



# **Guidance for candidates starting an Award, Certificate or Diploma**

**Publication code: Z0356**

Published by the Scottish Qualifications Authority  
The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ  
Lowden, 24 Wester Shawfair, Dalkeith, Midlothian, EH22 1FD

**[www.sqa.org.uk](http://www.sqa.org.uk)**

© Scottish Qualifications Authority 2013

# Contents

Section 1 — General Information about the SCQF.....	1
What is the Scottish Credit and Qualifications Framework (SCQF)? .....	1
How does the SCQF work?.....	1
Introducing Awards, Certificates and Diplomas.....	2
Who offers Awards, Certificates and Diplomas? .....	2
How are Units defined in Awards, Certificates and Diplomas? .....	3
How do I achieve an Award, Certificate or Diploma? .....	7
How are Awards, Certificates and Diplomas assessed? .....	8
Who does what in Awards, Certificates and Diplomas? .....	9
What is evidence?.....	10
Demonstrating knowledge, understanding and skills .....	11
When can simulation be used? .....	12
Integration of assessment.....	13
Section 2 — How to compile your portfolio .....	14
General information.....	14
Evidence Collection Process.....	14
Planning your portfolio .....	15
Starting your portfolio .....	16
Contents checklist.....	17
Collecting your evidence .....	19
Presenting your evidence.....	22
Referencing your evidence .....	22
Worked examples .....	23
Index of evidence — Example 1.....	24
Unit progress record — Example 2 .....	26
Learning Outcome Achievement Record — Example 3 .....	27
Personal statement — Example 4.....	29
Observation record — Example 5 .....	30
Witness testimony — Example 6.....	31
Record of questions and candidate’s answers — Example 7 .....	32
Section 3 — The Units and recording documents for your qualification .....	33
Unit progress record.....	33
Glossary of terms .....	35

# Section 1 — General Information about the SCQF

## What is the Scottish Credit and Qualifications Framework (SCQF)?

The SCQF provides a national framework for qualifications in Scotland by bringing together all Scottish mainstream qualifications, including Awards, Certificates and Diplomas, into a single unified framework.

## How does the SCQF work?

The SCQF uses two measures: the **level** of a qualification or learning programme (level 12 is the most challenging) and the **number of credit points** awarded (the size of the qualification).

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

Individual qualifications sit at differing SCQF levels and have differing amounts of credit points, depending on the structure and context of the qualification.

SVQ levels	Scottish Credit and Qualifications Framework (SCQF)
SVQ level 5	12
	11
	10
SVQ level 4	9
	8
SVQ level 3	7
	6
SVQ level 2	5
SVQ level 1	4
	3
	2
	1

The level of a qualification indicates the level of difficulty and the number of credit points indicates the typical length of time it takes to complete. One SCQF credit point represents an average of 10 notional hours of learning time, for example:

Awards are made up of 1 to 12 SCQF credit points (or 10 to 120 notional learning hours), Certificates 13 to 36 SCQF credit points (130 to 360 notional learning hours) and Diplomas 37 or more SCQF credit points (370 or more notional learning hours).

## **Introducing Awards, Certificates and Diplomas**

These qualifications 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 these qualifications is open to all, and you can be assessed either against part of a qualification or the full qualification. 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 Awards, Certificates and Diplomas?**

An organisation that offers these qualifications is called a 'centre'. 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 these qualifications. SQA produces all candidates' certificates so that an employer can be sure the qualification has gone through a rigorous and effective assessment process.

## How are Units defined in Awards, Certificates and Diplomas?

Each Unit has a common format. The main components of the Unit are:

<b>Title</b>	The Unit title describes the content of the learning.
<b>Level</b>	All Units must identify a single level for the Unit that represents the complexity, autonomy and/or range of achievement expressed within the Unit.
<b>Credit value</b>	All Units must have a credit value. One credit equals 10 hours of learning. Learning time is defined as the time taken by candidates at the level of the Unit, on average, to complete the Learning Outcomes of the Unit to the standard determined by the Assessment Criteria.
<b>Learning Outcome</b>	All Units must contain Learning Outcomes that set out what a candidate is expected to know, understand or be able to do as the result of a process of learning.
<b>Assessment Criteria</b>	All Units must contain Assessment Criteria that specify the standard a candidate is expected to meet to demonstrate that the Learning Outcomes of that Unit have been achieved.

The second section of the Unit provides 'Additional information about the Unit':

- ◆ Unit purpose and aim(s)
- ◆ Unit expiry date
- ◆ Details of the relationship between the Unit and relevant National Occupational Standards or other professional standards or curricula
- ◆ Requirements about the way a Unit might be assessed
- ◆ Support for the Unit from an SSC or other appropriate body
- ◆ Location of the Unit within the subject/sector classification system
- ◆ Name of the organisation submitting the Unit
- ◆ Availability for use
- ◆ Date from which the Unit is available for use by candidates
- ◆ Unit guided learning hours

The following is an example of a Unit.

<b>Title</b>	Promote a Culture of Health and Safety in the Workplace	
<b>Level</b>	3	
<b>Credit value</b>	4	
<b>Learning Outcomes</b>	<b>Assessment Criteria</b>	
<b>The candidate will:</b>	<b>The candidate can:</b>	
1 Be able to develop plans to promote a health and safety culture in the workplace.	1.1 Identify where any improvements and changes may be necessary.	1.2 Identify how information on health and safety instructions and regulations are currently communicated.
	1.3 Identify current level of workforce understanding and support for health and safety instructions and procedures.	1.4 Develop a plan based on the findings, to include performance measures, review dates and resources.
	1.5 Plan opportunities for promoting the advantages and legal necessity of following health and safety procedures.	
2 Implement the plan to promote a health and safety culture in the workplace.	2.1 Present the plan to the responsible people for the workplace to gain their support.	

<b>Additional information about the Unit</b>
<b>Unit purpose and aim(s)</b>
<p>This Unit is about undertaking the research and planning that is necessary to develop a positive Health and Safety culture and involving others through consultation, communication and presentations.</p> <p>It is also about encouraging a culture where changes, which may impact on Health and Safety instructions, are discussed and resolved with the people responsible for Health and Safety matters.</p>
<b>Unit expiry date</b>
<b>Details of the relationship between the Unit and relevant national occupational standards (if appropriate)</b>
HSS4
<b>Details of the relationship between the Unit and other standards or curricula (if appropriate)</b>
<b>Assessment requirements specified by a sector or regulatory body (if appropriate)</b>
<p>This Unit must be assessed in a work environment, in accordance with:</p> <ul style="list-style-type: none"> <li>◆ the Additional Requirements for Qualifications using the title NVQ in QCF</li> <li>◆ the ConstructionSkills' Consolidated Assessment Strategy for Construction and the Built Environment</li> </ul> <p>Assessors for this Unit must have verifiable, current industry experience and a sufficient depth of relevant occupational expertise and knowledge, and must use a combination of assessment methods as defined in the Consolidated Assessment Strategy.</p> <p>Workplace evidence of skills cannot be simulated.</p>
<b>Endorsement of the Unit by a sector or other appropriate body (if required)</b>
<b>Location of the Unit within the subject/sector classification system</b>
5.2 Building and Construction

<b>Name of the organisation submitting the Unit</b>
<b>Availability for use</b>
Shared
<b>Availability for delivery</b>
<b>Guided Learning Hours</b>
18



## How do I achieve an Award, Certificate or Diploma?

When you consistently meet the skills or knowledge and understanding described in the Learning Outcomes and show you have met the Assessment Criteria, you can then claim that you are *competent* in each Unit. You can claim certification for single Units or whole awards. Your centre will register your claim to competence through the awarding body. The awarding body you are registered with for this qualification is the Scottish Qualifications Authority (SQA).

The process of gaining an Award, Certificate or Diploma is flexible and depends on your needs. At the beginning of the process your assessor will review your existing competence in relation to the standards and identify the most suitable qualification. The level you start at will depend on the type and breadth of your current job role together with your past experience, skills and any relevant prior learning.

To achieve a Unit, you must:

- ◆ Demonstrate you meet the requirements of the Unit by achieving all the Learning Outcomes and Assessment Criteria by collecting appropriate evidence to meet all Assessment Criteria. This evidence is assessed against the requirements of the Unit by a qualified assessor. This will usually be someone who knows you, such as a manager or supervisor.

Evidence may come from:

- ◆ the **Recognition of Prior Learning (RPL)** — where evidence relates to past experience or achievements
- ◆ **current practice** — where evidence is generated from a current job role
- ◆ a **programme of development** — where evidence comes from assessment opportunities built into a learning/training programme whether at or away from the workplace
- ◆ a combination of these

## **How are Awards, Certificates and Diplomas assessed?**

Assessment is based on what you can do and involves you, your assessor, an internal verifier and an External Verifier — see 'Who does what in Awards, Certificates and Diplomas' on the following page.

Assessment is flexible and you can be certificated for each Unit you successfully achieve, even if you do not complete the full qualification. There is no set period of time in which you need to complete 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 an availability of resources which will affect how quickly you are able to achieve the qualification.

## Who does what in Awards, Certificates and Diplomas?

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

	<b>Who are they?</b>	<b>What is their role?</b>
<b>Candidates</b>	The person who wants to achieve the qualification — in this case, you.	Need to show they can perform to Assessment Criteria in order to be awarded a Unit(s) or full qualification.
<b>Assessors</b>	An experienced person in the same area of work as the candidate, eg supervisor.	<p>Judge the evidence of a candidate's performance and knowledge and understanding against the Units.</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>
<b>Internal verifiers</b>	Individuals appointed by an approved centre to ensure the quality of assessment within the centre.	<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>
<b>Approved centres</b>	Organisations approved by awarding bodies to co-ordinate assessment arrangements for the qualifications.	<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>
<b>External Verifiers</b>	Individuals appointed by the awarding body to ensure that standards are being applied uniformly and consistently across all centres offering the QCF qualifications.	<p>Check the quality and consistency of assessments, both within and between centres, by systematic sampling.</p> <p>Make regular visits to centres to ensure they still meet the criteria to deliver the qualifications.</p>

## What is evidence?

To claim competence for a Unit you need to gather evidence which 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
- ◆ 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 qualification 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 through 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. For example your own reports, testimonies from colleagues, supervisors or members of the public, projects, models, audio tapes, photographs, videos.

When you first begin your qualification, you and your assessor should identify all the Units and Learning Outcomes and where you can use **integration of assessment**. Further details about integration of assessment can be found on page 12.

## **Demonstrating knowledge, understanding and skills**

In order to meet the Unit, you may also be required to prove knowledge and understanding. Some SSCs, have split the skills and knowledge into separate Units while others have retained Units which cover both skills and knowledge.

Evidence of how the knowledge has 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

These should be included in your portfolio.

### **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 Assessment Criteria 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, but 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 qualification, 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.

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 qualification for things you can already do. Your assessor judges the evidence available and matches it against the requirements of the qualification you are undertaking. 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 qualification. The more information you can supply to support your claims, the easier it should be to convince your assessor that you are competent.

There are some instances when previous learning and experience may not be used for Recognition of Prior Learning. These include:

- ◆ exemptions outlined in the Rules of Combination in the Qualifications and Credit Framework
- ◆ Units and Group Awards where there are:
  - existing requirements for a licence to practice
  - specific health and safety requirements
  - regulated professional requirements
  - specific components of a programme of study which require placements within a given setting

Your assessor will be able to advise you.

### **When can simulation be used?**

Throughout your QCF qualification, 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 might not be appropriate for you to be assessed while you are working. For example your qualification 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 Guidance.

## **Integration of assessment**

It is not necessary for you to have each Learning Outcome 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 different Learning Outcomes and Assessment Criteria. You may even find that evidence is relevant for different Units — this is called integration of assessment.

When you first begin your QCF qualification, 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 or Learning Outcome and arrange for the best way to collect a single piece of evidence which satisfactorily covers all the Assessment Criteria.

If you are going to integrate assessments, make sure that the evidence is cross-referenced to the relevant Units. Details of how to cross reference your evidence can be found in Section 2 'How to compile your portfolio'.

## 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 Learning Outcomes and Assessment Criteria 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 in which materials can be added or taken away. This section gives suggestions on how to lay out and present your evidence. There are also forms and matrices which will assist you to chart your progress through the award.

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 qualification, 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 and your assessor
Reference acceptable evidence	Assessor will judge evidence and give you feedback on which evidence meets the standards
Record evidence in Learning Outcome Achievement Record	You
Store evidence in portfolio	You



## Planning your portfolio

Start by carefully reading through the Units making up the qualification 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 on a regular basis, therefore 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 straightaway 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 Example 2. At this stage, it might be a good idea to check that all your evidence and recording documents have been completed correctly and can easily be located.

## Starting your portfolio

Make sure that you clearly label your portfolio with your name together with the title and level of the award.

Your portfolio will need a title page and a contents page. You should also complete a Personal Profile which records details about yourself and your job as well as providing information about your employer, training provider or college. Blank samples of these forms are provided in Section 4.

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

Title page
Contents checklist
Candidate declaration
Personal profile
Unit progress record
Completed Learning Outcome Achievement Records
Index of evidence
Pieces of evidence
Glossary of terms
Standards

## Contents checklist

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

Section	Completed	Page/Section number
<b>Title page for the portfolio</b>		
<b>Personal profile</b>		
Your own personal details		
A brief CV or career profile		
A description of your job		
Information about your employer/training provider/college		
<b>Unit Assessment Plans</b>		
<b>Unit progress record</b>		
<b>Completed Learning Outcome Achievement Records for each Unit</b>		
Signed by yourself, your assessor and the internal verifier (where relevant)		
Evidence reference numbers included		
<b>Index of evidence (with cross-referencing information completed)</b>		
Evidence (with reference numbers)		
Observation records		
Details of witnesses (witness testimony sheets)		
Personal statements		
Products of performance		

## Candidate 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 \_\_\_\_\_

## Collecting your evidence

All of the evidence which 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.

We have provided blank forms in Section 4 of this document, which you can photocopy to help you record and present your evidence. Although we have provided you with sample forms, your centre may have their own recording documents which they would prefer you to use.

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, and there is one for you to complete called a personal statement.

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

### How to complete the index of evidence — Example 1

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

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)

### Unit Progress Record — Example 2

The Unit progress record is used by your assessor and 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 contained in the evidence index is accurate when you give your portfolio to your assessor, particularly in relation to where the evidence can be located.

### **Completing the Learning Outcome Achievement Records — Example 3**

There is a Learning Outcome Achievement Record for every Learning Outcome within this portfolio. These records have been designed to allow you to record the evidence you have gathered for each Learning Outcome. Each record has boxes across it which represents the Assessment Criteria and Assessment Requirements. Whilst collecting your evidence you should use these grids to display the Assessment Criteria and Assessment Requirement that piece of evidence relates to. In the first box write the evidence index number you have given to that piece of evidence.

In the second box give a brief description of the evidence, then tick against the relevant Assessment Criteria.

### **Personal statement — Example 4**

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 Learning Outcome or 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.

### **Observation record — Example 5**

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 Learning Outcomes are covered by this evidence ('integration of assessment').

The assessor will discuss with you which Assessment Criteria 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.

### **Witness testimony — Example 6**

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.

### **Record of questions and candidate's answers — Example 7**

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.

## **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 which you cannot physically include in your portfolio. This might be for confidentiality reasons or it could be that something which you have produced as part of your day-to-day work is normally kept in a filing cabinet or stored electronically.

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 qualification, 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 Learning Outcomes which are linked to a specific piece of evidence. The links should be noted on the pieces of evidence themselves as well as on the index of evidence (cross-referencing).



## **Worked examples**

To give you a clearer picture of how to compile your portfolio, you will find worked examples of the various forms over the next few pages. 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.

## Index of evidence — Example 1

<b>Qualification title and level</b>	
--------------------------------------	--

<b>Evidence number</b>	<b>Description of evidence</b>	<b>Included in portfolio (Yes/No) If no, state location</b>	<b>Sampled by the IV (initials and date)</b>
4	Observation record of workplace review	Yes — Section 1, page 4	<i>SM — 04/04/11</i>
5	Personal statement reflecting on health and safety meeting	Yes — Section 1, page 5	<i>SM — 04/04/11</i>
6	Record of questions and answers	Yes — Section 1, page 6	<i>SM — 04/04/11</i>
7	Witness testimony of responsible people	Yes — Section 1, page 7	<i>SM — 04/04/11</i>



## Unit progress record — Example 2

Qualification and level \_\_\_\_\_

Candidate's name Paul Lee

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

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

### Unit Checklist

<b>Mandatory</b>	F/601/6633								
<b>Optional</b>									

### Mandatory Units

Unit number	Title	Assessor's signature	Date
F/601/6633	Promote a Culture of Health and Safety in the Workplace	<i>Peter Hoskins</i>	01/04/11

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

### Optional Units

Unit number	Title	Assessor's signature	Date

## Learning Outcome Achievement Record — Example 3

Unit Promote a Culture of Health and Safety in the Workplace

Learning Outcome(s) Be able to develop plans to promote a health and safety culture in the workplace

Evidence Index No	Description of Evidence	Assessment Criteria					
		1.1	1.2	1.3	1.4	1.5	2.1
4	Observation record of workplace review		✓	✓			
5	Personal statement reflecting on health and safety meeting		✓			✓	
6	Record of questions and answers		✓	✓			
7	Witness testimony of responsible people	✓	✓	✓	✓	✓	✓

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 Learning Outcome(s), Assessment Criteria.

As you collect your evidence for assessment you should tick the relevant boxes. There is a box which represents each Assessment Criteria in the Learning Outcome.

**Unit** Promote a Culture of Health and Safety in the Workplace

**Learning Outcome(s)** Be able to develop plans to promote a health and safety culture in the workplace

**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** Paul Lee **Date** 04/04/11

**Assessor's signature** Peter Hoskins **Date** 04/04/11

**Internal verifier's signature** Sharon Moore **Date** 04/04/11

## Personal statement — Example 4

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Learning Outcomes, Assessment Criteria covered
24/01/11	5	<p>Having attended the health and safety meeting today, I have been able to identify further how information on health and safety instructions and regulations are currently communicated. I think the meeting also improved my awareness of the current level of understanding and support for health and safety. Clearly the management team is very supportive of all health and safety issues and this was highlighted in a report discussed at the meeting about an incident at another factory.</p> <p>The meeting has also clarified my thoughts on providing opportunities to promote the advantages and legal necessity of following health and safety procedures. Having attended the meeting I feel more able to include these in my plan.</p>	4 and 6	1.2

Candidate's signature

*Paul Lee*

Date

*24/01/11*

## Observation record — Example 5

<b>Unit/Learning Outcome(s)</b>	Promote a Culture of Health and Safety in the Workplace
<b>Candidate's name</b>	Paul Lee
<b>Evidence index number</b>	4
<b>Date of observation</b>	21/01/11

Skills/activities observed	Assessment Criteria covered
<p>A thorough review of the workplace environment was carried out by Paul. This review included the observation of current posters, signage, etc that was displayed in the environment. Paul also spoke to several employees to ask them about how information on instructions and regulations was communicated to them.</p> <p>Paul made comprehensive notes during the review.</p>	<p>1.2 Identify how information on health and safety instructions and regulations are currently communicated.</p> <p>1.3 Identify current level of understanding and support for health and safety instructions and procedures.</p>

### Knowledge and understanding apparent from this observation

#### Current communication strategies in respect of health and safety

Paul completed a thorough review which will support the development of a plan to promote a health and safety culture within the organisation.

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

Through his insightful discussions with employees as he conducted his review Paul was able to identify the current level of understanding and support for health and safety within the organisation which will all make a valuable contribution to the development of his plan.

### Other Units/Learning Outcomes to which this evidence may contribute

### Assessor's comments and feedback to candidate

The review and supporting notes you have completed Paul clearly demonstrate that you can: identify how instructions and regulations are currently communicated and where improvements and changes may be necessary.

Well done.

I can confirm the candidate's performance was satisfactory.

**Assessor's signature** Peter Hoskins **Date** 21/01/11

**Candidate's signature** Paul Lee **Date** 21/01/11



## Witness testimony — Example 6

<b>Qualification title and level</b>	Promote a Culture of Health and Safety in the Workplace
<b>Candidate's name</b>	Paul Lee
<b>Evidence index no</b>	7
<b>Index no of other evidence which this testimony relates to (if any)</b>	
<b>Learning Outcome(s)</b>	
<b>Date of evidence</b>	18/02/11
<b>Name of witness</b>	Dave Mulvaney (on behalf of senior management team)
<b>Designation/relationship to candidate</b>	Senior manager responsible for health and safety, line manager of Paul Lee
<b>Details of testimony</b>	
<p>Paul has provided a very insightful and detailed plan to support the promotion of a culture of health and safety within the organisation. Paul has made some good recommendations about how the communication of health and safety information could be improved; he has based this on some sound research, including a detailed audit, discussions with staff and the results of a staff questionnaire. Paul has clearly used his knowledge and understanding of health and safety and the organisation to include within his plan new and innovative opportunities for promoting health and safety within the organisation.</p> <p>The senior management team has agreed Paul's plan and recommended that he takes this forward.</p>	

I can confirm the candidate's performance was satisfactory.

**Witness's signature** Dave Mulvaney **Date** 24/02/11

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

- Holds appropriate qualifications
- Is familiar with the Units to which the candidate is working

## Record of questions and candidate's answers — Example 7

<b>Unit</b>	Promote a Culture of Health and Safety in the Workplace
<b>Learning Outcome(s)</b>	
<b>Evidence index number</b>	6
<b>Circumstances of assessment</b>	
<p>First review session with candidate.</p> <p>(Considering Assessment Criteria: 1.2 and 1.3 in particular)</p>	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	Having completed your review of the workplace how would you rate the way health and safety information is currently communicated to the workforce within your organisation? Can you support your view?
<b>A</b>	I'd say that currently the communication with regard to health and safety is adequate, there are some good practices, but there are also plenty of opportunities for improvement.
<b>Q</b>	Having completed your review, spoken to employees and collated the results of your questionnaire what would you say is the current level of understanding and support for health and safety instructions and procedures?
<b>A</b>	Generally the understanding of health and safety instructions and procedures is good. All employees remembered the information they had been given at induction, they could show me the relevant sections within the staff handbook and they were aware of the importance of health and safety. However in some of the operational areas there are instances where standards have begun to slip and shortcuts are being made. When I develop my plan I will need to focus on opportunities for promoting the advantages and legal necessity of following health and safety procedures. I'm sure management will support me with this.

**Assessor's signature**     *Peter Hoskins*     **Date**     16/03/11    

**Candidate's signature**     *Paul Lee*     **Date**     16/03/11

## Section 3 — The Units and recording documents for your qualification

### Unit progress record

Qualification and level \_\_\_\_\_

Candidate's name \_\_\_\_\_

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.

Please note the table below shows the SSC identification codes listed alongside the corresponding SQA Unit numbers. It is important that the SQA Unit numbers are used in all your recording documentation and when your results are communicated to SQA. SSC identification codes are **not valid** in these instances.

**Unit Checklist — circle the reference number of each Unit as you complete it.**

<b>Mandatory</b>								
<b>Optional</b>								

**Mandatory Units — all Units should be completed**

SQA Unit number	CBQ Unit number	SSC Unit number	SCQF level	SCQF credit points	Title	Assessor	Internal verifier	Date

**Optional Units — candidates must achieve **XX** of the following Units**

<b>SQA Unit number</b>	<b>QCF Unit number</b>	<b>SSC Unit number</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>Title</b>	<b>Assessor</b>	<b>Internal verifier</b>	<b>Date</b>

## Glossary of terms

<b>Advisor</b>	A person who carries out, either singly or in combination, the functions of advising a candidate, collecting evidence of his or her competence on behalf of the assessor and authenticating the work candidates have undertaken. A mentor might also provide witness testimony.
<b>Assessment</b>	The process of generating and collecting evidence of a candidate's performance and judging that evidence against defined criteria.
<b>Assessment Criteria</b>	Statements which describe the standard to which candidates must perform the activities which are stated in the Learning Outcome.
<b>Authentication</b>	The process by which an advisor or assessor confirms that an assessment has been undertaken by a candidate and that all regulations governing the assessment have been observed.
<b>Candidate</b>	The person enrolling for an SQA qualification.
<b>Centre</b>	The college, training organisation or workplace where SQA qualifications are delivered and assessed.
<b>Learning Outcomes</b>	Statements which define the products of learning. The statements describe the activities that the candidate needs to perform in order to achieve the Unit. They contain Assessment Criteria.
<b>Evidence</b>	Materials the candidate has to provide as proof of his or her competence against specified Assessment Criteria.
<b>Evidence Requirements</b>	Specify the evidence that must be gathered to show that the candidate has met the standards laid down in the Assessment Criteria.
<b>External Verifier</b>	The person appointed by SQA who is responsible for the quality assurance of a centre's provision. An External Verifier is often appointed on a subject area basis or for cognate groups of Units.
<b>Instrument of Assessment</b>	A means of generating evidence of the candidate's performance.
<b>Internal verifier</b>	The person appointed from within the centre who ensures that assessors apply the standards uniformly and consistently.
<b>Observation</b>	A means of assessment in which the candidate is observed carrying out tasks that reflect the Learning Outcomes and Assessment Criteria.

**Learning Outcome**

Statement which defines the products of learning. They describe the activities the candidate has to perform to achieve the Unit, and contain Assessment Criteria.

**Portfolio**

A compilation of evidence which can form the basis for assessment. The portfolio is commonly used in competence-based qualifications and in alternative routes to assessment such as RPL and credit transfer.

**Product evaluation**

A means of assessment which enables the quality of a product produced by the candidate, rather than the process of producing it, to be evaluated.