



Learner Guidance and Portfolio for Regulated Qualifications in England and Wales

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Section 1 — General information about the qualification

Introducing qualification frameworks

Regulated qualifications are contained in frameworks which provide a single, simple system for cataloguing all qualifications regulated in England and Wales.

In England this is the Regulated Qualifications Framework (RQF).

In Wales this is the Regulated Pillar of the Credit and Qualifications Framework in Wales (CQFW).

How does it work?

All regulated qualifications have a Total Qualification Time (TQT) value that tells you roughly how long it takes to complete. Each unit and qualification also has its own level, between entry level and level 8, to show how difficult it is.

The names of all the qualifications are set out the same and tell you three things — how difficult it is, how long it takes and what it's about.

The **level** shows how difficult the qualification is. There is an entry level, split into three sub levels and eight full levels in these frameworks.

Next is **the size** — that's how long the qualification takes to complete and is expressed as Total Qualification Time. Every qualification comes in one of three sizes — Award, Certificate or Diploma. Awards are made up of up to 120 hours learning (or 1–12 credits), Certificates 130 to 369 hours learning (or 13–36 credits) and Diplomas 370 or more hours learning (or 37 credits or more). Credit is also applied to qualifications and their units, being TQT divided by 10.

Finally **the content** — that's what it's about — could be retail, or leadership, or maybe sport. Here are two examples of qualification titles, showing how the three parts fit together:

Level 1	Certificate	In Sport and Active Leisure
Level 8	Award	In Strategic Direction and Leadership

So if you were doing the level 1 Certificate in Sport and Active Leisure, you could include a unit on how the body works, which has a credit value of 4. This would take you 40 hours to complete.

Regulated qualifications

A regulated qualification is a qualification which assesses the skills and knowledge people have and need to perform their job role effectively. The qualification is designed using National Occupational Standards (NOS).

For each industry sector there is a Sector Skills Council (SSC) which is made up of representatives from the industry or profession and it is the SSC's responsibility to develop the national occupational standards.

These standards define what employees, or potential employees, must be able to do, how well and in what circumstances to show they are competent in their work.

Access to the qualification is open to all and you can be assessed either against particular unit(s) or against the full qualification. There are no entry requirements, no prescribed method of delivery, and no time constraints for completion.

Who offers these qualifications?

An organisation which offers these qualifications is called a centre. This may be a college, university, employer, training provider or a combination of these. The centre has responsibility for the quality of the qualification and is required to work within an awarding body's policies and guidelines.

The Scottish Qualifications Authority (SQA) is your awarding organisation for the qualification you are undertaking. This means that we are an organisation approved by the qualification regulators to design qualifications and awards. An awarding organisation endorses learners' certificates so that an employer can be sure the qualification has gone through a rigorous and effective assessment process. SQA provides qualifications throughout the world.

How are units defined in this qualification?

Each unit in this qualification 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	One credit equals TQT divided by 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 unit also provides the following information:

- ◆ 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

How are these qualifications achieved?

When you consistently meet the skills, knowledge and understanding described in the learning outcomes and show you have met the assessment criteria, you can then claim that you are *competent* in each unit. Your centre will register your claim to competence through the awarding organisation. The awarding organisation you are registered with for this qualification is the Scottish Qualifications Authority (SQA).

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The process of gaining this qualification is flexible and depends on your needs. At the beginning of the process your assessor will review your existing competence in relation to the standards and identify the most suitable qualification. The level you start at will depend on the type and breadth of your current job role together with your past experience, skills and any relevant prior learning.

To achieve a unit, you must:

- ◆ Demonstrate you meet the requirements of the unit by achieving all the learning outcomes and assessment criteria by collecting appropriate evidence to meet all assessment criteria. This evidence is assessed against the requirements of the unit by a qualified assessor. This will usually be someone who knows you, such as a manager, supervisor or lecturer.

Evidence may come from:

- ◆ the **Recognition of Prior Learning (RPL)** — where evidence relates to past experience or achievements
- ◆ **current practice** — where evidence is generated from a current job role
- ◆ a **programme of development** — where evidence comes from assessment opportunities built into a learning/training programme whether at or away from the workplace
- ◆ a combination of these

How are these qualifications assessed?

Assessment is based on what you can do and what you know, it involves you, your assessor, an internal verifier and an external verifier — see ‘Who does what in these qualifications’ on the following page.

Assessment is flexible and you can be certificated for each unit you successfully achieve, even if you do not complete the full qualification. There is no set period of time in which you need to complete a unit. However, you and your assessor should still set target dates for completing each unit, otherwise your qualification could go on forever. Be realistic though, as there are many factors such as your previous experience, demands within your workplace and an availability of resources which will affect how quickly you are able to achieve the qualification.

Who does what in these qualifications?

A number of individuals and organisations have parts to play in the assessment. Their roles have been designed to guarantee fair, accurate and consistent assessment.

	Who are they?	What is their role?
Learners	The person who wants to achieve the qualification — in this case, you.	Need to show they can perform to assessment criteria in order to be awarded a unit(s) or full qualification.
Assessors	An experienced person in the same area of work as the learner, eg supervisor.	<p>Judge the evidence of a learner's performance and knowledge and understanding against the units.</p> <p>Decide whether the learner has demonstrated competence.</p> <p>Provide guidance and support to the learner. Assist with planning assessments, giving feedback and recording learner progress.</p>
Internal verifiers	Individuals appointed by an approved centre to ensure the quality of assessment within the centre.	<p>Advise assessors and maintain the quality of assessment in a centre.</p> <p>Systematically sample assessments to confirm the quality and consistency of assessment decisions.</p>
Approved centres	Organisations approved by awarding bodies to co-ordinate assessment arrangements for the qualifications.	<p>Manage assessment on a day-to-day basis.</p> <p>Must have effective assessment practices and internal verification procedures.</p> <p>Must meet criteria laid down by awarding bodies and be able to provide sufficiently competent assessors and internal verifiers.</p>
External verifiers	Individuals appointed by the awarding body to ensure that standards are being applied uniformly and consistently across all centres offering the qualification.	<p>Check the quality and consistency of assessments, both within and between centres, by systematic sampling.</p> <p>Make regular visits to centres to ensure they still meet the criteria to deliver the qualifications.</p>

What is evidence?

To claim competence for a unit you need to gather evidence which shows you have met the standards. It is important that your evidence is easily understood so that it can be checked against the standards, by your assessor, your centre and the awarding body.

Evidence can take many forms including:

- ◆ direct observation of your performance by your assessor
- ◆ products of your work
- ◆ authenticated statement — witness testimony
- ◆ personal statement
- ◆ outcomes from questioning
- ◆ outcomes from simulation
- ◆ case studies
- ◆ assignments or projects
- ◆ Recognition of Prior Learning (RPL) — evidence from the past

It is important that your evidence is:

- ◆ **Valid** — it relates to the qualification standard you are trying to prove
- ◆ **Authentic** — the evidence, or an identified part of it (eg a report) was produced by you
- ◆ **Consistent** — achieved on more than one occasion
- ◆ **Current** — usually not more than two years old
- ◆ **Sufficient** — covers all the performance and knowledge requirements laid down in the standards

Your evidence may be collected through a range of sources, such as employment, voluntary work, training programmes and interests/activities which you perform outside your work. It can also be produced in various formats. For example your own reports, testimonies from colleagues, supervisors or members of the public, projects, models, audio tapes, photographs, videos.

When you first begin your qualification, you and your assessor should identify all the units and learning outcomes and where you can use **integration of assessment**. Further details about integration of assessment can be found on page 9.

Demonstrating knowledge, understanding and skills

In order to meet the unit, you may also be required to prove knowledge and understanding. Some qualifications have the skills and knowledge split into separate units while others have units which cover both skills and knowledge.

Evidence of how the knowledge has been achieved and applied could be included in the performance evidence as one or all of the following:

- ◆ descriptions of why a particular approach was used
- ◆ personal reports about the learning process
- ◆ reflective reports which include how a theory or principle was applied
- ◆ assessment interviews
- ◆ assessment tests
- ◆ responses to questioning

These should be included in your portfolio.

How will your assessor check you have the knowledge and understanding listed in the standards?

For some units, it will be clear to your assessor that you have the required knowledge and understanding from how you carry out your work. This is often referred to as *knowledge and understanding apparent from performance*. There will be other occasions though, when your assessor will be unsure if you know why, for example, it is important to give information to clients in certain situations. This could be because your assessor has not had the opportunity to observe all the assessment criteria during assessment. In these situations, your assessor may wish to assess your knowledge and understanding by asking you some questions. These questions can be given orally or in writing, but will be recorded in your portfolio as evidence.

Your assessor could also check you have the required level of knowledge and understanding by asking you to produce personal statements or to complete a project or assignment.

What if you have previous experience and knowledge and understanding from work and other qualifications?

If you have previous work experience, skills, and knowledge and understanding which you feel is relevant to your qualification, you should tell your assessor about it. Your assessor may ask you for more proof in the form of letters from previous employers/training providers or details about any courses you have completed.

The process of matching your previous experience and learning is often referred to as the Recognition of Prior Learning (RPL). The purpose of this process is to try and give you some credit towards your qualification for things you can already do. Your assessor judges the evidence available and matches it against the requirements of the qualification you are undertaking. This means that your assessor should not have to assess you for these things all over again.

However, the success of this process depends on you telling your assessor what previous work experience or knowledge and understanding you have and how you think it is relevant to your qualification. The more information you can supply to support your claims, the easier it should be to convince your assessor that you are competent.

There are some instances when previous learning and experience may not be used for Recognition of Prior Learning. These include:

- ◆ exemptions outlined in the qualification unit specifications where there are:
 - existing requirements for a licence to practice
 - specific health and safety requirements
 - regulated professional requirements
 - specific components of a programme of study which require placements within a given setting

Your assessor will be able to advise you.

When can simulation be used?

Throughout your qualification, the emphasis is on you being able to carry out real work activities so assessment will normally be carried out in the workplace itself.

There may be times, however, when it might not be appropriate for you to be assessed while you are working. For example your qualification might require you to carry out emergency or contingency procedures (for safety or confidentiality reasons) or your job role may not cover all aspects of the qualification. In such instances, when you have no other means of generating evidence, simulation might be appropriate.

Simulation is any structured exercise involving a specific task which reproduces real-life situations. Care must be taken though to ensure that the conditions in which you are assessed exactly mirror the work environment, ie it is a realistic working environment.

Your assessor will be able to advise what constitutes a realistic working environment in relation to this qualification. This information is contained in the assessment guidance.

Integration of assessment

It is not necessary for you to have each learning outcome assessed separately — doing so could result in assessment which takes too long and places too great a burden on you and your assessor.

There will be instances when you will be able to use one piece of evidence to prove your competence across different learning outcomes and assessment criteria. You may even find that evidence is relevant for different units — this is called integration of assessment.

When you first begin your qualification, you and your assessor will spend time looking at the standards, planning how much time you are both able to devote to the qualification and drawing up an action plan.

At this stage, you should identify any activities which relate to more than one unit or learning outcome and arrange for the best way to collect a single piece of evidence which satisfactorily covers all the assessment criteria.

If you are going to integrate assessments, make sure that the evidence is cross-referenced to the relevant units. Details of how to cross reference your evidence can be found in Section 2 'How to compile your portfolio'.

Section 2 — How to compile your portfolio

General information

A portfolio, like a log book, is a way of recording evidence of your achievements. It is a collection of different items of evidence which indicates that you have the required skills, knowledge and understanding to support your claim to a qualification.

The production of a well organised, clearly labelled portfolio which relates each piece of evidence to the relevant learning outcomes and assessment criteria requires a careful methodical approach. When your assessor looks through your portfolio, they will find the task of making judgements about your competence much easier if the information in it is presented in a logical sequence.

You will need to present your evidence in a format that is easy to read and in which materials can be added or taken away. This section gives suggestions on how to lay out and present your evidence. There are also forms and matrices which will assist you to chart your progress through the award.

You do not have to lay out your evidence in the way suggested but you may find it helpful to do so. Each portfolio will be different in content but all should include information about you (the learner), the organisation where you are undertaking your qualification, the assessor and so on.

Evidence collection process

What?	Who?
Assessment plan	You and your assessor
Collect evidence	You and your assessor if observation/questioning is required
Present evidence	You and your assessor
Reference acceptable evidence	Assessor will judge evidence and give you feedback on which evidence meets the standards
Record evidence in learning outcome achievement record	You
Store evidence in portfolio	You

Planning your portfolio

Start by carefully reading through the units making up the qualification and, together with your assessor, decide which units you might like to work on first. You do not have to do the units in order. There may be some units that relate to tasks which you carry out on a regular basis, therefore making it easier to collect evidence right away. Alternatively, there may be activities in other units which you only undertake now and again, these can be left until the opportunity arises for you to collect evidence.

Before you start looking for different kinds of evidence and deciding if they should be included in your portfolio, you will find it helpful to plan how you will carry out the tasks and how long they are going to take.

The plan is usually referred to as an 'assessment plan'. It should be produced in discussion with your assessor and will set out the different stages in developing your portfolio. You will probably want to produce a plan for each unit.

It is unlikely that you will be able to complete all of the units straightaway and you should therefore think about starting with those units where you have a lot of experience and in which you work well. You should also remember to identify any opportunities for integration of assessment.

We have provided you with a 'unit progress record' — see Example 2. At this stage, it might be a good idea to check that all your evidence and recording documents have been completed correctly and can easily be located.

Starting your portfolio

Make sure that you clearly label your portfolio with your name together with the title and level of the award.

Your portfolio will need a title page and a contents page. You should also complete a Personal Profile which records details about yourself and your job as well as providing information about your employer, training provider or college. Blank samples of these forms are provided in Section 4.

We recommend that you compile your portfolio in the following order:

Title page
Contents checklist
Personal profile
Unit progress record
Completed learning outcome achievement records
Index of evidence
Pieces of evidence
Glossary of terms
Standards

Contents checklist

You might also find it useful to complete the following checklist as you work your way through your portfolio. This will help you to see if you have included all the relevant items. Once you have completed your portfolio, you will be able to use this checklist again as a contents page, by inserting the relevant page or section numbers in the right hand column.

Section	Completed	Page/Section number
Title page for the portfolio		
Personal profile		
Your own personal details		
A brief CV or career profile		
A description of your job		
Information about your employer/training provider/college		
Unit assessment plans		
Unit progress record		
Completed learning outcome achievement records for each unit		
Signed by yourself, your assessor and the internal verifier (where relevant)		
Evidence reference numbers included		
Index of evidence (with cross-referencing information completed)		
Evidence (with reference numbers)		
Observation records		
Details of witnesses (witness testimony sheets)		
Personal statements		
Products of performance		

Collecting your evidence

All of the evidence which you collect and present for assessment must be relevant to your qualification. Your assessor will help you choose which pieces of evidence you should include.

We have provided blank forms in Section 4 of this document, which you can photocopy to help you record and present your evidence. Although we have provided you with sample forms, your centre may have their own recording documents which they would prefer you to use.

Some of these forms, eg observation records and the record of questions and answers will be completed by your assessor. Other forms (witness testimonies) will be used by people other than your assessor to testify that they have observed you doing your job, and there is one for you to complete called a personal statement.

Explanations are given below about how and when these forms should be used.

How to complete the index of evidence — Example 1

You should complete an index of evidence sheet and file it immediately before the actual pieces of evidence in your portfolio.

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)

Unit progress record — Example 2

The unit progress record is used by your assessor and each time you complete a unit, your assessor should sign and date the relevant section on the form. You can circle the reference number of the unit in the checkboxes at the top of the form so that you can see at a glance what stage you are at in your qualification.

You must make sure that the information contained in the evidence index is accurate when you give your portfolio to your assessor, particularly in relation to where the evidence can be located.

Completing the learning outcome achievement records — Example 3

There is a learning outcome achievement record for every learning outcome within this portfolio. These records have been designed to allow you to record the evidence you have gathered for each learning outcome. Each record has boxes across it which represents the assessment criteria and assessment requirements. Whilst collecting your evidence you should use these grids to display the assessment criteria and assessment requirement that piece of evidence relates to. In the first box write the evidence index number you have given to that piece of evidence.

In the second box give a brief description of the evidence, then tick against the relevant assessment criteria.

Personal statement — Example 4

There will be times when you need to put a piece of your evidence in context for your assessor so that they can decide if it is relevant to your qualification. You can complete personal statements to help you do this — these can relate either to the pieces of evidence or to each learning outcome or unit.

For example, you may refer to paperwork which is often used in your organisation to help you pass on information to a colleague. It may not be clear to an assessor why you are communicating to your colleague in this way and a brief explanation of the paperwork and why it is relevant to a particular part of your qualification may be required.

A personal statement might also be used to record your experience of something, such as, how you handled a specific situation. This can be documented in your personal statement and should be a description of what you did, how you did it and why you did it. It will also allow you to include the people who were present and either assisted you or witnessed your actions. This, in turn, might identify who you should approach for 'witness testimony'. In your personal statement you could also refer to product evidence that you have produced (eg reports, notes, completed forms), these can also be included as evidence in your portfolio.

The personal statement can be a piece of evidence in itself and should therefore be included in your portfolio.

Observation record — Example 5

The observation record is used by your assessor to record what tasks you have performed and to what standard. There is also a section for your assessor to note which other units or learning outcomes are covered by this evidence ('integration of assessment').

The assessor will discuss with you which assessment criteria you have successfully achieved and give you feedback. This form should then be given a reference number and included in your portfolio as part of your evidence.

Witness testimony — Example 6

There may be occasions when your assessor is not available to observe you carrying out certain aspects of your job. In such instances, it may be appropriate for another person to comment about your performance by completing a statement called a 'witness testimony'.

Witness testimony should only be used as supporting evidence and should:

- ◆ be provided by a person, not related to you, who is in a position to make a valid comment about your performance, eg supervisor, line manager or possibly a client/customer
- ◆ contain comments which specifically relate your performance to the standards
- ◆ be authenticated by the inclusion of the witness's signature, role, address, telephone number and the date

It is unlikely that your assessor would make an assessment decision based on witness testimony alone. They would normally supplement this type of evidence with questioning.

Record of questions and learner's answers — Example 7

This form is used to record any questions which your assessor may ask, to establish whether you have the required level of knowledge and understanding associated with each unit. There is also space on the form for your answers to be noted.

Presenting your evidence

It is important to present all of your evidence in a clear, consistent and legible manner. Your assessor will then find it much easier to make appropriate judgements about the quality, sufficiency and currency of the materials you are putting forward for consideration.

It is not necessary to produce all of your evidence in typewritten format — some hand-written pieces of evidence, such as notes, will be perfectly acceptable.

There may also be items of evidence which you cannot physically include in your portfolio. This might be for confidentiality reasons or it could be that something which you have produced as part of your day-to-day work is normally kept in a filing cabinet or stored electronically.

In compiling your portfolio, we suggest that anything you produce as part of your day-to-day work is kept in its normal location, but those pieces of evidence which have been produced specifically for your qualification, eg witness testimony statements or personal statements, are filed in your portfolio. However, assessors and verifiers should be able to locate and access your evidence at all times. It is, therefore, very important that you clearly reference every item of evidence.

Referencing your evidence

Your assessor, as well as the internal and external verifiers, will need to find their way around your portfolio, so you should give each piece of evidence a number.

Remember, that where you have used 'integration of assessment', you need to give details of all the units and learning outcomes which are linked to a specific piece of evidence. The links should be noted on the pieces of evidence themselves as well as on the index of evidence (cross-referencing).

Worked examples

To give you a clearer picture of how to compile your portfolio, you will find worked examples of the various forms over the next few pages. You should ask your assessor for further advice and support if you are still unsure about how to use the forms and who should complete them.

Examples provided are in the context of a typical Health and Safety unit.

Unit progress record — Example 2

Qualification and level _____

Learner Paul Lee

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	F/601/6633								
Optional									

Circle the reference numbers as you complete each unit. You can then easily see what stage you have reached in your certificate.

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

This section of the form is for your assessor to sign each time you successfully achieve a unit.

Optional units achieved

Unit number	Title	Assessor's signature	Date

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

Personal statement — Example 4

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

Observation record — Example 5

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

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.

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.

Other units/learning outcomes to which this evidence may contribute

Assessor's comments and feedback to learner

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.

Well done.

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

Witness testimony — Example 6

Qualification title and level	
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

Record of questions and learner's answers — Example 7

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

Section 3 — The units and recording documents for your qualification

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.

Please note the table below shows the SSC identification codes listed alongside the corresponding SQA unit numbers. It is important that the SQA unit numbers are used in all your recording documentation and when your results are communicated to SQA. SSC identification codes are **not valid** in these instances.

Unit checklist — circle the reference number of each unit as you complete it.

Mandatory								
Optional								

Mandatory units — all units should be completed

SQA unit number	Regulatory unit number	SSC unit number	Level	Credit points	Title	Assessor	Internal verifier	Date

Optional units — learners must achieve insert number of the following units

SQA unit number	Regulatory unit number	SSC unit number	Level	Credit points	Title	Assessor	Internal verifier	Date

Glossary of terms

Advisor	A person who carries out, either singly or in combination, the functions of advising a learner, collecting evidence of his or her competence on behalf of the assessor and authenticating the work learners have undertaken. A mentor might also provide witness testimony.
Assessment	The process of generating and collecting evidence of a learner's performance and judging that evidence against defined criteria.
Assessment criteria	Statements which describe the standard to which learners must perform the activities which are stated in the learning outcome.
Authentication	The process by which an advisor or assessor confirms that an assessment has been undertaken by a learner and that all regulations governing the assessment have been observed.
Centre	The college, training organisation or workplace where SQA qualifications are delivered and assessed.
Evidence	Materials the learner has to provide as proof of his or her competence against specified assessment criteria.
External verifier	The person appointed by SQA who is responsible for the quality assurance of a centre's provision. An external verifier is often appointed on a subject area basis or for cognate groups of units.
Internal verifier	The person appointed from within the centre who ensures that assessors apply the standards uniformly and consistently.
Learner	The person enrolling for an SQA qualification.
Learning outcomes	Statements which defines the products of learning. They describe the activities the learner has to perform to achieve the unit, and contain assessment criteria.
Observation	A means of assessment in which the learner is observed carrying out tasks that reflect the learning outcomes and assessment criteria.
Portfolio	A compilation of evidence which can form the basis for assessment. The portfolio is commonly used in competence-based qualifications and in alternative routes to assessment such as RPL and credit transfer.
Product evaluation	A means of assessment which enables the quality of a product produced by the learner, rather than the process of producing it, to be evaluated.

Appendix 1: Blank recording forms

This section consists of the blank forms referred to in Section 2 for you to photocopy. You may find these useful when compiling your portfolio.

Portfolio title page

Your name	
Job title	
Name of employer/training provider/college	
Their address	
Telephone number	
Qualification	
Level	
Units submitted for assessment	
Mentor's name	
(Please provide details of mentor's experience)	

Assessor's signature _____ **Date** _____

Assessor's name _____

Personal profile

Name	
Address	
Postcode	
Home telephone	
Work telephone	
Job title	

Relevant experience

Description of your current job	
Previous work experience	
Qualifications and training	
Voluntary work/interests	

Personal profile (cont)

Name of employer/training provider/college	
Address	
Postcode	
Telephone number	
Type of business	
Number of staff	
Structure of organisation (include chart or diagram if available)	

Contents checklist

You might also find it useful to complete the following checklist as you work your way through your portfolio. This will help you to see if you have included all the relevant items. Once you have completed your portfolio, you will be able to use this checklist again as a contents page by inserting the relevant page or section numbers in the right-hand column.

Section	Completed	Page/Section number
Title page for the portfolio		
Personal profile		
Your own personal details		
A brief CV or career profile		
A description of your job		
Information about your employer/training provider/college		
Unit assessment plans		
Unit progress record		
Completed learning outcome achievement records for each unit		
Signed by yourself, your assessor and the internal verifier (where relevant)		
Evidence reference numbers included		
Index of evidence (with cross-referencing information completed)		
Evidence (with reference numbers)		
Observation records		
Details of witnesses (witness testimony sheets)		
Personal statements		
Products of performance		

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** _____

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** _____

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
