



Guidance on assessment of Regulated Qualifications in England and Wales

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1 About this guide

This guide provides some practical examples of how to assess your learners for a regulated qualification.

It explains requirements applicable to the whole qualification or a number of units in the qualification, where appropriate.

You may be able to think of other ways of assessing your learners and recording your decisions about their competence. For example, while it is a requirement for all assessment criteria in each unit to be assessed; there is still the option for holistic assessment across units, where appropriate.

The assessment guidance contains some general examples of assessment practice that are typical to most job roles. Assessment criteria for the units in this qualification can be accessed via the RoUK Regulated Qualification Unit Search facility on www.sqa.org.uk or for restricted units, from the relevant qualification page on www.sqa.org.uk\secure.

Centres are reminded that it is their responsibility to ensure that assessments are appropriate and that quality assurance procedures are followed.

2 About Regulated Qualifications in England and Wales

This section provides a brief overview of the qualification frameworks used in England and Wales and how vocational and occupational qualifications in the frameworks can be assessed. If you are already familiar with the concept of vocational and occupational qualifications, you may wish to go to the next section.

England uses the Regulated Qualifications Framework (RQF) and Wales uses the Regulated Qualifications Pillar of the Credit and Qualifications Framework for Wales (CQFW).

The frameworks provide a structure within which:

- ◆ qualifications can be located
- ◆ achievements are recognised through the award of qualifications
- ◆ the level and size of achievements can be easily identified
- ◆ learners are given the maximum flexibility and range of opportunities to progress and receive recognition for their achievements

All qualifications have a Total Qualification Time (TQT) and level:

- ◆ TQT is the estimated notional learning time that an average learner might take to complete all of the learning outcomes and assessment criteria for a qualification.
- ◆ Guided Learning Hours (GLH) is a component of TQT and shows how much learning time will normally be undertaken under direct guidance or supervision, including supervised assessment, is typically required.

- ◆ Qualifications may also be given a credit value. Where credit has been applied, one credit point represents 10 TQT hours.
- ◆ A levels between entry level and level 8 is assigned to all qualifications which indicates the degree of challenge or difficulty.

There are three sizes of qualification:

- ◆ Awards (up to 120 hours)
- ◆ Certificates (121–369 hours)
- ◆ Diplomas (370+ hours)

Each size of qualification can be offered at any level of the framework.

Unit specification

A standard unit specification template is used for all units in this qualification. An overview of the unit specification template is below:

Each unit has a common format. The main components of the unit are:

Unit title	The unit title describes the content of the learning.
Unit level	All units must identify a single level for the unit that represents the complexity, autonomy and/or range of achievement expressed within the unit.
Credit value	Application of credit value is optional in units. One credit equals 10 notional learning hours (TQT/10). Learning time is defined as the time taken by learners at the level of the unit, on average, to complete the learning outcomes of the unit to the standard determined by the assessment criteria.
Guided Learning Hours (GLH)	GLH shows how much of the learning will take place under direct supervision (in real time), including 'invigilated assessment'.
SQA unit code	This is a 4 + 2 digit code and it should be used in all correspondence with SQA.
Regulator code	This is the unit code issued by Ofqual and/or Qualifications Wales.
Unit owner and reference number	In most cases, the 'Unit Owner' will be the organisation which developed the unit, eg SSC/SSB or sometimes refers to the national occupational or other professional standards from which the unit has been derived.
Learning outcome	All units must contain learning outcomes that set out what a learner is expected to know, understand or be able to do as the result of a process of learning.
Assessment criteria	All units must contain assessment criteria that specify the standard a learner is expected to meet to demonstrate that the learning outcomes of that unit have been achieved.

The second section of the unit provides 'Additional information about the unit':

- ◆ Unit purpose and aim(s)
- ◆ Unit start date
- ◆ Details of the relationship between the unit and relevant national occupational standards or other professional standards or curricula
- ◆ Requirements about the way a unit might be assessed
- ◆ Support/endorsement for the unit from a sector or other appropriate body
- ◆ Location of the unit within the subject/sector classification system

Level descriptors

To assist in ensuring consistency of assessment decisions across different centres/assessors/verifiers, level descriptors for each of the levels are provided below. Each level has been divided into knowledge and understanding descriptors and skills descriptors.

Level	Knowledge descriptor (the learner ...)	Skills descriptor (the learner can ...)
Entry 1	Progresses along a continuum that ranges from the most elementary of achievements to beginning to make use of knowledge and/or understanding that relate to the subject or immediate environment.	Progress along a continuum that ranges from the most elementary of achievements to beginning to make use of skills that relate to the subject or the immediate environment.
Entry 2	Has basic knowledge or understanding of a subject and/or can carry out simple familiar tasks; and knows the steps needed to complete simple activities.	Carry out simple, familiar tasks and activities. Follow instruction or use rehearsed steps to complete tasks and activities.
Entry 3	Has basic knowledge and understanding to carry out structured tasks and activities in familiar contexts; and knows and understands the steps needed to complete structured tasks and activities in familiar contexts.	Carry out structured tasks and activities in familiar contexts. Be aware of the consequences of actions for self and others.
Level 1	Has basic factual knowledge of a subject and/or knowledge of facts, procedures and ideas to complete well-defined routine tasks and address simple problems; and is aware of aspects of information relevant to the area of study or work.	Use basic cognitive and practical skills to complete well-defined routine tasks and procedures. Select and use relevant information. Identify whether actions have been effective.
Level 2	Has knowledge and understanding of the facts, procedures and ideas in an area of study or field of work to complete well-defined tasks and address straightforward problems. Can interpret relevant information and ideas. Is aware of a range of information that is relevant to the area of study or work.	Select and use relevant cognitive and practical skills to complete well-defined generally routine tasks and address straightforward problems. Identify, gather and use relevant information to inform actions. Identify how effective actions have been.

Level	Knowledge descriptor (the learner ...)	Skills descriptor (the learner can ...)
Level 3	<p>Has factual, procedural and theoretical knowledge and understanding of a subject or field of work to complete tasks and address problems that while well-defined, may be complex and non-routine.</p> <p>Can interpret and evaluate relevant information and ideas.</p> <p>Is aware of the nature of the area of study or work.</p> <p>Is aware of different perspectives or approaches within the area of study or work.</p>	<p>Identify, select and use appropriate cognitive and practical skills, methods and procedures to address problems that while well-defined, may be complex and non-routine.</p> <p>Use appropriate investigation to inform actions.</p> <p>Review how effective methods and actions have been.</p>
Level 4	<p>Has practical, theoretical or technical knowledge and understanding of subject or field of work to address problems that are well defined but complex and non-routine.</p> <p>Can analyse, interpret and evaluate relevant information and ideas.</p> <p>Is aware of the nature of approximate scope of the area of study or work.</p> <p>Has an informed awareness of different perspectives or approaches within the area of study or work.</p>	<p>Identify, adapt and use appropriate cognitive and practical skills to inform actions and address problems that are complex and non-routine while normally fairly well-defined.</p> <p>Review the effectiveness and appropriateness of methods, actions and results.</p>
Level 5	<p>Has practical, theoretical or technological knowledge and understanding of a subject or field of work to find ways forward in broadly defined, complex contexts.</p> <p>Can analyse, interpret and evaluate relevant information, concepts and ideas.</p> <p>Is aware of the nature and scope of the area of study or work.</p> <p>Understands different perspectives, approaches or schools of thought and the reasoning behind them.</p>	<p>Determine, adapt and use appropriate methods, cognitive and practical skills to address broadly defined, complex problems.</p> <p>Use relevant research or development to inform actions.</p> <p>Evaluate actions, methods and results.</p>

Level	Knowledge descriptor (the learner ...)	Skills descriptor (the learner can ...)
Level 6	<p>Has advanced practical, conceptual or technological knowledge and understanding of a subject or field of work to create ways forward in contexts where there are many interacting factors.</p> <p>Understands different perspectives, approaches or schools of thought and the theories that underpin them.</p> <p>Can critically analyse, interpret and evaluate complex information, concepts and ideas.</p>	<p>Determine, refine, adapt and use appropriate methods and advanced cognitive and practical skills to address problems that have limited definition and involve many interacting factors.</p> <p>Use and, where appropriate, design relevant research and development to inform actions.</p> <p>Evaluate actions, methods and results and their implications.</p>
Level 7	<p>Reformulates and uses practical, conceptual or technological knowledge and understanding of a subject field of work to create ways forward in contexts where there are many interacting factors.</p> <p>Critically analyses, interprets and evaluates complex information, concepts and theories to produce modified conceptions.</p> <p>Understands the wider contexts in which the area of study or work is located.</p> <p>Understands current developments in the area of study or work.</p> <p>Understands different theoretical and methodological perspectives and how they affect the area of study or work.</p>	<p>Use specialised skills to conceptualise and address problematic situations that involve many interacting factors.</p> <p>Determine and use appropriate methodologies and approaches.</p> <p>Design and undertake research, development or strategic activities to inform or produce change in the area of work or study.</p> <p>Critically evaluate actions, methods and results and their short and long-term implications.</p>
Level 8	<p>Develops original, practical, conceptual or technological understanding to create ways forward in contexts that lack definition and where there are many complex, interacting factors.</p> <p>Critically analyses, interprets and evaluates complex information, concepts and theories to produce new knowledge and theories.</p>	<p>Use advanced and specialised skills and techniques to conceptualise and address problematic situations that involve many complex, interacting factors.</p> <p>Formulate and use appropriate methodologies and approaches.</p> <p>Initiate, design and undertake research, development or strategic activities that extend or produce significant change in the field of work or study.</p>

Level	Knowledge descriptor (the learner ...)	Skills descriptor (the learner can ...)
	<p>Understands and reconceptualises the wider contexts in which the field of knowledge or work is located.</p> <p>Extends a field of knowledge or work by contributing original knowledge and thinking.</p> <p>Exercise critical understanding of different theoretical and methodological perspectives and how they affect the field of knowledge or work.</p>	<p>Critically evaluate actions, methods and results and their short and long-term implications for the field of work or knowledge and its wider context.</p>

3 Who is involved in the qualification?

There are several roles:

Learner: the person who wants to achieve the qualification (eg an employee).

Assessor: the person who assesses the learner and decides if they are competent (eg supervisor or lecturer).

Internal verifier: an individual nominated by the learner's centre (eg a company or a college) who ensures that all assessors apply the standards uniformly and consistently (eg this could be the assessor's line manager).

External verifier: an individual appointed by SQA who ensures that standards are being applied uniformly and consistently across all centres offering the qualification.

Requirements specific to Regulated Qualifications delivered in England and Wales this qualification

The assessment approaches required across different units within Regulated Qualifications in England and Wales may vary. For example, some units will have knowledge-based assessments, whereas others may have performance-based approaches.

In some qualifications, for example, where 'NVQ' is employed in the title, we must also apply any requirements specified by the relevant Sector Skills Council (SSC), Standard Setting Body (SSB) or other professional bodies in their assessment strategy/principles; these outline the way in which units are to be assessed.

Where assessment strategies/principles apply, these can be located on the relevant qualification page of SQA's website.

The steps involved in assessing a learner for a Regulated qualification in England and Wales

In deciding whether a learner should gain a qualification, assessors will go through the following stages:

- ◆ plan for assessment
- ◆ confirm that learners understand what is to be assessed and that they know how to identify and gather evidence for assessment
- ◆ ensure that the conditions and all of the resources required for assessments are available
- ◆ help learners to generate and collect evidence of their competence in the units
- ◆ judge the evidence of the learner's ability and make an assessment decision based on the evidence
- ◆ provide feedback to learners throughout the assessment process
- ◆ record the assessment decision and the learner's achievement

Why would people be interested in the qualification?

People will take regulated vocational qualifications for a variety of reasons: to gain promotion, to prepare for an occupational role, or for personal development. There will be other reasons too. One of the first things to do is to find out why the learners want to do the qualification, and to advise them of the appropriateness of the qualification. If anyone is acting as a coach or mentor to the learners, they might help you to do this.

How do learners begin?

Choosing the right qualification

You should make sure that learners get guidance before starting out on this qualification — they need advice to ensure, for example, their existing job remit, skills, experience, and their plans for progression, are matched to the qualification 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 learner are also considered.

4 Preparing to assess the qualification

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

Your role and the learner's role

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

Your role

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

The learner's role

- ◆ prepare for assessment — become familiar with the units, 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 the learner 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 learner.

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

As you are planning assessment, do not 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 learning outcomes. It can be a practical and cost-effective way of assessing the learner's competence.

To help you plan for assessment, we have produced an assessment plan which covers a typical health and safety unit. It is included as guidance only and examples relevant to this unit are used throughout the rest of this assessment guidance.

Structure of the unit

Unit title	Promote a Culture of Health and Safety in the Workplace
Unit level	3
Credit	4
Guided learning hours	18

Learning outcome — the learner will:	Assessment criteria — the learner can:
1 Be able to develop plans to promote a health and safety culture in the workplace.	<p>1.1 Identify where improvements and changes may be necessary.</p> <p>1.2 Identify how information on health and safety instructions and regulations are currently communicated.</p> <p>1.3 Identify current level of understanding and support for health and safety instructions and procedures.</p> <p>1.4 Develop a plan based on findings to include performance measures, review dates and resources.</p> <p>1.5 Include in the plan opportunities for promoting the advantages and legal necessity of following health and safety procedures.</p>
2 Implement the plan to promote a health and safety culture in the workplace.	<p>2.1 Present the plan to the responsible people for the workplace to gain their support.</p> <p>2.2 Identify those in the workplace who will require advice about the plan to promote a health and safety culture in the workplace.</p> <p>2.3 Ensure that relevant information and advice is provided at a timely way and provide opportunities for encouraging ideas on good practice.</p> <p>2.4 Measure the effectiveness of the plan against past and present performance.</p>

Assessment plan

Unit	Promote a Culture of Health and Safety in the Workplace				
Learning outcomes	1 Be able to develop plans to promote a health and safety culture in the workplace. 2 Implement the plan to promote a health and safety culture in the workplace.				
Activities	Assessment criteria	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units (assessment criteria)
Conduct a review of currently available health and safety documentation and procedures to ensure understanding (ie staff handbooks, induction information, etc).	1.2	Review documentation (product evidence) Question and answer	By 24/01/2019 09/02/2019 (first review)		
Conduct a review of the working environment.	1.2	Observation of review Question and answer	21/01/2019 21/01/2019		
Devise a questionnaire for all staff to identify current level of understanding and support. Staff complete questionnaire.	1.3	Questionnaire (product evidence)	By 24/01/2019		
Attend health and safety meetings.	1.2	Personal statement	By 24/01/2019		
Develop a plan based on findings.	1.1, 1.4, 1.5, 2.2	Plan	By 18/02/2019		

Assessment plan (cont)

Activities	Assessment criteria	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units (assessment criteria)
Present plan to the responsible people.	2.1	Observation of presentation. Witness testimony of those 'presented' to.	22/02/2019		
Run focus groups with staff to ensure relevant information and advice is provided.	2.3	Observation of focus group.	16/03/2019		
Staff complete questionnaire to compare against previous findings. Conduct a re-review of working environment.	2.4	Findings of completed questionnaire compared to previous results (product evidence).	By 20/03/2019		
Use performance measures as indicated in plan (such as % of dangerous occurrences) to measure effectiveness of plan.	2.4	Report on performance measure comparisons (product evidence).	By 20/03/2019		

Assessor's signature *Peter Hoskins* **1st review due** *09/02/2019*
Learner's signature *Paul Lee* **2nd review due** *16/03/2019*
Date of agreement *05/01/2019* **Date of completion** *01/04/2019*

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 units
- ◆ By *reliable* we mean that the assessment method should ensure consistent results when used with different learners, 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 learner, 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 qualifications in the workplace, or in conditions in the workplace. When you select methods of assessment, you should try to offer the learner the benefits of workplace assessment and minimise any potential difficulties.

The benefits might be:

- ◆ familiarity with working environment
- ◆ familiarity between learner and assessor
- ◆ assessment supports valid work practices

The challenges might be:

- ◆ staff co-operation to complete required documentation/provide information
- ◆ time commitments

Example

You could agree with a learner working in an engineering firm who has to ensure that relevant information and advice on health and safety is provided in a timely way, that this will be carried out by **observation** when situations arise. If you are an assessor who is working alongside the learner you should be well placed to observe the learner's performance, perhaps using a prepared checklist, and to question the learner about the situation afterwards.

Methods of assessment

Assessment may involve a range of assessment methods. For regulated vocational qualifications, 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 learner
- ◆ arranging to visit when naturally-occurring activities are carried out by the learner
- ◆ 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 learners as they carry out naturally occurring activities.

Example

Observation could be used for assessment of this unit in a variety of ways such as:

- ◆ Assessor could observe the learner undertaking a review of the work environment. The learner is undertaking this review to identify how information on health and safety instructions and regulations are currently communicated. The assessor can note if the learner 'misses' any key factors to support this assessment criteria and can also use question and answer techniques alongside this observation to see what the learner did/did not notice.
- ◆ Assessor could observe the learner presenting the plan resulting from the findings of the review to the responsible people. The structure and the clarity of this presentation would be important for the assessor to observe.

Product evidence

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

Example

- ◆ The plan to promote a health and safety culture.
- ◆ A questionnaire for all staff to identify how information on health and safety instructions and regulations are currently communicated.
- ◆ Report on performance measures comparison (past and present performance) to review the effectiveness of the plan.

Questioning

Learners have to show that they can meet the knowledge specifications for the qualifications. Much of a learner'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 learners 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 qualification and become a barrier to fair assessment. For example, some learners will feel more comfortable with oral questions than written.

Example

Oral questioning examples for this unit:

- Q** Whilst observing you undertaking your review of the workplace, I noticed you referenced a trip hazard as a potential problem. Could you explain how you would provide support/information to promote a culture of health and safety so that such a hazard is removed?
- A** I would talk to the staff about both short and long-term solutions to the problem, asking them why the trip hazard is there in the first place. If it needs to stay there, then in the short-term they need to look at adequate signage, but in the long-term there needs to be a solution that removes the trip hazard, this may involve moving equipment, adding extra plug sockets, etc.
- Q** Having completed your review, how would you rate the way health and safety information is currently communicated to the workforce within your organisation?
- A** I'd say that currently the communication with regard to health and safety is adequate; there are some good practices, but there are also plenty of opportunities for improvement.

Other methods of assessment

These methods, like questioning, are often used for authentication. See Section 6 for more about authenticating learners' evidence.

Personal statements

You might sometimes find it helpful to ask a learner 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 learners 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.

Example

A personal statement could be used as part of the assessment methodology for this unit to provide an opportunity for the learner to 'write up'/evaluate his attendance at the health and safety meeting. The learner could be asked to include this in their personal statement showing how the meeting contributed to the plan. Similarly, following the focus groups a personal statement could provide evidence of findings and why the learner then suggested particular activities within the plan.

Witness testimony

For practical reasons, you may not be able to observe all the activities carried out by your learners, but might feel that other people may be able to provide a statement on what your learners 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 learners. If witness testimony is used, you should, ideally, identify witnesses and opportunities for using their testimony as part of assessment planning.

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

Strongest	Someone with considerable occupational expertise in the learner's area of work and who is familiar with the units. This person may also be an appropriately qualified assessor and internal verifier.
	Someone with considerable occupational expertise in the learner's area of work and who is familiar with the units.
	Someone with considerable occupational expertise in the learner's area of work, but with no knowledge of the units.
	Someone who may be a colleague of the learner, but with no knowledge of the units.
Weakest	Someone with no or little knowledge of the learner's work or no knowledge of the units.

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

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 learner in real work. Examples might be where the standards require learners to carry out emergency or contingency procedures, or where client confidentiality is an issue, or where a learner's job role does not cover all aspects of the qualification.

More information on the use of simulation, including when it is not permitted, and the description of a realistic working environment can be found in the assessment strategy.

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.

5 Generating evidence

The methods of assessment you use should generate sufficient evidence to demonstrate the learner'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 learner responses
- ◆ personal statement (produced by the learner)
- ◆ witness testimony

There are blank forms which you can copy and use 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/learning outcome(s)	Promote a Culture of Health and Safety in the Workplace
Learner	Paul Lee
Evidence index number	4
Date of observation	21/01/2019

Skills/activities observed	Assessment criteria covered
<p>A thorough review of the workplace environment was carried out by Paul. This review included the observation of current posters, signage, etc that was displayed in the environment. Paul also spoke to several employees to ask them about how information on instructions and regulations was communicated to them.</p> <p>Paul made comprehensive notes during the review.</p>	<p>1.2 Identify how information on health and safety instructions and regulations are currently communicated.</p> <p>1.3 Identify current level of understanding and support for health and safety instructions and procedures.</p>

Knowledge and understanding apparent from this observation
<p>Current communication strategies in respect of health and safety Paul completed a thorough review which will support the development of a plan to promote a health and safety culture within the organisation.</p> <p>Current level of understanding and support for health and safety instructions and procedures Through his insightful discussions with employees as he conducted his review Paul was able to identify the current level of understanding and support for health and safety within the organisation which will all make a valuable contribution to the development of his plan.</p>

Other units/learning outcomes to which this evidence may contribute

Assessor's comments and feedback to learner
<p>The review and supporting notes you have completed Paul clearly demonstrate that you can: identify how instructions and regulations are currently communicated and where improvements and changes may be necessary.</p> <p>Well done.</p>

I can confirm the learner's performance was satisfactory.

Assessor's signature Peter Hoskins **Date** 21/01/2019

Learner's signature Paul Lee **Date** 21/01/2019

Questions and learner responses

This form can be used to record any questions you might ask the learner to establish what they know and understand. You should note the learner'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 learner written questions, this form could also be used.

Record of questions and learner's answers

Unit	Promote a Culture of Health and Safety in the Workplace
Learning outcome(s)	
Evidence index number	6
Circumstances of assessment	
<p>First review session with learner.</p> <p>(Considering Assessment Criteria: 1.2 and 1.3 in particular)</p>	
List of questions and learner's responses	
Q	Having completed your review of the workplace how would you rate the way health and safety information is currently communicated to the workforce within your organisation? Can you support your view?
A	I'd say that currently the communication with regard to health and safety is adequate, there are some good practices, but there are also plenty of opportunities for improvement.
Q	Having completed your review, spoken to employees and collated the results of your questionnaire what would you say is the current level of understanding and support for health and safety instructions and procedures?
A	Generally the understanding of health and safety instructions and procedures is good. All employees remembered the information they had been given at induction, they could show me the relevant sections within the staff handbook and they were aware of the importance of health and safety. However in some of the operational areas there are instances where standards have begun to slip and shortcuts are being made. When I develop my plan I will need to focus on opportunities for promoting the advantages and legal necessity of following health and safety procedures. I'm sure management will support me with this.

Assessor's signature Peter Hoskins **Date** 16/03/2019

Learner's signature Paul Lee **Date** 16/03/2019

Learner's personal statement

If a personal statement is being used as evidence, it should be completed by the learner. 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 learner 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, learning outcomes, assessment criteria covered
24/01/2019	5	<p>Having attended the health and safety meeting today, I have been able to identify further how information on health and safety instructions and regulations are currently communicated. I think the meeting also improved my awareness of the current level of understanding and support for health and safety. Clearly the management team is very supportive of all health and safety issues and this was highlighted in a report discussed at the meeting about an incident at another factory.</p> <p>The meeting has also clarified my thoughts on providing opportunities to promote the advantages and legal necessity of following health and safety procedures. Having attended the meeting I feel more able to include these in my plan.</p>	4 and 6	1.2

Learner's signature

Paul Lee

Date

24/01/2019

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 learner'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 learner (eg supervisor, client) address, telephone number and the date. There is space for this information in the form.

Witness testimony

Qualification title and level	Promote a Culture of Health and Safety in the Workplace
Learner's name	Paul Lee
Evidence index number	7
Index number of other evidence which this testimony relates to (if any)	
Learning outcome(s)	
Date of evidence	18/02/2019
Name of witness	Dave Mulvaney (on behalf of senior management team)
Designation/relationship to learner	Senior manager responsible for health and safety, line manager of Paul Lee
Details of testimony	
<p>Paul has provided a very insightful and detailed plan to support the promotion of a culture of health and safety within the organisation. Paul has made some good recommendations about how the communication of health and safety information could be improved; he has based this on some sound research, including a detailed audit, discussions with staff and the results of a staff questionnaire. Paul has clearly used his knowledge and understanding of health and safety and the organisation to include within his plan new and innovative opportunities for promoting health and safety within the organisation.</p> <p>The senior management team has agreed Paul's plan and recommended that he takes this forward.</p>	

I can confirm the learner's performance was satisfactory.

Witness's signature Dave Mulvaney **Date** 24/02/2019

Witness (please select the appropriate box):

- Holds appropriate qualifications
- Is familiar with the units to which the learner is working

Filling the gaps

There may come a time when the learner has provided evidence for most of the unit (or qualification), 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.

You may be able to overcome this by extending the time period for the overall completion of the unit, so that the learner has adequate time to provide relevant information and advice when it is needed. If acceptable, evidence may be gathered through simulation or opportunities to take on different roles within the organisation.

Guidance and support to learners

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

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

6 Judging learner evidence and making an assessment decision

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

Evidence must:

- ◆ be relevant to qualification and be authentic
- ◆ show current competence
- ◆ be sufficient to help you form a decision about the learner's competence

Insufficient evidence

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

Where there is insufficient evidence, you should say this to the learner. 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 the learners must help them produce more evidence and/or plan for further assessment.

Authenticating learners' evidence

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

You can check whether a learner 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 learner.

Example

For this unit, the 'responsible people' in the organisation are in the best position to make observations regarding the content and suitability of the health and safety plan produced by the learner. Questioning the learner about approaches to developing the plan would also help to authenticate the evidence produced.

7 Recording achievement

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

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

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 the learners choose to use, the documents must show what evidence was generated, the assessment decisions you made, how the evidence meets the units, 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 learner's progress in achieving a qualification
- ◆ it helps learners 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 learners' evidence is incomplete, or cannot be located, or if there is inaccurate cross-referencing to the units, there is a risk that an internal verifier or external verifier will be unable to confirm your assessment decisions.

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

- ◆ Using the evidence index
- ◆ Completing the unit progress record
- ◆ Completing the learning outcome achievement record

Using the index of evidence

The purpose of the index of evidence is to help you locate and work through the learner's evidence. It should give you a summary of what evidence the learner 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 learner's evidence)

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

You must make sure that the information in the evidence index is accurate when the learners' 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 qualification, eg observation checklists, is filed in the learner's portfolio. In this way, the learner 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.

Completing the unit progress record

You should complete this form each time the learner achieves a unit from the qualification by adding your signature and the date next to the relevant unit.

At this stage, learners 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 learner is at in their qualification.

Unit progress record

Qualification and level _____

Learner

Paul Lee

To achieve the whole qualification, you must prove you have the necessary competence and/or knowledge and understanding required for insert number mandatory and insert number optional units as noted in the unit checklist grid below.

On completion, the learner will need to have achieved the minimum required insert number Guided Learning Hours (GLH) and insert number Total Qualification Time (TQT).

Unit checklist

Mandatory	F/601/6633							
Optional								

Mandatory units achieved

Unit number	Title	Assessor's signature	Date
F/601/6633	Promote a Culture of Health and Safety in the Workplace	<i>Peter Hoskins</i>	01/04/2019

Optional units achieved

Unit number	Title	Assessor's signature	Date

Completing the learning outcome achievement record

To help you and the learners cross-reference the evidence to the units of the qualification, we have provided records similar to those produced in the SQA portfolio. Use one record for each learning outcome. 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 assessment criteria

If integrated assessment is used (linking assessment criteria and learning outcomes 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.

Learning outcome achievement record

Unit Promote a Culture of Health and Safety in the Workplace

Learning outcome(s) Be able to develop plans to promote a health and safety culture in the workplace

Evidence Index No	Description of evidence	Assessment criteria					
		1.1	1.2	1.3	1.4	1.5	2.1
4	Observation record of workplace review		✓	✓			
5	Personal statement reflecting on health and safety meeting		✓				
6	Record of questions and answers		✓	✓			
7	Witness testimony of responsible people	✓	✓	✓	✓	✓	✓

Unit Promote a Culture of Health and Safety in the Workplace

Learning outcome(s) Be able to develop plans to promote a health and safety culture in the workplace

Notes/comments

Paul has worked conscientiously on this unit and produced some very good evidence that will benefit both himself and the organisation.

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

Learner's signature Paul Lee **Date** 04/04/2019

Assessor's signature Peter Hoskins **Date** 04/04/2019

Internal verifier's signature Sharon Moore **Date** 04/04/2019

8 Further information

What else should I read?

SQA has developed a wide range of generic guidance on assessment, verification, quality assurance, etc. The following publications provide additional information which would be beneficial in implementing regulated vocational qualifications. 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.

Assessment: A Guide for Centres Offering Ofqual Accredited Qualifications, FA5465, March 2015.

Internal Verification: A Guide for Centres Offering Ofqual Regulated Qualifications, FA5437, April 2010.

Special Consideration (Vocational and Occupational Qualifications) Procedure — Guidance for SQA Centres, FA5466A, April 2010.

Guide to Reasonable Adjustments in Ofqual Accredited Units and Qualifications, EA6058, March 2013.

Appendix 1: Blank recording forms

Observation record

Unit/learning outcomes(s) _____

Learner _____

Evidence index number _____

Date of observation _____

Skills/activities observed	Assessment criteria covered

Knowledge and understanding apparent from this observation

--

Other units/learning outcomes to which this evidence may contribute

--

Assessor's comments and feedback to learner

--

I can confirm the learner's performance was satisfactory.

Assessor's signature _____ Date _____

Learner's signature _____ Date _____

Record of questions and learner's answers

Unit	
Learning outcome(s)	
Evidence index number	
Circumstances of assessment	
List of questions and learner's responses	
Q	
A	

Assessor's signature _____ **Date** _____

Learner's signature _____ **Date** _____

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, learning outcomes, assessment criteria covered

Learner's signature _____ **Date** _____

Unit progress record

Qualification and level _____

Learner _____

To achieve the whole qualification, you must prove competence in insert number mandatory units and insert number optional units.

On completion, the learner will have achieved a minimum of insert number Guided Learning Hours (GLH) with a Total Qualification Time (TQT) of insert number hours.

Unit checklist

Mandatory									
Optional									

Mandatory units achieved

Unit number	Title	Assessor's signature	Date

Optional units achieved

Unit number	Title	Assessor's signature	Date

Unit

Learning outcome(s)

Notes/comments

--

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

Learner's signature

Date

Assessor's signature

Date

Internal verifier's signature

Date
