



Guidance for candidates starting an SVQ

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1 General information about SVQs

Introducing SVQs

The qualification you are undertaking is a Scottish Vocational Qualification (SVQ).

SVQs are work-based qualifications that assess the skills and knowledge people need to perform their job role effectively. The qualifications are designed using National Occupational Standards (NOS).

For each industry sector there is a standards-setting body made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

Each standards-setting body is responsible for developing the NOS that 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.

Access to SVQs is open to all, and you can be assessed either against part of an SVQ or the full SVQ. There are no entry requirements, no prescribed method of delivery, and no time constraints for completion or age limits.

There are SVQs for nearly all occupations in Scotland, and they range from SVQ levels 1–5. Each level reflects the various technical and supervisory skills, knowledge, and experience which employees should have as they progress in their industry.

Who offers SVQs?

An organisation that offers SVQs is called a 'centre'. SVQ centres are usually a workplace, a college, a training provider, or a combination of these. The centre has responsibility for the quality of the qualification, and is required to work within an awarding body's policies and guidelines.

The Scottish Qualifications Authority (SQA) is your awarding body for this SVQ. SQA produces all candidates' certificates so that an employer can be sure the qualification has gone through a rigorous and effective assessment process.

What is the structure of an SVQ?

An SVQ is made up of a number of NOSs (they are often referred to as 'Units', so that's what we'll call them in this guide). Each Unit defines one aspect of a job or work-role, and what it is to be competent in that aspect of the job. To be awarded a full SVQ, you must achieve each of the SVQ Units by demonstrating that you are competent in that aspect of the job.

The standards-setting body develops the NOS and determines the structure of an SVQ in consultation with employers, professional bodies, trade unions, education and voluntary organisations. The structure of an SVQ identifies the total number of Units needed to achieve an SVQ.

The structure will also identify **mandatory** and **optional** Units. The mandatory section will contain Units that employers consider to be crucial to the job role, so everyone doing an SVQ must do these. The optional section gives you an opportunity to choose the remaining amount of Units needed to achieve an SVQ that are most relevant to your specific job role.

The Units define the broad functions carried out in the sector, and are made up of a number of **Performance Statements** and **Knowledge and Understanding Statements**.

The Performance Statements describe what you have to do and how well you have to do it.

The Knowledge and Understanding statements describe what you must know and understand, and how this knowledge applies to your job.

Extract from an SVQ Unit

Unit number: H2RN 04

Unit title: Promote, monitor and maintain health, safety and security

Unit overview:

It is the responsibility of all individuals, in all working contexts, to operate to certain standards of health, safety and security. This standard covers the key activities that are required to prevent (as far as possible) any accidents, health problems or emergencies from occurring and to promote good health, safety and security practice.

An important aspect of this standard is risk assessment. You will be able to conduct a risk assessment prior to work activities, and to take action to minimise the potential risks to yourself and others within the workplace. Work activities must adhere to health and safety codes of practice and relevant legislation.

Performance statement

You must be able to:

- P1 carry out a formal risk assessment for work activities as required by legislation
- P2 identify the hazards, evaluate the risks and implement suitable control measures
- P3 where existing control measures are in place ensure that they are adequate and applied
- P4 communicate the findings of the risk assessment to those at risk and promote good health and safety practice

Performance statements set out the standard of performance you need to demonstrate consistently to claim competence.

Knowledge and Understanding

You need to know and understand:

- K1 the difference between 'hazard' and 'risk' and how to carry out a risk assessment
- K2 the hierarchy of measures to control risks (including elimination, substitution, relevant engineering controls, safe systems of work, training/instruction and Personal Protective Equipment (PPE))
- K3 how to communicate the findings of the risk assessment and health and safety precautions to those at risk
- K4 relevant health and safety legislation and the standards of protection to be achieved

The **knowledge and understanding** Requirements state what you must know and understand, and how this knowledge and understanding applies to your job.

Who does what in SVQs?

A number of individuals and organisations have parts to play in SVQ assessment. Their roles have been designed to guarantee fair, accurate and consistent assessment.

	Who are they?	What is their role?
Approved centres	Organisations approved by awarding bodies to co-ordinate assessment arrangements for SVQs.	<p>Manage assessment on a day-to-day basis.</p> <p>Must have effective assessment practices and internal verification procedures.</p> <p>Must meet criteria laid down by awarding bodies, and be able to provide sufficiently competent assessors and internal verifiers.</p>
Candidates	The person who wants to achieve the SVQ — in this case, you.	Need to show they can perform to National Occupational Standards to be awarded a Unit or a full SVQ.
Assessors*	The person who assesses you and decides if you are competent (eg supervisor).	<p>Judge the evidence of a candidate's performance, knowledge and understanding against the National Occupational Standards.</p> <p>Decide whether the candidate has demonstrated competence.</p> <p>Provide guidance and support to the candidate. Assist with planning assessments, giving feedback and recording candidate progress.</p>
Internal verifiers	An individual nominated by the centre (eg a company) who ensures that assessors apply the standards uniformly and consistently.	<p>Advise assessors and maintain the quality of assessment in a centre.</p> <p>Systematically sample assessments to confirm the quality and consistency of assessment decisions.</p>
External verifiers	An individual appointed by SQA who ensures that standards are being applied uniformly and consistently across all centres offering the SVQ.	<p>Check the quality and consistency of assessments, both within and between centres, by systematically sampling candidates' evidence.</p> <p>Make regular visits to centres to ensure they still meet the criteria to deliver SVQs.</p>

*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 each SVQ — 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.

How do I achieve an SVQ?

The process of gaining an SVQ is flexible and depends on your needs. There is no set period of time for completing a Unit. However, you and your assessor should still set target dates for completing each Unit — otherwise your qualification could go on forever. Be realistic though, as there are many factors — such as your previous experience, demands within your workplace, and availability of resources — that will affect how quickly you are able to achieve the qualification.

At the beginning of the process your assessor will discuss your existing competence with you, and identify the most suitable SVQ and associated Units. The level you start at will depend on the type and breadth of your current job role, past experience, skills, and any relevant prior learning.

To achieve an SVQ, or a Unit of an SVQ, you must demonstrate you meet the requirements of the Unit by collecting appropriate evidence. This evidence is assessed by a qualified assessor, who will be allocated to you by your centre.

For your assessor to determine your competence for a Unit, your evidence must show:

- ◆ you can perform all the specified tasks to the required standard (**performance statements**)
- ◆ you understand why you are doing things (**Knowledge and Understanding**)

Your evidence may come from:

current practice — where evidence is generated from a current job role

and/or

a **programme of development** — where evidence comes from assessment opportunities built into a learning/training programme whether at or away from the workplace

and/or

the **Recognition of Prior Learning (RPL)** — where evidence relates to past experience or achievements

or a combination of these.

When you show that you have met all the performance and Knowledge and Understanding statements in a Unit, your assessor will declare you to be *competent*.

Your centre will register your competence for each Unit you achieve. SQA will issue a certificate to you for each Unit you successfully achieve, even if you do not complete the full SVQ.

What is evidence?

To claim competence for an SVQ Unit you need to gather evidence that shows you have met the standards. It is important that your evidence is easily understood so that it can be checked against the standards, by your assessor, your centre and the awarding body.

Evidence can take many forms, including:

- ◆ direct observation of your performance by your assessor
- ◆ products of your work
- ◆ authenticated statement — witness testimony
- ◆ personal statement (reflective account)
- ◆ outcomes from questioning
- ◆ outcomes from simulation
- ◆ case studies
- ◆ assignments or projects
- ◆ Recognition of Prior Learning (RPL) — evidence from the past

It is important that your evidence is:

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

Your evidence may be collected from a range of sources, such as employment, voluntary work, training programmes and interests/activities which you perform outside your work. It can also be produced in various formats, eg your own reports; testimonies from colleagues, supervisors or members of the public; projects; models; audio tapes, photographs; videos.

When you first begin your SVQ, you and your assessor should identify all the Units where you can use **integration of assessment**. Further details about integration of assessment can be found on page 9.

Demonstrating knowledge, understanding and skills

To meet the standards, you may also be required to prove knowledge and understanding. Each Unit contains a list summarising the knowledge, understanding and skills a candidate must possess. Evidence of how these have been achieved and applied could be included in the performance evidence as one or all of the following:

- ◆ descriptions of why a particular approach was used
- ◆ personal reports about the learning process
- ◆ reflective reports which include how a theory or principle was applied
- ◆ assessment interviews
- ◆ assessment tests
- ◆ responses to questioning

How will my assessor check I have the knowledge and understanding listed in the standards?

For some Units, it will be clear to your assessor that you have the required knowledge and understanding from how you carry out your work. This is often referred to as 'knowledge and understanding apparent from performance'.

There will be other occasions though, when your assessor will be unsure if you know why, for example, it is important to give information to clients in certain situations. This could be because your assessor has not had the opportunity to observe all the performance statements during assessment. In these situations, your assessor may wish to assess your knowledge and understanding by asking you some questions. These questions can be given orally or in writing, and will be recorded in your portfolio as evidence.

Your assessor could also check you have the required level of knowledge and understanding by asking you to produce personal statements or to complete a project or assignment.

What if I have previous experience and knowledge and understanding from work and other qualifications?

If you have previous work experience, skills, and knowledge and understanding which you feel is relevant to your SVQ, you should tell your assessor about it. Your assessor may ask you for more proof in the form of letters from previous employers/training providers or details about any courses you have completed. For example, if you have achieved an HNC in a relevant subject, your assessor may feel that you already have some of the knowledge and understanding required for the SVQ.

The process of matching your previous experience and learning is often referred to as the 'Recognition of Prior Learning' (RPL). The purpose of this process is to try and give you some credit towards your SVQ for things you can already do to the national standard. Your assessor judges the evidence that is available and matches it against the requirements of the SVQ. This means that your assessor should not have to assess you for these things all over again.

However, the success of this process depends on you telling your assessor what previous work experience or knowledge and understanding you have, and how you think it is relevant to your SVQ. The more information you can supply to support your claims, the easier it should be to convince your assessor that you are competent.

When can simulation be used?

Throughout your SVQ, the emphasis is on you being able to carry out real work activities so assessment will normally be carried out in the workplace itself. There may be times, however, when it is not appropriate for you to be assessed while you are working. For example, your SVQ might require you to carry out emergency or contingency procedures (for safety or confidentiality reasons), or your job role may not cover all aspects of the qualification. In such instances, when you have no other means of generating evidence, simulation might be appropriate.

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

Your assessor will be able to advise what constitutes a realistic working environment in relation to this qualification. This information is contained in the Assessment Strategy produced by the standards-setting body. The Assessment Strategy will also specify the standards where simulation is and is not acceptable.

Integration of assessment

It is not necessary for you to have each performance/knowledge and understanding statement assessed separately — doing so could result in assessment which takes too long and places too great a burden on you and your assessor.

There will be instances when you will be able to use one piece of evidence to prove your competence across parts of different Units. This is called ‘integration of assessment’.

When you first begin your SVQ, you and your assessor will spend time looking at the standards, planning how much time you are both able to devote to the qualification and drawing up an action plan.

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

If you are going to integrate assessments, make sure that the evidence is cross-referenced to the relevant Units. There are details of how to cross-reference your evidence in the following section.

2 How to compile your portfolio

General information

A portfolio, like a log book, is a way of recording evidence of your achievements. It is a collection of different items of evidence which indicates that you have the required skills, knowledge and understanding to support your claim to a qualification.

The production of a well organised, clearly labelled portfolio, which relates each piece of evidence to the relevant performance and knowledge and understanding statements, requires a careful methodical approach. When your assessor looks through your portfolio, they will find the task of making judgements about your competence much easier if the information in it is presented in a logical sequence.

You will need to present your evidence in a format that is easy to read and that makes it easy to add materials or take them away. This section gives suggestions on how to layout and present your evidence, and includes worked examples. There are also forms and matrices that will help you to chart your progress through the SVQ.

You do not have to lay out your evidence in the way suggested, but you may find it helpful to do so. Each portfolio will be different in content but all should include information about you (the candidate), the organisation where you are undertaking your SVQ, the assessor and so on.

Evidence collection process

What?	Who?
Assessment plan	You and your assessor
Collect evidence	You and your assessor if observation/questioning is required
Present evidence	You to your assessor Your assessor to the internal verifier
Reference acceptable evidence	Assessor will judge evidence and give you feedback on which evidence meets the standards
Record evidence in achievement record	You
Store evidence in portfolio	You

Planning your portfolio

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

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

The plan is usually referred to as an ‘assessment plan’. It should be produced in discussion with your assessor and will set out the different stages in developing your portfolio. You will probably want to produce a plan for each Unit.

It is unlikely that you will be able to complete all of the Units straight away, and you should therefore think about starting with those Units where you have a lot of experience and in which you work well. You should also remember to identify any opportunities for integration of assessment.

We have provided you with a ‘Unit progress record’ — see page 18. Each time you complete a Unit, your assessor should sign and date the relevant section on the form. At this stage, it might be a good idea to check that all your evidence and recording documents have been completed correctly and can be located easily. You can then circle the reference number of that Unit in the checkboxes at the top of the form so that you can see at a glance what stage you are at in your SVQ.

Assessment plan

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ Knowledge and Understanding Statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other Units
Visit the HSE website for practical guidance on what a risk assessment is and how to go about it.	P1, K1, K2, K4	Review documentation (product evidence) Personal statement	By 08/01/13 By 17/01/13		
Walk around the workplace and look at what could reasonably be expected to cause harm.	P1 and 2, K1 and K2	Observation	By 20/01/13		
Ask employees for their thoughts on potential hazards.	P1 and 2	Observation	By 20/01/13		
Check manufacturers' instructions or data sheets for chemicals and equipment to determine potential hazards and any counter measures.	P1 and 2	Observation	By 20/01/13		
	Informal review to chat through how things are progressing and discuss any issues or concerns		10/02/13		
Read through the company's accident and ill-health records to identify hazards that have occurred and frequency.	P1 and 2	Review documentation (product evidence)	By 25/02/13		

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ Knowledge and Understanding Statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other Units
Evaluate findings.	P1 and P2	Question and Answer (second review)	By 05/03/13		
Identify and implement control measures.	P1 and P2	Review documentation (product evidence) Witness testimony	By 10/03/13 By 10/03/13		
Identify, source and review current company policy, documentation and procedures to determine what existing control measures are in place.	P3	Review documentation (product evidence)	By 15/03/13		
Check how well the existing control measures are applied by employees through observation of working practice, visibility of health and safety notices, etc.	P3	Review of documentation (product evidence)	By 20/01/13		
Check existing control measures are adequate by comparing them with examples of good practice identified on HSE's website.	P3, K4	Review of documentation (product evidence)	By 20/03/13		
Identify any additional precautionary measures that should be applied to bring control measures up to current standard.	P3	Review of documentation (product evidence)	By 20/03/13		

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ Knowledge and Understanding Statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other Units
Produce a report that records details of the hazards identified, adequacy of existing control measures and recommendations for updating existing control measures to meet current standards and new control measures to be introduced.	P4	Review of documentation (product evidence)	By 23/03/13		
Communicate Health and Safety control measures through staff presentations, handbooks, procedures and signage.	P4, K3	Review of documentation (product evidence)	By 31/03/13		

Assessor's signature *Peter Hoskins*
1st review due 10/02/13
Candidate's signature *Paul Lee*
2nd review due 05/03/13
Date of agreement 05/01/13
Date of completion 01/04/13

Starting your portfolio

Make sure that you clearly label your portfolio (or disk if you are recording your evidence electronically) with your name together with the title and level of the award.

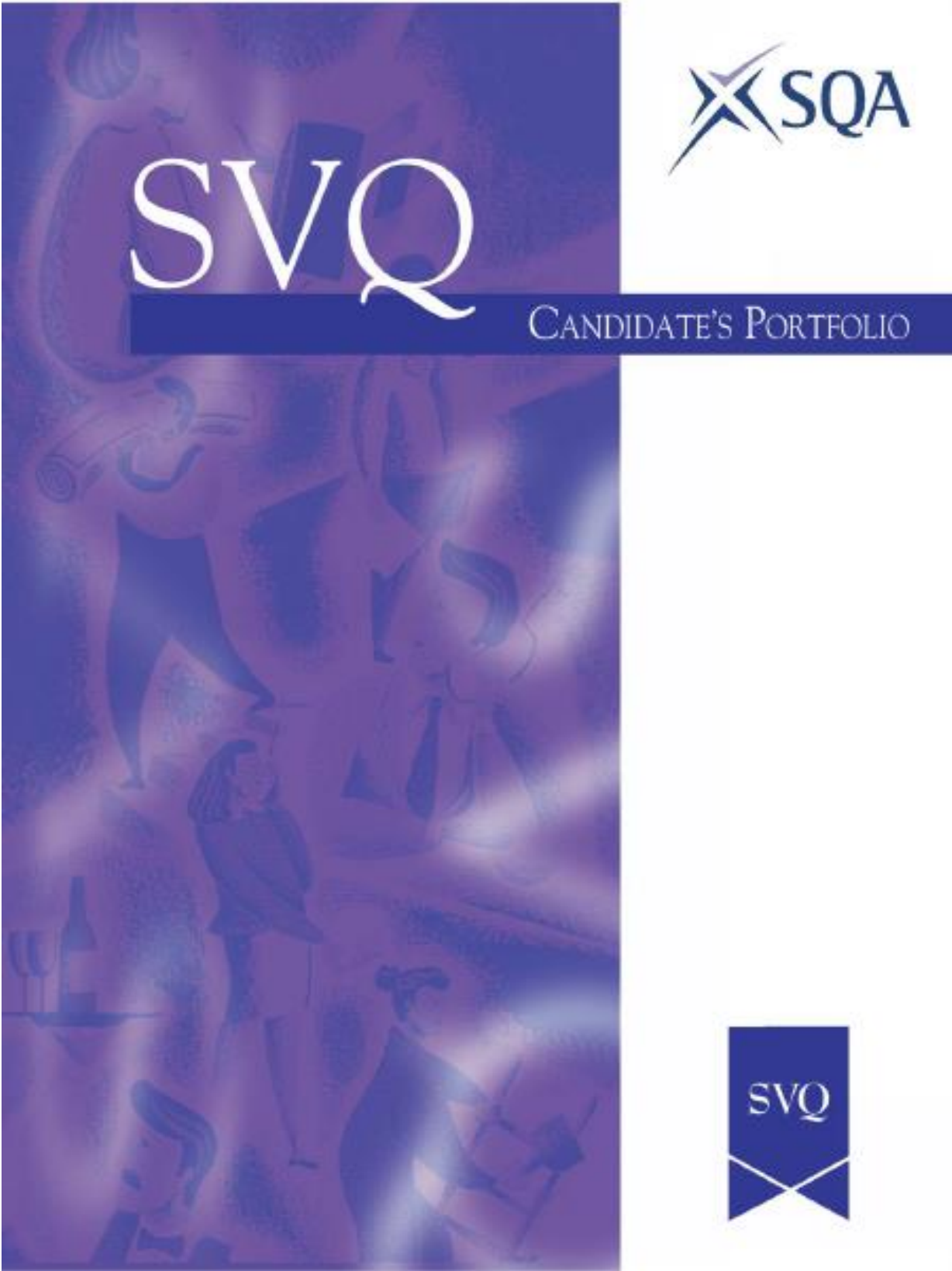
We recommend that you compile your portfolio in the following order:

Portfolio cover
Unit Progress Record
Candidate declaration
Personal profile
Index of evidence
Completed Unit achievement records
Pieces of evidence
Standards (your assessor will provide you with copies of these)

Blank forms are available to download from the SVQ subject page on SQA's website at www.sqa.org.uk. You can photocopy these and/or save them electronically to help you record and present your evidence. Although we have provided you with sample forms, your centre may have their own recording documents which they would prefer you to use.

Explanations are given below about how and when these forms should be used, and worked examples of the various forms have been provided to give you a clearer picture of how to compile your portfolio. You should ask your assessor for further advice and support if you are still unsure about how to use the forms and who should complete them. Some of these forms, eg observation records and the record of questions and answers, will be completed by your assessor. Other forms (witness testimonies) will be used by people other than your assessor to testify that they have observed you doing your job.

Portfolio cover



Unit Progress Record

The Unit progress record is used by your assessor. Each time you complete a Unit, your assessor should sign and date the relevant section on the form. You can circle the reference number of the Unit in the checkboxes at the top of the form so that you can see at a glance what stage you are at in your qualification.

You must make sure that the information in the evidence index is accurate when you give your portfolio to your assessor — particularly the information about where the evidence can be located.

Scottish Vocational Qualifications (SVQ)



Unit progress record

Qualification and level _____

Candidate's name Paul Lee

To achieve the whole qualification, you must prove competence in **insert No of mandatory Units** mandatory Units and **insert No of optional Units** optional Units.

Unit Checklist

Mandatory	H2RN 04								
Optional									

Circle the reference numbers as you complete each Unit. You can then easily see what stage you have reached in your SVQ.

Mandatory Units achieved

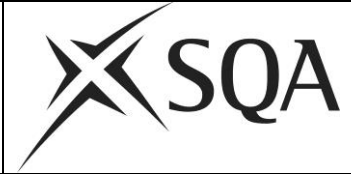
Unit number	Title	Assessor's signature	Date
H2RN 04	Promote, monitor and maintain health, safety and security	<i>Peter Hoskins</i>	01/04/13

This section of the form is for your assessor to sign each time you successfully achieve a Unit.

Optional Units achieved

Unit number	Title	Assessor's signature	Date

Candidate's declaration



Centres must take appropriate steps to minimise the risk of plagiarism and ensure that assessment evidence is the candidate's own work. Centres should ensure the candidate signs this form and it is available for verification purposes.

I confirm that the content of this portfolio is my own work.

Candidate's signature _____

Candidate's name (print) _____

Date _____

Assessor's signature _____

Assessor's name (print) _____

Date _____

Personal profile

Name	
Address	
Postcode	
Home telephone	
Work telephone	
Job title	

Relevant experience

Description of your current job	<div data-bbox="805 1055 1284 1249" style="border: 1px solid black; padding: 5px; width: fit-content; margin-left: auto; margin-right: auto;"><p>You don't have to write a lot for your current and previous work experience just bullet main aspects that you think are relevant to the SVQ you are doing.</p></div>
Previous work experience	
Qualifications and training	
Voluntary work/interests	

Personal profile (cont)

Name of Employer/Training Provider/College	
Address	
Postcode	
Telephone number	
Type of business	
Number of staff	
Structure of organisation (include chart or diagram if available)	
Mentor's name	
Mentor's relationship to you ie your supervisor, colleague	

Index of evidence

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

The index of evidence should be completed by entering:

- ◆ the index number for each piece of evidence
- ◆ a brief 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)

You must make sure that the information in the evidence index is accurate when you give your portfolio to your assessor — particularly the information about where the evidence can be located.

Index of evidence

Qualification title and level			
Evidence number	Description of evidence	Included in portfolio (Yes/No) If No, state location	Sampled by the IV (initials and date)
1	Plan of areas to be inspected and potential hazards to look for	Yes — Section 1, page 1	SM — 04/04/13
2	Personal statement reflecting on the importance and benefit of promoting a culture of health and safety within the organisation	Yes — Section 1, page 2	SM — 04/04/13
3	Observation record of workplace review	Yes — Section 1, page 3	SM — 04/04/13
4	Record of questions and answers	Yes — Section 1, page 4	SM — 04/04/13
5	Witness testimony of responsible people	Yes — Section 1, page 5	SM — 04/04/13
6	Presentation to senior management team	Yes — Section 1, page 6	SM — 04/04/13
7	Risk assessment report for senior management team	Yes — Section 1, page 7	SM — 04/04/13

Unit Achievement Record

There is an Achievement Record for every Unit in your portfolio. These records have been designed to allow you to record the evidence you have gathered for each Unit in the SVQ. Each record has boxes across it which represents the performance and knowledge and understanding statements. Whilst collecting your evidence you should use these grids to display the performance and knowledge and understanding statements that piece of evidence relates to.

Achievement Record

Unit title _____

Evidence Index No	Description of Evidence	Performance/Knowledge and Understanding statements covered							
		P1	P2	P3	P4	K1	K2	K3	K4
1	Plan of areas to be inspected and potential hazards to look for	✓	✓	✓		✓			
2	Personal Statement reflecting on carrying out a risk assessment	✓	✓			✓			
3	Observation record of workplace review	✓	✓			✓	✓		
4	Record of questions and answers	✓	✓	✓		✓	✓	✓	✓
5	Witness testimony from Dave Mulvaney (on behalf of senior management team)	✓	✓	✓	✓	✓			✓
6	Presentation to senior management team	✓	✓	✓	✓	✓		✓	
7	Risk assessment report for senior management team	✓	✓	✓	✓	✓	✓	✓	✓

These numbers relate to your Evidence Index and will allow your assessor to find your evidence easily.

Give a brief description of the evidence you are offering for assessment against each Performance and Knowledge and Skills statement.

As you collect your evidence for assessment you should tick the relevant boxes. There is a box which represents each Performance and Knowledge and Skills statement.

Assessor's notes/comments

Paul has worked conscientiously on this Unit and produced some very good evidence that will benefit both himself and the organisation.

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

Candidate's signature	<u>Paul Lee</u>	Date	<u>04/04/13</u>
Assessor's signature	<u>Peter Hoskins</u>	Date	<u>04/04/13</u>
Internal verifier's signature	<u>Sharon Moore</u>	Date	<u>04/04/13</u>

Personal statement (reflective account)

There will be times when you need to put a piece of your evidence in context for your assessor so that they can decide if it is relevant to your qualification. You can complete personal statements to help you do this — these can relate either to the pieces of evidence or to each Unit.

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

A personal statement might also be used to record your experience of something, such as, how you handled a specific situation. This can be documented in your personal statement and should be a description of what you did, how you did it and why you did it. It will also allow you to include the people who were present and either assisted you or witnessed your actions. This, in turn, might identify who you should approach for 'witness testimony'. In your personal statement you could also refer to product evidence that you have produced (eg reports, notes, completed forms), these can also be included as evidence in your portfolio.

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

Personal statement

Evidence index number	Details of statement	Performance/ Knowledge and Understanding statements covered
2	<p>I was dreading doing this Unit as the idea of carrying out a risk assessment of my workplace sounded really boring. However, I actually found it really interesting as it has made me aware of the importance of health and safety and how lucky we are to have such legislation in place as it protects the workforce. Not following the legislative requirements could result in an employee being needlessly injured or killed and the organisation being sued.</p> <p>I found the information on the HSE website really helpful and very easy to read. Until I started this Unit I had always thought of health and safety as being about hazardous substances, electrical/gas appliances and stuff like that. I never realised that health and safety covers things such as use of VDUs, repetitive strain, stress, etc.</p> <p>Everyone has a legal and moral duty for ensuring the safety and well-being of employees and visitors. The Chief Executive has overall responsibility for the provision and maintenance of standards necessary to achieve compliance. As a manager, I have to be aware of the rules and regulations with regard to health and safety and know what the procedures are in the event of an accident or injury occurring in my area of responsibility and also what is available to staff to prevent any injuries. All employees have a responsibility to make themselves familiar with, and comply with any control procedures in place; bring to the knowledge of his/her line manager any process, situation or other circumstances which in their opinion constitutes a hazard; take reasonable care for the health and safety of themselves and others who may be affected by their acts or omissions</p>	P1 and 2, K1, K4

Evidence index number	Details of statement	Performance/ Knowledge and Understanding statements covered
	<p>The HSE website had a really helpful leaflet that explained, in simple language, what a risk assessment is and how to go about assessing the risks in the workplace. I really appreciated the definition on what is meant by a hazard (anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer) and what is meant by the risk (the chance, high or low, that somebody could be harmed by these and other hazards and how serious the harm could be).</p> <p>The leaflet provided information on the five steps to follow when carrying out a risk assessment:</p> <ol style="list-style-type: none"> 1 Identify the hazards 2 Decide who might be harmed and how 3 Evaluate the risks and decide on precautions 4 Record your findings and implement them 5 Review your risk assessment and update if necessary <p>Having read the information in this leaflet I now feel I have the necessary knowledge and understanding of what a risk assessment is and how to go about it. I have gone from dreading doing this Unit to cannot wait to get started!!</p>	

Candidate's signature Paul Lee Date 13/01/13

Observation record

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

The assessor will discuss with you which performance and knowledge and understanding statements you have successfully achieved and give you feedback. This form should then be given a reference number and included in your portfolio as part of your evidence.

Observation record

Unit title	Promote, monitor and maintain health, safety and security
Candidate's name	Paul Lee
Evidence index number	3
Date of observation	19/01/13

Skills/activities observed

Prior to carrying out the risk assessment, Paul prepared a plan detailing the areas of the organisation to be inspected and potential hazards to look for. This approach proved very successful as it helped him focus on what to look for in terms of hazard, risk and control measures either currently in place or that should be implemented.

Throughout the risk assessment, Paul spoke with several members of staff to gather their understanding of health and safety in general and any potential hazards they considered to be present. He then asked if they had any ideas on how they could be avoided which seemed to promote a greater interest by staff on what Paul was doing and why.

Paul always concluded his discussion with staff by asking them if they knew where information on health and safety relating specifically to the organisation was located.

Paul made comprehensive notes during the review including a note of all chemicals used in the organisation and the manufacturers' instructions on precautions and counter measures.

Knowledge and understanding apparent from this observation

Current level of understanding and support for health and safety instructions and procedures

It is clear from the plan that Paul produced prior to carrying out the risk assessment that he has a good knowledge and understanding of the importance of health and safety and how to go about carrying out a risk assessment.

Communication strategies in respect of health and safety

Through discussions with employees during his review Paul was able to identify the current level of understanding and support for health and safety within the organisation and how accessible information is to employees. The information gained from these discussions will make a valuable contribution to his report.

Performance/Knowledge and Understanding statements covered

P1, 2 and 3, K1, 2

Other Units to which this evidence may contribute

Assessor's comments and feedback to candidate

The research and preparation you undertook beforehand enabled you to carry out a very thorough risk assessment and gather invaluable evidence that will help support any recommended actions you consider will be beneficial to the organisation

Well done.

I can confirm the candidate's performance was satisfactory.

Assessor's signature *Peter Hoskins* **Date** 19/01/13

Candidate's signature *Paul Lee* **Date** 19/01/13

Witness testimony

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

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

- ◆ be provided by a person, not related to you, who is in a position to make a valid comment about your performance, eg supervisor, line manager or possibly a client/customer
- ◆ contain comments which specifically relate your performance to the standards
- ◆ be authenticated by the inclusion of the witness's signature, role, address, telephone number and the date

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

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	18/02/13
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	
<p>Paul delivered a very interesting and informative presentation to senior management today about the risk assessment he carried out in January this year.</p> <p>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.</p> <p>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.</p> <p>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.</p>	

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** 24/02/13

Witness (please select the appropriate box):

- Holds appropriate qualifications and/or experience
- Is familiar with the Units to which the candidate is working

Record of questions and candidate's answers

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

Record of questions and candidate's answers

Unit title	Promote, monitor and maintain health, safety and security
Evidence index number	4
<p>First review session with candidate.</p> <p>(Considering Performance/Knowledge and Understanding statements: P1, 2 and 3, K1, 2, 3 and 4</p>	
List of questions and candidate's responses	
Q	Can you explain the difference between a hazard and a risk?
A	<p>Hazard — anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer.</p> <p>Risk — the chance, high or low, that somebody could be harmed by these and other hazards and how serious the harm could be.</p>
Q	Can you outline the hierarchy of measures to control risk?
A	<p>The hierarchy of control is a sequence of options which offer you a number of ways to approach the control of hazards. You begin by working your way down the list, and implement the best measure possible for your situation.</p> <p>Eliminate the hazard</p> <ul style="list-style-type: none"> ◆ if possible, remove the cause or source of the noise, by eliminating the machine, task or work process. <p>If this is not practical, then:</p> <p>Substitute the hazard with a lesser risk</p> <ul style="list-style-type: none"> ◆ use a less-noisy machine for the task, or introduce a less-noisy work process. <p>If this is not practical, then:</p> <p>Isolate the hazard</p> <ul style="list-style-type: none"> ◆ separate the noisy process or equipment from the workers by relocation or by changing the hours of operation so that the noisy task is carried out when the majority of workers are not in the vicinity.

List of questions and candidate's responses	
	<p>If this is not practical, then:</p> <p>Use engineering controls</p> <ul style="list-style-type: none"> ◆ introduce enclosures and barriers around the noise source or between the source and the workers to modify the sound pathways and dampen the source of the noise. ◆ improve maintenance procedures to ensure the effectiveness of sound damping and muffling equipment. <p>If this is not practical, then:</p> <p>Use administrative controls</p> <ul style="list-style-type: none"> ◆ use strategies such as rest breaks, pause exercises and job rotation. ◆ establish hearing protection zones and use signage to warn workers of noise risks. <p>If this is not practical, then:</p> <p>Use personal protective equipment</p> <ul style="list-style-type: none"> ◆ provide protective equipment appropriate to the risk. ◆ provide training information and supervision to ensure that personal hearing protection is fitted, used and maintained appropriately.
Q	Now you have completed your risk assessment, how will you ensure that those at risk are aware of the findings?
A	The results of my findings and any recommendations I make have to be approved by senior management in the first instance. If approved, my intention for communicating changes to staff is through a series of presentations. Working with relevant colleagues to update the staff handbook, departmental procedures and signage throughout the organisation.
Q	Tell me about the health and safety legislation that applies to your organisation.
A	Section 3 (i) of the Health and Safety at Work Act 1974 which states that: It shall be the duty of every employer to conduct his undertaking in such a way as to ensure, so far as is reasonably practicable, that persons not in his employment who may be affected are not thereby exposed to risks to their health or safety.

List of questions and candidate's responses	
Q	What standards of protection must be achieved in your organisation?
A	<p>Management of Health and Safety at Work (Amendment) Regulations 2006</p> <p>Health and Safety (Display Screen Equipment) Regulations 1992</p> <p>Health and Safety (First Aid) Regulations 1981 — Note Changes are expected to come into force on 1st October, 2013 (subject to Parliamentary agreement).</p> <p>Reporting of Injuries, Diseases and Dangerous Occurrences (Amendment) 2012 — (RIDDOR)</p> <p>Workplace (Health, Safety and Welfare) Regulations 1992</p> <p>Manual Handling Operations Regulations 1992 (As Amended)</p> <p>Although not strictly under Health and Safety Regs the Fire Safety (Scotland) Regulations 2006 does affect us greatly.</p>

Assessor's signature *Peter Hoskins* **Date** *16/03/13*

Candidate's signature *Paul Lee* **Date** *16/03/13*

Collecting your evidence

All the evidence you collect and present for assessment must be relevant to your SVQ. Your assessor will help you choose which pieces of evidence you should include.

Presenting your evidence

It is important to present all of your evidence in a clear, consistent and legible manner. Your assessor will then find it much easier to make appropriate judgements about the quality, sufficiency and currency of the materials you are putting forward for consideration.

It is not necessary to produce all of your evidence in typewritten format — some hand-written pieces of evidence, such as notes, will be perfectly acceptable.

There may also be items of evidence that you cannot physically include in your portfolio. This might be for confidentiality reasons, or it could be that something you have produced as part of your day-to-day work is normally kept in a filing cabinet or stored electronically in a PC.

In compiling your portfolio, we suggest that anything you produce as part of your day-to-day work is kept in its normal location, but those pieces of evidence which have been produced specifically for your SVQ, eg witness testimony statements or personal statements, are filed in your portfolio. However, assessors and verifiers should be able to locate and access your evidence at all times. It is, therefore, very important that you clearly reference every item of evidence.

Referencing your evidence

Your assessor, as well as the internal and External Verifiers, will need to find their way around your portfolio, so you should give each piece of evidence a number.

Remember, that where you have used 'integration of assessment', you need to give details of all the Units and performance/Knowledge and Understanding statements which are linked to a specific piece of evidence. The links should be noted on the pieces of evidence themselves as well as on the Unit Achievement Record (see page 24) and the Index of evidence (see page 22).