correctly dispose of waste and recyclables, according to the management system. He also disposed of caustic solution properly according to the chemical safety manual

Other units/elements to which this evidence may contribute:

Unit 6 d, m, and x

Assessor comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor signature: Peter Jones
Candidate signature: Brian Thomas

Date: 28/4/2000
Date: 28/4/2000

SIVQ Witness Testimony

(Example 7)

Candidate name: Brian Thomas

Evidence index no: 7

Where applicable, other evidence index no. to which this testimony relates:

Element(s): 13.1 **Range:** N/A

Date of evidence: 2/4/2008

Witness name: Ian Cummings

Designation/relationship to candidate: Line manager

Details of testimony:

I can attest that I have observed Brian Thomas consistently following company regulations regarding environmental controls. He understands and has knowledge of these regulations and always reports any irregularities or asks for clarification in exceptional circumstances.

I can confirm the candidate's evidence is authentic and accurate. I am familiar with correct working procedures and the SIVQ requirements

Witness signature: *Ian Cummings*

Name: **Ian Cummings**

Date: **2/4/2008**

SIVQ Record of Questions & Candidate's Answers (Example 8)

Unit: 13 (Also Unit 6)	Element(s): 1 & 2	
Evidence index number: 5		
Circumstances of assessment:		
Planned question and answer session in supervisor's office		
List of questions and candidate's responses:		
<p>Q: If there was broken glass on the floor in your work area how would you dispose of it?</p> <p>A: Wear gloves; remove large pieces, vacuum smaller bits, place in sharps container; seal it and place in correct location 13.1 6</p>		
<p>Q: There has been a spillage of an unknown (to you) chemical by a contractor. What do you do?</p> <p>A: Inform my manager; cone off the area; ask the contractor to identify the substance; look up substances in COSHH manual; clear it up and dispose according to instructions (including correct clothing) and complete an incident form. 13.1; iv, vi ix and 13.2 i, ii, iv, vi, vii ,ix and 6; i, iii, x, xii</p>		
Assessor's signature: 21/3/2008	Iain McGhee	Date:
Candidate's signature: 21/3/2008	Brian Thomas	Date:

Section C –Optional blank recording documents for use in the SIVQ

This section consists of the blank forms referred to previously for you to photocopy. At the end of the section, blank internal verification forms are included and these are explained in Section D. It is not compulsory that these forms are used, but you may find them useful when compiling portfolios of evidence.

SIVQ Portfolio Title Page

Candidate name: _____

Job title: _____

**Name of Employer/
Training Provider/
College:** _____

Their address:

Tel no: _____

**Full Spirits Industry Vocational Qualification / Unit Certification
(Please delete as appropriate)**

Units submitted for assessment (SQA Numbers):

Assessor: _____

Date: _____

SIVQ Unit Progress Record

Candidate: _____

To achieve the full SIVQ certificate, you must prove competence in both mandatory units plus 6 other units **at least one of which must be from the process units section.**

It is important that the SQA unit numbers are used in all your recording documentation and when your results are communicated to SQA.

Unit Checklist - circle the reference number of each unit as you complete it.

Mandatory	1	2				
Optional						

(Must include at least 1 process unit for full SIVQ Cert)

SQA Unit Number	Title	Assessor	Internal Verifier (where applicable)	Date

SIVQ Unit /Element Achievement Record

Unit title:

Element:

Evid. Index No	Description of Evidence	Performance Criteria															Knowledge & Understanding														
		a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	i	ii	iii	iv	v	vi	vii	viii	ix	x	xi	xii	xiii	xiv	
1																															
2																															
3																															
5																															
6																															
7																															
8																															
9																															
10																															
11																															
12																															
13																															
14																															
15																															
					</																										

SIVQ Personal Profile

Name	<input type="text"/>
------	----------------------

Address	<input type="text"/>
---------	----------------------

Postcode	<input type="text"/>
----------	----------------------

Tel no	<input type="text"/> Home:	<input type="text"/> Work:
--------	----------------------------	----------------------------

Job title	<input type="text"/>
-----------	----------------------

Relevant experience

Description of your current job	<input type="text"/>
---------------------------------	----------------------

Previous work experience	<input type="text"/>
--------------------------	----------------------

Qualifications and training	<input type="text"/>
-----------------------------	----------------------

Continued overleaf

Voluntary work/interests	<input type="text"/>
Name of Employer/Training Provider/College	<input type="text"/>
Address	<input type="text"/>
Postcode	<input type="text"/>
Tel no	<input type="text"/>
Type of Business	<input type="text"/>
Number of Staff	<input type="text"/>
Structure of organisation (include chart or diagram if available)	<input type="text"/>

SIVQ Contents Checklist

You might also find it useful to complete the following checklist as you work your way through each portfolio. This will help you to see if you have included all the relevant items. Once you have completed the portfolio, you will be able to use this checklist again as a contents page, by inserting the relevant page or section numbers in the right hand column.

	Completed?	Page/Section number
Title page for the portfolio	<input type="checkbox"/>	
Personal profile		
• candidate's personal details	<input type="checkbox"/>	
• a brief CV or career profile	<input type="checkbox"/>	
• description of their job	<input type="checkbox"/>	
• information about the employer/training provider/ college	<input type="checkbox"/>	
Unit assessment plans	<input type="checkbox"/>	
Unit/element progress record	<input type="checkbox"/>	
Completed Element Achievement Records for each unit	<input type="checkbox"/>	
• signed by yourself, your assessor and the internal verifier (where relevant)	<input type="checkbox"/>	
• evidence reference numbers included	<input type="checkbox"/>	
Index of evidence (with cross-referencing information completed)	<input type="checkbox"/>	
Evidence (with reference numbers)		
• observation records	<input type="checkbox"/>	
• details of witnesses (witness testimony sheets)	<input type="checkbox"/>	
• personal statements	<input type="checkbox"/>	
• products of performance	<input type="checkbox"/>	

SIVQ Index of Evidence

SIVQ Assessment Plan

It is intended that the assessor should use this form to plan both assessment with a candidate and to give the candidate feedback afterwards. This feedback session should include completing a new plan for the next part of the assessment.

Candidate:

Assessor:

Activity(ies) to provide evidence:

<u>Unit/Element Numbers</u>	<u>Assessment methods</u>	<u>Assessment Period</u>

Feedback Report

Assessor's Feedback Comments:

Candidate's Comments:

Follow-up Action:

Candidate's Signature:

Date:

Assessor's Signature:

Date:

SIVQ Observation Record

Unit/Element(s):

Candidate: _____ **Date of observation:** _____

Evidence index number: _____

Skills/activities observed:	PCs and range covered:

Knowledge and understanding apparent from this observation:

Other units/elements to which this evidence may contribute:

Assessor comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor's signature:

Date:

Candidate's signature:

Date:

SIVQ Witness Testimony

Candidate name:	
Evidence index no:	
Where applicable, other evidence index no. to which this testimony relates:	
Unit/Element(s):	
Range (where applicable):	
Date of evidence:	
Witness name:	
Designation/relationship to candidate:	
Details of testimony:	
I can confirm the candidate's evidence is authentic and accurate. I am familiar with correct working procedures and the SIVQ requirements	
Witness signature:	
Date:	

Record of Questions and Candidate's Answers

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

SIVQ Personal Statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Units, elements, pcs, and range covered

Candidate signature: _____

Date: _____

EXAMPLES OF RECORDS OF VERIFYING ACTIVITY

SIVQ Internal Verification Record of Assessments Sampled

DATE	CANDIDATE	ASSESSOR	UNIT(S)	COMMENTS	VERIFIER (signed)

SIVQ Record of Other Verifying Activity

(To record discussions with assessors, candidates and external verifier, EV visits, document checks, meetings etc.)

DATE	ACTIVITY	COMMENTS	VERIFIER

SIVQ Supplementary Sheets (For Internal Verification Purposes)

UNIT:

Element:

Notes/Comments

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

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

SIVQ Internal Verification Report

INTERNAL
VERIFIER:

ASSESSOR:

CANDIDATE:

REGISTRATION NO:

DATE:

UNIT NO:

ELEMENT NO:

ASSESSOR'S SIGNATURE:- _____ DATE:- _____

VERIFIER'S SIGNATURE: - _____ DATE:- _____

SIVQ Internal Verification – Feedback to assessors

Name of internal verifier:

Name of assessor:

Date:

Unit: Element:

Aspect	Yes	No	Comment
Is the assessment method appropriate (suitability)?			
Does the evidence address the PC's within elements?			
Is there an adequate coverage of the range?			
Have the knowledge items been adequately assessed?			
Has the evidence presented been clearly referenced?			

Section D – Introduction to Internal Verification in the SIVQ

When an organisation is approved to offer the SIVQ, the awarding body (SQA) is effectively delegating the running of these qualifications to the **approved Centre**. This approval will come with the condition that the Centre provides an adequate level of **internal verification**. Internal verification is the internal quality control of the qualification **and** its assessment and the management of the qualification processes including registration and certification of candidates.

The internal verification process is central to the success of the qualification as it provides a method of ensuring consistency in approaches to assessment as well as ensuring that planned assessments are carried out satisfactorily and that the qualification is progressing as it should.

The standards of performance expected by verifiers (and assessors) for the SIVQ are described in Booklet 1 (Getting Started) and competence is itemised in Appendix 2/1 and 2/2 of this booklet.

Internal verifiers in the spirits industry are likely to be departmental managers or specialists such as production or quality control managers. The essential point is that internal verifiers should be in a position to monitor the activities of the assessors for whom they are responsible and be able to carry out sample checks on both assessments and associated paperwork. It will also mean liaising with awarding body external verifiers and other representatives.

In addition to the above, internal verifiers are required to have personal occupational experience of the specific area they are verifying, gained within the five years preceding their commencement of verification.

Relationships with assessors

The relationship of the internal verifier to the assessor should essentially be a supportive one. While the internal verifier is checking the quality of the assessment, he or she should be taking steps to ensure that assessors are developing appropriate skills and knowledge and have the necessary support to carry out competent assessment.

The internal verifier may well be responsible for training assessors and should certainly have an involvement in their training. He or she may carry out regular meetings with individual assessors or conduct information briefings to share good practice or review progress. The internal verifier should not be seen as someone who checks every assessment and looks for errors. If assessors are competent and qualified then it should be sufficient for the internal verifier to **sample** assessments as appropriate. The size of the sample would not be fixed

but be determined by the experience of the assessor and the number of assessments carried out. The rule would be that the internal verifier should have sufficient evidence to show competent assessment without over verifying.

Checking assessments should be as much about discussing problems and giving advice, taking problems to the external verifier and feeding back. It is a wide role and implies a wide range of skills and knowledge which would be covered on a course for internal verifiers.

The internal verifier should also be consulted upon and be prepared to give advice on any simulations to be carried out (i.e. for Element 4 of the unit 'Health & Safety of Self and Others' and Element 2 of the unit 'Environmental Controls.'

Relationships with external verifiers

The external verifier represents the awarding body SQA and is responsible for checking the quality of assessment and therefore the quality of internal verification. External verifiers usually have significant experience of the distilling industry gained within the preceding ten years.

Through internal verification, awarding bodies devolve quality control of qualifications to the organisations which have been approved to offer them. This responsibility means that organisations must carry out their quality monitoring role to the highest standard. Experience has shown that when this is done then the development of qualifications is much smoother with external verifier visits concentrating on development issues and problem solving.

There should be a good working relationship between the internal and external verifier. The external verifier should know that any problems will not be hidden and that he or she may be called upon to give advice or solve problems between visits.

The internal verifier should know that the visit of the external verifier should not be a harrowing experience but an opportunity to discuss any problems and plan for future development.

The role of internal verifiers should be covered more fully in training courses and the performance standards expected for internal verifiers is shown in appendix 2/2 of this booklet. The following checklist covers the main points to be considered during internal verification.

Checklist for internal verification

Management systems

- Are records of assessment up-to-date and accurate?
- Are awarding body requirements adhered to?
- Are records readily accessible to both the internal and external verifiers?
- Are administrative or other staff trained to deal with awarding body paperwork?
- Is the programme of assessment managed so that candidates are aware of the opportunities for assessment available to them and not hindered from making progress?
- Are units properly recorded and notifications made to the awarding body without delay?
- Is there a satisfactory system of introducing candidates to the SIVQ?
- Is it clear to the candidates who will be involved in the process of assisting them through the units?
- Is this shown in an induction document or by an alternative method?
- Are there clear arrangements for communication between satellite Centres?
- Are there clear arrangements for communication between assessors and internal verifiers?

Resources

- Are there adequate supplies of assessment records, assessment plans and awarding body paperwork?
- Have adequate staff resources been set aside for the expected demand for assessment?
- Has this demand been estimated?
- Are assessors competent in the skills area being assessed and are they working towards assessor awards?
- Have the development needs of assessors been identified and steps taken to meet the identified needs?
- Has adequate time been set aside for all activities connected with supporting and assessing candidates?

Assessment

- Is assessment planned or on demand and are candidates clear as to when assessment will take place?
- Are candidates totally clear as to the need to provide evidence of competence which meets the performance criteria of the SIVQ?
- Do candidates have copies of the units and elements of the SIVQ?

- Are the units appropriate to the candidates?
- Are the candidates encouraged to keep a portfolio of their evidence?
- Does the preparation for assessment show a clear understanding of the process?
- Is it clear that candidates are competent before assessment or does further learning have to take place?
- Is there provision for coping with gaps in skill or knowledge?
- When assessments take place is the assessor unobtrusive?
- Are candidates given feedback as soon as possible after assessment?
- Do assessors use open questions to check the knowledge evidence and to cover the range?
- Are assessors objective in their assessments?
- Are appropriate assessment methods used?

Quality assurance and control

- Is there a system of internal verification?
- Does the checking role of the internal verifier cover all aspects of the SIVQ?
- Are internal verifiers trained and working towards the appropriate internal verification standards?
- Are there good working relationships between the internal verifier and awarding body external verifiers?
- Are internal verifiers records kept and are these readily available to the external verifier?
- Do internal verifiers meet in order to reach a common understanding and to achieve a common quality level?
- Is there an adequate level of sampling to ensure competent assessment?
- Does verification include discussions with candidates to confirm a quality level?
- Is it clear why candidates give up or do not achieve units?

Recording internal verification activity

On pages 51 to 54 there are some worked examples of simple forms which can be created by the internal verifier to record internal verification activity. (Blank versions of these forms can be found at the end of Section C)

The first 2 forms 'SIVQ Records of Assessments Sampled' and 'SIVQ Record of Other Verifying Activity' are general records to be kept by the internal verifier and might be shown to the external verifier to give an overview of internal verification activities carried out.

The following two forms would be placed inside the candidates portfolios as a record of internal verification having been carried out. The 'SIVQ Internal Verification Report' is a record of an internal verifier attending an observation and feedback session and verifying that the assessor had conducted the session correctly. The 'SIVQ Supplementary Sheets' are records of sampling activity which would be inserted into the candidate's portfolio. In this example the internal verifier has verified a Unit/Element across 4 candidates (and maybe 2 or more assessors) to check for parity and validity on the assessment of this unit. Finally, there is a form 'SIVQ Internal Verification – Feedback to assessors' which internal verifiers might give to candidates as evidence of their verification activity and to give them feedback after they have met with them to discuss the process.

Internal verifiers should both complete the internal verification forms and make any hand written comments in candidate's portfolios in red ink. This makes it easy for the external verifier to identify and track internal verifier activity.

Examples of records of verifying activity

SIVQ Internal Verification of Records of Assessments Sampled

DATE	CANDIDATE	ASSESSOR	UNIT(S)	COMMENTS	VERIFIER
5.10	R Conrad	J Aitken	F152 04	Assessment seen. Good throughout	A Davies
6.11	R Mowat	B Duncan	F156 04	Record of assessment not given to candidate. Feedback could be more specific	A Davies
15.11	G Currie	J Aitken	F15Y 04	Questions should be prepared in advance but the assessment was comprehensive	A Davies

SIVQ Record of Other Verifying Activity

(To record discussions with assessors, candidates and external verifier, EV visits, document checks, meetings etc.)

DATE	ACTIVITY	COMMENTS	VERIFIER
17.9	Check of all candidate records	3 incorrectly completed. 1 not sent to SQA	A Davies
20.10	Visit from external verifier	Good report but the records system needs improving particularly in relation to the filing of assessment records	A Davies
10.11	Meeting with assessors	Agreement to improve feedback, questions and record keeping.	A Davies

Below is an example of a completed internal verification report. This is a straightforward report which illustrates the nature of the internal verification process:

SIVQ Internal Verification Report			
INTERNAL VERIFIER:	J.P. Millar		
ASSESSOR:	J. Bell		
CANDIDATE:	S. Keith	REGISTRATION NO:	935444241
DATE:	8. 02.09		
UNIT NO:	F164 04	ELEMENT NO:	N/A
<p>The assessor explained to me that he had previously assessed the other elements in the unit and that this final assessment would complete the candidate's assessments for qualification.</p> <p>The assessor explained my presence; that I was there to observe the assessment procedure and not assess him.</p> <p>We observed the candidate carrying out the intake procedure. He explained why he made certain checks as he carried them out. This indicated a good preparation of the candidate and the candidate's knowledge of what he was doing. We then returned to the candidate's rest room where the assessor asked the candidate questions which further illustrated the candidate's knowledge.</p> <p>After the assessment was completed the candidate was informed that the assessment was satisfactory. The assessor then went through the questions to explain how they fitted with the knowledge evidence.</p> <p>I asked the candidate, as he had now completed the SIVQ, how he felt about the system and also how he felt it affected his carrying out of his duties.</p> <p>He said that he felt a sense of achievement on completing the units and that he had a greater awareness of why he carried out certain tasks and also of the safety aspects.</p>			

ASSESSOR'S SIGNATURE: _____ DATE: _____

VERIFIER'S SIGNATURE: _____ DATE: _____

SIVQ Supplementary Sheets (For Internal Verification Purposes)

UNIT: 1 Health and Safety of Self and Others (F161 04)

Element: 1.1 Lift and Handle Safely

Notes/Comments

Evidence submitted included 1 observation record, 2 question and answer sheets, 1 witness testimony.

Checked validity of witness testimony with witness - validity confirmed

Re-asked 2 questions from question and answer sheet - answered correctly

Checked amount and quality of evidence submitted for unit against candidates A Mann, T Buckley and G Formosa. There was parity between all 4 candidates.

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

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

SIVQ Internal Verification – Feedback to assessors

Name of internal verifier: J.P. Millar

Name of assessor: J. Bell

Date: 18/02/09.

Unit: Health & Safety of Self & Others Element: 1.1

Aspect	Yes	No	Comment
Is the assessment method appropriate (suitability)?	✓		Observation Question and answer sheets Witness testimony
Does the evidence address the PC's within elements?	✓		Yes, fully
Is there an adequate coverage of the range?	✓		Not applicable for this unit
Have the knowledge items been adequately assessed?	✓		Yes
Has the evidence presented been clearly referenced?	✓		Yes

Appendix 2/1 - The Role of the Assessor and their Standards of Performance in the SIVQ

An assessor for the SIVQ award should be able to demonstrate that they can carry out their role as described in the next 3 pages.

There are 4 key activities that an assessor should carry out:

1. Planning assessments to make sure that the most appropriate assessment methods are used and that the assessment process is thorough but not too onerous for either the candidate or the assessor
2. Assessing candidates in a variety of ways, including:
 - * Observation
 - * Questioning
 - * Gathering evidence from other appropriate people (witness statements)
 - * Simulation
 - * Product AssessmentAnd then judging the evidence against the standards
3. Giving candidates feedback on their progress, including when they have and when they haven't achieved the required standard
4. Co-operating with the internal verifier and the SQA external verifier and their procedures to ensure that assessment is:
 - * Safe
 - * Fair
 - * Valid
 - * Reliable

1. Making Plans:

To show that you are working to the required standard, you must be able to demonstrate that you:

- 1 Make sure that all the candidates understand what the assessment process involves; what is expected from them; what support is available to them and what to do if they wish to complain or appeal against an assessment decision.
- 2 Develop and agree a plan of assessment with each candidate which includes
 - a. when assessment will take place
 - b. who else might be involved (see also 6)
 - c. when progress will be reviewed (see also 9)
- 3 Select, agree, plan and use a variety of appropriate assessment methods.
- 4 Make the most of all assessment opportunities and look for ways that evidence collected for one unit might also be appropriate for another
- 5 Identify and agree any special arrangements needed to make sure the assessment process is fair.
- 6 Identify how colleagues, supervisors or managers will contribute to assessments and what support they may need to do this effectively.
- 7 Protect confidentiality and agree arrangements to deal with any sensitive issues.

- 8 Agree with the candidate how you will handle any difficulties or disputes during the assessment.
- 9 Review and update assessment plans to take account of what the candidates have achieved.

2. Assessing and Judging:

To show that you are working to the required standard, you must be able to demonstrate that you:

- 10 Assess candidates according to the agreed plan.
- 11 Ensure that all evidence is the candidate's own work.
- 12 Make safe, fair, valid and reliable decisions about the competence of candidates, only on the agreed standard (not below it and not to a higher standard)
- 13 Collect evidence from the other people involved in the assessment process.
- 14 Apply any agreed special arrangements to make sure the assessment is fair.
- 15 Base your decisions on all the relevant evidence of the candidate's performance and knowledge.
- 16 Investigate and resolve any inconsistencies in the evidence.
- 17 Keep internal records of the *outcomes* of assessments by using the agreed recording system.
- 18 Speak to the appropriate person if you and the candidate cannot agree on your assessment of their performance.

3. Giving Feedback:

To show that you are working to the required standard, you must be able to demonstrate that you:

- 19 Give candidates feedback at an appropriate time and place, positively and in a way which is appropriate to the individual
- 20 Explain your assessment decisions clearly, including:
 - a. whether candidates' evidence of competence is or isn't good enough.
 - b. advice on how they can develop the necessary skills or provide more evidence
- 21 Encourage candidates to get advice on your assessment decisions.
- 22 Identify and agree the next steps in the assessment process and how candidates will achieve these.
- 23 Follow the agreed complaints and appeals procedures if candidates disagree with your assessment decisions.

4. Quality:

To show that you are working to the required standard, you must be able to demonstrate that you:

- 24 Keep your assessment records accurate and up to date, and provide an audit trail of evidence.
- 25 Contribute to standardisation arrangements so that your assessment decisions are in line with others.
- 26 Give accurate information on assessments when it is needed
- 27 Contribute to the agreed quality assurance process.

Knowledge requirements

You also need to be able to show that you KNOW and UNDERSTAND the following:

Mostly this will be shown through the outcome of your assessment activities and through evaluations of systems and processes.

HOW TO:

- (a) identify, use and compare different types of evidence when carrying out assessments
- (b) collect evidence in ways that are cost-effective and timely
- (c) develop and agree assessment plans with candidates and the other people involved
- (d) accurately assess performance against specific parts of the standard
- (e) take appropriate action and help candidates develop their competence
- (f) change assessment procedures to meet the individual needs of candidates
- (g) identify the difficulties in making safe, fair, valid and reliable assessments of evidence and who to involve in such cases
- (h) follow standardisation and internal quality assurance procedures
- (i) measure existing levels of competence
- (j) make valid and reliable assessments of both the candidate's knowledge and performance
- (k) make sure you have covered all the agreed criteria during an assessment
- (l) check that the evidence is the candidate's own work
- (m) make sure that supporting evidence supplied by other people is reliable
- (n) give constructive feedback on existing levels of competence and what candidates need to do to be fully competent
- (o) keep to the Data Protection Act
- (p) use language and behaviour which does not discriminate against any candidate
- (q) meet the different needs of candidates
- (r) encourage candidates to ask questions and get advice
- (s) monitor and review progress with candidates
- (t) use opportunities to update your skills and experience
- (u) identify and use information on current assessment best practice

Appendix 2/2 - The Role of the Internal Verifier and their Standards of Performance in the SIVQ

Internal verifiers for the SIVQ should be able to demonstrate that they can carry out their role as described in the next 3 pages.

There are 4 key activities that an internal verifier should carry out:

1. evaluating internal assessment and monitoring the quality of assessors' performance
2. applying internal quality assurance systems
3. supporting assessors
4. meeting external quality assurance requirements (SQA)

1. Evaluate and Monitor Assessment:

To show that you are working to the required standard, you must be able to demonstrate that you:

- 1 Put in place your organisation's requirements for auditing assessments which meet the requirements of SQA.
- 2 Identify the outcomes needed by the SIVQ and their consequences for internal auditing.
- 3 Carry out the administrative and recording arrangements specified by SQA.
- 4 Identify and ensure agreed criteria for choosing assessors is applied.
- 5 Carry out assessment standardisation arrangements.
- 6 Ensure a procedure for complaints and appeals is in place and that it is followed when necessary.
- 7 Identify and use internal and external measures of performance to adjust internal systems.
- 8 Make recommendations to improve internal quality assurance arrangements and implement where agreed by company and external verifiers.

2. Support assessors

To show that you are working to the required standard, you must be able to demonstrate that you:

- 9 Ensure assessors:
 - a. have technical and vocational experience which reflects the requirements of the SIVQ
 - b. are familiar with and can carry out specific assessments and follow the internal recording and audit procedures.
- 10 Identify the development needs of assessors in line with:
 - a. principles of assessment

- b. the needs of their candidates
 - c. their technical expertise and competence
- 11 Give assessors the chance to develop their assessment experience and competence; and monitor their progress.
- 12 Ensure assessors have opportunities to discuss and standardise assessment decisions.
- 13 Ensure assessors have sufficient time and other resources to carry out assessments properly

3. Monitor assessors' performance

To show that you are working to the required standard, you must be able to demonstrate that you:

- 14 Ensure that individual assessors
 - a. are preparing for and planning assessments effectively.
 - b. have effective processes for making assessment decisions.
 - c. understand the necessary outcomes.
 - d. apply safe, fair, valid and reliable methods of assessing candidates' competence.
 - e. Make consistent judgements over time and with different candidates, including watching them carry out assessments.
- 15 Check an appropriate sample of assessors to ensure consistency between assessors over time and with different candidates.
- 16 Where applicable check different assessment sites to ensure assessment decisions are consistent across the organisation
- 17 Ensure that assessors set up and maintain effective working relationships with candidates at all stages of the assessment process.
- 18 Ensure assessors apply relevant health, safety and environmental protection procedures, as well as equality and access criteria.
- 19 Monitor the frequency and effectiveness of
 - a. assessment reviews
 - b. feedback to candidates
- 20 Monitor how accurate and secure assessors' record-keeping is.
- 21 Give assessors accurate and helpful feedback on their assessment decisions.

4. External quality assurance

To show that you are working to the required standard, you must be able to demonstrate that you:

- 22 Identify how internal assessments will be checked externally by SQA and the information needed for this purpose.
- 23 Plan, collect and analyse information on internal assessment decisions.

- 24 Co-operate with the external verification process by:
 - a. Taking part in external verifier's assessment audit arrangements.
 - b. Providing information to the external verifier about the assessment process
 - c. Explaining any issues raised by the external verifier and supplying information as necessary.
 - d. Raise concerns and disagreements about external audit decisions in a clear and constructive way.
 - e. Refer any questions or concerns, which could not be dealt with internally, to SQA.
- 25 Give assessors feedback on external verifier decisions.
- 26 Ensure that external verifier decisions are included in internal reviews of procedures.

Knowledge requirements

You also need to be able to show that you KNOW and UNDERSTAND the following:

Mostly this will be demonstrated through the successful outcome of your verification activities and through evaluation of your systems and processes.

HOW TO:

- (a) monitor and review how candidate competence is assessed and recorded
- (b) ensure that individual assessors are consistent and accurate in their assessment judgements over time and with different candidates
- (c) ensure that assessment decisions between assessors are monitored so that assessment standards are applied consistently
- (d) set up effective internal assessment evaluation methods & systems and systems for reviewing assessment decisions and the progress of candidates which are in line with
 - a. the requirements of awarding bodies
 - b. legislation
 - c. requirements of your organisation
- (e) monitor equality and access to assessments and practices that do not discriminate
- (f) set and apply clear and effective criteria for choosing assessors
- (g) use assessment decisions as a way of evaluating internal audit arrangements
- (h) use different ways of collecting evidence and how to choose appropriate and efficient methods of doing this
- (i) choose different ways of presenting evidence for assessment
- (j) ensure candidates' knowledge and performance is assessed
- (k) evaluate assessors' technical competence against the agreed standards and assessment procedures

- (l) identify assessment principles and make these clear to assessors
- (m) ensure that enough resources are available to meet the needs of assessors
- (n) ensure assessors keep up to date with assessment practices and procedures
- (o) give constructive feedback and support to assessors
- (p) identify the development needs of assessors and where they can find support
- (q) identify and evaluate external factors that influence changes in your own area of competence and appropriate sources of support for your own development
- (r) plan for the requirements, order and timing of external verifier visits including extra information the external verifier is likely to need
- (s) identify and represent internal concerns to the external verifier in a constructive way
- (t) give effective feedback to candidates and assessors on the external audit decisions
- (u) use external audit information in a constructive way to improve internal systems
- (v) identify where and how changes to internal assessment audit arrangements can and should be made in response to external audit recommendations
- (w) identify and plan for issues of confidentiality and data protection

Appendix 2/2 - MAP OF UNITS

THE SPIRITS INDUSTRY VOCATIONAL QUALIFICATIONS

SQA Group Award No. G8FR 04

No.	COMPULSORY UNITS	SQA No.
1	Health and safety of self and others 1.1 Lift and handle safely 1.2 Use tools and work equipment safely 1.3 Maintain a healthy and safe working environment 1.4 Respond to emergencies	F161 04
2	Work With Others 2.1 Establish and maintain effective working relationships 2.2 Work with others to meet objectives	F14B 04

No.	GENERAL UNITS	
3	Maintain Quality Standards	F165 04
4	Handover & Takeover Procedures	F160 04
5	Diagnose & Overcome Operating Problems 5.1 Diagnose operating problems 5.2 Overcome operating problems	F154 04
6	Hygiene Cleaning	F162 04
7	Clean in-Place (CIP)	F14G 04
8	Transfer Materials	F16T 04
9	Bulk Intake	F14D 04
10	Intake Goods and Materials	F163 04
11	Changeovers	F14F 04
12	Control Systems 12.1 Operate process using control systems 12.2 Overcome problems using control systems	F150 04
13	Environmental Controls 13.1 Work in ways which support environmental safety 13.2 Deal with risks arising from potential environmental incidents	F15E 04
14	Security	F16N 04

(Continued)

No.	PROCESS UNITS	
15	Milling	F167 04
16	Cooking	F151 04
17	Mashing	F166 04
18	Tun Room	F16V 04
19	Distilling	F155 04
20	Botanicals	F14C 04
21	Demineralisation of Water	F152 04
22	Pot Ale Syrup Production	F16G 04
23	Pelletising	F16F 04
24	Steeping	F16R 04
25	Germination	F15Y 04
26	Drying or Kilning	F157 04
27	Dressing & Deculming	F156 04
28	Mixing	F16C 04
29	Filtration	F15M 04
30	Filling	F15F 04
31	Labelling	F164 04
32	Finishing Work	F15R 04
33	Packing	F16D 04
34	Palletising & Wrapping	F16E 04
35	Case Coding	F14E 04
36	Empty Cask Receipt, Storage & Preparation	F159 04
37	Filling (Warehouse)	F15J 04
38	Storage & Monitoring of Full Casks	F16S 04
39	Full Cask Maintenance	F15V 04
40	Warehouse Vat Operations	F16W 04
41	Receipt of Casked or Bulk Spirit	F16L 04
42	Despatch Casked or Bulk Spirit	F153 04
43	Prepare & Operate Vehicles	F16H 04
44	Effluent Treatment	F158 04

(The SQA group award number G8FR 04 and the above SQA unit numbers must be used when communicating any unit information to SQA)