



Assessor's guidelines for the SVQ in Water Industry Operations at level 3

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About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ in Water Industry Operations at level 3**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

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

Introduction

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

About SVQs

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy. The qualifications have been designed by standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

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

Each SVQ which a standards-setting body develops has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared. SVQs are specified at five levels which reflect the various technical and supervisory skills knowledge and experience, which employees should have as they progress in their industry.

Explanation of levels

- Level 1** Defines competent performance in a range of activities which are largely routine and predictable.
- Level 2** Specifies that competent performance must be shown in a broader range of work activities which are less routine and predictable. The employee will have more autonomy and responsibility, and may have to work as part of a team.
- Level 3** Specifies that competent performance must involve the employee in carrying out a broad range of varied work activities, most of which are complex and non-routine. There is considerable autonomy and responsibility, including the possibility of controlling or guiding others.
- Level 4** Specifies competence as complex technical or professional work activities which require a substantial degree of personal autonomy or responsibility. Managing staff and other resources is often involved.
- Level 5** Specifies competent performance as involving the employee in carrying out a significant range of activities in a wide variety of situations which are often unpredictable. Substantial responsibility and autonomy is involved in the work, which requires decision-making in the allocation of resources and the work of others. This will require complex skills such as analysis, design and evaluation.

How are standards defined in SVQs?

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

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

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

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

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

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

Who is involved in SVQs?

There are several roles:

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

*Assessors and verifiers in centres will be asked by SQA to prove they have the appropriate occupational competence to assess and verify the SVQ. Occupational competence has been defined by the standards-setting body in the assessment strategy for this SVQ(s) — 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) either in their current form or as ‘D-Units’, or an alternative qualification which SQA also recognises.

The steps involved in assessing a candidate for an SVQ

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

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

1 The SVQ in Water Industry Operations

The SVQ in Water Industry Operations at level 3 has been developed by Energy and Utility Skills (EU Skills) and is intended for people in the water supply and waste water industry.

These people may be working in network and water or waste water treatment operations. They will require skills and knowledge across a range of functions within the water industry.

The SVQ is designed to be assessed in the workplace, or in the conditions of the workplace. Examples of the settings or centres in which the SVQ is likely to be delivered include: water treatment works, waste water treatment works and sites on which network construction activities are being undertaken.

Structure of the SVQs

This section lists the Units which form the SVQ in Water Industry Operations at level 3.

Mandatory

SQA Ref	SSB Ref	Title
F31F 04	TPO01	Monitor and Maintain a Safe Working Environment
F5DP 04	TPO06	Monitor and Maintain the Quality of Treatment Processes (Water Treatment Processes)
F5DR 04	TPO06	Monitor and Maintain the Quality of Treatment Processes (Wastewater Treatment Processes)
F31J 04	NCO309	Monitor the Installation Process for Network Construction Operations

Candidates must select two additional Units from within the pathways outlined below:

Controlling Process Operations — level 3

SQA Ref	NTO Ref	Title
D1VB 04	TPO02	Conduct an Assessment of Risks in the Workplace
F31H 04	TPO07	Monitor and Maintain Treatment Processing at Optimum Performance
DR4A 04	TPO04	Develop Productive Working Relationships with Colleagues
F31P 04	TPO15	Organise and Carry Out the Maintenance of Process Equipment

Managing and Controlling Process Operations — level 3

SQA Ref	NTO Ref	Title
DR7C 04	LD&C12	Provide Leadership for Your Team
DR3Y 04	TPO05	Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility
DR7C 04	TPO21	Provide Learning Opportunities for Colleagues

Water Byelaw Enforcement — level 3

SQA Ref	NTO Ref	Title
F325 04	WFR/B3	Secure Compliance with Water Byelaws
F319 04	WFR/B4a	Inspect Premises (Non-domestic) for Compliance with Water Byelaws
F318 04	WFR/B4b	Inspect Premises (Domestic) for Compliance with Water Byelaws
F31Y 04	WFR/B2	Provide Information for Use in Legal Procedures
F31W 04	WFR/B5	Present Oral Evidence in Court
F31R 04	WFR/B6	Plan and Schedule Water Byelaw Inspections
F30W 04	WFR/B7	Develop Positive Working Relationships with Customers and Colleagues

Leakage Control — level 3

SQA Ref	NTO Ref	Title
B7WE 04	LD&C1	Ensure Your Own Actions Reduce Risks to Health and Safety
F30V 04	LD&C4	Determine Leakage Detection Methods and Techniques in Response to Water Loss
F31X 04	LD&C5	Programme, Deploy and Collect Data from Data-logging Equipment
F327 04	LD&C6	Utilise and Confirm Performance of Measuring Equipment on the Distribution Network
F311 04	LD&C11	Evaluate Data to Identify Potential Leakage
F30G 04	LD&C7	Carry out Step-testing Operations in Order to Localise the Area of Potential Leakage and Re-commission the Distribution Network
F323 04	LD&C8	Resolve Leakage-related Issues with Customers
F310 04	LD&C10	Establish the Integrity of a Discrete Area on the Distribution Network
DR73 04	LD&C12	Provide Leadership for Your Team

Network Construction Operations — level 3

SQA Ref	NTO Ref	Title
F30F 04	NCO301	Carry out Risk Assessment for Network Construction Operations
F30E 04	NCO302	Carry out Operational Planning for Network Construction Operations
B7WE 04	NCO303	Ensure Your Own Actions Reduce Risks to Health and Safety
F30X 04	NCO304	Ensure Your Own Actions Aim to Protect the Environment
F31E 04	NCO305	Locate and Avoid Supply Apparatus and Sub-structures
F31L 04	NCO306	Monitoring Signing, Lighting and Guarding
F31K 04	NCO307	Monitoring Excavation in the Highway
F315 04	NCO308	Implement Installation and Construction Methods and Procedures for Network Construction Operations
F31M 04	NCO313	Obtain Information for Decision Making
F320 04	NCO314	Record and Store Information
F30C 04	NCO315	Analyse Information to Support Decision Making
F30B 04	NCO316	Advise and Inform Others
F30M 04	NCO317	Contribute to Controlling Costs Against Agreed Budgets
F30T 04	NCO318	Control Network Activities Against Quality Standards and Systems
F30Y 04	NCO319	Establish and Maintain Professional Relationships

Maintain Water Supply (Network) level 3

SQA Ref	NTO Ref	Title
DK1W 04	MWS5	Develop Own Understanding of Techniques for Minimum Disruption of the Distribution Network During Operational Activities
DK1Y 04	MWS6	Monitor and Review Network Activities
B6K1 04	MWS7	Provide Information to Support Decision Making

An assessment strategy for the SVQ

As part of its review of the SVQ, the standards-setting body EU Skills has developed an assessment strategy which defines a range of requirements:

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

The relevant parts of the assessment strategy are available on SQA's website (www.sqa.org.uk), and both SQA and centres must comply with these requirements.

Why would people be interested in the SVQ?

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

How do candidates begin?

Choosing the SVQ

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

An example

Stan's job profile required him to provide supervisory support across the range of his employer's technical operations. The employer agreed with Stan that the Water Industry Operations SVQ provided an ideal professional development opportunity.

A development plan was drawn up which would allow Stan to generate evidence for the different Units of the SVQ.

The mandatory Units were targeted initially:

- ◆ Monitor and Maintain a Safe Working Environment
- ◆ Monitor and Maintain the Quality of Treatment Processes (Water Treatment Processes)
- ◆ Monitor and Maintain the Quality of Treatment Processes (Waste Water Treatment)
- ◆ Monitor the Installation Process for Network Construction Operations

The Training and Development Manager arranged for an assessor to meet with Stan to register and induct him to the award.

From this meeting it was apparent that Stan would be able to generate evidence for these Units and one of the two optional Units required:

- ◆ Monitor and Maintain Treatment Processing at Optimum Performance

It was also agreed at this stage to decide at a future date for the second optional Unit, to provide maximum flexibility to both Stan and his employer. It was a possibility that Stan would have to develop skills in the area of leakage control.

An assessment plan was drawn up to enable Stan to begin generating evidence for his qualification.

2 Preparing to assess the SVQ

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

Your role and your candidate's role

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

Your role

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

Candidates' role

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

Planning

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

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

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

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

To help you plan for assessment, we have produced an assessment plan which covers the optional Unit '*Monitor and Maintain Treatment Processing at Optimum Performance.*' You will notice that we have included spaces to enter dates when the assessment plan has been reviewed. Any gaps identified during these reviews should be discussed with your candidates and noted for action in the assessment plan.

Assessment plan

Units: Monitor and Maintain Treatment Processing at Optimum Performance					
Elements:					
Activities	PCs	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PCs and range)
Organise scheduled calibration of dissolved oxygen sensors in activated sludge process	1.2, 1.3, 1.4, 1.5, 1.6 2.1, 2.2, 2.4, 2.5 3.1, 3.2, 3.4 4.1, 4.2, 4.3, 4.5, 4.6, 4.7 5.1, 5.2, 5.3	Direct observation, Questioning	25/08/2008	Workplace Record	Monitor and Maintain the Quality of Treatment Processes PC 2.5 PC 3.6 Range 4, 8, 15
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review	K1, 2, 4, 5, 6, 8, 9, 11, 12, 13	Written or oral questioning			

Assessor's signature: *N Smith*

1st review due: *10/03/08*

Candidate's signature: *S Stavely*

2nd review due: *30/04/08*

Date of agreement: 10/02/08

Date of completion: 25/05/08

Selecting methods of assessment

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

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

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

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

The benefits might be:

- ◆ familiarity with the work area and equipment, so the candidate feels comfortable with the assessment
- ◆ performance and product evidence will be valid and can be authenticated

The challenges might be:

- ◆ short notice cancellation of assessment opportunity due to emergencies, plant failure, or site failing to meet all the award checklist criteria
- ◆ inclement weather

An example

Candidates conducting maintenance work in a treatment plant will have to consistently demonstrate their compliance with selecting and using the correct personal protective equipment (PPE) at all times over a range of differing occasions and tasks. Compliance can be confirmed by observation as and when such differing situations and tasks arise. If you are an assessor who is working alongside the candidate, you should be well placed to observe the candidate's performance, perhaps using a prepared checklist, and questioning the candidate about these differing situations afterwards.

Methods of assessment

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

Observation

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

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

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

- ◆ Observing a candidate reviewing the task scheduling and quality records of a waste water treatment plant
- ◆ Observing a candidate organise unscheduled maintenance with their mechanical and electrical team.

Product evaluation

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

- ◆ Quality trends from the optimisation of process by the candidate
- ◆ Maintenance schedules drawn up by the candidate

Questioning

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

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

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

Typical questions and answers might be:

Question: Why is it imperative that all accidents and incidents are reported to your company?

Answers: a) Accident and incident investigation
b) Company's statutory obligations under The Reporting of Injuries, and Dangerous Occurrences Regulations (RIDDOR)

Question: What are the typical effects of inadequate maintenance?

Answer: Quicker wear, early breakdown, unscheduled downtime, extra maintenance cost, regular replacement and associated cost, higher safety risk

Other methods of assessment

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

Personal statements

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

The candidate could use a personal statement in the Unit *Monitor the Installation Process for Network Construction Operations*. In the example shown it supports a candidate's claim in relation to evidence where the assessor was not present at the time of discovery. It provides links from the planning stage to the monitoring stage and can be cross-referenced to the Unit *Monitor and Maintain a Safe Working Environment*.

Witness testimony

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

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

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

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

In the sample Witness Testimony it is produced in support of a personal statement. It provides support to a personal statement and gives the assessor scope for asking supplementary questions.

Simulation

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

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

The Scottish Qualification Authority defines simulation and gives direction on what may constitute a realistic working environment. Both the centre and Unit guidance must be consulted if this is ever considered as an assessment option.

The centre must obtain prior approval from the External Verifier for both options. The centre must maintain the records which strictly define the terms under which each can be used. For more details on simulation and what constitutes performance in the workplace, look at the assessment strategy on SQA's website (www.sqa.org.uk).

Example

In Unit *Monitor and Maintain a Safe Working Environment*:

‘The majority of the evidence used for this Unit must come from the candidate’s own performance in the workplace. You may use simulated activities to observe the candidate dealing with and reporting accidents and emergencies and investigating complaints. Please ensure that any simulation used meets the requirements for this award’ ‘and that the centre has obtained approval for its use prior to assessment taking place’.

Other sources of evidence

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

SQA’s *Guides to Assessment and Quality Assurance* (see section 5) have more advice on methods of assessment and how to ensure that your assessment is valid, reliable and practicable.

3 **Generating evidence**

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

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

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

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

Observation

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

Observation record

Unit/Element(s): Monitor the Installation Process for Network Construction Operations
 Candidate: S. Staveley Date of observation: 15/02/2008
 Evidence index number: 26

Skills/activities observed:	PCs covered:
<p>Planning of work – Stan produced the project folder for Boundary Road. The plans for the site indicated a new site in which polyethylene pipe will be installed, jointed by electrofusion fittings.</p> <p>A full list of materials to be used on the project was included. All orders had been placed with adequate lead time to allow for delivery. A site specific risk assessment and method statement had been drawn up by Stan.</p> <p>The supporting information included manufacturer’s instructions and company quality procedures.</p> <p>The number of site visits carried out by Stan included an early check to ensure changed practices were being followed.</p> <p>A schedule of site operations gave a realistic estimate of project completion from site induction to final uplift of material and off-hire of plant.</p> <p>The project had been completed three days prior to schedule. Stan had provided four days contingency to allow for possible delay due to main site contractor and weather.</p> <p>Stan was able to relate all items contained in the project folder and demonstrated knowledge of the company Health & Safety arrangements and quality procedures.</p>	<p>PC b, Range 2, 7, 8 PC c, Range 2, 9</p> <p>PC c, Range 8, 9, 10, 11 Cross-ref to Monitor and Maintain a Safe Working Environment PC 1.1, 1.5, K1, 2, 5, (from CPO L3)</p> <p>PC b, c, h Range 2,7, 9</p> <p>PC a, b, c, d, g, h Range 1, 2, 4, 6, 8, 10, 11</p> <p>PC b, g Range 1, 8, 9, 10, 11</p> <p>PC c, g, h Range 3, 4, 6</p> <p>PC c, d, g, h Range 6, 10, 11 Cross-ref to Monitor and Maintain a Safe Working Environment PC1.3, 3.1, 3.6 K 1, 2</p>

<p>Knowledge and understanding apparent from this observation:</p> <p>K1, K2, K4, K6, K7, K8, K9, K10, K11</p> <p>Not apparent: K3, K5</p>

Other Units/Elements to which this evidence may contribute:

Monitor and Maintain a Safe Working Environment

Assessor's comments and feedback to candidate:

Candidate produced evidence of organisation required by standards. Candidate accessed relevant procedures and demonstrated a good working knowledge of these. Evidence also produced evidence relevant to Unit Monitor and Maintain a Safe Working Environment.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *N Smith*

Date: *15/02/08*

Candidate's signature: *S Staveley*

Date: *15/02/08*

Questions and candidate responses

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

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

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

Record of questions and candidate's answers

Unit: Monitor the Installation Process for Network Construction Operations	Element(s): 1
Evidence index number: 27	
Circumstances of assessment: Review of Boundary Road mains installation project. Purpose: to cover range items not fully covered by the evidence submitted.	
List of questions and candidate's responses: Q: What are potential changes to site that could impact on a mains installation project? (K3) A: Change of proposed finished ground levels, re-alignment of kerb-lines or discovery of contaminated ground. Q: What effect could failure to plan effectively have for the project on site? (K4, K5) A: Delay to completion on site, incurring extra costs. The knock-on delay to other utilities installation on site. Increased risk to health and safety as other contractors may be trying to work in same area at same time. Potential financial penalties for company. Loss of reputation.	
Assessor's signature: <i>N Smith</i>	Date: <i>15/02/08</i>
Candidate's signature: <i>S Staveley</i>	Date: <i>15/02/08</i>

Candidate's personal statement

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

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered
02/04/08	23	<p>I can access stores information in the Supply Chain Servies area of our intranet. A change of preferred supplier of polyethylene pipe and fittings had been notified in February 2008, the change being effective from 1 April 2008.</p> <p>I arranged a meeting with Andy Frazer, the new supplier's representative on the 25 of March. Andy brought with him manufacturer's information on the fittings that would be used on the Boundary Road project. The new suppliers jointing cycle timings were different from the previous suppliers.</p> <p>The manufacturer's information was passed on at a pre-start team briefing on the 30 of March.</p> <p>The instructions were also included in the work pack for the site operations team.</p> <p>As this was a change I planned an early site visit to ensure changed timings were being used. It is routine practice to mark timings on the fittings.</p> <p>The timings marked by the site team corresponded to the revised times marked on the fitting by the manufacturer.</p> <p>The print-out from the fusion control box was downloaded on 28/04/08. The jointing records confirmed revised timings were used.</p>		<p>PC b; K2, 7, 9</p> <p>PC h, K2, 7, 9,</p> <p>PC a, K1, 2,</p> <p>PC h, K2, 4</p> <p>PC a, K1, 2, 4 PC g, K2, 6</p> <p>PC a, c, d, K1, 2, 4, 6,</p> <p>PC g, K1, 2, 6</p>

Signed (candidate): *S Staveley*

Date: *30/04/08*

Witness testimony

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

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

Witness testimony

SVQ title and level:	Water Industry Operations at level 3
Candidate's name:	S Staveley
Evidence index no:	24
Index no of other evidence which this testimony relates to (if any):	23
Element(s):	Monitor the Installation Process for Network Construction Operations
Date of evidence:	02/04/08
Name of witness:	J Cross
Designation/relationship to candidate:	Team Leader
Details of testimony:	
<p>I met with Stan on 29/03/08 to review preparations for the Boundary Road project. The contents of the project file were in accordance with the company's quality requirements. Of particular note was a change of supplier for polyethylene pipe and fittings.</p> <p>Stan had taken appropriate steps to ensure that updated information was obtained, evaluated and passed on to the site team, all in good time.</p> <p>It has previously occurred elsewhere in our organisation such changes were not notified to site which led to problems with the installation and led to a delay.</p> <p>The contents of the project file and preparations taken by Stan for Boundary Road were consistent with what Stan has produced for projects he has been given responsibility for.</p> <p>I am confident when projects are assigned to Stan planned delivery dates will be achieved.</p>	
<p>I can confirm the candidate's evidence is authentic and accurate. Signed by witness: <i>J Cross</i> Date: <i>02/04/2008</i></p>	

Witness (please tick the appropriate box):

- Holds A1 or D32/D33 qualifications
- Is familiar with the SVQ standards to which the candidate is working

Filling the gaps

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

In this SVQ, such gaps are likely to occur in generating evidence for *Monitor and Maintain a Safe Working Environment*.

You may be able to overcome these by simulation and questioning.

Guidance and support to candidates

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

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

Judging candidate evidence and making an assessment decision

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

Evidence must:

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

Insufficient evidence

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

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

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

Authenticating candidates' evidence

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

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

Example

In the mandatory Unit '*Monitor the Installation Process for Network Construction Operations*' PC e — 'Identify any variations from agreed plans and schedules, if not observed by the assessor, corroboration may be gained by witness testimony, exchange of e-mails with company or external contacts or questioning.

4 Recording achievement

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

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

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

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

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

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

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

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

These forms are also used in SQA's portfolio.

Completing the Unit progress record

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

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

Unit progress record

Qualification and level: Water Industry Operations at level 3

Candidate: Stan Staveley

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

Unit Checklist

Mandatory	F31F 04	F5DR 04	F5DP 04	F31J 04					
Optional	F31H 04	D1VB 04							

Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
F31F 04	Monitor and Maintain a Safe Working Environment		
F5DR 04	Monitor and Maintain the Quality of Treatment Processes (Wastewater)		
F5DP 04	Monitor and Maintain the Quality of Treatment Processes (Water)		
F31J 04	Monitor the Installation Process for Network Construction Operations	<i>N Smith</i>	<i>01/06/08</i>

Optional Units achieved

F31H 04	Monitor and Maintain Treatment Processing at Optimum Performance		
D1VB 04	Conduct an Assessment of Risks in the Workplace		

Using the index of evidence

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

The index of evidence should be completed by entering:

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

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

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

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

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

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

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

Element achievement record

Unit: Monitor the Installation Process for Network Construction Operations

Element: 1

Evidence Index No	Description of Evidence	PCs										Knowledge and Criteria											
		a	b	c	d	e	f	g	h			1	2	3	4	5	6	7	8	9	10	11	
26	Observation Record	√	√	√	√			√	√		√	√		√		√	√	√	√	√	√	√	
27	Questioning of Candidate												√	√	√								
23	Personal Statement	√	√	√	√			√	√		√	√		√		√	√		√				
24	Witness Testimony		√	√								√					√				√		

Unit: Monitor the Installation and Construction Process for Network Construction Operations

Element: 1

Notes/Comments

Performance evidence has been gathered from a range of network construction projects. The candidate has demonstrated an ability to deliver a range of projects using diverse materials and installation techniques. The candidate was observed on two occasions with a range of supplementary evidence supporting a claim of competence. These claims have been mapped against the performance criteria and range required for this Unit and match the requirements.

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: *S Staveley*

Date: *01/06/08*

Assessor: *N Smith*

Date: *01/06/08*

Internal Verifier: *B Taylor*

Date: *07/06/08*

5 Further information

What else should I read?

The publications listed here provide additional information on how to implement SVQs. Details of these and other SQA publications are available on our website at **www.sqa.org.uk** on the 'Publications, Sales and Downloads' section. They can be ordered from SQA's Customer Contact Centre — telephone 0845 279 1000. Please note that there may be a charge for some of these publications.

Assessor/Verifier Units: assessment guidance

External Assessment Moderation in National Qualifications and Higher National Qualifications: a guide for centres

Guide to Assessment and Quality Assurance for Colleges of Further Education

Guide to Assessment and Quality Assurance for Employers and Training Providers

Arrangements for Candidates with Disabilities and/or Additional Support Needs in Examinations and Assessments

Quality Assurance Principles, Elements and Criteria

Operational Help Centre

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

Appendix 1: Blank recording forms

Unit:

Element:

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate:

Date:

Assessor:

Date:

Internal Verifier:

Date:

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered

Signed by candidate:

Date:

Observation record

Unit/Element(s):

Candidate:

Date of observation:

Evidence index number:

Skills/activities observed:	PCs covered:

Knowledge and understanding apparent from this observation:

Other Units/Elements to which this evidence may contribute:

Assessor's comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor's signature:

Date:

Candidate's signature:

Date:

Witness testimony

SVQ title and level:	
Candidate's name:	
Evidence index no:	
Index no of other evidence which this testimony relates to (if any):	
Element(s):	
Date of evidence:	
Name of witness:	
Designation/relationship to candidate:	
Details of testimony:	
I can confirm the candidate's evidence is authentic and accurate. Signed by witness: _____ Date: _____	

Witness (please tick the appropriate box):

Holds A1 or D32/D33 qualifications

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

Record of questions and candidate's answers

Unit:	Element(s):
Evidence index number:	
Circumstances of assessment:	
List of questions and candidate's responses:	
Assessor's signature:	Date:
Candidate's signature:	Date: