Assessor's Guidelines for SVQ2 Performing Engineering Operations SCQF level 5 GL6E 22

Publication date: July 2016
Publication code: DB6237

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Published by the Scottish Qualifications Authority
The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ
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www.sqa.org.uk

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History of changes

It is anticipated that changes will take place during the life of the qualification, and this section will record these changes. This document is the latest version and incorporates the changes summarised below.

Version number	Description	Date	Authorised by

Contents

About SVQs and the SCQF ... 2
How are standards defined in SVQs? ... 4
Who is involved in SVQs? ... 4
The steps involved in assessing a candidate for an SVQ ... 5
1 The SVQ1 Performing Engineering Operations and SVQ2 Performing Engineering Operations SCQF level 5 ... 6
Structure of the SVQs ... 7
An Assessment Strategy for the SVQ ... 14
Why would people be interested in the SVQ's? ... 14
How do candidates begin? ... 15
Choosing the SVQ ... 15
2 Preparing to assess the SVQ ... 16
Your role and your candidate's role ... 16
Planning ... 17
Assessment plan ... 18
Selecting methods of assessment ... 19
Methods of assessment ... 20
Observation ... 20
Product evidence evaluation ... 20
Questioning ... 21
Other methods of assessment ... 21
Personal statements ... 21
Witness testimony ... 21
Simulation ... 22
Other sources of evidence ... 22
3 Generating evidence ... 23
Observation ... 24
Questions and candidate responses ... 26
Candidate's personal statement ... 28
Witness testimony ... 30
Filling the gaps ... 33
Guidance and support to candidates ... 33
Judging candidate evidence and making an assessment decision ... 34
Insufficient evidence ... 34
Authenticating candidates' evidence ... 34
4 Recording achievement ... 35
Completing the Unit progress record ... 36
Unit progress record ... 37
Using the index of evidence ... 38
Index of evidence ... 39
Completing the Element achievement record ... 40
Element achievement record ... 41
5 Further information ... 43
What else should I read? ... 43
Appendix 1: Blank recording forms ... 44

About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ2 Performing Engineering Operations SCQF level 5**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

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

Introduction

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

About SVQs and the SCQF

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

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

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

There are SVQs for nearly all occupations in Scotland and they are available at SVQ levels 1–5. SVQs are currently notionally placed in the SCQF as the individual SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ. SVQs are a means of recognising the skills and knowledge people need in employment, ie job competence. Successful completion of an SVQ provides clear evidence that the learner works to nationally recognised occupational standards.

Each Unit defines one aspect of a job or work-role, and says what it is to be competent in that aspect of the job. To be awarded a full SVQ, learners must achieve each of the SVQ Units which make it up by demonstrating that they are competent in that aspect of the job. The Units which make up the SVQ can also be taken as freestanding awards. Some SVQs or SVQ Units are incorporated into other awards or programmes including HNCs and Modern Apprenticeships.

Explanation of levels

SVQ1 **(SCQF level 4)**	Competence involves the application of knowledge and skills in the performance of a range of varied work activities, most of which may be routine or predictable.
SVQ2 **(SCQF level 5)**	Competence involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. At this level, there will be activities, which are complex or non-routine and there is some individual responsibility and autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.
SVQ3 **(either SCQF level 6 or 7)**	Competence involves the application of knowledge and skills in a broad range of varied work activities, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often present.
SVQ4 **(either SCQF level 8 or 9)**	Competence involves the application of knowledge and skills in a broad range of complex technical or professional work activities, performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.
SVQ5 **(SCQF level 11)**	Competence involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal accountability.

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

How are standards defined in SVQs?

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

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

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

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

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

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

Who is involved in SVQs?

There are several roles:

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

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

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

The steps involved in assessing a candidate for an SVQ

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

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

1 The SVQ2 Performing Engineering Operations SCQF level 5

The SVQ in Performing Engineering Operations has been developed by SEMTA, the standards setting body for Science, Engineering and Manufacturing Technologies and is intended for people starting a career in engineering or manufacturing, or are employed and are carrying out engineering tasks which, for whatever reasons, do not fit comfortably within the Performing Manufacturing Operations or other engineering/manufacturing level 2 qualification.

The SVQ may also be for obtaining recognition for occupational competence that the candidate may have already developed.

These people may be working towards an apprenticeship or be working as an engineering operative. They will require skills and knowledge in Health and Safety, be able to interpret technical information and be competent and familiar with managing their own personal work space whilst carrying out a range of engineering activities.

The SVQ is designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings in which the SVQ is likely to be delivered include: workshops in highly supervised and controlled environments such as schools, colleges, training providers, company training centres and HM Prison Services.

Structure of the SVQs

This section lists the Units which form the SVQ in Performing Engineering Operations.

SVQ2 Performing Engineering Operations SCQF Level 5 (GL6E 22)

This qualification consists of eight Units in total (three mandatory and five optional). Optional Units may be chosen from Group A and/or Group B.

Optional Units selected from **Group B** must be delivered and assessed in the learner's place of work (ie not in a sheltered/realistic environment).

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HE9D 04	5	5	SEMMAN123-01	Complying with Statutory Regulations and Organisational Safety Requirements
HE9C 04	5	5	SEMMAN23-02	Using and Interpreting Engineering Data and Documentation
FR0T 04	5	5	SEMMAN3-03	Working Efficiently and Effectively in Engineering

Group A — Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FP26 04	5	29	SEMPEO2-04	Producing Mechanical Engineering Drawings using a CAD System
FP27 04	5	22	SEMPEO2-05	Producing Components using Hand Fitting Techniques
FP28 04	5	23	SEMPEO2-06	Producing Mechanical Assemblies
FP29 04	5	27	SEMPEO2-07	Forming and Assembling Pipework Systems
FP2A 04	5	30	SEMPEO2-08	Carrying out Aircraft Detail Fitting Activities
FP2C 04	5	22	SEMPEO2-09	Installing Aircraft Mechanical Fasteners
FP2D 04	5	28	SEMPEO2-10	Producing Aircraft Detail Assemblies
FP2E 04	5	29	SEMPEO2-11	Preparing and Using Lathes for Turning Operations

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FP2F 04	5	28	SEMPEO2-12	Preparing and Using Milling Machines
FP2G 04	5	31	SEMPEO2-13	Preparing and Using Grinding Machines
FP2H 04	5	30	SEMPEO2-14	Preparing and Proving CNC Machine Tool Programs
FP2J 04	5	34	SEMPEO2-15	Preparing and Using CNC Turning Machines
FP2K 04	5	34	SEMPEO2-16	Preparing and Using CNC Milling Machines
FP2L 04	5	34	SEMPEO2-17	Preparing and Using CNC Machining Centres
HF1G 04	5	34	SEMPEO2-18	Preparing and Using Industrial Robots
FP2M 04	5	31	SEMPEO2-19	Maintaining Mechanical Devices and Equipment
FP2N 04	5	36	SEMPEO2-20	Assembling and Testing Fluid Power Systems
FP2P 04	5	36	SEMPEO2-21	Maintaining Fluid Power Equipment
FP2X 04	5	25	SEMPEO2-22	Producing Sheet Metal Components and Assemblies
FP2Y 04	5	36	SEMPEO2-23	Producing Platework Components and Assemblies
FP31 04	5	36	SEMPEO2-24	Cutting and Shaping Materials using Thermal Cutting Equipment
FP32 04	5	31	SEMPEO2-25	Preparing and Proving CNC Fabrication Machine Tool Programs
FP33 04	5	34	SEMPEO2-26	Preparing and Using CNC Fabrication Machinery
FP34 04	5	29	SEMPEO2-27	Preparing and Using Manual Metal Arc Welding Equipment
FP35 04	5	33	SEMPEO2-28	Preparing and Using Manual TIG or Plasma-arc Welding Equipment
H2M4 04	5	34	SEMPEO2-29	Preparing and Using Semi-automatic MIG, MAG and Flux cored arc Welding Equipment

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2M5 04	5	29	SEMPEO2-30	Preparing and Using Manual Oxy/fuel Gas Welding Equipment
H2M1 04	5	30	SEMPEO2-31	Preparing and Using Manual Flame Brazing and Braze Welding Equipment
FP3C 04	5	32	SEMPEO2-32	Producing Electrical or Electronic Engineering Drawings Using a CAD System
FP3E 04	5	32	SEMPEO2-33	Wiring and Testing Electrical Equipment and Circuits
FP3G 04	5	27	SEMPEO2-34	Forming and Assembling Electrical Cable Enclosure and Support Systems
FP3H 04	5	31	SEMPEO2-35	Assembling, Wiring and Testing Electrical Panels/Components Mounted in Enclosures
FP3N 04	5	32	SEMPEO2-36	Assembling and Testing Electronic Circuits
FP3V 04	5	34	SEMPEO2-37	Maintaining Electrical Equipment/Systems
FP3T 04	5	34	SEMPEO2-38	Maintaining Electronic Equipment/Systems
FP3W 04	5	32	SEMPEO2-39	Maintaining and Testing Process Instrumentation and Control Devices
FP3Y 04	5	33	SEMPEO2-40	Wiring and Testing Programmable Controller Based Systems
FP40 04	5	29	SEMPEO2-41	Using Wood for Pattern, Modelmaking and Other Engineering Applications
FP41 04	5	27	SEMPEO2-42	Assembling Pattern, Model and Engineering Woodwork Components
FP45 04	5	25	SEMPEO2-46	Producing Composite Assemblies
FP46 04	5	29	SEMPEO2-52	Finishing Surfaces by Applying Coatings or Coverings
FP47 04	5	27	SEMPEO2-54	Carrying out Heat Treatment of Engineering Materials
FP49 04	5	33	SEMPEO2-61	Producing CAD Models (Drawings) using a CAD System

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F3E1 04	5	29	SEMPEO2-62	Producing Engineering Project Plans
F3E2 04	5	27	SEMPEO2-63	Using Computer Software Packages to Assist with Engineering Activities
F3BB 04	5	32	SEMPEO2-64	Conducting Business Improvement Activities
F3BM 04	5	32	SEMPEO2-65	General Machining, Fitting and Assembly Applications
F3BL 04	5	32	SEMPEO2-66	General Fabrication and Welding Applications
F3BK 04	5	32	SEMPEO2-67	General Electrical and Electronic Engineering Applications
F3BN 04	5	32	SEMPEO2-68	General Maintenance Engineering Applications
H2C8 04	5	28	SEMPEO2-69	Joining Public Service Vehicle Components by Mechanical Processes
H2C9 04	5	28	SEMPEO2-70	Assembling Structural Sub Assemblies to Produce a Public Service Vehicle
H2CA 04	5	28	SEMPEO2-71	Fitting Sub Assemblies and Components to Public Service Vehicles
H2CC 04	5	32	SEMPEO2-73	Producing Composite Mouldings using Resin Film Infusion Techniques

Optional Units selected from **Group B** must be delivered and assessed in the learner's place of work (ie not in a sheltered/realistic environment).

Group B — Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HF3R 04	5	30	SEMMME205	Operating Centre Lathes
HF3T 04	5	30	SEMMME208	Operating Milling Machines
HF3V 04	5	33	SEMMME219	Operating CNC Turning Machines
HF3W 04	5	33	SEMMME220	Operating CNC Milling Machines

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HF3X 04	5	33	SEMMME224	Operating CNC Electro-Discharge Machines
HF3Y 04	5	33	SEMMME226	Operating CNC Machining Centres
HF40 04	5	28	SEMMME227	Producing Mechanical Sub-Assemblies/Assemblies
HF41 04	5	28	SEMMME228	Assembling Fluid Power Components to Mechanical Equipment
HF43 04	5	30	SEMMME229	Assembling Electrical or Electronic Components to Mechanical Equipment
HF44 04	5	31	SEMMME230	Assembling Pipework Components to Mechanical Equipment
HF45 04	5	29	SEMEMI2-04	Handing Over and Confirming Completion of Maintenance or Installation
HF46 04	5	31	SEMEMI2-05	Carrying out Fault Location on Mechanical Equipment
HF47 04	5	29	SEMEMI2-06	Carrying out Maintenance Activities on Mechanical Equipment
HF48 04	5	29	SEMEMI2-07	Restoring Mechanical Components to Usable Condition by Repair
HF49 04	5	29	SEMEMI2-08	Carrying out Scheduled Maintenance Activities on Mechanical Equipment
HF4A 04	5	31	SEMEMI2-09	Carrying out Fault Location on Electrical Equipment and Circuits
HF4D 04	5	32	SEMEMI2-10	Carrying out Maintenance Activities on Electrical Equipment
HF4E 04	5	31	SEMEMI2-11	Carrying out Modifications or Rewiring Electrical Circuits
HF4F 04	5	30	SEMEMI2-12	Carrying out Scheduled Maintenance Tasks on Electrical Equipment
HF4G 04	5	32	SEMEMI2-16	Carrying out Fault Location on Fluid Power Equipment and Circuits

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HF4H 04	5	31	SEMEMI2-17	Carrying out Maintenance Activities on Fluid Power Equipment
HF4J 04	5	31	SEMEMI2-18	Carrying out Scheduled Maintenance Tasks on Fluid Power Equipment
HF4K 04	5	32	SEMEMI2-19	Carrying out Fault Location on Service Systems and Equipment
HF4L 04	5	29	SEMEMI2-20	Carrying out Scheduled Maintenance Tasks on Service Systems and Equipment
HF4M 04	5	29	SEMEMI2-27	Carrying out Maintenance on Compressed Air Equipment
HF4N04	5	32	SEMEMI2-47	Assisting in the Installation of Mechanical Equipment
HF1X 04	5	32	SEMFWE205	Joining Materials by the Semi-automatic MIG/MAG and Flux Cored Arc Processes
HF1Y 04	5	32	SEMFWE208	Producing Fillet Welded Joints using a Manual/Semi-automatic Welding Process
HF20 04	5	32	SEMFWE209	Welding Materials with Mechanised Arc Welding Equipment
H2BE 04	5	26	SEMFWE221	Marking out Components for Fabrication
H2BF 04	5	24	SEMFWE222	Cutting Sheet Metal to Shape using Hand and Machine Tools
H2BG 04	5	26	SEMFWE223	Forming Sheet Metal using Hand and Machine Tools
H2BH 04	5	27	SEMFWE224	Producing Sheet Metal Assemblies
HF21 04	5	31	SEMFWE226	Cutting and Shaping Materials using CNC Laser Profiling Machines
HF22 04	5	30	SEMFWE227	Cutting and Shaping using CNC Plasma or Gas Cutting Machines
H2BL 04	5	27	SEMFWE228	Assembling Components using Mechanical Fasteners
H2BM 04	5	23	SEMFWE231	Slinging, Lifting and Moving Materials and Components

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2BN 04	5	26	SEMFWE232	Cutting Plate and Sections using Shearing Machines
H2BP 04	5	32	SEMFWE235	Cutting Materials using Saws and Abrasive Discs
H2BR 04	5	30	SEMFWE236	Bending and Forming Plate using Power Operated Machines
H2BS 04	5	31	SEMFWE238	Producing Platework Assemblies
H2BT 04	5	30	SEMFWE239	Producing Holes using Drilling Machines
H2BV 04	5	30	SEMFWE241	Producing Structural Steel Ancillary Components
H2BW 04	5	32	SEMFWE242	Assembling Structural Steelwork
HF1H 04	5	39	SEMFWE2116	Cutting and Shaping Wooden Components for Yachts and Boats using Hand Tools
HF1J 04	5	39	SEMME2119	Assisting in the Installation of Wooden Furniture/Outfitting Units for Yachts and Boats
HF1K 04	5	36	SEMME2121	Applying Surface Finishes to Yacht and Boat Wooden Assemblies
HF1L 04	5	37	SEMME2122	Fitting Seating, Interior Panels, Soft Furnishing and Trim in Yachts and Boats
HF1M 04	5	37	SEMME2123	Carrying out Repairs to Yacht and Boat Wooden Components and Assemblies
HF1N 04	5	37	SEMME2124	Carrying out Repairs to Yacht and Boat Composite Components

An Assessment Strategy for the SVQ

As part of their review of the SVQs, the standards-setting body SEMTA has developed an Assessment Strategy which defines a range of requirements:

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

The relevant parts of the Assessment Strategy are published on SQA's website (**www.sqa.org.uk**), and both SQA and centres must comply with these requirements.

Why would people be interested in the SVQs?

People will take SVQs for a variety of reasons: to gain promotion, to prove their job competence, or for personal development. There will be other reasons too. One of the first things to do is to find out why your candidates want to do the SVQ, and to advise them of the appropriateness of the qualification. If anyone is acting as a coach or mentor to your candidates, they might help you to do this.

How do candidates begin?

Choosing the SVQ

You should make sure that candidates get guidance before starting out on an SVQ — they need advice to ensure that their existing job remit, skills, experience, and their plans for progression, are matched to the SVQ selected. It does not have to be you as the assessor, who carried out the matching process, but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

Example

An example of a potential pathway for the Performing Engineering Operations SVQ at level 2 would be:

- Complying with Statutory Regulations and Organisational Safety Requirements
- Working Efficiently and Effectively in Engineering
- Using and Interpreting Engineering Data and Documentation
- Producing Mechanical Engineering Drawings Using a CAD System
- Producing Components Using Hand Fitting Techniques
- Producing Mechanical Assemblies
- Assembling and Testing Fluid Power Systems
- Maintaining Fluid Power Equipment

The example above could be used by a full-time student at a college who was looking to gain skills and experience before applying for a modern apprenticeship with an employer.

For many Modern Apprenticeships at craft level a supporting qualification at National Certificate level is often required, whereas a technician grade course would need to be supported by a Higher National qualification. This means the candidates would have very different academic burdens to reach the MA. (MAs also require a vocational qualification at level 3.)

For employed candidates the choice of route is a combined decision between the employee and employer, facilitated by the training provider. For candidates not in employment the pathway is chosen by the candidate and the training provider. All parties need to know and understand their roles and responsibilities and a clear training plan needs to be established to outline clear timescales and review dates. Only when all these arrangements are agreed by everyone involved and written up in an assessment plan should the training begin.

2 Preparing to assess the SVQ

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

Your role and your candidate's role

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

Your role

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

Candidates' role

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

Planning

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

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

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

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

To help you plan for assessment, we have produced an example assessment plan which covers H2M1 04 Preparing and Using Manual Flame Brazing and Braze Welding Equipment. **Please note that the example does not make accurate or specific reference to the Performance Criteria or standards contained in the Unit and is only for illustrative purposes.**

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

Assessment plan

H2M1 04	Preparing and Using Manual Flame Brazing and Braze Welding Equipment				
Activities	**Performance Criteria (PC)**	**Method of assessment/ Sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units (PC and range)**
Produce a butt joint using steel plate Produce a lap joint using copper plate Produce a pipe socket joint (Cunifer)	1.1–1.8, 2, 3, 4.1, 4.5, 4.7, 5.1, 6.1 1.1–1.6, 2, 4.1,4.2, 4.3, 5.2, 6.1, 6.3 1.1–1.7, 2, 4.4, 5.3, 5.4, 6.1–6.4 Knowledge evidence	Observation Personal statement Witness statement Written answers to questions		Photos and records of oral questions Product evidence Job card drawing Personal work record	HE9D 04 PC 1.1–1.12, 2, 3, 4.1, 5.2,5.3, 6 HE9C 04 PC 1.1–1.4, 2, 3, 4.2, 5.1, 5.6. FR0T 04 PC 1.1–1.6, 2, 3, 4.3, 5, 6.
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review					

Assessor's signature _____ **1st review due** _____

Candidate's signature _____ **2nd review due** _____

Date of agreement _____ **Date of completion** _____

Selecting methods of assessment

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

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

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

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

The benefits might be:

- evidence arising naturally from the candidate's normal work
- much of the evidence based on work that the candidate is familiar with, eg location and use of components
- evidence from colleagues/supervisors in the form of testimony
- opportunities for direct observation (could be a benefit or a challenge)
- candidates can progress at their natural pace (could be a benefit or a challenge)
- familiarity between the candidate and the assessor (could be a benefit or a challenge)

The challenges might be:

- the largest challenge is the safety of the candidate. Candidates who do not possess appropriate skills and knowledge at level 2 could pose a significant risk to themselves and others in a workplace. (Some MA frameworks specifically advise against undertaking work-based assessment at level 2 due to safety reasons, they refer to a controlled training environment as the most suitable)
- pressure of work
- shift working
- difficulties in arranging assessment of knowledge and understanding

Methods of assessment

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

Observation

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

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

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

Product evidence evaluation

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

In many of the Units products are created and by evaluating these products, evidence is generated. In the turning Unit a series of components will be manufactured which will provide most of the physical evidence for the Unit.

Questioning

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

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

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

When observing candidates it is clear if they are wearing appropriate PPE but it is only by questioning them that you can establish if they understand the potential risks and why the PPE reduces but does not eliminate a risk.

Other methods of assessment

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

Personal statements

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

Witness testimony

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

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

Strongest	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards. This person may also be an assessor or internal verifier qualified with the A/V Units or 'D-Units'.
	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.
	Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.
	Someone who may be a colleague of the candidate, but with no knowledge of the standards.
Weakest	Someone with no or little knowledge of the candidate's work or no knowledge of the standards.

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

Simulation

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

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

SEMTA has defined what it regards as simulation, and has specified in the standards when simulation is and is not acceptable. The standards also state when candidates must demonstrate competence in the workplace.

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

Other sources of evidence

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

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

3 Generating evidence

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

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

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

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

Observation

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

Observation record

Unit FP2E 04	Preparing and Using Lathes for Turning Operations
Candidate	Josh Wainwright
Evidence index number	Observation 1
Date of observation	22/Feb/2016
Activity observed	Turning stepped diameters on mild steel bar

Skills/activities observed	**Performance Criteria covered**
Josh worked safely, observed all safety systems and procedures using appropriate methods throughout. He explained the process of checking equipment and restored work areas on completion. Observed Josh marking out step dimensions using a ruler and checking diameters using a micrometer. I then observed him setting up the machine, producing the component and then checking the component for dimensional accuracy. The component was within all tolerances of the drawings specification.	a–e, g, i. 1.1 , 1.3–1.5 2.1 3.1 4.1–4.4 7.1, 7.3–7.6 9.1–9.2, 9.4, 9.9 10.1, 10.4 11.1–11.3

Knowledge and understanding apparent from this observation

I asked Josh questions about the different drawings used, why he had selected certain cutting speeds and the reasons behind calibration of measuring equipment. Josh gave a correct and reasoned explanation. He has therefore sufficiently covered KE 3,4,19 and 20 for this Unit.

Other Units/Elements to which this evidence may contribute

Units HE9D 04, HE9C 04 and FR0T 04

Assessor's comments and feedback to candidate

Good first assessment — we will reference this activity against the unit standards and have a look at what was covered within the mandatory units at review.

You'll need to do the other jobs planned to cover the scope of the unit — but for now, well done!

I can confirm the candidate's performance was satisfactory.

Assessor's signature *Eric Brownlee* **Date** *22/2/2016*

Candidate's signature *JWainwright* **Date** *22/2/2016*

Questions and candidate responses

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

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

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

Record of questions and candidate's answers

Unit	FP2E 04 Preparing and Using Lathes for Turning Operations
Evidence index number	1a
Circumstances of assessment	
Oral questioning during observation assessment.	
List of questions and candidate's responses	
Q	What information are you looking for in the drawing, and could you explain what these symbols mean? (KE 3 and 4)
A	I'm looking for the step dimensions and diameters. You can tell that the drawing is third angle projection from this symbol and this other symbol is used to indicate surface finish — this annotation indicates the tolerance.
Q	How do you check the workpiece and the measuring equipment used? (KE 19)
A	I'll take a cut close to the required dimension then check it making sure that I'm using a calibrated micrometer — they normally have a sticker with the date of inspection written on it. Then I'll take the final finish cut and check again.
Q	Why is measuring equipment calibrated? (KE20)
A	These instruments can get damaged and if not checked periodically, the work people produce might be out of tolerance which will obviously have an effect on those having to assemble various components together.
Q	
A	
Q	
A	

Assessor's signature *Eric Brownlee* **Date** *22/2/2016*

Candidate's signature *JWainwright* **Date** *22/2/2016*

Candidate’s personal statement

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

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
22/2/16	1b	When I was looking at the drawing there were one or two dimensions I was unable to read due to the print quality. I asked technical liaison personnel to help me with this. They gave me the dimensions off the master copy to write on the drawing so that I could progress the job.	Unit HE9C 04 and FR0T 04	Unit FP2E 04 Preparing and Using Lathes for Turning Operations

Candidate's signature *JWainwright* **Date** *22/2/2016*

Witness testimony

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

To make sure the witness testimony is genuine, you must ensure that you have a record of who is acting as a witness, their relationship to the candidate (eg supervisor, client) address, telephone number and the date. There are spaces for this information in the form.

We have produced an example of a completed witness testimony which covers a typical health and safety Unit. It is included as guidance only.

Witness testimony

Qualification title	Promote, monitor and maintain health, safety and security
Candidate's name	Paul Lee
Performance/Knowledge and Understanding statements covered	
Evidence index no	5
Date of evidence	20/12/16
Name of witness	Dave Mulvaney (on behalf of senior management team)
Address of witness	SQA The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ
Telephone number of witness	0141–666 9999
Designation/relationship to candidate	Senior manager responsible for health and safety, line manager of Paul Lee

Details of testimony

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

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

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

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

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

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

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

I can confirm the candidate's performance was satisfactory.

Witness's signature *Dave Mulvaney* **Date** *20/12/16*

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

☒ Holds appropriate qualifications and/or experience

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

Filling the gaps

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

In this SVQ, such gaps are likely to occur in generating evidence for operations where equipment is not readily available or safety considerations preclude an operation.

Guidance and support to candidates

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

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

Judging candidate evidence and making an assessment decision

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

Evidence must:

- be relevant to the SVQ
- be authentic
- show current competence
- be sufficient to help you form a decision about the candidate's competence

Insufficient evidence

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

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

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

Authenticating candidates' evidence

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

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

Example

An example of this is where a candidate may appear to be following safe working practices, but only by questioning them will you be able to ascertain if they know why they are required to do things in this way.

4 Recording achievement

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

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

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

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

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

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

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

- Completing the Unit progress record
- Using the evidence index
- Completing the Element achievement record

Completing the Unit progress record

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

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

Unit progress record

Qualification and level SVQ2 Performing Engineering Operations

Candidate Ian Dalton

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

Unit checklist

Mandatory	HE9D 04	HE9C 04	FR0T 04		
Optional	FP26 04	FP27 04	FP28 04	FP2N 04	FP2P 04

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
HE9D 04	Complying with Statutory Regulations and Organisational Requirements	*Jim Browne*	03/03/16
HE9C 04	Using and Interpreting Engineering Data and Documentation		
FR0T 04	Working Efficiently and Effectively in Engineering		

Optional Units achieved

Unit number	Title	Assessor's signature	Date
FP26 04	Producing Mechanical Engineering Drawings using a CAD System	*Jim Browne*	03/03/16
FP27 04	Producing Components using Hand Fitting Techniques		
FP28 04	Producing Mechanical Assemblies		
FP2N 04	Assembling and Testing Fluid Power Systems		
FP2P 04	Maintaining Fluid Power Equipment		

Using the index of evidence

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

The index of evidence should be completed by entering:

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

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

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

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

Index of evidence

SVQ title and level	SVQ2 Performing Engineering Operations

Evidence number	**Description of evidence**	**Included in portfolio (Yes/No) If no, state location**	**Sampled by the IV (initials and date)**
1a	Answers to questions about PPE and safety	Yes	
2.3a	Witness testimony about risk assessment	Yes	*DC 20 DEC 2016*
3.1	Personal statement of broken equipment and procedure followed to correct a fault	Yes	

Completing the Element achievement record

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

- entering the evidence index number in the first column
- giving a brief description of the evidence in the second
- ticking the relevant boxes for the Performance Criteria (or statements of competence as they are sometimes known)
- entering the areas of knowledge and understanding the piece of evidence covers

If integrated assessment is used (linking PC or Elements across different Units) the evidence should be cross-referenced back to the relevant Units.

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

Element achievement record

Unit FR0T 04
Title Working Efficiently and Effectively in Engineering

Evidence Index No	Description of Evidence	PC/performance statements						Areas of knowledge and understanding/scope														
								1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1a	Questions on PPE	A	B	C	G			✓	✓	✓	✓											

Unit FR0T 04
Title Working Efficiently and Effectively in Engineering

Notes/Comments

This evidence was generated in Unit FP27 04 and also contributes to Units HE9D 04 and HE9C 04.

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

Candidate's signature *H Williams* **Date** *22/1/2016*

Assessor's signature *N Cochrane* **Date** *22/1/2016*

Internal verifier's signature *V Harriot* **Date** *22/1/2016*

5 Further information

What else should I read?

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

Assessor/Verifier Units: assessment guidance

External Verification: A Guide for Centres

Guide to Assessment

Introduction to Assessment Arrangements for Schools and Colleges

SQA's Quality Framework: a guide for centres

Operational Help Centre

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

Appendix 1: Blank recording forms

Unit progress record

Qualification and level _____

Candidate _____

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

Unit checklist

Mandatory									
Optional									

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date

Optional Units achieved

Unit number	Title	Assessor's signature	Date

Index of evidence

SVQ title and level	

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)

Element achievement record

Unit

Element

Evidence Index No	Description of Evidence	PC/performance statements						Areas of knowledge and understanding/scope														

Unit

Element

Notes/Comments

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

Candidate's signature _____ **Date** _____

Assessor's signature _____ **Date** _____

Internal verifier's signature _____ **Date** _____

Assessment plan

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

Assessor's signature _____ **1st review due** _____

Candidate's signature _____ **2nd review due** _____

Date of agreement _____ **Date of completion** _____

Personal statement

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

Candidate's signature _____ **Date** _____

Observation record

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

Skills/activities observed	Performance Criteria covered

Knowledge and understanding apparent from this observation

Other Units/Elements to which this evidence may contribute

Assessor's comments and feedback to candidate

I can confirm the candidate's performance was satisfactory.

Assessor's signature _____ **Date** _____

Candidate's signature _____ **Date** _____

Witness testimony

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

I can confirm the candidate's performance was satisfactory.

Witness's signature _____ **Date** _____

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

☐ Holds A1/A2 or D32/D33 qualifications

☐ Is familiar with the SVQ standards to which the candidate is working

Record of questions and candidate's answers

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

Assessor's signature _____ **Date** _____

Candidate's signature _____ **Date** _____