Assessor's Guidelines for:
SVQ3 Controlling Lifting Operations (Construction): Supervising Lifts SCQF level 7
SVQ4 Controlling Lifting Operations (Construction): Planning Lifts SCQF level 8

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About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ3 and 4 Controlling Lifting Operations (Construction) SCQF levels 7 and 8**. 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

SVQ1 (SCQF level 4)	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.
SVQ2 (SCQF level 5)	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.
SVQ3 (either SCQF level 6 or 7)	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.
SVQ4 (either SCQF level 8 or 9)	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.
SVQ5 (SCQF level 11)	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.

For further information on SCQF go to **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 **component parts**:

- Unit title
- Unit number
- Description of what the Unit is about
- Performance Criteria
- Scope (range) of performance
- Knowledge and understanding related to Performance Criteria
- Scope of knowledge and understanding

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

Scope (range) of performance lists the breadth of performance the candidate has to be competent in.

Knowledge and understanding relating to Performance Criteria lists what candidates must know and understand in relation to the performance criteria.

Scope of knowledge and understanding lists the breadth of knowledge and understanding evidence requirements in relation to the occupational area being assessed.

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**.

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

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 and 4 in Controlling Lifting Operations (Construction) SCQF level 7 and 8

The SVQs in Controlling Lifting Operations (Construction) have been developed by ConstructionSkills and are intended for people in Plant Operations of the Construction Industry or related sectors.

These people may be working in one of the following roles: appointed person, lift supervisor or slinger/signaller. They will require skills and knowledge in one or more of the following areas:

SVQ3 Controlling Lifting Operations (Construction): Supervising Lifts SCQF level 7

- Develop and Maintain Good Working Relationships
- Supervise Lifting Activities
- Maintain Systems for Health, Safety, Welfare and Environmental Protection
- Co-ordinate Work Control
- Allocate and Monitor the Use of Plant, Equipment or Machinery
- Maintain the Dimensional Accuracy of the Work
- Co-ordinate Preparation for Site Operations
- Allocate Work and Check People's Performance

SVQ4 Controlling Lifting Operations (Construction): Planning Lifts SCQF level 8

- Develop and Maintain Good Working Relationships
- Plan Lifting Activities
- Plan and Establish Health, Safety, Welfare and Environmental Systems for Lifting Operations
- Plan Work Activities and Resources to Meet Work Requirements
- Evaluate and Select Work Methods
- Plan the Preparation of the Site for the Project
- Identify, Allocate and Plan the Deployment and Use of Plant, Equipment or Machinery

They will also be required to work within site timescales, work safely at all times, work in an organised and effective manner, and in general conduct themselves in an appropriate manner during a variety of working situations.

The qualifications are designed to be assessed in the workplace, or in conditions similar to those of the workplace. Examples of the settings or in which the SVQs are likely to be delivered include: general construction sites, civil engineering sites, on or near the public highway, employers premises/distribution depots.

Structure of the SVQs

This section lists the Units which form the SVQs in Controlling Lifting Operations (Construction) at levels 3 and 4.

SVQ3 Controlling Lifting Operations (Construction): Supervising Lifts SCQF level 7 (GC71 23)

Mandatory Units — All Units to be completed

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F7AA 04	8	8	VR 210	Develop and Maintain Good Working Relationships
FN32 04	6	12	VR 531	Supervising Lifting Activities
FN2R 04	7	8	VR 700	Maintain Systems for Health, Safety, Welfare and Environmental Protection
FN2L 04	7	12	VR 703	Co-ordinate Work Control
FN2F 04	7	9	VR 705	Allocate and Monitor the use of Plant, Equipment or Machinery
FN2T 04	6	8	VR 708	Maintain the Dimensional Accuracy of the Work
FN2K 04	6	8	VR 711	Co-ordinate Preparation for Site Operations
FN2G 04	8	9	VR 713	Allocate Work and Check People's Performance

SVQ4 Controlling Lifting Operations (Construction): Planning Lifts SCQF level 8 (GH0K 24)

Mandatory Units — All Units to be completed

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F7AA 04	8	8	VR 210	Develop and Maintain Good Working Relationships
FN2X 04	8	22	VR 529	Plan Lifting Activities
FN2W 04	7	17	VR 530	Plan and Establish Health, Safety, Welfare and Environmental Systems of Lifting Operations
FN30 04	7	12	VR 702	Plan Work Activities and Resources to Meet Work Requirements
FN2M 04	9	11	VR 728	Evaluate and Select Work Methods
FN2Y 04	9	11	VR 729	Plan the Preparation of the Site for the Project
FN2P 04	8	9	VR 732	Identify, Allocate and Plan the Deployment and Use of Plant, Equipment or Machinery

An Assessment Strategy for the SVQ

As part of their review of the SVQ(s), the standards-setting body 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**), 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 carries out this matching process, but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

New entrants

Candidates that follow this path should be advised to undertake a formal training course and assessment for whichever route they choose to follow. This will lead to them being able to gain an industrial recognised skills card, either CPCS or NPORS depending on which course they take.

Example

Eric has been working in the construction industry as a slinger/signaller. He wished for a change in career so he approached his employer with the view to becoming an appointed person/lift supervisor. His employer agreed to this and contacted a training provider who booked him on the next available course.

The training centre then trained him, and on successfully completing the course he was awarded an industry recognised qualification for the route he was trained in, ie CPCS or NPORS. Once the course was completed he was advised by the centre on the procedure for moving on with his full SVQ3 Controlling Lifting Operations (Construction): Supervising Lifts SCQF level 7.

He was advised that the main source of his evidence would be work-based so he should gain as much experience as possible, and that he should record this in a log book which he should get countersigned by his employer on the site on which he was working.

He was also advised that he should keep other documents that could be used as evidence such as:

- Method statements/Risk assessments
- E-mails/letters
- Site visit reports
- Photographs

During his qualification induction Eric’s assessor then advised him that he would be in touch over the next few months to arrange suitable times to visit him on site so that he could directly observe him carrying out his role in the workplace and to go over the evidence he had gathered up to the date of the visit. He explained that these reports would provide the primary evidence required for the completion of his portfolio of evidence.

Experienced operators

Experienced slinger/signallers now have a choice on how they wish to gain an SVQ. They can follow the same route as the new entrant or they can follow a new assessment methodology which is available for assessing experienced operators — it is called the experienced worker practical assessment route. This route is only available to candidates who have more than two years experience in the role of a slinger/signaller within the Construction Industry. More details on this route are available from participating centres.

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 A/V 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 Units VR 641 Conform to General Workplace Health, Safety and Welfare, VR 210 Develop and Maintain Good Working Relationships and VR 531 Supervising Lifting Activities.

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	VR 641 Conform to General Workplace Health, Safety and Welfare, VR 210 Develop and Maintain Good Working Relationships and VR 531 Supervise Lifting Activities.				
Elements					
Activities	**Performance Criteria (PC)**	**Method of assessment/ Sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units (PC and range)**
The plan is to observe Harry carrying out the following tasks: ♦ Being given a site induction ♦ Giving a toolbox talk ♦ Supervising the lifting operation	VR 641, VR 210 and VR 531	Direct observation Photographs Oral questioning Professional discussion	23 Feb 2011		VR 572, VR 529 and VR 703
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review	VR 641, VR 210 and VR 531	Written and oral questions Professional discussion	To be arranged		

Assessor's signature	*Fred Hargreaves*	**1st review due**	*23 Feb 2011*
Candidate's signature	*Harry Smith*	**2nd review due**	*13 March 2011*
Date of agreement	*22 Feb 2011*	**Date of completion**	

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:

- The candidate will feel at ease in his or her own working environment.
- He or she will be able to work at a pace they are accustomed to.
- He or she will be more familiar with the equipment they are operating.
- The workplace will feel less of a formal assessment environment.

The challenges might be:

- The candidate may slip into too much of a relaxed frame of mind due to the familiarity of the workplace.
- Being able to arrange suitable times to suit both assessor and candidate.
- The pressure of work schedules making access to the candidate for the assessor very difficult.

Example

You may have agreed with the candidate to carry out an observation as and when the situation arises.

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, but it is difficult to directly observe an appointed person making method statements and risk assessments so product evidence will be more appropriate, but you can directly observe them giving a toolbox talk to all the personnel involved with the lifting operation. 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.

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:

- Method statements and risk assessments written for a specific job
- E-mails from clients relating to planning
- Plant request forms
- Plant and equipment register
- Progress/feedback reports
- Written contingency plan
- Site survey reports

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 or PC. 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.

Question: What minimum information should be found on a correctly marked lifting accessory?

Answer: The SWL an ID number and configuration of use.
(VR 572, PC 4)

Question: Give examples to where you have developed, and fostered working relationships which have promoted goodwill and trust, who were they with and what format did they take?

Answer: To promote goodwill and trust you must be able to keep promises, have honest relationships and constructive relationships.
With colleagues, employers, clients, customers, suppliers, customers and all those affected by the work/project.
(VR 210, PC 1)

Question: Describe how you would observe current legislation and official guidance appropriate to the work environment?

Answer: By protecting the workforce, the general public and the environment by following the method statement, risk assessment or current regulations.
(VR 531, PC 2)

Other methods of assessment

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

Personal statements

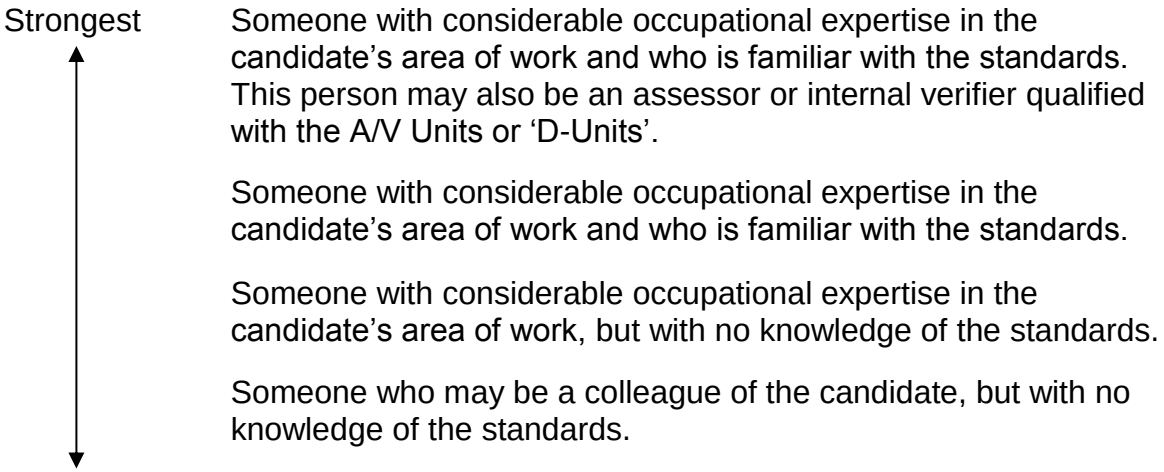
You might sometimes find it helpful to ask a candidate to give an account of why they did an activity in a certain way or how they produced a product of their work. This is often referred to as a *personal statement*. You should take care to ensure that by asking candidates to produce such statements, 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.

As some aspects of lifting operations are practical a personnel statement may not be appropriate as evidence, so the gaps in the evidence can be achieved by oral questioning.

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.



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.

Example

In Unit VR 641 Conform to General Workplace Health, Safety and Welfare, candidates are required to comply with all appropriate workplace safety legislation at all times. A witness testimony or statement by the candidate's supervisor or manager would be very useful as it details the candidate's ability to conform to legislation within the workplace.

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.

ConstructionSkills 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**.

Example

In Unit VR 641 Conform to General Workplace Health, Safety and Welfare, PC 4 requires the candidate to comply with organisational procedures in case of fire or accident. Simulation is an acceptable method of assessment for these activities.

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)	VR 641, VR 572, VR 573, VR 574
Candidate	Harry Smith (slinger/signaller)
Evidence index number	12
Date of observation	25 Feb 2011

Skills/activities observed	**Performance Criteria covered**
Harry arrived on site where he was going to be employed as a slinger/signaller, he signed in at the gatehouse where he met with the client. Harry was then given a site induction, he then read the method statement which he signed and dated. He was then given a toolbox talk, he then met the crane operator and second slinger/signaller. The hand signals were then discussed and agreed with the crane operator. Wearing the correct PPE, Harry along with the second slinger/signaller (Jack) helped the crane operator position and set up the crane. Harry then climbed to the top of the scaffolding and positioned himself so that the crane operator could see him, the second slinger/signaller then attached the slings to the load and made sure that the load was secure, he then gave control of the lift to Harry. Harry then signalled the crane to slew to where the load was required to go, he then lowered the load to its final position. Jack then unattached the slings and signalled the crane to move away ready for the next load. Harry then climbed down the scaffolding to help with the slinging of the next load. Once the slings were attached and the stability of the load was checked, Jack then transferred the load to Harry. Once the lifts were completed Harry and the second slinger/signaller unattached the slings from the crane hook and stowed them away in the correct way. Harry then signed all the relevant paperwork and left the site in a clean and tidy manner. Harry then returned to his depot and handed in all the relevant paperwork.	VR 641 PC 1, 2, 3 and 4 VR 572 PC 1, 2, 3, 4, 5, 6, 7 and 8 VR 573 PC 1, 2, 3, 4, 5 and 6 VR 574 PC 1, 2, 3, 4, 5, 6 and 7

Knowledge and understanding apparent from this observation

Harry showed a very high level of skill and understanding in today's operation. He proved a good level of health and safety awareness in today's operation.

Other Units/Elements to which this evidence may contribute

VR 643 Move, Handle or Store Resources

Assessor's comments and feedback to candidate

Harry showed good communication skills when he was working with the second slinger/signaller and the crane operator.

I can confirm the candidate's performance was satisfactory.

Assessor's signature Fred Hargreaves **Date** 25 Feb 2011

Candidate's signature Harry Smith **Date** 25 Feb 2011

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	VR 573 Attach and Prepare Suspended Loads for Movement
Element(s)	
Evidence index number	12
Circumstances of assessment	
Following the recent observation of the candidate's performance the following questions were asked to cover the scope of Knowledge and Understanding not covered in the observation.	
List of questions and candidate's responses	
Q	Give three reasons why waste materials should be disposed of in a safe manner.
A	To reduce pollution. To ensure safety of personnel. To comply with legislation.
Q	What is the purpose of the accident book (or equivalent).
A	To record the events of, and leading up to, an accident or near miss.
Q	What is meant by the term 'proximity hazards' and give at least three examples.
A	These are any hazards within the working area such as other activities, underground and overhead obstructions, etc.
Q	Where can the information for the use of lifting accessories or securing equipment be found.
A	On the test certificate, manufacturers chart or marked on the accessory.
Q	Give two examples of poor handling or storage that could render lifting accessories or securing equipment unserviceable.
A	Dragging along the floor. Pulling loads. Bad storage techniques (damp areas, direct sunlight, rapid changes in temperature).

Assessor's signature Fred Hargreaves **Date** 22 March 2011

Candidate's signature Harry smith **Date** 22 March 2011

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, Performance Criteria, Performance statements, scope covered
16/02/11	8	Three weeks ago I was informed by my line manager that I would be required to do a site reconnasiance for a lifting operation. Having gathered all the relevant information about the client's requirements I proceeded to the site, where I met with the site agent, putting on the correct PPE I went on to the site to survey the lifting area. Once I had gathered all the information that was required I returned to the office to start the planning of the lifting operation. On completion of my plan I submitted it to the site staff for approval. Last week I was given the all clear on my plan and I returned to the site where I briefed the crane supervisor, crane operator and the two slingers who were involved in the operation. I then oversaw the operation which was a complete success.	Witness testimony by Darren Hayes (Evidence no 9)	VR 210 PC 1, 2, 3 and 4 VR 529 PC 1, 2 and 6 VR 728 PC 1, 2 and 4

Candidate's signature Nigel Jones **Date** 16 Feb 2011

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

SVQ title and level	SVQ3 Controlling Lifting Operations (Construction): Supervising Lifts SCQF level 7
Candidate's name	Nigel Jones
Evidence index no	9
Index no of other evidence which this testimony relates to (if any)	
Element(s)	VR 210, PC 1, 2, 3 and 4 VR 529, PC 1, 2 and 6 VR 728, PC 1, 2 and 4
Date of evidence	16 February 2011
Name of witness	Darren Hayes
Designation/relationship to candidate	Line Manager

Details of testimony

Nigel has worked with the company for 11 years and has been directly under my control for the last five years as an appointed person lifting operator, where he has overseen and planned all the company's lifting operations from single lifts to more complex ones that involve more than one crane. In total this will be over 60 lifting operations.

Nigel is a valuable asset to the company who we would find very hard to replace due to his meticulous approach to work, his expertise and professionalism.

I can confirm the candidate's performance was satisfactory.

Witness's signature *Darren Hayes* **Date** *16/02/11*

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

☐ Holds 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:

- VR 641 Conform to General Working Health, Safety and Welfare

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

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

Authentication will be required when a candidate has produced a piece of evidence that could have been produced by someone else. This may be photographic evidence where it may be difficult to identify the candidate in the scene. It will also be required when in-house training certificates may be used as they do not need to be registered with an awarding body.

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.

The sample forms in this document are good examples of the type of documentation that should be used to record candidates evidence but they are not compulsory. However if you choose to use your own recording material then this has to be approved by SQA at your approval visit.

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 SVQ4 Controlling Lifting Operations (Construction): Planning Lifts SCQF level 8

Candidate Nigel Jones

To achieve the whole qualification, you must prove competence in seven **mandatory** Units and no **optional** Units.

Unit checklist

Mandatory	VR210	VR529	VR530	VR702	VR728	VR729	VR731

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
VR 210	Develop and Maintain Good Working Relationships	*Fred Hargreaves*	*18/03/11*
VR 529	Plan Lifting Activities	*Fred Hargreaves*	*25/03/11*
VR 530	Plan and Establish Health, Safety, Welfare and Environmental Systems of Lifting Operations	*Fred Hargreaves*	*01/04/11*
VR 702	Plan Work Activities and Resources to Meet Work Requirements	*Fred Hargreaves*	*08/04/11*
VR 728	Evaluate and Select Work Methods	*Fred Hargreaves*	*15/04/11*
VR 729	Plan the Preparation of the Site for the Project	*Fred Hargreaves*	*22/04/11*
VR 732	Identify, Allocate and Plan the Deployment and Use of Plant, Equipment or Machinery	*Fred Hargreaves*	*20/03/11*

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	SVQ4 Controlling Lifting Operations (Construction): Planning Lifts SCQF level 8

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
01	E-mails/letters/fax's relating to the lifting operation	Yes	LT 04/01/2011
02	Method statements/Lifting plans	Yes	LT 10/01/2011
03	Risk assessments	Yes	LT 15/01/2011
04	CPCS certification of operators	Yes	LT 15/01/2011
05	Programme/Schedule of works	Yes	LT 16/01/2011
06	Sourced lifting operations info	Yes	LT 02/02/2011
07	Contingency plan	Yes	LT 08/02/2011
08	Toolbox talk	Yes	LT 16/02/2011
09	Site induction	Yes	LT 16/02/2011
10	Video/Photographic evidence of personal protective equipment and resources	Yes	LT 19/02/2011
11	Video/Photographic evidence of the lifting operation	Yes	LT 20/02/2011
12	Video/Photographic evidence of use and storage of plant, equipment and materials	Yes	LT 21/02/2011
13	Test certification and examination of lifting equipment	Yes	LT 23/02/2011
14	Site signage	Yes	LT 29/02/2011
15	Progress/Feedback report on the lifting operation	Yes	LT 29/02/2011
16	Plant request form	Yes	LT 05/03/2011

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
17	Plant and equipment register	Yes	LT 07/03/2011
18	Traffic and people management plan	Yes	LT 07/03/2011
19	Project data	Yes	LT 09/03/2011
20	Lifting plant specification	Yes	LT 12/03/2011
21	Training records	Yes	LT 12/03/2011
22	VR 210 — Audio interview	Yes	LT 14/03/2011
23	VR 529 — Audio interview	Yes	LT 15/03/2011
24	VR 530 — Audio interview	Yes	LT 15/03/2011
25	VR 702 — Audio interview	Yes	LT 17/03/2011
26	VR 728 — Audio interview	Yes	LT 17/03/2011
27	VR 729 — Audio interview	Yes	LT 24/03/2011
28	VR 731 — Audio interview	Yes	LT 27/03/2011

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 Performance Criteria 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 VR 573 Attach and Prepare Suspended Loads for Movement

Evidence index no	Description of evidence	PC/performance statements						Areas of Knowledge and Understanding/scope														
		1	2	3	4	5	6	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1	Observation report	✓	✓	✓	✓	✓	✓	✓				✓	✓	✓	✓	✓	✓	✓		✓	✓	✓
2	Written questions								✓	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	

Scope of Knowledge and Understanding

1	Communication	2	Disposal of Waste	3	Emergencies	4	Hazards	5	Information
6	Legislation	7	Maintenance	8	Methods of work	9	PPE	10	Problems
11	Programme	12	Protect work	13	Resources	14	Security procedures	15	Skills

Unit VR 573 Attach and prepare suspended loads for movement

Notes/Comments

Harry carried out a multitude of tasks, he showed professionalism and skill in all the tasks he performed, he also showed very good communication skills between different tradesmen.

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

Candidate's signature	Harry Smith	**Date**	23 Feb 2011
Assessor's signature	Fred Hargreaves	**Date**	23 Feb 2011
Internal verifier's signature	Liam Turner	**Date**	12 March 2011

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

Mandatory									
Optional									

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date

Optional Units achieved

Unit number	Title	Assessor's signature	Date

Index of evidence

SVQ title and level	

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)

Element achievement record

Unit

Element

Evidence index no	Description of evidence	PC/performance statements						Areas of Knowledge and Understanding/scope													

Unit

Element

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 _____

Skills/activities observed	**Performance Criteria 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 performance was satisfactory.

Witness's signature _____ **Date** _____

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

☐ Holds 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

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

Assessor's signature _____ **Date** _____

Candidate's signature _____ **Date** _____