



# **Assessor's Guidelines for the SVQ3 Downstream Field Operations and SVQ3 Downstream Control Room Operations SCQF level 6**

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# About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ3 Downstream Field Operations SCQF level 6** and **SVQ3 Downstream Control Room Operations SCQF level 6**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

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

# Introduction

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

## About SVQs and the SCQF

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy and are usually delivered in the workplace or in partnership with a college or other training provider. The qualifications have been designed by standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

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

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

There are SVQs for nearly all occupations in Scotland and they are available at SVQ levels 1–5. SVQs are currently notionally placed in the SCQF as the individual SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ. SVQs are a means of recognising the skills and knowledge people need in employment, ie job competence. Successful completion of an SVQ provides clear evidence that the learner works to nationally recognised occupational standards.

Each Unit defines one aspect of a job or work-role, and says what it is to be competent in that aspect of the job. To be awarded a full SVQ, learners must achieve each of the SVQ Units which make it up by demonstrating that they are competent in that aspect of the job. The Units which make up the SVQ can also be taken as freestanding awards. Some SVQs or SVQ Units are incorporated into other awards or programmes including HNCs and Modern Apprenticeships.

## Explanation of levels

<b>SVQ1 (SCQF level 4)</b>	Competence involves the application of knowledge and skills in the performance of a range of varied work activities, most of which may be routine or predictable.
<b>SVQ2 (SCQF level 5)</b>	Competence involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. At this level, there will be activities, which are complex or non-routine and there is some individual responsibility and autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.
<b>SVQ3 (either SCQF level 6 or 7)</b>	Competence involves the application of knowledge and skills in a broad range of varied work activities, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often present.
<b>SVQ4 (either SCQF level 8 or 9)</b>	Competence involves the application of knowledge and skills in a broad range of complex technical or professional work activities, performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.
<b>SVQ5 (SCQF level 11)</b>	Competence involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal accountability.

For further information on SCQF go to [www.scqf.org.uk](http://www.scqf.org.uk).

## How are standards defined in SVQs?

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

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

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

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

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

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

## Who is involved in SVQs?

There are several roles:

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

\*Assessors and verifiers in centres will be asked by SQA to prove they have the appropriate occupational competence to assess and verify the SVQ. Occupational competence has been defined by the standards-setting body in the Assessment Strategy for this SVQ(s) — see SQA’s website: [www.sqa.org.uk](http://www.sqa.org.uk).

Assessors and verifiers are also expected to obtain an appropriate qualification in assessment and verification — this can be the Learning and Development Units (the national standards for assessment and verification), or an alternative qualification which SQA also recognises.

## **The steps involved in assessing a candidate for an SVQ**

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

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

# **1 The SVQ3 Downstream Field Operations and SVQ3 Downstream Control Operations SCQF level 6**

The SVQs in Downstream Field Operations and Downstream Control Room Operations have been developed by Cogent and are intended for people in the downstream petroleum industry.

These people may be working as downstream field production operators or downstream control room operators. They will require skills and knowledge in contributing to the safety of the processing environment; responding to incidents, hazardous conditions and emergencies; working effectively in a team; starting up equipment; monitoring and maintaining process and equipment conditions; handling non-routine information on plant condition; shutting down equipment; preparing for/facilitating the maintenance of plant and equipment; carrying out control operations; providing samples for analysis; and analysing samples and providing instructions. Field production operators will also require skills and knowledge in carrying out maintenance within an agreed scope of authority.

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



## Structure of the SVQs

This section lists the Units which form the SVQ3 in Downstream Field Operations at SCQF level 6. Candidates are required to complete all nine mandatory Units and one of the three optional Units appropriate to their actual role.

### SVQ3 Downstream Field Operations SCQF level 6 (GC3E 23)

#### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FA72 04	6	8	1	Contributing to the Safety of Downstream Operations
FA73 04	6	6	4	Responding to Incidents, Hazardous Conditions and Emergencies in Downstream Operations
FA74 04	5	5	29	Work Effectively in a Team in Downstream Operations
FA75 04	6	9	2	Starting Up Equipment in Downstream Operations
FA76 04	6	7	3	Monitoring and Maintaining Process and Equipment Conditions in Downstream Operations
FA77 04	6	9	7	Shutting Down Equipment in Downstream Operations
FA78 04	7	8	5	Handling Non-Routine Information on Plant Condition in Downstream Operations
FA79 04	6	8	9	Prepare for Maintenance in Downstream Operations
FA7D 04	6	4	6	Providing Samples for Analysis in Downstream Operations

#### Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FA7C 04	6	4	10	Carrying Out Maintenance Within Agreed Scope of Authority in Downstream Operations
FA7E 04	6	3	11	Analysing Samples in Downstream Operations
FA7F 04	6	8	8	Provide On-Plant Instruction in Downstream Operations

This section lists the Units which form the SVQ3 in Downstream Control Room Operations at SCQF level 6. Candidates are required to complete all ten mandatory Units.

### **SVQ3 in Downstream Control Room Operations SCQF level 6 (GG3A 23)**

#### **Mandatory Units**

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
FA74 04	5	5	29	Work Effectively in a Team in Downstream Operations
FA7A 04	7	15	30	Control Room Operations in Downstream Operations
FA7G 04	6	2	16	Managing Process Condition Information in Downstream Operations
H38B 04	6	8	8	Provide On-plant Instruction in Downstream Operations
H38C 04	6	8	12	Maintaining the Safety of Downstream Operations
H38D 04	6	9	13	Commissioning Downstream Operations
H38E 04	6	7	14	Controlling Process Operations in Downstream Operations
H38F 04	6	6	15	Managing the Response to Incidents, Hazardous Conditions and Emergencies in Downstream Operations
H38G 04	7	8	17	Responding to Abnormal Process Conditions in Downstream Operations
H38H 04	6	7	18	Shutting Down Process Operations in Downstream Operations

## **An Assessment Strategy for the SVQ**

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

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

The relevant parts of the Assessment Strategy are published on SQA's website ([www.sqa.org.uk](http://www.sqa.org.uk)), and both SQA and centres must comply with these requirements.

## **Why would people be interested in the SVQ?**

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

# How do candidates begin?

## Choosing the SVQ

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

### Example

Martin had worked as a field production operator for several years before becoming a control room operator but did not possess any formal qualifications. He had completed the company 'in-house' competence assurance scheme for both roles which required him to complete 'On Job Training' (OJT) programmes covering all the facility-specific systems and equipment.

Martin wanted a qualification which would formally recognise the skills he already had and offer international recognition. He had discussed this desire with his shift supervisor during his annual appraisal and they identified it as a development goal. Because of his experience in all areas of downstream process operations, and the fact that he had successfully completed the OJT programmes, the Training and Development Co-ordinator in his company advised him to consider a level 3 SVQ in Downstream Control Room Operations.

The T&D Co-ordinator identified an assessor from within the company to meet Martin and discuss options for gathering evidence towards achieving an SVQ. The assessor suggested that they should consider using the OJT programme as Accreditation of Prior Learning to help Martin achieve some of the Units. After matching the OJT work Martin had done to the Downstream Control Room Operations level 3 SVQ, it was apparent that Martin had already generated a lot of evidence towards achieving five of the ten Units:

- ◆ Commissioning Downstream Operations
- ◆ Controlling Process Operations in Downstream Operations
- ◆ Shutting Down Process Operations in Downstream Operations
- ◆ Control Room Operations in Downstream Operations
- ◆ Managing Process Condition Information in Downstream Operations

Fortunately, Martin had completed his control room operator OJT programme within the past two years, therefore this evidence would be considered current as well as valid. Arrangements were made by the assessor to observe Martin carrying out the various tasks that would be necessary to complete the Evidence Requirements for the first five Units.

Martin also had a lot of experience in relation to another four Units, though some planning would be required to provide him with the opportunity to generate evidence. Simulated emergency and critical situations were set up at an off-site training centre, where Martin, along with some of his colleagues, were able to be assessed for the Unit, *Managing the Response to Incidents, Hazardous Conditions and Emergencies in Downstream Operations*. Plans were made to assess another three Units through a combination of observation, witness testimonies and questioning:

- ◆ Maintaining the Safety of Downstream Operations
- ◆ Work Effectively in a Team in Downstream Operations
- ◆ Responding to Abnormal Process Conditions in Downstream Operations

The assessor and Martin agreed that as there would be no naturally occurring opportunities in the immediate future to gather evidence for the remaining Unit (*Provide On-Plant Instruction in Downstream Operations*) they would look at that later when the opportunity to mentor a trainee control room operator arose.

All these arrangements were agreed by everyone involved and the assessor worked with Martin to produce assessment plans for each of the Units. He also provided Martin with guidance on how to collect evidence and construct a portfolio.

## 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

#### Candidate's role

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

## Planning

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

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

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

If you are a new assessor working towards your Learning and Development Units (the national standards in assessment and verification) you will need copies of completed assessment plans as part of your evidence.

To help you plan for assessment, we have produced an assessment plan for Downstream Control Room Operations which covers Units:

- ◆ Unit 13: Commissioning Downstream Operations
- ◆ Unit 14: Controlling Process Operations in Downstream Operations

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. The assessment plan for Unit 13 indicates that there were no 'abnormalities' arising during the observation, therefore Performance Criteria 8–13 were covered by questioning the candidate. A similar situation arose for Unit 14 where it was not necessary during the observation for the candidate to make any 'adjustments', therefore Performance Criteria 3 and 4 were also covered by questions.

## Assessment plan

Units	13: Commissioning Downstream Operations and 14: Controlling Process Operations in Downstream Operations				
Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
Starting up a low pressure gas compressor in the gas processing plant.	Unit 13: 1, 2, 3, 4, 5, 6, 7, 14, 16 Unit 14: 15	Observation  Review of logs and records (products of work)	15 Feb 2013  15 Feb 2013		Unit 12: 2, 3, 4, 5, 6, 7, 8, 11, 18 Unit 29: 1, 2, 3, 4, 5, 8, 9, 10
Candidate controlling process operations for inlet gas separator.	Unit 14: 1, 5, 6, 7, 10 Unit 14: 2, 8, 9	Observation  Witness testimonies	08 Mar 2013  08 Mar 2013	EV Ref 29	Unit 12: 2, 3, 4, 5, 6, 7, 8, 11, 18 Unit 29: 1, 2, 3, 4, 5, 8, 9, 10
<b>Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review</b>	Unit 13: 8, 9, 10, 11, 12, 13 Unit 14: 3, 4	Q&A session Q&A session	10 Mar 2013 10 Mar 2013		

<b>Assessor's signature</b>	<u>David Grayson</u>	<b>1st review due</b>	<u>12 Feb 2013</u>
<b>Candidate's signature</b>	<u>Martin Hill</u>	<b>2nd review due</b>	<u>10 Mar 2013</u>
<b>Date of agreement</b>	<u>10 Feb 2013</u>	<b>Date of completion</b>	<u>12 Mar 2013</u>



# Selecting methods of assessment

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

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

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

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

The benefits might be:

- ◆ assessments being conducted in the candidate's workplace under naturally occurring conditions
- ◆ the candidate's familiarity with the equipment and facilities
- ◆ the assessment process is conducted at a pace that is comfortable for the candidates
- ◆ if you work in the same location as your candidate, then candidate access to the assessor will be good
- ◆ your observations can be totally unobtrusive as you work alongside your candidate
- ◆ your candidate can produce supporting documentary evidence such as logs, records, reports, etc as part of their daily work
- ◆ assessment plans can be arranged and/or modified as operational circumstances dictate

The challenges might be:

- ◆ ensuring that normal work routines are not unnecessarily disrupted or delayed by the assessment process
- ◆ co-ordinating assessments with candidates doing shift work
- ◆ if you don't work in the same location as your candidate, then candidate access to the assessor could be an issue

- ◆ preventing candidates from being subjected to undue extra stress or pressure brought about by the assessment process
- ◆ assessments being conducted in the presence of the candidate's colleagues
- ◆ the task and assessment process could be made more difficult by ambient conditions, such as darkness or adverse weather conditions

### **Example**

You might agree with a candidate who has to demonstrate his competence in *Control Room Operations in Downstream Operations (Unit 30 of Downstream Control Room Operations)* that this will be carried out by **observation** as and when an opportunity arises. If you are an assessor, either working alongside or supervising the candidate, you would be well-placed to observe the candidate's performance using a prepared 'observation checklist' and to question the candidate both during the observation and afterwards. Your questions might cover the candidate's knowledge of different control systems and methods utilised across a range of different process operations.

## Methods of assessment

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

### Observation

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

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

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

You might agree with a candidate who is preparing to carry out a planned maintenance routine on a piece of equipment that you will observe them *Prepare for Maintenance in Downstream Operations* (Unit 9 of Downstream Field Operations). This would be a naturally-occurring opportunity to observe your candidate carrying out a planned activity and to assess them against the standards. You could also allow your candidate to provide evidence of how they would 'Identify any outstanding problems and report these to the appropriate personnel' (Unit 9, PC 14).

### More examples

- ◆ Your candidate needs to be assessed in *Carrying out Maintenance Within Agreed Scope of Authority in Downstream Operations* (Unit 10 of Downstream Field Operations). You could observe the candidate as part of a team carrying out a planned maintenance routine on a gas metering stream. The opportunity to use observation to assess other Units (integrated assessment opportunity) should also be discussed with the candidate and covered in the assessment plan. Downstream Field Operations Units such as Unit 9: *Prepare for Maintenance in Downstream Operations* and Unit 29: *Work Effectively in a Team in Downstream Operations* would be ideal. Remember that it is not necessary to observe the candidate throughout the entire duration of the task — indeed this is not always possible or practical. Instead, you would question the candidate where performance evidence did not fully demonstrate competence against all performance standards.
- ◆ Observation would also be ideal to assess candidates in *Commissioning Downstream Operations* (Unit 13 of Downstream Control Room Operations). Again, the opportunity for integrated assessment could be taken if this activity was identified in the assessment plan as part of a planned operation. Assuming that the equipment will need to be controlled once it is in service, the Unit *Controlling Process Operations in Downstream Operations* (Unit 14 of Downstream Control Room Operations) would be applicable. As with all observation occasions, you would use questions to ensure that all Performance Criteria were met.

## Product evidence

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

- ◆ Maintenance history records and test records/results: you could inspect maintenance history records produced and maintained by the candidate. These records would provide evidence for standards which require the candidate to 'Complete all relevant documentation' (Downstream Field Operations Optional Unit 10, PC 9) and 'Complete any required documentation clearly and accurately' (Unit 29, PC 19 of both SVQs)
- ◆ Daily logs, reports and other documents produced and maintained by candidate: where a candidate is being assessed for Unit 3, PC 4 of Downstream Field Operations requires them to 'Carry out the handover with appropriate people at the designated time and location'. This would require written handovers to be produced in the form of daily or handover logs.
- ◆ Permit to Work documentation: where the standards call for the candidate to 'Follow the Permit to Work procedures' (Downstream Field Operations Mandatory Unit 9, PC 4), candidates may be involved in producing documents such as work permits, risk assessments and isolation certificates.

Using product evidence means that you do not have to observe the candidate throughout the entire operation, as you can inspect the 'products' provided as supporting evidence in the candidate's portfolio. You can supplement the assessment by asking questions, or requesting witness testimonies to support the documentary evidence. It is important that there is clear-cut evidence of authenticity of such products, and again witness testimonies can be used to prove authenticity.

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

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

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

### **Example 1 — Unit 4: Responding to Incidents, Hazardous Conditions and Emergencies in Downstream Operations**

This example would be applicable to a candidate working on the Downstream Field Operations where this Unit requires that candidates have a working knowledge and understanding of 'the implications of statutory (eg HASAWA and COSHH) and organisational and requirements' (PC 2) and 'how to interpret operational requirements (eg policies, procedures, instructions, codes of practice, standards, schedules' (PC 3). Some evidence of this knowledge may have been demonstrated during observations, but you may still need to ask some questions, such as:

- Q** If you were working with a hazardous substance, where would you be able to access information on how to deal with spills or treatment to be provided if someone has inhaled/ingested some of the substance?
- A** Control of Substances Hazardous to Health (COSHH) assessment sheets and/or Health and Safety Data Sheets for the particular substance.
- Q** What Standard Operating Procedures (SOP) would you access for information and guidance when isolating pressurised hydrocarbon systems?
- A** Candidate's response will be specific to their work location but he/she should be able to identify the title and reference number of the appropriate SOP. Examples could be:
- ◆ SOP 105 — Working with Pressurised Systems
  - ◆ SOP 106 — Safe isolation of Plant equipment

## **Example 2 — Unit 15: Managing the Response to Incidents, Hazardous Conditions and Emergencies in Downstream Operations**

This example would be applicable to a candidate working on the Downstream Control Room Operations where this Unit requires that candidates have a working knowledge and understanding of ‘taking the correct actions in accordance with procedures, to make the process safe’ (PC 9) and ‘the correct actions to be taken, in accordance with procedures, to deal with the incident’ (PC 10). Again, some evidence of this knowledge may have been demonstrated during observations of (simulated) exercises, but you might still need to ask some questions, such as:

- Q** If you are working in the Control Room and an alarm is activated indicating that there is a gas release in the gas compression area, where would you find information on the correct actions to be taken to deal with an incident and what action would you take?
- A** The answer to this question would be site-specific. However, an example would be to follow the procedures detailed in the ‘Emergency Response Plan’ or similar document that would normally be available in downstream operations facilities.

## 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.

In instances where it is not possible or practical for you to observe an activity, candidates can provide personal statements (activity reports) on how the task was carried out, describing what they did by referring to the standards of the Unit(s) covered. You could also use questions to support the statement where there are any gaps. Personal statements in this context should be a report on exactly how the candidates actually carried out the activity and not a theoretical statement on how they would carry out the activity.

Candidates should write personal statements in a way that makes it obvious which parts of the statement refer to which part of each Unit being covered. As an example, a candidate could write a personal statement on how they went about preparing equipment prior to carrying out a maintenance task (Downstream Field Operations Mandatory Unit 9). You could then assess the candidate carrying out the maintenance task (Downstream Field Operations Optional Unit 10) by observation and then assess the evidence provided by the candidate for Unit 9. This is also a good example of integrated assessment where evidence is provided that is applicable to other Units.

## 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 ↑ ↓ Weakest	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 L and D Units, 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.
	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 assessment plan provided earlier in this document, it was agreed that witness testimony would be provided as evidence for several PCs in Unit 14 of Downstream Control Room Operations. If we look specifically at Performance Criteria 10 'Work safely in accordance with operational requirements' you will note that this would be an ideal case for witness testimonies.

These testimonies would be provided by supervisors or colleagues who have worked with the candidate over a period of time. The testimonies could also be used to cover other Units incorporating similar Performance Criteria though they would need to be supplemented with other evidence, possibly including questioning, that was specific to the Unit being assessed.

As an assessor you may well have observed the candidate 'working safely' during observations, however the witness testimonies will support the fact that the candidate does this consistently.



## 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.

Cogent has defined what it regards as simulation, and has specified in the standards when simulation is and is not acceptable. The standards also state when candidates must demonstrate competence in the workplace.

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

The following Units are identified in the assessment strategy as being acceptable for simulation in a realistic working environment (RWE).

### Downstream Field Operations

- ◆ Unit 1: Contributing to the Safety of Downstream Operations
- ◆ Unit 4: Responding to Incidents, Hazardous Conditions and Emergencies in Downstream Operations

### Downstream Control Room Operations

- ◆ Unit 12: Maintaining the Safety of Downstream Operations
- ◆ Unit 15: Managing the Response to Incidents, Hazardous Conditions and Emergencies in Downstream Operations

The Assessment Strategy also states when candidates must demonstrate competence in the workplace.

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

Obvious examples of where simulation can be used for these SVQs are for Unit 4 which deals with *Responding to Incidents, Hazardous Conditions and Emergencies in Downstream Operations* and Unit 15 which deals with *Managing the Response to Incidents, Hazardous Conditions and Emergencies in Downstream Operations*. We cannot create a real emergency or hazardous condition for the purposes of assessment, but we can observe a candidate's performance during a simulated exercise. It is important that the simulated circumstances are as realistic as possible, and that the candidate is using equipment and facilities that replicate the workplace as closely as possible. The use of a purpose-built simulator in an off-site training facility would be considered appropriate for this type of assessment.

### **Example 1**

Where Unit 4 requires a candidate to ‘report incidents, hazardous conditions and emergencies’, this could be simulated by the assessor observing the candidate being fed appropriate inputs during a simulated exercise. The responses provided by the candidate can be assessed against the appropriate Performance Criteria.

### **Example 2**

Where Unit 15 requires a candidate to ‘take the correct actions in accordance with procedures, to deal with the incident, ’ this could be simulated by the assessor observing the candidate being fed appropriate inputs during a simulated exercise. The responses provided by the candidate can be assessed against the appropriate Performance Criteria.

### **Example 3**

An example for Unit 1: *Contributing to the Safety of Downstream Operations* requires a candidate to ‘take appropriate action on the identification of safety hazards’. This could also be simulated by the assessor observing the candidate being fed appropriate inputs during a simulated exercise. The responses provided by the candidate can then be assessed against the appropriate Performance Criteria.

### **Other sources of evidence**

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

SQA’s *Guide to Assessment* (see Section 5) has more advice on methods of assessment and how to ensure that your assessment is valid, reliable and practicable.

### 3 Generating evidence

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

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

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

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

## **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)** Downstream Field Operations  
Unit 9: Prepare for Maintenance in Downstream Operations

**Candidate** Andrew Taylor

**Evidence index number** 20

**Date of observation** 16 March 2013

Skills/activities observed	Performance Criteria covered
<p><b>Candidate preparing transfer pump for mechanical maintenance work</b></p> <p>The candidate was given written instructions from his Team Leader to prepare the pump for intrusive maintenance. He discussed a plan for the preparation work with another production operator, and clearly set out and prioritised the tasks to be carried out. Appropriate isolation certificates, operating procedures and isolation risk assessments were identified and implemented.</p> <p>As the PTW Isolating Authority for this task, the candidate isolated the pump using the standard isolation procedure for this equipment. The pump was depressurised and purged by the candidate as per the procedure. An isolation certificate was then issued to the PTW Issuing Authority.</p> <p>The candidate briefed the technician on the isolation performed and demonstrated that the pump was securely isolated, drained and hydrocarbon free. The contents of the risk assessment were also discussed, placing particular emphasis on the conditions and precautions to be taken by the work force. As the task involved the use of a grinder, this included erecting a 'habitat' around the pump to act as a barrier and screen to protect adjacent equipment and other personnel working in that area.</p> <p>The candidate confirmed that all work area preparations were completed properly and that it was tidy and free of hazards. He then informed the PTW Issuing Authority that all PTW conditions were being applied and that the PTW could be issued.</p> <p>The candidate worked safely throughout this activity and followed the appropriate procedures diligently.</p>	<p>1</p> <p>4, 6</p> <p>2</p> <p>3</p> <p>5</p> <p>7, 8, 9</p> <p>9, 11, 12</p> <p>16</p>

**Knowledge and Understanding apparent from this observation**

The candidate's knowledge of the Permit to Work (PTW) procedures and Standard Operating Procedures (SOP) was apparent from the way that he used them. Evidence of the candidate's Knowledge and Understanding of items 1, 2, 3, 4, 5, 6, 7, 8, 9, 11, 15, 16, 19, 20, 21, 23 were observed during this activity.

**Other Units/Elements to which this evidence may contribute**

Units 1 and 29

**Assessor's comments and feedback to candidate**

Sufficient performance evidence was provided during this observation to meet only the Performance Criteria listed. As this is a long duration task, PCs 13, 14, and 15 will be covered at a later date when the maintenance work is completed. PC 10 will be covered during a Q&A session.

Although a lot of knowledge evidence was demonstrated during this observation, it will be necessary to conduct a questioning session to obtain further knowledge evidence for items 10, 12, 13, 14, 17, 18, 22.

I can confirm the candidate's performance was satisfactory.

**Assessor's signature** David Grayson                      **Date** 16 March 2013

**Candidate's signature** Andrew Taylor                      **Date** 16 March 2013

## **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

<b>Unit</b>	Downstream Field Operations
<b>Element(s)</b>	Unit 9 — Prepare for Maintenance in Downstream Operations
<b>Evidence index number</b>	21
<b>Circumstances of assessment</b>	
Candidate was observed preparing a transfer pump for maintenance; however evidence was not demonstrated for all PCs or all K&U requirements for this Unit. The following questions were utilised to allow the candidate to demonstrate competence.	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	Provide two examples of where adverse changes in conditions would require you to cancel the work permit. (PC 10)
<b>A</b>	1 — Where there is a change to work scope stated on the permit such as introducing hot work where a cold work permit has been issued. 2 — If the duration of the task exceeded the maximum permissible for the isolation standard applied, then the permit would be cancelled to allow a higher standard of isolation to be applied.
<b>Q</b>	Give two examples of abnormal occurrences that could arise during isolation, draining, purging, flushing and venting, and explain how you would deal with them. (K&U 10)
<b>A</b>	1 — An isolation valve could be found to be passing whilst carrying out a pressure build up test. It would be necessary to identify another isolation point to ensure a safe isolation was implemented. 2 — A drain line from the pump could be blocked therefore an alternative temporary safe method of draining the pump and conducting flushing operations would be identified.
<b>Q</b>	Give two examples of where would you source information on the operating principals, conditions and parameters of process equipment. (K&U 12, 13, 14)
<b>A</b>	The Operations and Training Manuals and Operating Procedures for the specific equipment.
<b>Q</b>	Give two implications of commencing work in an area that is not prepared. (K&U 18)
<b>A</b>	1 — A pump may not be properly isolated prior to maintenance work commencing leading to an unplanned hydrocarbon release. 2 — Personnel may be at risk if the work area is not barriered off where the work activity includes pressure testing operations.

**Assessor's signature** David Grayson **Date** 17 March 2013

**Candidate's signature** Andrew Taylor **Date** 17 March 2013



## **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.

The following example illustrates a personal statement that would apply to Unit 10 of the Downstream Field Operations SVQ.

## Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
14/01/13	22	<p>This statement provides evidence of my competence in 'Carrying Out Maintenance Within Agreed Scope of Authority in Downstream Operations'. This was achieved by carrying out the task of adjusting speed control on an emergency generator diesel engine after having observed during a routine test run that there was a fault.</p> <p>I carried out a task risk assessment which was reviewed by the Issuing Authority following discussions with myself. He then issued me with a work permit prior to commencing the task confirming that this work would not impact on production.</p> <p>I obtained specifications from the vendor's maintenance manual for this engine to ensure that I had the correct information, tools and settings for this task.</p>	<p>23 (Risk assessment)</p> <p>24 (Work permit)</p> <p>25 (Page from vendor's manual)</p> <p>26 (Job Card)</p> <p>25 (Page from vendor's manual)</p>	<p>Unit 10</p> <p>PC 1</p> <p>PC 2</p> <p>PC 5 and 9</p> <p>PC 6</p> <p>PC 8</p> <p>PC 4 and 7</p> <p>PC 5, 7 and 8</p>

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
		<p>I discussed the scope of work for this task with my Supervisor to confirm that it only required that I check the speed control mechanism and adjust it as necessary as I was not yet competent to carry out any intrusive maintenance work on the engine. I started the engine and allowed it to run for five minutes before checking the idling speed as per the vendor's manual instructions. As the speed was about 100 rpm faster than the recommended 1,000 rpm, I adjusted the throttle control mechanism until the speed was at the correct rpm. I allowed the engine to run for another five minutes before checking the speed to ensure that the adjustment was correct.</p> <p>During this period, the speed crept back up to the original 1,100 rpm, therefore I attempted to adjust the throttle mechanism once again.</p>	<p>27 (Copy of maintenance history report) 28 (Copy of daily log)</p>	<p>PC 1 and 3</p> <p>PC 9, 10 and 11</p>

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
		<p>During this operation I noticed that the threads on the adjusting screw were worn and this was the likely reason that the adjustment could not be maintained. I replaced the adjusting screw, adjusted the speed to 1,000 rpm and observed that it maintained this speed over the 5 minute test duration.</p> <p>Having successfully completed this task, I then recorded my findings and test results in the maintenance history records and the mechanical daily log, making mention of the fact that the adjusting screw was replaced.</p>		

Candidate's signature Andrew Taylor

Date 14 Jan 2015

## **Witness testimony**

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

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

## Witness testimony

<b>SVQ title and level</b>	SVQ3 Downstream Control Room Operations SCQF level 6
<b>Candidate's name</b>	Martin Hill
<b>Evidence index no</b>	29
<b>Index no of other evidence which this testimony relates to (if any)</b>	25 (Copy of daily log)
<b>Element(s)</b>	Unit 29: Work Effectively in a Team in Downstream Operations
<b>Date of evidence</b>	15 March 2013
<b>Name of witness</b>	Bill Hamilton
<b>Designation/relationship to candidate</b>	Shift Supervisor
<b>Details of testimony</b>	
<p>I have worked with Martin as his shift supervisor for over three years, and can testify to all the following statements.</p> <p>I have always found Martin to be a conscientious worker who regularly consults me and his colleagues prior to commencing and during any activities he carries out. He also ensures that other team members are kept informed about work plans or activities which affect them. (PC 1–5)</p> <p>Martin has regularly demonstrated his ability to deal promptly with any problems that arise, within his area of responsibility. Where problems arise that he cannot solve or are out with his responsibility, he always inform the appropriate person/s. (PC 6 and 7).</p> <p>Martin follows safe working procedures at all times, utilising and completing appropriate documentation such as PTW documents clearly and accurately. (PC 8 and 10)</p> <p>Martin is a good timekeeper and carries out his duties within agreed time schedules. (PC 9)</p> <p>Martin demonstrates knowledge of PPE and safety equipment by regularly ensuring that he and others use them as appropriate. (K&amp;U 1)</p> <p>Martin demonstrates knowledge of appropriate statutory and organisational requirements such as COSHH and Standard Operating Procedures by referring to them during his work. (K&amp;U 2)</p>	

I can confirm the candidate's performance was satisfactory.

**Witness's signature** Bill Hamilton **Date** 15 March 2013

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

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

## Filling the gaps

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

In this SVQ, such gaps are likely to occur in generating evidence for:

- ◆ Unit 4: Responding to Incidents, Hazardous Conditions and Emergencies in Downstream Operations
- ◆ Taking appropriate action on the identification of safety hazards (PC 1, in Unit 1)

You may be able to overcome these by:

- ◆ Simulation as described in examples given in an earlier section of these guidelines.
- ◆ Q&A session asking the candidate to provide appropriate responses to examples of potential safety hazards you provide.

## Guidance and support to candidates

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

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

## Judging candidate evidence and making an assessment decision

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

Evidence must:

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



## **Insufficient evidence**

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

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

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

## **Authenticating candidates' evidence**

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

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

### **Example**

If your candidate has provided copies of daily logs and maintenance records that have been produced on a computer, then you would request that these documents are countersigned by an appropriate person stating that these documents are attributable to the candidate. Such persons would normally be the candidates team leader/supervisor or similar.

## 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 SVQ 3 Downstream Control Room Operations

Candidate Martin Hill

To achieve the whole qualification, you must prove competence in 10 Units.

### Unit checklist

<b>Mandatory</b>	12	13	14	15	30	29	16	8	17	18
<b>Optional</b>										

### Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
Unit 12	Maintaining the Safety of Downstream Operations	<i>David Grayson</i>	21 March 2013
Unit 13	Commissioning Downstream Operations	<i>David Grayson</i>	18 December 2010
Unit 14	Controlling Process Operations in Downstream Operations	<i>David Grayson</i>	02 November 2010
Unit 15	Managing the Response to Incidents, Hazardous Conditions and Emergencies in Downstream Operations	<i>David Grayson</i>	27 February 2013
Unit 30	Control Room Operations in Downstream Operations	<i>David Grayson</i>	18 March 2013
Unit 29	Work Effectively in a Team in Downstream Operations	<i>David Grayson</i>	17 March 2013
Unit 16	Managing Process Condition Information in Downstream Operations	<i>David Grayson</i>	15 January 2013

## Using the index of evidence

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

The index of evidence should be completed by entering:

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

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

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

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

## Index of evidence

SVQ title and level		SVQ3 Downstream Field Operations	
Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
20	Observation record for Unit 9. Also contributes to Units 1 and 29	Yes	RG 30/03/11
21	Questionnaire for Unit 9	Yes	RG 30/03/11
22	Personal statement for Unit 10	Yes	RG 30/03/11
23	Risk assessment for Unit 10	Yes	RG 30/03/11
24	Permit to work for Unit 10	Yes	RG 30/03/11
25	Extract from Weir's Pumps vendor manual for Unit 10	Yes	RG 30/03/11
26	Job card for Unit 10	Yes	RG 30/03/11
27	Maintenance history report for Unit 10	Yes	RG 30/03/11
28	Copy of maintenance daily log for 14 Jan 2012 for Unit 10	Yes	RG 30/03/11
29	Witness testimony for Unit 29	Yes	RG 30/03/11

## **Completing the Element achievement record**

To help you and your candidates cross-reference the evidence to the standards of the SVQs, we have provided records similar to those produced in the SQA portfolio. Use one record for each Element. The grids should be completed by:

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

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

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

**Element achievement record**

**Unit** 10 — Carrying Out Maintenance Within Agreed Scope of Authority in Downstream Operations

Evidence index no	Description of evidence	PC/performance statements										
		1	2	3	4	5	6	7	8	9	10	11
22	Personal statement	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
23	Risk assessment					✓				✓		
24	Permit to work						✓					
25	Extract from vendor manual					✓		✓	✓			
26	Job card				✓			✓				
27	Maintenance history report									✓	✓	✓
28	Daily log 14/01/10									✓	✓	✓
29	Witness testimony											



**Element achievement record**

**Unit** 10 — Carrying Out Maintenance Within Agreed Scope of Authority in Downstream Operations

Evidence index no	Description of evidence	Areas of Knowledge and Understanding/scope												
		1	2	3	4	5	6	7	8	9	10	11	12	13
22	Personal statement			✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
23	Risk assessment							✓						✓
24	Permit to work							✓						✓
25	Extract from vendor manual									✓				
26	Job card											✓		
27	Maintenance history report								✓					
28	Daily log 14/01/10								✓					
29	Witness testimony	✓	✓											

**Unit** 10 — Carrying Out Maintenance Within Agreed Scope of Authority in Downstream Operations

**Notes/comments**

Some of the evidence provided for this Unit has been used for Units 1 and 29.

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

<b>Candidate's signature</b>	<u>Andrew Taylor</u>	<b>Date</b>	<u>15 January 2013</u>
<b>Assessor's signature</b>	<u>David Grayson</u>	<b>Date</b>	<u>15 January 2013</u>
<b>Internal verifier's signature</b>	<u>Roland Graham</u>	<b>Date</b>	<u>31 March 2013</u>

# 5 Further information

## What else should I read?

The publications listed here provide additional information on how to implement SVQs. Details of these and other SQA publications are available on our website at **www.sqa.org.uk** on the 'Publications, Sales and Downloads' section. They can be ordered from SQA's Business Development and Customer Support Team — telephone 0303 333 0330. Please note that there may be a charge for some of these publications.

*Assessor/Verifier Units: assessment guidance*

*External Verification: A Guide for Centres*

*Guide to Assessment*

*Introduction to Assessment Arrangements for Schools and Colleges*

*SQA's Quality Framework: a guide for centres*

*Operational Help Centre*

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

# **Appendix 1: Blank recording forms**

## Unit progress record

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

Candidate \_\_\_\_\_

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

### Unit checklist

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

### Mandatory Units achieved

Unit number	Title	Assessor's signature	Date

### Optional Units achieved

Unit number	Title	Assessor's signature	Date





**Unit**

**Notes/comments**

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

**Candidate's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**Assessor's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**Internal verifier's signature** \_\_\_\_\_

**Date** \_\_\_\_\_



## Assessment plan

Units					
Elements					
Activities	Performance Criteria (PC)	Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (Performance Criteria and Range)
Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review					

Assessor's signature \_\_\_\_\_

1st review due \_\_\_\_\_

Candidate's signature \_\_\_\_\_

2nd review due \_\_\_\_\_

Date of agreement \_\_\_\_\_

Date of completion \_\_\_\_\_

**Personal statement**

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered

Candidate's signature \_\_\_\_\_

Date \_\_\_\_\_

**Observation record**

**Unit/Element(s)** \_\_\_\_\_

**Candidate** \_\_\_\_\_

**Evidence index number** \_\_\_\_\_

**Date of observation** \_\_\_\_\_

<b>Skills/activities observed</b>	<b>Performance Criteria covered</b>

**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

<b>SVQ title and level</b>	
<b>Candidate's name</b>	
<b>Evidence index no</b>	
<b>Index no of other evidence which this testimony relates to (if any)</b>	
<b>Element(s)</b>	
<b>Date of evidence</b>	
<b>Name of witness</b>	
<b>Designation/relationship to candidate</b>	
<b>Details of testimony</b>	

I can confirm the candidate's performance was satisfactory.

**Witness signature** \_\_\_\_\_ **Date** \_\_\_\_\_

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

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

**Record of questions and candidate's answers**

<b>Unit</b>	
<b>Element(s)</b>	
<b>Evidence index number</b>	
<b>Circumstances of assessment</b>	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	

**Assessor's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Candidate's signature** \_\_\_\_\_ **Date** \_\_\_\_\_