



Assessor's Guidelines for the SVQ 3 in Water Industry Operations SCQF level 6

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About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ 3 in Water Industry Operations SCQF level 6**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

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

Introduction

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

About SVQs and the SCQF

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

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

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

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

Each Unit defines one aspect of a job or work-role, and says what it is to be competent in that aspect of the job. To be awarded a full SVQ, 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

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.
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.
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.
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.
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.

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 **Elements**. These **Elements** describe the activities which employees have to perform, and will require candidates to demonstrate certain skills or Knowledge and Understanding.

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

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

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

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

Who is involved in SVQs?

There are several roles:

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

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

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 3 in Water Industry Operations SCQF level 6

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

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

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

Structure of the SVQ

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

SVQ 3 Water Industry Operations SCQF level 6

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FA9A 04	6	9	EUSTP O01	Monitor and Maintain a Safe Working Environment
F5DP 04	6	18	EUSTP O06a	Monitor and Maintain the Quality of Treatment Processes (Water Treatment Processes)
F5DR 04	6	18	EUSTP O06b	Monitor and Maintain the Quality of Treatment Processes (Waste Water Treatment Processes)
F31J 04	6	4	EUSNC O309	Monitor the Installation Process for Network Construction Operations

Optional Units — Candidates must complete a minimum of two of the following Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F30C 04	6	4	EUSN CO315	Analyse Information to Support Decision Making
FA80 04	7	5	EUSN CO302	Carry out Operational Planning for Network Construction Operations
HE0D 04	6	9	EUSLD C7	Carry out Step-testing Operations in Order to Localise the Area of Potential Leakage

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H987 04	6	5	CFAM &LDB2	Allocate Work to Team Members
H988 04	6	5	CFAM &LDB3	Quality Assure Work in your Team
HE0C 04	N/A	N/A	ESKIT U020	Use Digital Communications
D1VB 04	7	8	PR0HS S6	Conduct an Assessment of Risks in the Workplace
F30M 04	6	3	EUSN CO317	Contribute to Controlling Costs Against Agreed Budgets
F30T 04	6	4	EUSN CO318	Control Network Activities Against Quality Standards and Systems
FA8A 04	6	9	EUSLD C4	Determine Leakage Detection Methods and Techniques in Response to Water Loss
DK1W 04	6	5	EUSM WS5	Develop own Understanding of Techniques for Minimum Disruption of the Distribution Network during Operational Activities
F30W 04	5	5	EUSW FRBE7	Develop Positive Working Relationships with Customers and Colleagues
F30X 04	6	4	EUSN CO304	Ensure Your Own Actions Aims to Protect the Environment
H8VP 04	5	8	PROH SS1	Make Sure Your Own Actions Reduce Risks to Health and Safety
F30Y 04	6	3	EUSN CO319	Establish and Maintain Professional Relationships
FA8K 04	6	6	EUSLD C10	Establish the Integrity of a Discrete Area on the Distribution Network
FA8L 04	6	7	EUSLD C11	Evaluate Data to Identify Potential Leakage
F315 04	6	4	EUSN CO308	Implement Installation and Construction Methods and Procedures for Network Construction Operations
FA8T 04	6	9	EUSW FRBE4 b	Inspect Premises (Domestic) for Compliance with Water Fittings Regulations/Byelaws
FA8V 04	7	11	EUSW FRBE4 a	Inspect Premises (Non-Domestic) for Compliance with Water Fittings Regulations/Byelaws
FA98 04	6	3	EUSN CO305	Locate and Avoid Supply Apparatus and Sub-Structures
FA9D 04	6	13	EUSTP O07	Monitor and Maintain Treatment Processing at Optimum Performance
DK1Y 04	6	5	EUSM WS6	Monitor and Review Network Activities

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F31K 04	6	4	EUSN CO307	Monitoring Excavation in the Highway
F31L 04	6	4	EUSN CO306	Monitoring Signing, Lighting and Guarding
FA9L 04	6	12	EUSTP O15	Organise and Carry Out the Maintenance of Process Equipment
FA9M 04	5	5	EUSW FRBE6	Plan and Schedule Water Regulations/Byelaws Inspections
FA9N 04	6	7	EUSW FRBE5	Present Oral Evidence in Court
FA9R 04	6	9	EUSLD C5	Programme, Deploy and Collect Data from Data-logging Equipment
FA9T 04	6	4	EUSW FRBE2	Provide Information for Use in Legal Procedures
B6K1 04	7	6	EUSM WS7	Provide Information to Support Decision Making
H5XP 04	7	9	CFAM &LBA3	Lead your Team
F320 04	6	4	EUSN CO314	Record and Store Information
FC01 04	5	5	EUSLD C8	Resolve Leakage Related Issues with Customers
FC03 04	6	8	EUSW FRBE3	Secure Compliance with Water Fittings Regulations/Byelaws
FC07 04	6	9	EUSLD C6	Utilise and Confirm Performance of Measuring Equipment on the Distribution Network

An Assessment Strategy for the SVQ

As part of their review of the SVQ, the standards-setting body Energy and Utility Skills has developed an Assessment Strategy which defines a range of requirements:

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

The relevant parts of the Assessment Strategy are 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 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

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

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

The mandatory Units were targeted initially:

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

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

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

- ◆ Monitor and Maintain Treatment Processing at Optimum Performance

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

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

2 Preparing to assess the SVQ

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

Your role and your candidate's role

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

Your role

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

Candidates' role

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

Planning

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

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

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

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

To help you and your candidates plan for assessment, we have produced an example of an assessment plan which covers a typical health and safety Unit. It is intended as guidance only. Examples relevant to this Unit and a Water Industry Operations Unit are used throughout this document.

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

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ Knowledge and Understanding Statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other Units
Visit the HSE website for practical guidance on what a risk assessment is and how to go about it.	P1, K1, K2, K4	Review documentation (product evidence) Personal statement	By 08/01/13 By 17/01/13		
Walk around the workplace and look at what could reasonably be expected to cause harm.	P1 and 2, K1 and K2	Observation	By 20/01/13		
Ask employees for their thoughts on potential hazards.	P1 and 2	Observation	By 20/01/13		
Check manufacturers' instructions or data sheets for chemicals and equipment to determine potential hazards and any counter measures.	P1 and 2	Observation	By 20/01/13		
	Informal review to chat through how things are progressing and discuss any issues or concerns		10/02/13		
Read through the company's accident and ill-health records to identify hazards that have occurred and frequency.	P1 and 2	Review documentation (product evidence)	By 25/02/13		

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ Knowledge and Understanding Statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other Units
Evaluate findings.	P1 and P2	Question and Answer (second review)	By 05/03/13		
Identify and implement control measures.	P1 and P2	Review documentation (product evidence) Witness testimony	By 10/03/13 By 10/03/13		
Identify, source and review current company policy, documentation and procedures to determine what existing control measures are in place.	P3	Review documentation (product evidence)	By 15/03/13		
Check how well the existing control measures are applied by employees through observation of working practice, visibility of health and safety notices, etc.	P3	Review of documentation (product evidence)	By 20/01/13		
Check existing control measures are adequate by comparing them with examples of good practice identified on HSE's website.	P3, K4	Review of documentation (product evidence)	By 20/03/13		
Identify any additional precautionary measures that should be applied to bring control measures up to current standard.	P3	Review of documentation (product evidence)	By 20/03/13		

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ Knowledge and Understanding Statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other Units
Produce a report that records details of the hazards identified, adequacy of existing control measures and recommendations for updating existing control measures to meet current standards and new control measures to be introduced.	P4	Review of documentation (product evidence)	By 23/03/13		
Communicate Health and Safety control measures through staff presentations, handbooks, procedures and signage.	P4, K3	Review of documentation (product evidence)	By 31/03/13		

Assessor's signature *Peter Hoskins*
1st review due *10/02/13*
Candidate's signature *Paul Lee*
2nd review due *05/03/13*
Date of agreement *05/01/13*
Date of completion *01/04/13*

Selecting methods of assessment

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

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

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

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

The benefits might be:

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

The challenges might be:

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

Example

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

Methods of assessment

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

Observation

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

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

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

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

Product 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:

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

Questioning

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

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

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

- Q** Why is it imperative that all accidents and incidents are reported to your company?
- A**
- a) Accident and incident investigation.
 - b) Company's statutory obligations under The Reporting of Injuries, and Dangerous Occurrences Regulations (RIDDOR).
- Q** What are the typical effects of inadequate maintenance?
- A** Quicker wear, early breakdown, unscheduled downtime, extra maintenance cost, regular replacement and associated cost, higher safety risk.

Other methods of assessment

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

Personal statements

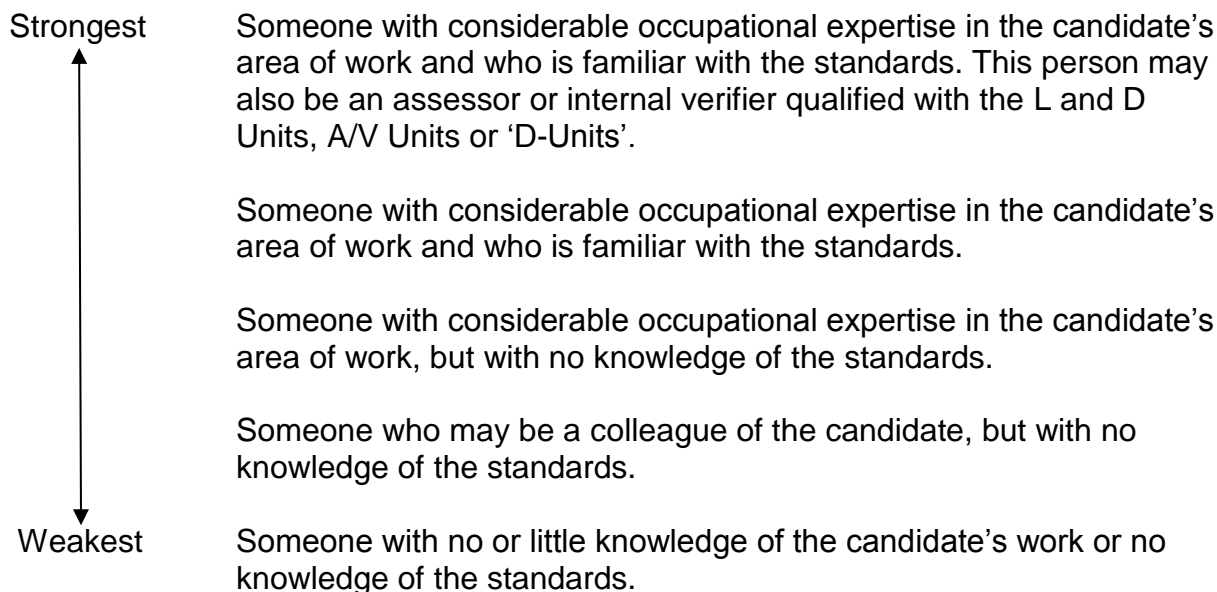
You might sometimes find it helpful to ask a candidate to give an account of why they did an activity in a certain way or how they produced a product of their work. This is often referred to as a *personal statement*. You should take care to ensure that by asking candidates to produce such statements,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

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

Witness testimony

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

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



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

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

Simulation

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

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

The Scottish Qualification Authority 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 *Monitor and Maintain a Safe Working Environment*:

'The majority of the evidence used for this Unit must come from the candidate's own performance in the workplace. You may use simulated activities to observe the candidate dealing with and reporting accidents and emergencies and investigating complaints. Please ensure that any simulation used meets the requirements for this

award' 'and that the centre has obtained approval for its use prior to assessment taking place'.

Other sources of evidence

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

SQA's *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 title	Promote, monitor and maintain health, safety and security
Candidate's name	Paul Lee
Evidence index number	3
Date of observation	19/01/13

Skills/activities observed

Prior to carrying out the risk assessment, Paul prepared a plan detailing the areas of the organisation to be inspected and potential hazards to look for. This approach proved very successful as it helped him focus on what to look for in terms of hazard, risk and control measures either currently in place or that should be implemented.

Throughout the risk assessment, Paul spoke with several members of staff to gather their understanding of health and safety in general and any potential hazards they considered to be present. He then asked if they had any ideas on how they could be avoided which seemed to promote a greater interest by staff on what Paul was doing and why.

Paul always concluded his discussion with staff by asking them if they knew where information on health and safety relating specifically to the organisation was located. Paul made comprehensive notes during the review including a note of all chemicals used in the organisation and the manufacturers' instructions on precautions and counter measures.

Knowledge and understanding apparent from this observation

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

It is clear from the plan that Paul produced prior to carrying out the risk assessment that he has a good knowledge and understanding of the importance of health and safety and how to go about carrying out a risk assessment.

Communication strategies in respect of health and safety

Through discussions with employees during his review Paul was able to identify the current level of understanding and support for health and safety within the organisation and how accessible information is to employees. The information gained from these discussions will make a valuable contribution to his report.

Performance/Knowledge and Understanding statements covered

P1, 2 and 3, K1, 2

Other Units to which this evidence may contribute

Assessor's comments and feedback to candidate

The research and preparation you undertook beforehand enabled you to carry out a very thorough risk assessment and gather invaluable evidence that will help support any recommended actions you consider will be beneficial to the organisation.

Well done.

I can confirm the candidate's performance was satisfactory.

Assessor's signature *Peter Hoskins* **Date** 19/01/13

Candidate's signature *Paul Lee* **Date** 19/01/13

Questions and candidate responses

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

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

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

Record of questions and candidate's answers

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

Assessor's signature N Smith **Date** 15/02/16

Candidate's signature S Staveley **Date** 15/02/16

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
02/04/16	23	<p>I can access stores information in the Supply Chain Servies area of our intranet. A change of preferred supplier of polyethylene pipe and fittings had been notified in February 2016, the change being effective from 1 April 2016.</p> <p>I arranged a meeting with Andy Frazer, the new supplier's representative on the 25 of March.</p> <p>Andy brought with him manufacturer's information on the fittings that would be used on the Boundary Road project. The new suppliers jointing cycle timings were different from the previous suppliers.</p> <p>The manufacturer's information was passed on at a pre-start team briefing on the 30 of March.</p> <p>The instructions were also included in the work pack for the site operations team.</p>		<p>PC 2; K2, 7, 9</p> <p>PC 8, K2, 7, 9,</p> <p>PC 1, K1, 2,</p> <p>PC 8, K2, 4</p> <p>PC 1, K1, 2, 4 PC 7, K2, 6</p> <p>PC 1, 3, 4, K1, 2, 4, 6,</p> <p>PC 7, K1, 2, 6</p>

		<p>As this was a change I planned an early site visit to ensure changed timings were being used. It is routine practice to mark timings on the fittings.</p> <p>The timings marked by the site team corresponded to the revised times marked on the fitting by the manufacturer.</p> <p>The print-out from the fusion control box was downloaded on 28/04/16. The jointing records confirmed revised timings were used.</p>		
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Candidate's signature S Staveley

Date 30/04/16

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	Water Industry Operations at SCQF level 6
Candidate's name	S Staveley
Evidence index no	24
Index no of other evidence which this testimony relates to (if any)	23
Element(s)	Monitor the Installation Process for Network Construction Operations
Date of evidence	02/04/16
Name of witness	J Cross
Designation/relationship to candidate	Team Leader
Details of testimony	
<p>I met with Stan on 29/03/16 to review preparations for the Boundary Road project. The contents of the project file were in accordance with the company's quality requirements. Of particular note was a change of supplier for polyethylene pipe and fittings.</p> <p>Stan had taken appropriate steps to ensure that updated information was obtained, evaluated and passed on to the site team, all in good time.</p> <p>It has previously occurred elsewhere in our organisation such changes were not notified to site which led to problems with the installation and led to a delay.</p> <p>The contents of the project file and preparations taken by Stan for Boundary Road were consistent with what Stan has produced for projects he has been given responsibility for.</p> <p>I am confident when projects are assigned to Stan planned delivery dates will be achieved.</p>	

I can confirm the candidate's performance was satisfactory.

Witness's signature J Cross **Date** 02/04/2016

Witness (please select the appropriate box):

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

Filling the gaps

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

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

- ◆ Monitor and Maintain a Safe Working Environment

You may be able to overcome these by:

- ◆ simulation and questioning

Guidance and support to candidates

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

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

Judging candidate evidence and making an assessment decision

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

Evidence must:

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

Insufficient evidence

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

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

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

Authenticating candidates' evidence

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

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

Example

In the mandatory Unit 'Monitor the Installation Process for Network Construction Operations' PC 5 — 'Identify any variations from agreed plans and schedules, if not observed by the assessor, corroboration may be gained by witness testimony, exchange of e-mails with company or external contacts or questioning.

4 Recording achievement

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

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

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

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

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

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

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

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

These forms are also used in SQA's portfolio.

Completing the Unit progress record

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

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

Unit progress record

Qualification and level Water Industry Operations at level 6

Candidate Stan Staveley

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

Unit checklist

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

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
F31F 04	Monitor and Maintain a Safe Working Environment		
F5DR 04	Monitor and Maintain the Quality of Treatment Processes (Wastewater)		
F5DP 04	Monitor and Maintain the Quality of Treatment Processes (Water)		
F31J 04	Monitor the Installation Process for Network Construction Operations	<i>N Smith</i>	01/06/16

Optional Units achieved

Unit number	Title	Assessor's signature	Date
F31H 04	Monitor and Maintain Treatment Processing at Optimum Performance		
D1VB 04	Conduct an Assessment of Risks in the Workplace		

Using the index of evidence

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

The index of evidence should be completed by entering:

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

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

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

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

Index of evidence

SVQ title and level	Water Industry Operations at SCQF level 6
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Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
26	Observation record — Network Construction Operations — Boundary Road Mains Installation Project	Yes	<i>BT 30/06/16</i>
23	Personal statement — Boundary Road Project	Yes	<i>BT 30/06/16</i>
24	Witness Testimony — from J Cross, Team Leader	Yes	
27	Record of questions and answers — Network Construction	Yes	

Completing the Element achievement record

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

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

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

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

Element achievement record

Unit Monitor the Installation Process for Network Construction Operations

Element 1

Evidence index no	Description of evidence	PC/performance statements						Areas of Knowledge and Understanding/scope															
		a	b	c	d	e	f	g	h		1	2	3	4	5	6	7	8	9	10	11		
26	Observation Record	√	√	√	√			√	√		√	√		√		√	√	√	√	√	√		
27	Questioning of Candidate												√	√	√								
23	Personal Statement	√	√	√	√			√	√		√	√		√		√	√		√				
24	Witness Testimony		√	√								√					√				√		

Unit Monitor the Installation and Construction Process for Network Construction Operations

Element 1

Notes/comments

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

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

Candidate's signature	<u><i>S Staveley</i></u>	Date	<u><i>01/06/16</i></u>
Assessor's signature	<u><i>N Smith</i></u>	Date	<u><i>01/06/16</i></u>
Internal verifier's signature	<u><i>B Taylor</i></u>	Date	<u><i>07/06/16</i></u>

5 Further information

What else should I read?

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

Assessor/Verifier Units: assessment guidance

External Verification: A Guide for Centres

Guide to Assessment

Introduction to Assessment Arrangements for Schools and Colleges

SQA's Quality Framework: a guide for centres

Operational Help Centre

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

Appendix 1: Blank recording forms

Unit progress record

Qualification and level _____

Candidate _____

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

Unit checklist

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)

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 signature _____ **Date** _____

Witness (please select the appropriate box):

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

Record of questions and candidate’s answers

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** _____