

# Evidence Tracker for the SVQ unit: Assess Learner Achievement in the Workplace Using Direct and Indirect Methods at SCQF level 8 Code: J8RR 04

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## Introduction

### Purpose of this document

This document has been developed by SQA to provide evidence recording forms for the SVQ unit; Assess Learner Achievement in the Workplace Using Direct and Indirect Methods at SCQF level 8, which also forms the single SVQ unit, PDA; Workplace Assessment Using Direct and Indirect Methods (GV90 48) at SCQF level 8.

### Evidence Tracker: Assess Learner Achievement in the Workplace Using Direct and Indirect Methods (J8RR 04) at SCQF level 8

This document includes the following:

1. Advice relating to cross-referencing evidence to standards.
2. An example evidence index.
3. An example evidence record.
4. Evidence referencing system for the Learning and Development SVQ unit which includes:

* Evidence index
* Performance criteria (PC), knowledge and understanding, and evidence requirements
* Feedback and sign-off record

### Evidence referencing

Part of your responsibility as a candidate is to organise and present your evidence to enable your assessor to check your claim for competence against the national standard to which you are being assessed.

To do this effectively, you have to:

* Understand the standards of the unit.
* Ensure that if you are unsure about the meaning of a performance or knowledge requirement you check it out with your assessor.
* Understand the evidence requirements for the unit. This will ensure that you don’t either under or over evidence.

Your assessor will check the sufficiency of evidence you collect. If there is insufficient evidence, you will have to collect more and your assessor will agree with you the best way of doing that.

A number of candidates find cross-referencing a bit of a challenge, but if done well, it can be beneficial to everyone in the assessment process:

* As a candidate, it offers you the opportunity to check the evidence you have gathered against the standards and identify any gaps.
* It helps your assessor to find their way around your evidence and therefore, speeds up the process of making assessment decisions.
* For your verifiers — internal and external — it will assist in the sampling process and in standardisation.

There’s a range of different methods that can be used — some more complicated than others. The following example shows the use of a numeric system where evidence is matched against performance and knowledge.

### How to reference evidence

Assemble your evidence and start listing it on the Evidence Index, numbering it as you go along 1, 2, 3, 4, 5 and so on. This means that you don’t have to worry about keeping evidence together by type or putting it in any kind of chronological order. As you identify a piece of evidence, add it to the index. It is often easier to do the numbering and indexing as you collect the evidence rather than do it all in at the end.

Decide whether you are including all the evidence in your portfolio or are leaving some in-situ. In all cases, you would complete the right-hand column of the index accordingly. For example, if evidence of you working with your learner to agree an assessment plan is normally recorded in the learner’s file, then use the location column to signpost it. If the evidence is an explanation of how you worked with your learners, then include it in your portfolio.

The evidence requirements provide you with guidance on the quantity and type of evidence you need to assemble. As you collect your evidence, add its number to the column to the right of the evidence requirements on the Tracker grid. For each piece of evidence look at the performance standard that you feel is met and then enter the number of that piece of evidence against the standard on the Evidence Record. Most of your evidence will meet more than one performance standard. As you begin to work on each new Unit, go back through your Evidence Index to see if there is anything there already which can be claimed against the performance standards for the new unit. Evidence items can be used more than once.

Follow a similar process for the knowledge requirements, that is, if you feel a piece of evidence already listed shows your knowledge then put the number of that piece of evidence on the knowledge section of the record. This means you may only have to deal with those requirements for which you have no evidence when taking part in the professional discussion or your final statement.

If an evidence item is a multi-page document, it’s helpful if you guide your assessor and verifier to the part of the document that you feel meets a specific performance or knowledge requirement by writing on the document the performance standard number or knowledge requirement number. Likewise, if you’ve written an explanation, refer to the performance standard or knowledge requirement in the text or down the margin.

You can carry out these processes at any stage in your evidence collection but it can be helpful to do the numbering and cross-referencing as an ongoing exercise rather than wait until you’ve assembled all your evidence. This means that if you do identify any gaps, you can pick them up by writing an explanation or adding another piece of evidence.

### Example Evidence Index

| Evidence number | Location | Type of evidence, for example, my explanation | Evidence number | Location | Type of evidence, for example, my explanation |
| --- | --- | --- | --- | --- | --- |
| 1 | Portfolio | My explanation of how I inducted two learners to the SVQ at SCQF level 7. |  |  |  |
| 2 | Learner file in office | John Murray’s job description, choice of optional units and SVQ induction form signed by him. |  |  |  |
| 3 | Learner file in office | Mary Jones’s job description, choice of optional units and SVQ induction form signed by her. |  |  |  |
| 4 | Learner file on my laptop | Confirming assessment planning arrangements via e-mail to candidates and managers. |  |  |  |
| 5 | Office | SVQ portfolio at SCQF level 5. |  |  |  |
| 6 | Portfolio | My personal statement about assessment methods |  |  |  |
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| Performance  What the candidate must do: | Evidence reference | Knowledge  What the candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **1. Prepare and plan for assessments:**  (a) Ensure Learners understand the purpose, requirements and processes of assessment.  (b) Identify evidence that is valid, authentic and sufficient.  (c) Plan to use valid, fair and reliable and safe assessment methods.  (d) Plan assessment to meet requirements and learner needs. | 1, 2, 3  1, 5 | 1. The range of information that should be made available to learners before assessment begins.  2. The standards to be assessed and the assessment/evidence regulatory requirements.  3. The learners’ job role and their work environment and how this influences the assessment approach adopted.  4. How to judge when the learner is ready for assessment.  5. The uses, benefits and drawbacks of the different assessment methods, including those that use technology. | 1, 2, 5  1, 5  1, 2, 3  1, 4 | **Performance**  A brief explanation with supporting documentation of how the assessor-candidate confirmed:   * That their learners understood the assessment process/requirements. * There were evidence sources and assessment opportunities that ensured valid, authentic and sufficient evidence could be collected.   Evidence of planning and agreeing when, where, how and what is to be assessed with two learners, providing four assessments in total to meet the learners’ needs, job role and work environment, using as a minimum:   * observation of performance | 1, 2, 3  5 |

| Performance  What the candidate must do: | Evidence reference | Knowledge  What the candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **1. Prepare and plan for assessments (continued).** |  | 6. Types of risks when assessing and how to manage them.  7. How to involve learners in planning assessments and ensure they have access to the assessment process.  8. How assessment arrangements can be adapted to meet the diverse needs of individual learners.  9. How disputes and appeals will be handled and how confidentiality will be maintained. | 1, 2, 3, 4  1  1 | Performance evidence of planning to use the other methods listed below or knowledge evidence of the benefits and drawbacks of using such methods:   * examining the learner’s products of work (created at the time of the observation) * questioning   **Knowledge**  The assessor-candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:   * discussing with the assessor-candidate. * recorded questions and answers (written or oral). * assessor-candidate statement. | 5, 6  6 |

Unit J8RR 04 Evidence Index: Assess Learner Achievement in the Workplace Using Direct and Indirect Methods

| Evidence number | Location | Type of evidence, for example, my explanation | Evidence number | Location | Type of evidence, for example, my explanation |
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Unit J8RR 04: Assess Learner Achievement in the Workplace Using Direct and Indirect Methods (CLDLD9DI)

**Source: CLD Standards Council Scotland** — L&D Standard 9

**Who this unit is for**

This unit is for those who assess in the workplace using a wide range of assessment methods, both direct and indirect. The person wishing to achieve this unit (the assessor-candidate) will use the following direct methods:

* observation
* examination of work products
* questioning

They may also be involved in authenticating indirect evidence such as:

* discussion with learners
* testimony of others (witnesses)
* examination of learner statements
* assessing learners in simulated environments
* Recognising Prior Learning (RPL) — formerly known as the Accreditation of Prior Achievement (APA.)

The assessment decisions made by the assessor-candidate will be used to confirm achievement in a range of situations such as assessing SVQs, other workplace qualifications or in-company standards.

For this unit, assessments must be of a substantial but realistic and manageable piece of the learner’s work. Each assessment should cover the full assessment cycle to include planning, judging evidence, providing feedback and recording the decision.

In addition, the assessor-candidate will reflect on their own assessor practice as well as identifying and undertaking ongoing continuing professional development activity.

**What this unit is about**

The types of activities the assessor-candidate will be involved in include:

1. Preparing to assess
2. Planning assessments
3. Assessing learner performance and knowledge
4. Confirming progression and achievement.

To achieve this unit, the assessor-candidate must assess the competence of two learners in their place of work, on two separate occasions (four assessments in total), using a set of standards such as those provided by a national awarding/standard setting body or the learners’ employer.

The assessor-candidate’s knowledge will be assessed by them taking part in a discussion with their assessor (recorded or noted), or answering questions (either written or oral), or providing a statement of how and why they carried out certain activities, or a combination of these.

The assessor-candidate’s performance will be assessed by their assessor observing them carrying out assessments and by looking at products of their work such as:

* Notes or documentation relating to pre-assessment planning discussions such as learner agreement documentation and Induction checklists.
* Assessment plans agreed with the learners.
* Records detailing assessment decisions.
* Feedback records used to convey progression/achievement to the learners.
* Records of the standardisation activities the assessor-candidate has been involved in.

The assessor will also observe the assessor-candidate assessing, giving feedback to at least one of the learners and reviewing progress.

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **1. Prepare to assess:**  (a) Ensure learners understand the purpose, requirements and processes of assessment. |  | 1. The organisational, legal and professional requirements that should be followed when planning learning and developments programmes.  2. The role of the assessor and the relevant requirements of the role.  3. The roles of those involved in maintaining the quality of assessment and the relevant requirements of these roles.  4. The agreed procedures for planning, preparing for and carrying out assessments. |  | **Performance evidence**  1. An explanation of how the assessor-candidate made sure their learners understood the purpose, requirements and processes of assessment linking with the knowledge requirements.  2. Documentation, such as an Induction participation checklist and initial learner agreement, confirming each learner’s agreement to be assessed and that they have received all of the relevant information. This evidence must cover two assessments of two learners (four assessments in total.) |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **1. Prepare to assess (continued).** |  | 5. How to judge when the learner is ready for assessment.  6. The range of information that should be made available to learners.  7. The key concepts and principles of assessment.  8. The current criteria against which assessments are made and the current regulations and requirements relating to their assessment.  9. The learner’s job role and their work environment and how this influences which assessment approach to use. |  | 3. An explanation of how the assessor-candidate prepared for the role and gathered information on the standards being assessed, assessment strategy/ guidance, standardisation meetings/decision logs and relevant centre policies and procedures on assessment, linking with the knowledge requirements.  **Knowledge evidence**  The assessor-candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:   * discussion with their assessor * answering written or oral questions * providing a personal statement. |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **1. Prepare to assess (continued).** |  | 10. Agreed procedures for preparing, planning and carrying out assessments in own area of responsibility.  11. How to ensure the health and safety of the learner is maintained during assessment. |  |  |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **2. Plan assessments:**  (a) Identify evidence that is valid, authentic, reliable, robust, current and sufficient.  (b) Plan to use valid, authentic, reliable, robust, current and sufficient assessment methods.  (c) Plan assessment to meet requirements and learner needs. |  | 1. Guidelines for assessment planning as appropriate to own area of responsibility.  2. The key concepts and principles of assessment (validity, authenticity, reliability, currency, sufficiency (VARCS)).  3. The key concepts and principles of quality assurance.  4. The uses, benefits and drawbacks of different assessment methods.  5. The types of risks that may be involved in the assessment process and how to manage these.  6 How to involve learners in the planning of assessments. |  | **Performance evidence**  1. An explanation, with supporting documentation, showing how the assessor-candidate:   * Identified evidence sources and assessment opportunities that ensured they could collect valid, authentic, reliable, robust, current and sufficient evidence. * Ensured they planned to use valid, authentic, reliable, robust, current and sufficient assessment methods in line with principles of quality assurance. |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **2. Plan assessments (continued).** |  | 7. How assessment arrangements can be adapted to meet the needs of individual learners.  8. Issues related to equality and diversity that may affect the assessment process and how to address these.  9. How to make the assessment environment appropriate to the learner’s needs and the criteria being assessed.  10. The relevant procedures when there are disputes concerning assessment. |  | 2. Evidence of planning and agreeing how and what is to be assessed for at least two assessments of two learners (four assessments/ methods in total) to meet the learners’ needs. Planning must cover the following assessment methods as a minimum:   * observation of performance * examination of work products * questioning   Evidence of planning to use one of the other indirect methods listed below:   * discussion with learners * testimony of others (witnesses) |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **2. Plan assessments (continued).** |  |  |  | * examining learner statements * assessing learners in simulated environments * Recognising Prior Learning (RPL) otherwise known as the Accreditation of Prior Achievement (APA)   3. Explanation of how to plan and use the indirect methods listed above that were not used in practice. The assessor-candidate must include the benefits and drawbacks of using each of these methods. |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **2. Plan assessments (continued).** |  |  |  | **Knowledge evidence**  The assessor-candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:   * discussion with their assessor * answering written or oral questions * providing a personal statement |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **3. Assess learner performance and knowledge:**  (a) Collect evidence that is valid, authentic, reliable, robust, current and sufficient.  (b) Use assessment methods that are valid, authentic, reliable, robust, current and sufficient.  (c) Make assessment decisions against specified criteria in accordance with the relevant assessment guidance.  (d) Work with others to ensure the standardisation of assessment practice and outcomes. |  | 1. The key concepts and principles of assessment (competent versus not yet competent).  2. Appropriate criteria for judging the quality of the assessment process.  3 How to make sure that assessment decisions are made against specified criteria that are (valid, reliable, fair and robust.)  4. How to determine when evidence is sufficient to make an assessment decision.  5. How to judge the validity, authenticity, reliability, robustness and currency of evidence, and what to do when there is doubt. |  | **Performance evidence**  1. Assessment records showing how assessments were carried out against specified criteria for two learners (four assessments/ methods in total). There must be evidence that the assessor-candidate has used the following direct methods as a minimum:   * observation of performance * examination of the learners’ products of work * questioning |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **3. Assess learner performance and knowledge (continued).** |  | 6. Standardisation processes and how to contribute to those.  7. How to co-operate and work effectively with others involved in the assessment process. |  | 2. Assessment records showing the use of at least one of the indirect methods listed below and knowledge evidence of how to assess using other such methods:   * discussion with learners * testimony of others (witnesses) * examining learner statements * assessing learners in simulated environments * Recognising Prior Learning (RPL) otherwise known as the Accreditation of Prior Achievement (APA) |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **3. Assess learner performance and knowledge (continued).** |  |  |  | The assessor-candidate should also provide an explanation of the methods they have not used. The evidence generated for methods not used in stage 2 may, if appropriate, be used to cover this requirement.  3. The assessor-candidate must also provide a statement confirming why they felt the assessment methods they used were valid, authentic, reliable, robust current and sufficient.  4. An endorsing statement and/or supporting record(s) from the person responsible for internal quality assurance, confirming the assessor-candidate has met all criteria in this element. |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **3. Assess learner performance and knowledge (continued).** |  |  |  | 5. Evidence of how the assessor-candidate, when working with others, contributed to standardisation in assessment practice and outcomes, evidenced through records of the standardisation decisions made and supported by witness testimony.  **Knowledge evidence**  The assessor-candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:   * discussion with their assessor * answering written or oral questions * providing a personal statement |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **4. Confirm progression and achievement:**  (a) Provide feedback to the learner that affirms achievement and identifies any additional requirements.  (b) Maintain required records of the assessment process, its outcomes and learner progress. |  | 1. The purpose and value of feedback in the assessment cycle.  2. Factors to consider when providing feedback to learners.  3 How to record and store assessment decisions, who they should be made available to and the data protection and confidentiality guidelines that should be followed.  4. The current quality requirements for assessment processes and systems in your area of responsibility.  5. The value and purpose of continuing professional development for assessment practitioners. |  | **Performance evidence**  1. An observation by the assessor of the assessor-candidate providing feedback and reviewing progress with a minimum of one learner.  2. Records of feedback and reviewing learner progress in relation to two learners covering four assessments/ methods in total.  3. Authentication from the person responsible for internal quality assurance confirming the assessor-candidate has maintained records of learner progress and the outcomes of the assessment process. |  |

| Performance  What the assessor-candidate must do: | Evidence reference | Knowledge  What the assessor-candidate must know: | Evidence reference | Evidence requirements | Evidence reference |
| --- | --- | --- | --- | --- | --- |
| **4. Confirm progression and achievement (continued).** |  |  |  | 4. Current evidence of continuing professional development in the relevant area of practice, demonstrating the assessor-candidate continues to meet the standard set out in the relevant assessment strategy.  **Knowledge evidence**  The assessor-candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:   * discussion with their assessor * answering written or oral questions * providing a personal statement |  |

Unit J8RR 04: Assess Workplace Competence Using Direct and Indirect Methods (CLDLD9DI)

| Comments and/or feedback from the assessor |
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The candidate has satisfied the assessor and internal verifier that all the requirements for the qualification and/or unit have been met.

Assessor-candidate signature: Date:

Assessor’s signature: Date:

Internal verifier’s signature: Date:

History of changes

| Edition | Description of change | Date |
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