



Assessor's Guidelines for the SVQ3 Leisure Management SCQF level 7

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About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ3 Leisure Management SCQF level 7**. 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 Learning and Development 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 SVQ3 Leisure Management SCQF level 7

The SVQs in Leisure Management have been developed by SkillsActive and are intended for people in sport and leisure sector and who have current experience and knowledge within, for example, sports centres (indoor and outdoor), outdoor education and recreation centres, sports clubs (including voluntary organisations), and so on.

They will require skills and knowledge in the following:

- ◆ Managing resources and leading your own area of responsibility.
- ◆ Implementing and reviewing strategies and policies.
- ◆ Promotion of equality and diversity.
- ◆ Ensuring the health, safety, welfare and security of customers and staff.

The SVQs are designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the SVQs are likely to be delivered include:

- ◆ outdoor education centres
- ◆ activity holiday centres
- ◆ youth clubs and organisations
- ◆ public and private recreation
- ◆ sports departments and centres
- ◆ university and college sports departments
- ◆ NGB centres
- ◆ local/national sports clubs

Structure of the SVQs

This section lists the Units which form the SVQ in Leisure Management.

SVQ3 Leisure Management SCQF level 7 (GF9R 23)

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F9PN 04			A323	Manage Your Own Resources and Professional Development
F9G9 04	7	10	A21	Support the Efficient Use of Resources
H499 04	6	4	C27	Ensure the Health, Safety, Welfare and Security of Customers and Staff
FM5X 04	6	8	C33	Work with Others to Improve Customer Service
H49A 04	7	14	D210	Promote Equality and Diversity in Sport and Physical Activity

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H49B 04	8	7	A12	Contribute to Strategic Development in Sport and Active Leisure
FM4Y 04	9	12	A319	Recruit, Select and Keep Colleagues
F9PM 04			A324	Develop Productive Working Relationships with Colleagues
FM53 04	8	11	A321	Provide Learning Opportunities for Colleagues
F7S4 04	6	5	A210	Supervise Practices for Handling Payments
H49C 04	6	7	C19	Supervise the Maintenance of Equipment and Facilities
H49D 04	5	4	C25	Operate Plant to Maintain the Quality of Pool Water
F2AL 04	7	6	A41	Manage Information for Action
FT57 04	8	11	B227	Contribute to Evaluating, Developing and Promoting Services
H49E 04	7	3	B229	Plan and Organise Services
H49F 04	8	11	A44	Manage a Project
F4A7 04			B230	Sell Products or Services Face-to-Face
H49G 04	6	3	C215	Promote the Conservation of the Environment
H49H 04	8	9	A322	Provide Leadership in Sport and Active Leisure

B7Y5 04	7	8	D211	Contribute to the Prevention and Management of Abusive and Aggressive Behaviour
H49J 04	8	16	D61	Facilitate Community-based Sport and Physical Activity
FD3K 04	7	14	A320	Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility
FM5R 04	9	5	B232	Develop and Implement Marketing Plans for your Area of Responsibility

An Assessment Strategy for the SVQ

As part of their/its review of the SVQ(s), the standards-setting body SkillsActive has developed an Assessment Strategy which defines a range of requirements:

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

The relevant parts of the Assessment Strategy are 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 SVQ?

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

How do candidates begin?

Choosing the SVQ

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

Example

Kirsten is a Supervisor in a local council sports centre. She wants to gain a nationally recognised workplace qualification which will assist her in gaining relevant knowledge and skills within her workplace and will lead to continuing personal and professional development. The Centre Manager advised her to consider an SVQ3 in Leisure Management.

When the Centre Manager matched Kirsten's vocational remit, and her current skills, knowledge and experience with the SVQ, it emerged that Kirsten should be able to generate sufficient evidence to meet the requirements of the following SVQ Units:

- ◆ Ensure the Health, Safety, Welfare and Security of Customers and Staff
- ◆ Support the Efficient Use of Resources.

The Centre Manager arranged for an assessor from the local further education college to provide Kirsten with guidance on how to collect evidence and construct a portfolio to achieve these Units.

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

The Units were:

- ◆ Manage Your Own Resources and Professional Development
- ◆ Work with Others to Improve Customer Service

To allow for initial assessment of the above Units, the Centre Manager arranged for the assessor to observe Kirsten monitoring her own and team performance in relation to customer service and looking at centre projects which Kirsten has begun.

Kirsten had no experience of the areas covered by the final mandatory Units, which were:

- ◆ Promote Equality and Diversity in Sport and Physical Activity

In order for Kirsten to provide evidence of competence in these areas, the Centre Manager arranged for her to undertake additional training in equality and diversity, through the organisation's HR department and looked into how Kirsten could integrate this into the delivery of the sport and physical activities within the centre.

Kirsten chose the following three elective Units based on her current job specification having firstly agreed with his manager and assessor that the criteria for each of the Units could be evidenced naturally within the workplace:

- ◆ Recruit, Select and Keep Colleagues
- ◆ Manage Information for Action
- ◆ Manage a Project

All the assessment arrangements were agreed by everyone involved and written up in an assessment plan for Kirsten.

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 Learning and Development Units (the national standards in assessment and verification) you will need copies of completed assessment plans as part of your evidence.

To help you plan for assessment, we have produced an assessment plan which covers Units A322 — Provide Leadership in Sport and Active Leisure and A41 — Manage Information for Action.

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

Assessment plan

Units	A322, A41				
Elements	All				
Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
Letters to staff regarding meeting dates, venue, etc.	A322	Written evidence	1/12/12	Documentation relating to meetings in which the candidate has participated, but which were organised and chaired by other members of staff, is available.	A320, A324
E-mails to facility manager regarding room bookings.	A41	E-mail/written evidence			
Meeting agenda documents.	A41	Written evidence			
Minutes from meetings.	A41	Written evidence			
Assessors observation checklist of meeting.	A41	Observation checklist			
Staff feedback form on meeting.	A41	Witness testimony			
Candidate reflective account of the meetings process.	A41	Reflective account			

Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review	A322 — K1, 2, 4, 5, 9, 10 A41 — K3, 4, 6, 7, 24, 25				
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Assessor's signature	<u><i>Lisa Smith</i></u>	1st review due	<u><i>1st July 2012</i></u>
Candidate's signature	<u><i>Kirsten Anderson</i></u>	2nd review due	<u><i>1st October 2012</i></u>
Date of agreement	<u><i>1st May 2012</i></u>	Date of completion	<u><i>1st December 2012</i></u>

Selecting methods of assessment

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

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

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

There are both benefits and challenges when you are assessing SVQs in the workplace, or in conditions 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:

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

The challenges might be:

- ◆ different working schedules to the assessor
- ◆ inappropriate time-scales
- ◆ ensuring fair assessments
- ◆ workload of coaches/managers and assessors
- ◆ taking into account: rest days, injury and recovery, training cycles, travel to competitions, training camps,
- ◆ workload of coaches/managers and assessors
- ◆ meeting the needs of patients/clients/customers

Example

You might agree with a candidate the most appropriate methods of assessments when they intend to undertake the Unit D61 — Facilitate Community-based Sport and Physical Activity. This aspect of their assessment will be carried out by **observation** as and when such situations arise. If you are an assessor who is working alongside the candidate you should be well placed to observe the candidate's performance, perhaps using a prepared checklist, and to review the session at the end. The assessor may wish to ask the candidate **oral questions** to cover aspects of the range the candidate may not have covered by actual performance.

Methods of assessment

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

An example where an assessor could assess by observation could be used for both Elements in Unit A21 — Support the Efficient Use of Resources. The assessor could complete a specific observation checklist of the candidate carrying out monthly stock control audits with appropriate staff members.

Product evidence

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

- ◆ In Unit A21 — Support the Efficient Use of Resources, the candidate could carry out an observed stock control audit and the written evaluation paperwork produced, and the subsequent recommendations made from findings, could be useful to forward for product evidence.
- ◆ In Unit A41 — Manage Information for Action, the candidate would be able to collect product evidence from e-mails, agenda and meeting documents and feedback from other members of staff.

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 Element within the Unit. Much of a candidate's knowledge and understanding will be apparent from what they do or produce as part of their work, but this will not always be the case, and questioning can be a useful way of confirming what candidates know and understand.

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

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

Q What recommendations have you made following your stock control audit?

A As the summer season is about to begin, I have recommended that the stock of pool filtration chemicals be increased to cater for the rise in pool usage.

Q What effects on team objectives, organisational policies, and environmental concerns might your recommendations have?

A Ensuring that pool filtration is appropriate at all times is an important aspect of our centre delivery and policies. The pool supervisor will have to check with the local authority on the volume of chemicals which can be safely stored within the centre. The Centre Manager has been asked to organise refresher sessions from the supplier on chemical handling to cover the possibility of staff having to deal with the increased dangers arising from large scale chemical storage.

Other methods of assessment

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

Personal statements

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

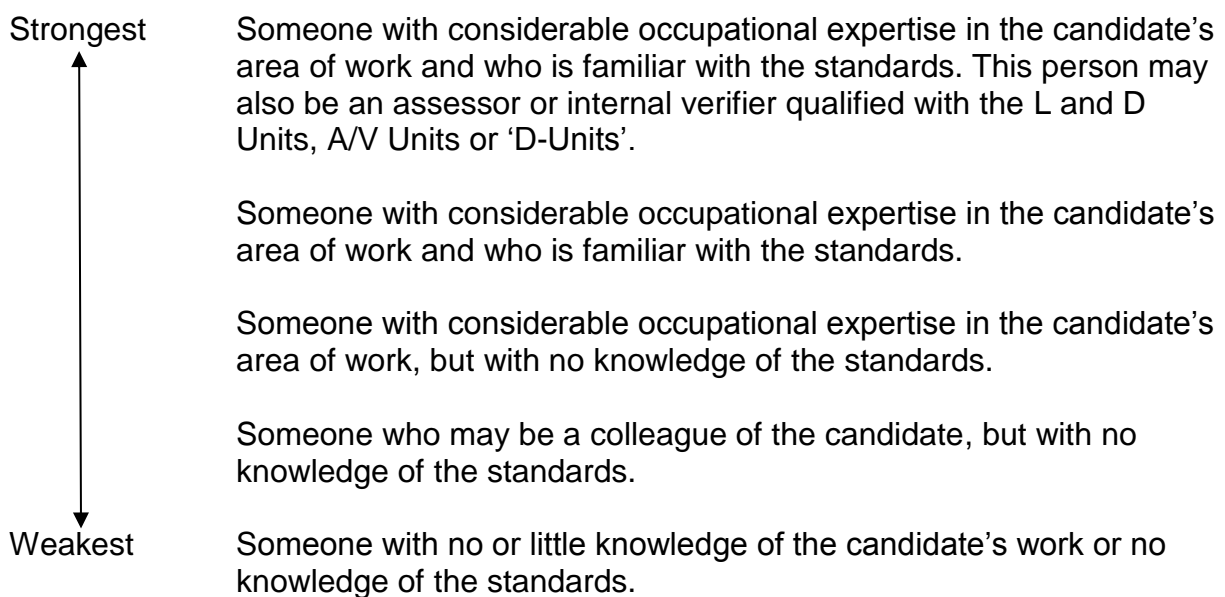
Examples of where a personal statement can be used, are as follows:

- ◆ Where further details need to be recorded about the candidate's assessment.
- ◆ Where some assessments do not require direct observation from the assessor, ie dealing with customers and participants.

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.



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

Examples of who can give witness statements are:

Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.

A person in the same line of work as the candidate, ie other competent experienced centre staff who work at their centre, who are not the candidate's assessor.

Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.

A person in the same line of work as the candidate, ie sports coaches, fitness instructors, outdoor instructors, etc.

Someone who may be a colleague of the candidate, but with no knowledge of the standards.

A person who works alongside the candidate on a daily basis, ie office staff, domestic staff, leisure assistant etc.

Someone with no or little knowledge of the candidate's work or no knowledge of the standards.

This is a person could be anyone who is in contact with the candidate, ie visiting clients, staff, participants etc.

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.

The Assessment Strategy has more details on simulation and what constitutes performance in the workplace.

Evidence Requirements and Assessment Guidance' provided by SkillsActive. This document gives guidance to assessors on what aspects of the Units:

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

The qualification SVQ3 Leisure Management, the 'Agreed Common Evidence Requirements and Assessment Guidance' states that simulation is **only allowed** for aspects of the mandatory Units, this would mean all other aspects of this Unit will have to be demonstrated through candidate performance, for example:

- ◆ Unit A12 — Contribute to Strategic Development in Sport and Active Leisure. No simulation is allowed for this Unit.
- ◆ Unit D211 — Contribute to the Prevention and Management of Abuse and Aggressive Behaviour, Element 1.3, 4, 5, whole of Element 2 and D211.2.4, only these Elements and PC's can be covered by simulation where no naturally occurring evidence is available.

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.

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

Candidates will also be required to generate *product evidence*. This type of evidence is gathered to back up candidate assessments as *proof* of the candidate carrying out a task, for example, for Unit A41 — Manage Information for Action. In some cases it may be more appropriate that the candidate writes a short personal statement, providing details of how the candidate has completed a range of tasks set by the assessor, or when the assessor was not present, for example, Unit C27 — Ensure the Health, Safety, Welfare and Security of Customers and Staff.

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

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

Observation

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

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

Candidates may also be observed by others, for example, other colleagues, client group leaders ie school teachers, etc. These are called witnesses and they too can provide evidence for the candidate to prove they have carried out tasks or work in their area of responsibility, for example in a statement.

Observation record

Unit/Element(s) A319 — Recruit, Select and Keep Colleagues

Candidate Kirsten Anderson

Evidence index number 2

Date of observation 28/06/2012

Skills/activities observed	Performance Criteria covered
<p>Kirsten was observed at a planning meeting with the Human Resource Manager for the centre. She took part in identifying staff shortfalls in the number of seasonal Stadium Supervisor posts.</p> <p>Following consultation she produced a job description, and agreed how the post would be advertised, the format for interviews, and the selection process.</p> <p>The Human Resource Manager completed a witness testimony for Kirsten's portfolio which reflected this observation, along with the content of the discussion and actions taken.</p>	4, 5, 6, 7, 8

Knowledge and Understanding apparent from this observation

K8, K9, K10, K11, K13, K14, K17, K19, K20, K23, K24, K25, K26, K27

Other Units/Elements to which this evidence may contribute

D210 (both Outcomes)

Assessor's comments and feedback to candidate

Kirsten was very involved in the discussions with the Human Resource Manager. Vacancies were described, options were discussed, and a plan of action for recruitment for the posts discussed was implemented.

Kirsten gave a very good account of identifying the department's needs, for complying with centre and local council policy whilst acting within the limits of her management accountability.

I can confirm the candidate's performance was satisfactory.

Assessor's signature Lisa Smith **Date** 28/6/12

Candidate's signature Kirsten Anderson **Date** 28/6/12

Questions and candidate responses

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

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

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

It is important that the candidate covers all the minimum requirements under 'Assessment Criteria' at the end of the Unit. This type of questioning and candidate responses can be used to 'fill in the blanks'. The information contained in the National Occupational Standards state, for example, in Unit D210 — the candidate must cover from their work they must show they have met the minimum of four (out of six) of the following types of issues within the community. This must be evidenced in the candidates work, for example, through observation, product evidence. etc. This leaves one out of the two not covered, therefore, the assessor should ask a question to the candidate to answer, and both the question and candidate's response should be recorded.

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

Record of questions and candidate's answers

Unit	D210
Element(s)	1 & 2
Evidence index number	3
Circumstances of assessment	
Meeting with Human Resource Manager, assessor, and candidate James Dunbar at Straiton Stadium, Ayrshire, 15/9/12 (3.00pm)	
List of questions and candidate's responses	
Q	What is your understanding of your facility's equality procedures regarding staffing?
A	The facility looks to employ staff based on their ability to fulfil each post regardless of age, race, gender or personal background.
Q	How would you describe the social demographics of your membership?
A	From our membership review data, I can see that our client base is currently made up from individuals and families from a predominately white, middle class background, attracted to the area by the new local banking business centre and commercial park.
Q	What local issues within the community are relevant to equality and diversity?
A	Poor local transport networks and expensive new housing dictate that local community members have access to a private vehicle, and an above national average household income.
Q	What do you suggest is the most important current sports need for your local sporting community?
A	Access to high quality sports facilities which are staffed by well qualified and knowledgeable staff. An all weather tennis court being the most requested addition to provision from our recent membership feedback questionnaires.
Q	What provision could you make to ensure that sport is available to all in your area?
A	We advertise throughout a large area for staff vacancies and have found that most of our staff team travel into the immediate area to come to work. We also provide a holiday sports camp out with our immediate area which attracts children from a number of differing social demographics.

Assessor's signature Lisa Smith **Date** 16/9/12

Candidate's signature Kirsten Anderson **Date** 16/9/12

Candidate's personal statement

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

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

The personal statement may also highlight areas of knowledge and understanding that have been identified, or the candidate will need to take part in further training in specific areas.

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

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
11/11/12	6	<p>During this year following guidelines from the Health and Safety Executive, I have completed 12 full risk assessments for the centre.</p> <p>All findings from these audits have been documented and discussed at management level for implementation of change (when needed) with review dates agreed when appropriate.</p> <p>In addition I have completed the update course for my HSE 'First Aid at Work' certificate, which has a three year currency before formal retraining has to be undertaken.</p>	<p>12 x facility risk assessment documents.</p> <p>Minutes from Health and Safety management team meetings.</p> <p>HSE certificate.</p> <p>HSE course content document.</p>	<p>Unit C27</p> <p>Element C27.1</p>

Candidate's signature Kirsten Anderson

Date 11/11/12

Witness testimony

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

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

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

Witness testimony

SVQ title and level	SVQ3 Leisure Management SCQF level 7
Candidate's name	Kirsten Anderson
Evidence index no	7
Index no of other evidence which this testimony relates to (if any)	
Element(s)	C27.1
Date of evidence	15/10/12
Name of witness	Andrew Taylor
Designation/relationship to candidate	Assistant to candidate 'Project Supervisor'
Details of testimony	
<p>I can testify that Kirsten Anderson has been able to update all the risk assessments for the centre over the past 6 months in relation to the new developments which have taken place in the outside sports areas.</p> <p>All risk assessments have been carried out to a high standard, in line with company policies and procedures, and legal requirements set by governing bodies.</p> <p>Kirsten will now move onto another area of the facility and complete their risk assessment to the same high standard.</p>	

I can confirm the candidate's performance was satisfactory.

Witness's signature Andrew Taylor **Date** 14/10/2012

Witness (please select the appropriate box):

- Holds L and D Unit 9D/9D1, A1/A2 or D32/D33 qualifications
- Is familiar with the SVQ standards to which the candidate is working

Filling the gaps

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

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

- ◆ oral questioning
- ◆ written questioning
- ◆ simulation/project

Before carrying out any of the above, assessors must consult the 'Agreed Common Evidence Requirements and Assessment Guidance' provided by SkillsActive. This document gives guidance to assessors on what aspects of the Units:

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

The evidence will be closely examined by the External Verifier on their visits to ensure that centres are working to the assessment strategy and common evidence requirements. Do not be surprised if simulation not allowed!

Guidance and support to candidates

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

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

Judging candidate evidence and making an assessment decision

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

Evidence must:

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

Insufficient evidence

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

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

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

Authenticating candidates' evidence

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

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

Example

Make sure that the candidate's work is authentic:

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

4 Recording achievement

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

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

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

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

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

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

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

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

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

These forms are also used in SQA's portfolio.

Completing the Unit progress record

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

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

On the following page is an example of a Unit progress record. This form is used to show the progress of the candidate through their qualification. The Unit checklist is used as a visual aid to show instantly what Units have been achieved so far, by crossing or circling the relevant Units. Whereas below this in the sections; Mandatory Units and Optional Units achieved, shows the candidate and assessor which Units have been achieved, who the assessor was and when the Unit has been achieved.

Unit progress record

Qualification and level _____

Candidate _____

To achieve the whole qualification, you must prove competence in 5 **mandatory** Units and 4 **optional** Units.

Unit checklist

Mandatory	A323	A21	C27	C33	D210		
Optional	A319	A41	A44	A322			

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
A323	Manage Your Own Resources and Professional Development		
A21	Support the Efficient Use of Resources		
C27	Ensure the Health, Safety, Welfare and Security of Customers and Staff	<i>Lisa Smith</i>	1/12/12
C33	Work with Others to Improve Customer Service		
D210	Promote Equality and Diversity in Sport and Physical Activity		

Optional Units achieved

Unit number	Title	Assessor's signature	Date
A319	Recruit, Select and Keep Colleagues		
A41	Manage Information for Action		
A44	Manage a Project		
A322	Provide Leadership in Sport and Active Leisure	<i>Lisa Smith</i>	1/12/12

Using the index of evidence

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

The index of evidence should be completed by entering:

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

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

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

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

Index of evidence

SVQ title and level		SVQ3 Leisure Management SCQF level 7	
Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	Planning sheets for meetings with leisure attendants.	Yes	7/1/13
2	Observation record of meeting with Human Resource Manager.	Yes	7/1/13
3	Record of questions and candidate's answers.	Yes	7/1/13
4	Simulation of role play whilst dealing with client with abusive and threatening behaviour.	Yes	7/1/13
5	Question and answer paper on equality and diversity.	Yes	7/1/13
6	Personal statement on risk assessing within facility.	Yes	7/1/13
7	Witness testimony from project supervisor — Andrew Taylor.	Yes	7/1/13

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 **A41 — Manage Information for Action**

Element **A41.3 — Hold meetings**

Evidence index no	Description of evidence	PC/performance statements						Areas of Knowledge and Understanding/scope																	
		1	2	3	4	5	6	10	12	13	14	15	16	17	18	19	20	21	22	23	24	25			
1, 3	E-mail evidence of interdepartmental communications.	✓					✓				✓			✓											
1, 3	Written evidence of minutes from meetings.							✓	✓	✓			✓	✓					✓						
1, 3	Assessor's observation of the meeting process.		✓	✓	✓	✓									✓		✓	✓		✓					
1, 3	Staff feedback form on meetings.			✓	✓	✓						✓		✓		✓							✓	✓	
1, 3	Candidate reflective account of meeting process.				✓	✓			✓				✓		✓								✓	✓	
1, 3	Letters to staff regarding meeting dates, venues, time, agenda, etc.	✓	✓				✓			✓	✓														

Unit **A41 — Manage Information for Action**

Element **A41.3 — Hold meetings**

Notes/comments

The candidate has, over an extended period of time, taken departmental responsibility for the monthly team meetings with the leisure attendant workforce. This role has involved the planning, implementation, control, and evaluation of these meetings to meet the operating procedures expected from the centre standards document.

These meetings and subsequent development planning have allowed for all criteria and knowledge to be demonstrated and referenced on a regular basis, which has met all criteria expected from this Unit.

Very precise and competent evidence collected throughout this Unit. Well done.

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

Candidate's signature	<u><i>Kirsten Anderson</i></u>	Date	<u><i>7/1/13</i></u>
Assessor's signature	<u><i>Lisa Smith</i></u>	Date	<u><i>7/1/13</i></u>
Internal verifier's signature	<u><i>Marion Anderson</i></u>	Date	<u><i>7/1/13</i></u>

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 signature _____ **Date** _____

Witness (please select the appropriate box):

- Holds L and D Unit 9D/9D1, 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** _____