



# **Assessor's Guidelines for the SVQ 4 in Care Services Leadership and Management SCQF level 10 (GJ9V 24)**

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# About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ 4 in Care Services Leadership and Management SCQF level 10**. 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.

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, candidates 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 for Care SVQs

<b>SVQ2 (SCQF level 6)</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 (SCQF level 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 9 or 10)</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.

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. *(Some SVQs break units down into elements).*

**Units consist of Performance Criteria which** describe the activities which employees have to perform, and will require candidates to demonstrate certain skills or Knowledge and Understanding.

They define the quality of performance in what people must be able to do — how well they have to perform. *(In some SVQs 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.

**For this particular SVQ Care Services Leadership and Management you will see Units broken down into Performance Criteria and Knowledge and Understanding. Scope is also mentioned as a guide but it is not a requirement that you provide evidence across the scope.**

## 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 a workplace supervisor)
- ◆ **the internal verifier\*** an individual nominated by the centre (the college/employer/training provider delivering the SVQ) 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 and the relevant parts of the Assessment Strategy can be found in the SQA Care section (<http://www.sqa.org.uk/sqa/45285.2893.html>) on SQA's website ([www.sqa.org.uk](http://www.sqa.org.uk)). Both SQA and centres must comply with these requirements.

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 SVQ 4 Care Services Leadership and Management SCQF level 10

The SVQ in **Care Services Leadership and Management** have been developed by Skills for Care and Development (SCD). The Scottish Social Services Council work in partnership with SCD and the qualification is intended for people in management roles within the social services and healthcare sectors.

These people may be working as, eg a manager of a care home service for adults, a manager of a residential childcare service or a manager of a housing support service. They will require skills and knowledge in leading and managing teams of staff in regulated settings to ensure vulnerable adults and children are safeguarded against harm and abuse and that a quality service is provided for individuals using those services.

The SVQ is designed to be assessed in the workplace, or in conditions of the workplace. Examples of the setting in which this SVQ is likely to be delivered include residential childcare settings, housing support services, care homes for adults.

## Structure of the SVQ

This section lists the Units which form the SVQ in **Care Services Leadership and Management**. To complete the whole qualification, candidates must complete 8 Units in total, comprising 4 mandatory Units and 4 optional Units.

### SVQ 4 Care Services Leadership and Management SCQF level 10 (GJ9V 24)

#### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H7LG 04	10	10	SCDLMC A1	Manage and Develop Yourself and Your Workforce Within Care Services
H7LH 04	10	12	SCDLMC B1	Lead and Manage Practice that Promotes the Safeguarding of Individuals
H7LJ 04	10	11	SCDLMC C1	Lead and Manage Practice for Health and Safety in the Work Setting
H7LK 04	10	11	SCDLMC E1	Lead and Manage Effective Communication Systems and Practice

#### Optional Units — 4 Units required

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H7LL 04	10	12	SCDLMC A2	Lead and Manage Change Within Care Services
H7LM 04	10	10	SCDLMC A3	Actively Engage in the Safe Selection and Recruitment of Workers and their Retention in Care Services

### Optional Units (cont)

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H7LN 04	10	11	SCDLMC A4	Manage a Dispersed Workforce to Meet the Needs and Preferences of Individuals at Home
H7LP 04	10	10	SCDLMC A5	Manage the Allocation, Progression and Quality of Work in Care Service Provision
H7LR 04	10	11	SCDLMC B2	Lead and Manage Provision of Care Services that Promotes the Well Being of Individuals
H7LS 04	10	12	SCDLMC B3	Lead and Manage Provision of Care Services that Deals Effectively with Transitions and Significant Life Events
H7LT 04	10	11	SCDLMC B4	Lead and Manage Practice that Involves Key People in Care Service Provision to Achieve Positive Outcomes for Individuals
H7LV 04	10	11	SCDLMC B5	Lead and Manage Systems, Procedures and Practice for Assessments, Plans and Reviews within Care Services
H7LW 04	10	12	SCDLMC B6	Lead and Manage the Provision of Care Services that Supports the Development of Children and Young People
H7LX 04	10	10	SCDLMC B7	Lead and Manage Group Living Provision within Care Services
H7YG 04	10	11	SCDLMC B8	Lead and Manage the Provision of Care Services that Supports the Development of Positive Behavior
H7LY 04	10	11	SCDLMC D1	Lead and Manage Work with Networks, Communities, Other Professionals and Organisations for Care Service Provision
H7M1 04	10	10	SCDLMC D2	Manage Arrangements for Workers in Care Services Placed Within External Multi-Disciplinary Teams
H7M2 04	10	11	SCDLMC D3	Lead and Manage Inter-Professional Teams
H7M3 04	10	10	SCDLMC E2	Lead the Performance Management of Care Service Provision
H7M4 04	10	11	SCDLMC E3	Lead and Manage the Quality of Care Service Provision to Meet Legislative, Regulatory, Registration and Inspection Requirements
H7M5 04	10	12	SCDLMC E5	Develop Operational Plans and Manage Resources to Meet Current and Future Demands on the Provision of Care Services
H7M6 04	10	10	SCDLMC E6	Contribute to the Strategic Policies of Care Services
H7M7 04	10	12	SCDLMC E7	Develop, Implement and Review Strategic Business Plans that Support the Continuing Development and Viability of Care Services Provision

### Optional Units (cont)

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H7M8 04	10	10	SCDLMC E9	Manage Systems, Procedures and Practice within Care Services for Receiving, Responding to and Learning from Compliments, Concerns and Complaints
H7M9 04	10	10	SCDLMC E10	Manage the Conduct and Performance of Workers in Care Services
H7MA 04	10	12	SCDLMC E13	Market, Cost and Contract to Ensure the Viability of Your Provision of Care Services
H7Y7 04	9	10	SCDHSC 0450	Develop Risk Management Plans to Promote Independence in Daily Living
H7Y9 04	9	11	SCDHSC 0414	Assess Individuals Preferences and Needs
H7YA 04	9	10	SCDHSC 0415	Lead the Service Delivery Planning Process to Achieve Outcomes for Individuals
H7YC 04	9	10	SCDHSC 0441	Manage Tendering and Contracting Processes in Health and Social Care Settings
H7YD 04	10	9	CFAM and LFA4	Manage Programmes
H7YE 04	8	11	CFAM and LFA5	Manage Projects
H7YF 04	8	14	CFAM and LFEA3	Manage the Use of Financial Resources

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

As part of its review of the SVQ, the standards-setting body Skills for Care and Development has developed an Assessment Strategy which defines a range of requirements:

- ◆ External quality control of assessment (EQCA)
- ◆ Assessment
- ◆ Use and characteristics of simulation
- ◆ Roles within the assessment and verification process
- ◆ Sources of evidence
- ◆ Recognition of Prior Learning

The relevant parts of the Assessment Strategy are published in the SQA Care section (<http://www.sqa.org.uk/sqa/45285.2893.html>) 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. Legislative requirements for people working in specific job roles to hold appropriate qualifications also impacts on the reasons for people undertaking SVQs.

When someone enquires about undertaking an SVQ one of the first things to do is to find out why they want to do the SVQ, and to advise them of the appropriateness of the qualification in relation to the job role they are in.

**Candidates wishing to do this award should be competent to SCQF level 8.**

## 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

A job analysis can be a helpful tool to use with a candidate to identify if this SVQ is the right one for them.

<b>Key tasks and responsibilities I carry out at work</b>	A1 Manage and Develop Yourself and Your Workforce Within Care Services	B1 Lead and Manage Practice that Promotes the Safeguarding of Individuals	C1 Lead and Manage Practice for Health and Safety in the Work Setting	E1 Lead and Manage Effective Communication Systems and Practice
Staff supervision	✓	✓	✓	✓
Lead team meetings	✓			✓
Carry out health and safety audits			✓	
Monitor implementation of care/support plans		✓		
Carry out quality audits		✓	✓	✓
Liaise with Care Inspectorate		✓		✓
Arrange staff training/development	✓		✓	

By encouraging the candidate to identify the tasks and responsibilities they carry out as part of their job role and then make links between these and the Units within the award, it will be clear if this is the right SVQ for them.

A job analysis as detailed in the above example is also a helpful tool when supporting candidates to gather evidence holistically as it identifies where specific tasks link to more than one Unit.

## 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
- ◆ help candidates to present evidence
- ◆ authenticate the evidence candidates provide
- ◆ judge evidence and make assessment decisions
- ◆ identify gaps or shortfalls in candidates' competence
- ◆ provide feedback to candidates throughout the assessment process
- ◆ record achievement

#### Candidates' role

- ◆ prepare for assessment — become familiar with the standards, what is to be assessed and how it is to be assessed
- ◆ help to identify sources of evidence and how these could be assessed
- ◆ carry out activities, and/or produce products of own work
- ◆ 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. It is important that any planning, feedback and review is documented. This could be in written or typed format on a specifically designed assessment planning form, or handwritten notes in a note pad or even mindmaps. You can also use emails to evidence the assessment cycle. Whatever approach is used to evidence planning it is important that it is carried out in accordance with current Learning and Development Units (the national standards in assessment and verification) .

As you are planning assessment, don't forget to make the most of opportunities for holistic assessment (*also referred to as integrated assessment*). This means planning to assess an activity which draws on the contents of different Units. 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.

For this SVQ there is no template assessment plan provided as it is recognised that the style of planning used will reflect the unique working relationship between assessor and candidate. For some candidates the majority of planning, feedback and review will be evidenced through email communication between the assessor and candidate. For other candidates the plans may be a combination of spider grams and notes to illustrate how the award should be approached in a holistic way. There are no right or wrongs provided the plan is, meaningful for the candidate and directs them to what they are required to do, when it needs to be completed, what it is expected to cover followed by feedback from the assessor once the evidence has been submitted to them.

An example of how you could approach planning is provided on the next page. This can be used as a rolling planning process using both diagrams and texts supported by email dialogue between assessor and candidate.

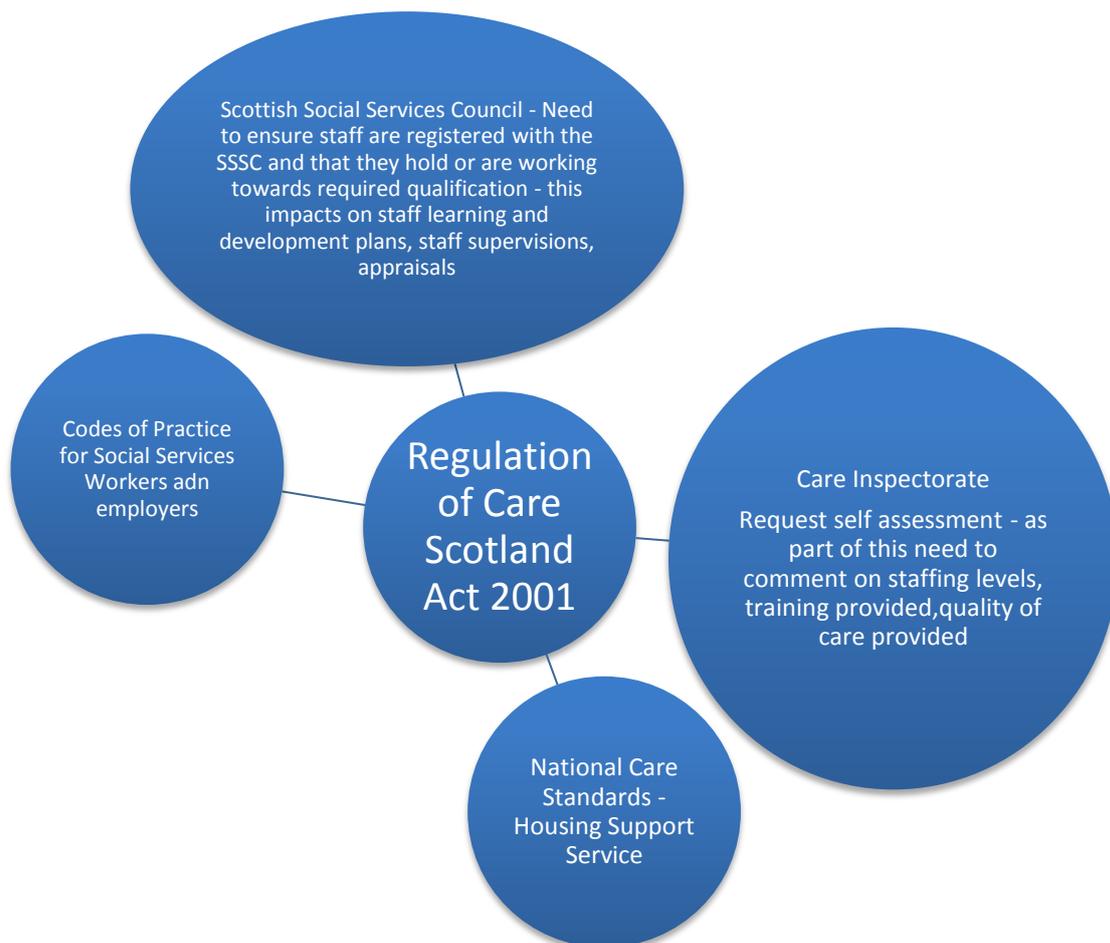
## Assessment plan

Assessor: Nalyni McKendrick

Candidate: Johan Evans

24<sup>th</sup> July 2014

Spent time discussing the different ways in which The Regulation of Care Scotland Act 2001 has had an impact on Johan's role as registered manager of the supported tenancy project. We looked at the common knowledge points in the mandatory Units that relate to Knowledge and Understanding of this piece of legislation. K2, K9, K55, K91, K92 for Units A1, B1, C1 and E1.



### To Do

- 1 Johan to research the Regulation of Care Scotland Act 2001. Then write an account of the process he went through as the lead up to a care inspection and the preparations he made for it. Evidence 1 — Reflective account — aim to cover K2, K9, K55, K91, K92 for Units A1, B1, C1 and E1. As this piece links in well to Johan's option Unit E3 it is also expected this will cover E3 K2, K9, K55, K91, K92. The following Performance Criteria will be targeted.

A1 P3, 8, 17, 41, 43, 50, 51

B1 P1, 2, 3, 4, 32, 34, 35,

C1 P29, 30

E3 P17, 19, 20, 21, 22, 23, 26, 27, 28, 29

2 Johan has completed a service self assessment in advance of a Care Inspectorate visit to inspect the service — this will be used as product evidence 2 — This will provide evidence towards Units A1, B1, C1, E1 and E3. Johan to link relevant Performance Criteria to what he has written in the self assessment. Johan to email Nalyni on 31/07/2014 to check claims made by Johan. Claims should be possible for common knowledge K71 for A1, B1, C1, E1 and E3 against this piece of evidence.

Next meeting planned for **7 August 2014** where we will review work completed and plan for next pieces of evidence — Evidence 3 and 4 — where we will look at Johan writing about facilitating the inspection itself (reflective account evidence 3), then what actions he took following on from the inspection (reflective account evidence 4). It is expected this will provide evidence across the mandatory Units and we will look at links that can be made to Johan's optional Units also.

We will also confirm a date for me to attend the staff team meeting where they will be reviewing actions required following on from the Care Inspection — This will be direct observation evidence and it is expected this will cover observation for Unit LMCB1 and LMC E1. Again this will be discussed further at next meeting.

*Nalyni McKendrick*

*Johan Evans*

24/07/2014

# 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 (projects) 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:

- ◆ An assessment planning meeting may develop into an opportunistic observation, when something occurs in the work setting which the candidate is able, or is required, to respond to — this may be something that it would not have been possible to plan for, it just happens.
- ◆ A planned observation may generate evidence for more Units than had originally been expected, due to the range of situations that arise during the observation period.

The challenges might be:

- ◆ Unexpected incidents may occur which require the assessor to exit the work place for the dignity and privacy of an individual, for the safety of the assessor.
- ◆ A planned observation opportunity may not go ahead due to circumstances outwith the candidate's control.
- ◆ An unexpected situation may occur which requires the candidate's immediate attention and so they are required to cut the assessment meeting short.

## Example

- 1 An assessor arranges to meet a manager of an adult day care service to plan for the next assessment. When they arrive at the service the manager explains that they are short staffed and so the meeting is not able to go ahead as they are required to assist with the hands on service provision. This results in a missed opportunity to plan assessment.

- 2 An assessor attends a staff meeting at a Residential Childcare Service to observe the manager's practice leading the team in the day-to-day running of the service. During the meeting the staff team feedback that they are unsure as to the implications of a piece of new legislation on their work practice. This then provides the manager with the opportunity to provide the staff team with the information they require to enhance their knowledge of this particular area — an impromptu training session. The assessor is able to then observe the manager demonstrating additional skills in communicating information that will support the staff's learning and development in their role. At the same time they are also evidencing knowledge that had not originally been planned for.

## Methods of assessment

Assessment may involve a range of assessment methods. For SVQs in this sector the most commonly used methods are observation, reflective accounts (*personal statements*), professional discussion and product evidence.

***Assessors must use their own judgment and expertise to deploy a range of assessment methods, in line with current Learning and Development Standards, to establish candidate competence.***

### 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.

***It is expected that observation will be carried out holistically therefore any one observation may provide evidence across several Units. Observation is required for each Unit, however observation by an expert witness is acceptable for the observation component of the optional Units only. Expert witnesses can provide supporting evidence for mandatory Units but the lead assessor must observe the candidates real work practice for these Units.***

***Where an assessor observation would be intrusive, compromising the dignity or privacy of the individual, it is expected that an observation by an expert witness is provided in accordance with the Assessment Strategy for the award.***

### Reflective accounts (*Personal statements*)

Integration of knowledge and practice is a fundamental feature of work within the care sector. When planning for holistic assessment it is essential that assessors and candidates identify opportunities to integrate a number of activities and knowledge for assessment. The success of the integration of knowledge and practice is facilitated through the assessor's ability to support the planning process with candidates, and also through assessor feedback and review of the candidates performance.

It is not generally necessary to provide separate pieces of evidence for each Performance Criteria. However, assessors and candidates need to be satisfied that all parts of Performance Criteria are covered.

Knowledge to support performance should be based on practice evidence and reflection. Therefore it is essential that a range of assessment methods are used to provide the evidence and reflective accounts are one method where this can be evidenced effectively.

Candidate's reflective account of practice/practice journals must include the candidate's explanation of their practice and focus on the reflective questions; What? How? When? What now? This enables them to provide real work examples to demonstrate how knowledge informs their practice.

## **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 may vary widely depending on what the candidate's job entails, but examples of product evidence could include:

- ◆ Service evaluation
- ◆ Staff appraisals
- ◆ Service quality audits
- ◆ Reports for regulatory bodies.
- ◆ Staff development and training plans

In all instances products must be created by the candidate as part of their job role and functions.

## **Other methods of assessment**

### **Witness testimony**

Sometimes situations occur in the work setting that are witnessed by people other than the candidate's assessors or an expert witness. In these instances the witness must confirm in their statement that what the candidate has written is accurate, rather than fulfilling the role of the assessor and writing a direct observation. It is the assessor's role to determine the suitability of the witness.

#### **Individuals as witnesses**

Individuals and carers are in an advantageous position in relation to having direct experience of care provision. Their views of the service received should be seen as relevant and important in the assessment of the candidate's performance, alongside other sources of evidence. This type of evidence will be particularly relevant to lone workers such as childminders and home carers.

Service users and carers may provide witness testimony. Final decisions about the suitability and status of this testimony in the candidate's assessment will be made by the assessor.

#### **Expert witness**

The role of the expert witness is to submit evidence to the assessor about the competence of the candidate in any given Unit. This evidence must directly relate to candidate's performance in the workplace which has been seen by the expert witness.

The expert witness must:

Have a working knowledge of the National Occupational Standards (NOS) for the competences on which their expertise is based.

Have credible experience/occupational competence in the area being assessed. This may include line managers or other experienced colleagues from inside an organisation or from other agencies involved with the workplace.

All expert witnesses must be inducted by the centre to ensure that they are familiar with the Standards for those Units for which they are to provide expert witness testimony. They must also understand the centre's recording requirements and will need guidance on the skills required to provide evidence for the NOS.

It is not necessary for expert witnesses to hold an assessor qualification as the qualified assessor makes all assessment decisions about the acceptability of evidence regardless of source.

## Common knowledge points

In each Unit there are knowledge points which are common across all Units in this award.

Assessors should be clear that knowledge cannot be inferred from observed practice and a range of methods should be used to identify knowledge from observed practice. Candidates could be questioned, encouraged to review their practice verbally or knowledge could be included in reflective accounts of practice.

Assessors need to ensure that the candidate is able to apply knowledge and understanding within the context of the Units.

Where it is not possible to identify this knowledge in reflective accounts of practice, to avoid repetition, assessors should assist candidates to provide evidence for these knowledge points in focused pieces of work.

The aim of these pieces of work is to cover knowledge points fully and should clearly apply to the candidates everyday work practice.

Centres may choose to use their own style of project or assessment to cover these points. However when considering the approach to use centres must ensure the following key areas are covered:

- ◆ Candidates show their understanding of the knowledge point.
- ◆ Candidates explain how they would use that knowledge in their job role.
- ◆ Candidates, where possible, can provide a specific example from their work practice where they have applied that knowledge.
- ◆ Candidate demonstrate their knowledge and understanding in the context of the Unit themes.

This approach provides a basic structure or framework to facilitate the candidate meeting these common knowledge points. The assessment methods used to cover the common knowledge points are down to the professional judgement of the assessor and should be planned to meet all knowledge points.

It is essential that the key areas detailed above are covered.

## Simulation

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

Simulations should not be used other than in exceptional circumstances. The assessor should seek clarification from the internal verifier as to the relevance of the method and keep a record of the discussion for standardisation purposes.

If in doubt the internal verifier could seek clarification from the Awarding Body as to the suitability of the simulation method of assessment.

Where simulation is used it **must** replicate usual activities in real work situations.

The use of simulation to support evidence should be agreed in advance by the assessor and candidate at the assessment planning stage.

For more details on simulation and what constitutes performance in the workplace, look at the Assessment Strategy in the SQA Care section (<http://www.sqa.org.uk/sqa/45285.2893.html>) on SQA's website ([www.sqa.org.uk](http://www.sqa.org.uk)).

## Other sources of evidence

### Professional Discussion

Professional discussion is an important element in evidence gathering and should not simply be a question and answer session but planned in advance with the candidate. The planned discussion will be used to clarify the candidate's practice as well as providing evidence which integrates across a number of Units. Professional Discussion could also provide evidence for knowledge evidence and Performance Criteria that are difficult to evidence through observation of the candidates work activities.

Professional discussion for vocational awards should be in the form of a structured review of practice with the discussion captured on audio tape or as a written summary. The written or audio summary **must** be clearly cross referenced to the standards to enable the evidence to be internally verified.

Professional discussion is particularly useful to provide evidence of a candidate's knowledge and understanding of the principles which support practice, policies, procedures and legislation. It can also provide evidence that the candidate can critically evaluate these and apply them to their practice and clearly demonstrate the link between theory and practice.

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. We have provided a form that can be used to record all types of evidence. However this is a suggested format and centres can choose to use their own approach to recording evidence provided it demonstrates at what points the evidence meets specific parts of the Units, identifies who the evidence was produced by, the date it was produced, it is numbered and recorded on the evidence index and is authenticated by the candidate and assessor.

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

## Questions

Question banks are not permitted for this qualification. Questions can be used following an observation or assessment of a candidate's reflective account to support them to expand on their knowledge and understanding in relation to the piece of practice observed or written about. The candidate responses should be recorded at the end of the piece of evidence.

Questions should not be used in order to complete Units as a matter of course.

*On the following pages is an extract of an observation showing how observation might be written and how questions might be used to clarify aspects of an observation.*

<b>Candidate name</b>	Johan Evans	<b>Date</b>	16/08/2014
<b>This piece of work is:</b> An observation of Johan leading a staff team meeting.		<b>Performance Criteria</b>	<b>Knowledge and Understanding</b>
<p>Today I observed Johan leading a staff team meeting with five of the tenancy support workers in his team. Johan began by going through the minutes of the previous team meeting and once these had been agreed by those present he spent time going through each of the agenda items.</p> <p>Agenda Item 1 focused on the recommendations following on from the care Inspection visit in May. Johan went through each recommendation and asked each individual who had been delegated a related task to provide the team with an update on how things were progressing. Johan gave each staff member time to present the information and affirmed them for how they had managed the task. He involved each team member present in discussions around a difficulty they had with security in the office building lately and invited suggestions from those present as to how this matter might be resolved.</p> <p>Agenda item 2 was concerned with SSSC registration, Johan asked each staff member present to ensure they had provided him with a copy of their SSSC registration certificate once they had received it.</p> <p>Once Johan had concluded the meeting X staff member approached Johan and gave him a copy of her certificate.</p>		<p>B1 P3 B1 P2 E1 P36</p> <p>E1 P37</p> <p>E1 P39</p> <p>B1 P5 C1 P9 C1 P18 C1 P29 C1 P32</p> <p>E3 P11</p>	
<b>Feedback and assessor comments/professional discussion</b>			
<p>I asked Johan what he would do with this certificate and why he required it. Johan explained that he would be storing it in the staff member's individual file which is located in the manager's office. He went on to say this is a locked office and locked filing cabinet as information contained there is confidential and under the Data Protection Act 1998 he must ensure secure storage of confidential data. He went on to explain that he requires copies of these certificates to ensure staff are appropriately registered with the SSSC as it is his legal responsibility to make sure that his established staff team are on the register otherwise he is committing an offence under the Regulation of Care Scotland Act 2001 — E3 P2 and E3 K66.</p>			
<b>Candidate signature</b>	<i>Johan Evans</i>	Date: 20/08/2014	
<b>Assessor Signature to confirm evidence is assessed as complete</b>	<i>Nalyni McKendrick</i>	Date: 20/08/2014	

## **Candidate's reflective account** (*personal statement*)

Where a reflective account is being used as evidence, it should be completed by the candidate. Performance and knowledge should be recorded by the candidate to demonstrate their understanding and application of the standards to their specific occasions of work practice. These references should be related to specific parts of the text.

*On the following pages is an extract from a reflective account — links are made here with a relevant product.*

<b>Candidate name</b>	Johan Evans	<b>Date</b>	<b>26/07/2014</b>
<b>This piece of work is:</b>	A reflective account focusing on the preparations for a Care Inspection visit to the service I manage.	<b>Performance Criteria</b>	<b>Knowledge and Understanding</b>
<p>The Regulation of Care (Scotland) Act 2001 is an Act of the Scottish Government which established two legal bodies — The Scottish Commission for the Regulation of Care (Care Commission) and The Scottish Social Services Council. The Care Commission were tasked with the inspection and regulation of care services in Scotland the SSSC were responsible for the regulation and registration of social services workers. Following the Public Services Reform (Scotland) Act 2010 SCSWIS became the inspection regulatory body however this acronym was not easily recognisable as what it did and so the inspection arm of SCSWIS became identified as the Care Inspectorate.</p> <p>Prior to any inspection a care service is asked to complete a self assessment focusing on areas of strength within the service and where a service feels improvements are required. I was asked by the Care Inspectorate to complete the self assessment for the service I manage by 31<sup>st</sup> January 2014. In preparation for completing this I spent time with my staff team in team meetings reviewing the service we provide and I also met with individuals who use our services to seek their feedback on the service they receive from us.</p> <p>Having gathered feedback from all sources as described in detail above I then completed the self assessment document on the SCSWIS secure online site and printed out a copy to review before I finally submitted it to the Care Inspectorate. (see Evidence 2 Self Assessment)</p>	<p>E3 P19</p> <p>E3 P21</p> <p>E3 P26</p>	<p>E3 K9</p> <p>A1 K9</p> <p>B1 K9</p> <p>C1 K9</p>	
<b>Feedback and assessor comments/professional discussion</b>			
<p>This is a promising start to your SVQ Johan. For your next piece of work can you ensure you provide some background to the PVG scheme to demonstrate your knowledge and understanding of your responsibilities as a manager in accordance with this. I have removed the knowledge points that you have claimed in relation to the PVG scheme as I do not feel you have fully evidenced them. I've added in claims for E3 P20 as I feel you met this on page 2 of this account.</p>			
<b>Candidate Signature</b>	<i>Johan Evans</i>	<b>Date:</b>	20/08/2014
<b>Assessor Signature to confirm evidence is assessed as complete</b>	<i>Nalyni McKendrick</i>	<b>Date:</b>	20/08/2014

## **Expert witness/Witness testimony**

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. This record should be accessible to the internal verifier and External Verifier.

Expert witness can be used in place of assessor observation where it has not been possible for the assessor to observe the candidate's practice for an optional Unit. It can be used as supporting evidence for the mandatory Units.

*On the following pages is an example of how an expert witness statement might be written.*



## 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.

In this SVQ professional discussion can be an effective way to fill these gaps or small pieces of reflective writing about specific occasions of practice. Advice and guidance should be sought from the internal verifier if the candidate and assessor are having difficulty generating evidence for specific parts of the Unit.

## 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.

## 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.

It is recognised that alternative forms of recording assessment evidence will evolve using information and communications technologies including e-portfolios.

Regardless of the form of recording used, the guiding principle must be that all evidence relating to practice must be, robust and comply with legal requirements and best practice in the sector. This is particularly crucial in relation to confidentiality of information and data protection.

Information must be traceable for internal and external verification purposes.

Additionally assessors must ensure they are satisfied the evidence presented is traceable, auditable and authenticated and meets the requirements set out in the Assessment Strategy.

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.

# Candidate achievement record

To complete the SVQ 4 in Care Services Leadership and Management, candidates must undertake 4 mandatory Units plus 4 optional Units.

Candidate, assessor and internal verifier should sign and date the box on completion of each Unit.

Unit	Candidate	Assessor	Internal verifier
<b>Mandatory Units</b>			
<b>SCDLMCA1</b> Manage and develop yourself and your workforce within care services			
<b>SCDLMCB1</b> Lead and manage practice that promotes the safeguarding of individuals			
<b>SCDLMCC1</b> Lead and manage practice for health and safety within the work setting			
<b>SCDLMCE1</b> Lead and manage effective communication systems and practice			
<b>Optional Units</b>			

## 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 Units linked to that 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 reflective accounts, 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 SVQ Work

<b>Award title and level:</b>	<b>SVQ 4 Care Services Leadership and Management</b>
<b>Candidate name:</b>	<b>Johan Evans</b>

<b>Evidence number</b>	<b>Description of evidence</b>	<b>Which Units are linked to this piece of work?</b>	<b>Is this piece of work in your folder or is it somewhere else because it is confidential?</b>	<b>Has the IV seen this piece of work? If so IV to sign and date here.</b>
1	Reflective account — preparing for a care inspection	A1, B1, C1, E1, E3	Folder	ST 12/09/14
2	Product — service self assessment for Care Inspectorate	A1, B1, C1, E1 E3	Folder	ST 12/09/14
3	Reflective account — facilitating care inspection	A1, B1, C1, E1, E3	Folder	
4	Reflective account — actions following on from care inspection	A1, B1, C1, E1, E3	Folder	
5	Direct observation — leading staff team meeting following on from care inspection	A1, B1, C1, E1, E3	Folder	ST 12/09/14
6	Product — minutes of staff supervision	A1, B1, C1, E1, E3	In staff file in office	
7	Expert witness statement — care inspection	C1, E1, E3	Folder	

## **Using the Unit Achievement Record**

The end of each Unit has a Unit achievement record.

Candidates sign the end of a Unit when they feel they have completed all that is required to demonstrate competence. The assessor then signs and dates to confirm that they believe the evidence produced by the candidate has met the required standards.

The internal verifier signs and dates if they sample the Unit whilst it is in progress.

When the Unit has been completed the IV carries out an admin check to confirm that all Knowledge and Performance Criteria have an evidence claim attributed to them.

Once the admin check has been completed, the IV signs and dates to confirm that the Unit has been successfully achieved.

The amount a Unit is sampled will depend on the internal verification strategy employed by the centre.

This record then allows an EV to see at a glance the stage the Unit is at in terms of assessment decisions made and internal verification involvement in the Unit.

The candidate and assessor must only sign below when all Performance Criteria and knowledge points have been met.

**Unit assessed as being complete**

Candidate name	Johan Evans
Candidate signature	<i>Johan Evans</i>
Date submitted to assessor as complete	30/09/2014

Assessor name	Nalyni McKendrick
Assessor signature	<i>Nalyni McKendrick</i>
Date assessed as complete	07/10/2014

**Internal verification -**

to be completed in accordance with centre's IV strategy

Evidence for this Unit was sampled on the following date/s:	IV signature	IV name
12/09/2014	<i>Suzie Taylor</i>	Suzie Taylor
10/10/2014	<i>Suzie Taylor</i>	Suzie Taylor

This Unit has been subject to an admin check in keeping with the centre's IV strategy.

Date of admin check	IV signature	IV name
10/10/2014	<i>Suzie Taylor</i>	Suzie Taylor

**Unit completion confirmed**

IV name	Suzie Taylor
IV signature	<i>Suzie Taylor</i>
Date complete	10/10/2014

# 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**

# Candidate Achievement Record

To complete the SVQ 4 in Care Services Leadership and Management candidates must undertake 4 mandatory Units plus 4 optional Units.

Candidate, assessor and internal verifier should sign and date the box on completion of each Unit.

Unit	Candidate	Assessor	Internal verifier
<b>Mandatory Units</b>			
<b>SCDLMCA1</b> Manage and develop yourself and your workforce within care services			
<b>SCDLMCB1</b> Lead and manage practice that promotes the safeguarding of individuals			
<b>SCDLMCC1</b> Lead and manage practice for health and safety within the work setting			
<b>SCDLMCE1</b> Lead and manage effective communication systems and practice			
<b>Optional Units</b>			



*Form that can be used for recording all types of evidence.*

Evidence Number:
------------------

Candidate name	Date	
This piece of work is:	Performance Criteria	Knowledge and Understanding
Feedback and assessor comments/professional discussion		
Candidate signature		Date:
Assessor signature to confirm evidence is assessed as complete		Date:

The candidate and assessor must only sign below when all Performance Criteria and knowledge points have been met.

**Unit assessed as being complete**

Candidate name	
Candidate signature	
Date submitted to assessor as complete	

Assessor name	
Assessor signature	
Date assessed as complete	

**Internal verification -**

to be completed in accordance with centre's IV strategy

Evidence for this Unit was sampled on the following date/s:	IV signature	IV name

This Unit has been subject to an admin check in keeping with the centre's IV strategy.

Date of admin check	IV signature	IV name

**Unit completion confirmed**

IV name	
IV signature	
Date complete	