



Assessor's Guidelines for the SVQs 3 and 4 in Construction Contracting Operations

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Contents

About this guide	1
Introduction	2
About SVQs and the SCQF	2
How are standards defined in SVQs?	4
Who is involved in SVQs?	4
The steps involved in assessing a candidate for an SVQ	5
1 The SVQs in Construction Contracting Operations	6
Structure of the SVQs	7
An Assessment Strategy for the SVQ	21
Why would people be interested in the SVQ?	22
How do candidates begin?	22
Choosing the SVQ	22
2 Preparing to assess the SVQ	26
Planning	27
Assessment plan	28
Selecting methods of assessment	29
Methods of assessment	30
Observation	30
Product evidence	31
Questioning	32
Other methods of assessment	33
Personal statements	33
Witness testimony	34
Simulation	35
Other sources of evidence	35
3 Generating evidence	36
Observation	37
Questions and candidate responses	40
Candidate's personal statement	42
Witness testimony	44
Filling the gaps	47
Guidance and support to candidates	47
Judging candidate evidence and making an assessment decision	47
Insufficient evidence	48
Authenticating candidates' evidence	48
4 Recording achievement	49
Completing the Unit progress record	50
Using the index of evidence	52
Completing the Element achievement record	54
5 Further information	57
What else should I read?	57
Appendix 1: Blank recording forms	58

About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ 3 and 4 Construction Contracting Operations SCQF levels 6 and 8**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

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

Introduction

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

About SVQs and the SCQF

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

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

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

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

Each Unit defines one aspect of a job or work-role, and says what it is to be competent in that aspect of the job. To be awarded a full SVQ, learners must achieve each of the SVQ Units which make it up by demonstrating that they are competent in that aspect of the job. The Units which make up the SVQ can also be taken as freestanding awards. Some SVQs or SVQ Units are incorporated into other awards or programmes including HNCs and Modern Apprenticeships.

Explanation of levels

SVQ1 (SCQF level 4)	Competence involves the application of knowledge and skills in the performance of a range of varied work activities, most of which may be routine or predictable.
SVQ2 (SCQF level 5)	Competence involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. At this level, there will be activities, which are complex or non-routine and there is some individual responsibility and autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.
SVQ3 (either SCQF level 6 or 7)	Competence involves the application of knowledge and skills in a broad range of varied work activities, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often present.
SVQ4 (either SCQF level 8 or 9)	Competence involves the application of knowledge and skills in a broad range of complex technical or professional work activities, performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.
SVQ5 (SCQF level 11)	Competence involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal accountability.

For further information on SCQF go to www.scqf.org.uk.

How are standards defined in SVQs?

All SVQs consist of standards which can be broken down into various parts.

Units define the broad functions carried out in the sector, and are made up of a number of Elements. These **Elements** describe the activities which employees have to perform, and will require candidates to demonstrate certain skills or knowledge and understanding.

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

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

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

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

Who is involved in SVQs?

There are several roles:

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

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

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

The steps involved in assessing a candidate for an SVQ

In deciding whether a candidate should get an SVQ, you will go through these stages:

- ◆ planning for assessment
- ◆ generating and collecting evidence of the candidate's competence in the Units
- ◆ judging the evidence of the candidate's ability and making an assessment decision based on the evidence
- ◆ recording the assessment decision and the candidate's achievement

1 The SVQs in Construction Contracting Operations

The national occupational standards for the SVQs in Construction Contracting Operations have been developed by practising technicians supported by the relevant professional institutions, employer bodies, the Construction Industry Council and ConstructionSkills. They are intended for people in technical roles within a wide range of functions, and are particularly aimed at those operating in building (general and house building) and those in civil engineering working within a contracting organisation.

These people may be working as estimators, quantity surveyors, buyers and planners. They will require specific skills and knowledge in health, safety and welfare, in addition to administrative and logistical skills. To provide greater flexibility there are a range of routes with various options to fit the expected requirements of the SVQ candidate, including a general route. In order to meet requirements for evidence, some candidates may need to widen their current job roles to achieve appropriate evidence.

The SVQs are designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the SVQs are likely to be delivered include: contractors' offices, site accommodation and further education colleges or an appropriate combination of these.

Structure of the SVQs

This section lists the Units which form the SVQs in Construction Contracting Operations.

SVQ Construction Contracting Operations: Site Technical Support level 3 (G95L 23)

Candidates are required to complete five mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F08A 04	6	12	C01	Operate Health, Safety and Welfare Systems
F08C 04	6	14	C02	Prepare Programmes and Schedules of Work
F07R 04	6	10	C03	Develop and Maintain Working Relationships of Personal Development
F512 04	6	12	O10	Implement Contract Work
F513 04	6	15	O11	Establish and Maintain the Dimensional Control of Works

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F515 04	6	15	O04	Prepare for, Collect, Analyse and Present Survey Data
F517 04	6	13	O05	Record the Condition of Property
F50S 04	6	15	O06	Prepare Drawings and Schedules
F519 04	6	15	O07	Prepare and Process Estimate, Bid and Tender Enquiries
F50Y 04	6	15	O08	Prepare Tenders
F51B 04	6	10	O09	Prepare for and Organise Work Operations
F51C 04	6	12	O12	Prepare for, Carry Out and Present Results of Physical Testing
F51D 04	6	15	O13	Plan, Review and Monitor Project Methods and Progress
F089 04	6	12	O14	Monitor, Maintain and Improve Supplies of Materials
F08D 04	6	12	O15	Recommend, Monitor and Improve Supplies of Plant and Equipment

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F088 04	6	15	O16	Monitor Costs, Accounts and Claims
F07N 04	6	10	O17	Control Expenditure and Income
F51E 04	6	10	O18	Lead the Work of Teams and Individuals to Achieve their Objectives
F51F 04	6	10	O19	Identify, Assess and Agree Customer Requirements for Products and Services
F51G 04	6	12	O20	Recommend, Advise on and Determine the Selection and Design of Products and Services
F51H 04	6	10	O21	Agree Proposals for the Provision of Products and Services
F51J 04	6	10	O22	Provide Information and Advice on Products and Services

SVQ 3 Construction Contracting Operations: Buying SCQF level 6 (GC29 23)

Candidates are required to complete five mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F08A 04	6	12	C01	Operate Health, Safety and Welfare Systems
F08C 04	6	14	C02	Prepare Programmes and Schedules of Work
F07R 04	6	10	C03	Develop and Maintain Working Relationships of Personal Development
F089 04	6	12	O14	Monitor, Maintain and Improve Supplies of Materials
F08D 04	6	12	O15	Recommend, Monitor and Improve Supplies of Plant and Equipment

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F515 04	6	15	O04	Prepare for, Collect, Analyse and Present Survey Data
F517 04	6	13	O05	Record the Condition of Property
F50S 04	6	15	O06	Prepare Drawings and Schedules

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F519 04	6	15	O07	Prepare and Process Estimate, Bid and Tender Enquiries
F50Y 04	6	15	O08	Prepare Tenders
F51B 04	6	10	O09	Prepare for and Organise Work Operations
F512 04	6	12	O10	Implement Contract Work
F513 04	6	15	O11	Establish and Maintain the Dimensional Control of Works
F51C 04	6	12	O12	Prepare for, Carry Out and Present Results of Physical Testing
F51D 04	6	15	O13	Plan, Review and Monitor Project Methods and Progress
F088 04	6	15	O16	Monitor Costs, Accounts and Claims
F07N 04	6	10	O17	Control Expenditure and Income
F51E 04	6	10	O18	Lead the Work of Teams and Individuals to Achieve their Objectives
F51F 04	6	10	O19	Identify, Assess and Agree Customer Requirements for Products and Services
F51G 04	6	12	O20	Recommend, Advise on and Determine the Selection and Design of Products and Services
F51H 04	6	10	O21	Agree Proposals for the Provision of Products and Services
F51J 04	6	10	O22	Provide Information and Advice on Products and Services

SVQ 3 Construction Contracting Operations: Estimating SCQF level 6 (GC2A 23)

Candidates are required to complete five mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F08A 04	6	12	C01	Operate Health, Safety and Welfare Systems
F08C 04	6	14	C02	Prepare Programmes and Schedules of Work
F07R 04	6	10	C03	Develop and Maintain Working Relationships of Personal Development
F519 04	6	15	O07	Prepare and Process Estimate, Bid and Tender Enquiries
F50Y 04	6	15	O08	Prepare Tenders

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F515 04	6	15	O04	Prepare for, Collect, Analyse and Present Survey Data
F517 04	6	13	O05	Record the Condition of Property
F50S 04	6	15	O06	Prepare Drawings and Schedules
F51B 04	6	10	O09	Prepare for and Organise Work Operations
F512 04	6	12	O10	Implement Contract Work
F513 04	6	15	O11	Establish and Maintain the Dimensional Control of Works
F51C 04	6	12	O12	Prepare for, Carry Out and Present Results of Physical Testing
F51D 04	6	15	O13	Plan, Review and Monitor Project Methods and Progress
F089 04	6	12	O14	Monitor, Maintain and Improve Supplies of Materials
F08D 04	6	12	O15	Recommend, Monitor and Improve Supplies of Plant and Equipment
F088 04	6	15	O16	Monitor Costs, Accounts and Claims
F07N 04	6	10	O17	Control Expenditure and Income

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F51E 04	6	10	O18	Lead the Work of Teams and Individuals to Achieve their Objectives
F51F 04	6	10	O19	Identify, Assess and Agree Customer Requirements for Products and Services
F51G 04	6	12	O20	Recommend, Advise on and Determine the Selection and Design of Products and Services
F51H 04	6	10	O21	Agree Proposals for the Provision of Products and Services
F51J 04	6	10	O22	Provide Information and Advice on Products and Services

SVQ 3 Construction Contracting Operations: General SCQF level 6 (GC2C 23)

Candidates are required to complete three mandatory Units and three optional Units.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F08A 04	6	12	C01	Operate Health, Safety and Welfare Systems
F08C 04	6	14	C02	Prepare Programmes and Schedules of Work
F07R 04	6	10	C03	Develop and Maintain Working Relationships of Personal Development

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F515 04	6	15	O04	Prepare for, Collect, Analyse and Present Survey Data
F517 04	6	13	O05	Record the Condition of Property
F50S 04	6	15	O06	Prepare Drawings and Schedules
F519 04	6	15	O07	Prepare and Process Estimate, Bid and Tender Enquiries
F50Y 04	6	15	O08	Prepare Tenders
F51B 04	6	10	O09	Prepare for and Organise Work Operations
F512 04	6	12	O10	Implement Contract Work

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F513 04	6	15	O11	Establish and Maintain the Dimensional Control of Works
F51C 04	6	12	O12	Prepare for, Carry Out and Present Results of Physical Testing
F51D 04	6	15	O13	Plan, Review and Monitor Project Methods and Progress
F089 04	6	12	O14	Monitor, Maintain and Improve Supplies of Materials
F08D 04	6	12	O15	Recommend, Monitor and Improve Supplies of Plant and Equipment
F088 04	6	15	O16	Monitor Costs, Accounts and Claims
F07N 04	6	10	O17	Control Expenditure and Income
F51E 04	6	10	O18	Lead the Work of Teams and Individuals to Achieve their Objectives
F51F 04	6	10	O19	Identify, Assess and Agree Customer Requirements for Products and Services
F51G 04	6	12	O20	Recommend, Advise on and Determine the Selection and Design of Products and Services
F51H 04	6	10	O21	Agree Proposals for the Provision of Products and Services
F51J 04	6	10	O22	Provide Information and Advice on Products and Services

SVQ 3 Construction Contracting Operations: Planning SCQF level 6 (GC2D 23)

Candidates are required to complete five mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F08A 04	6	12	C01	Operate Health, Safety and Welfare Systems
F08C 04	6	14	C02	Prepare Programmes and Schedules of Work
F07R 04	6	10	C03	Develop and Maintain Working Relationships of Personal Development
F50Y 04	6	15	O08	Prepare Tenders
F51D 04	6	15	O13	Plan, Review and Monitor Project Methods and Progress

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F515 04	6	15	O04	Prepare for, Collect, Analyse and Present Survey Data
F517 04	6	13	O05	Record the Condition of Property
F50S 04	6	15	O06	Prepare Drawings and Schedules
F519 04	6	15	O07	Prepare and Process Estimate, Bid and Tender Enquiries
F51B 04	6	10	O09	Prepare for and Organise Work Operations
F512 04	6	12	O10	Implement Contract Work
F513 04	6	15	O11	Establish and Maintain the Dimensional Control of Works
F51C 04	6	12	O12	Prepare for, Carry Out and Present Results of Physical Testing
F089 04	6	12	O14	Monitor, Maintain and Improve Supplies of Materials
F08D 04	6	12	O15	Recommend, Monitor and Improve Supplies of Plant and Equipment
F088 04	6	15	O16	Monitor Costs, Accounts and Claims
F07N 04	6	10	O17	Control Expenditure and Income
F51E 04	6	10	O18	Lead the Work of Teams and Individuals to Achieve their Objectives
F51F 04	6	10	O19	Identify, Assess and Agree Customer Requirements for Products and Services
F51G 04	6	12	O20	Recommend, Advise on and Determine the Selection and Design of Products and Services
F51H 04	6	10	O21	Agree Proposals for the Provision of Products and Services
F51J 04	6	10	O22	Provide Information and Advice on Products and Services

SVQ 3 Construction Contracting Operations: Surveying SCQF level 6 (GC2E 23)

Candidates are required to complete five mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F08A 04	6	12	C01	Operate Health, Safety and Welfare Systems
F08C 04	6	14	C02	Prepare Programmes and Schedules of Work
F07R 04	6	10	C03	Develop and Maintain Working Relationships of Personal Development
F088 04	6	15	O16	Monitor Costs, Accounts and Claims
F07N 04	6	10	O17	Control Expenditure and Income

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F515 04	6	15	O04	Prepare for, Collect, Analyse and Present Survey Data
F517 04	6	13	O05	Record the Condition of Property
F50S 04	6	15	O06	Prepare Drawings and Schedules
F519 04	6	15	O07	Prepare and Process Estimate, Bid and Tender Enquiries
F50Y 04	6	15	O08	Prepare Tenders
F51B 04	6	10	O09	Prepare for and Organise Work Operations
F512 04	6	12	O10	Implement Contract Work
F513 04	6	15	O11	Establish and Maintain the Dimensional Control of Works
F51C 04	6	12	O12	Prepare for, Carry Out and Present Results of Physical Testing
F51D 04	6	15	O13	Plan, Review and Monitor Project Methods and Progress
F089 04	6	12	O14	Monitor, Maintain and Improve Supplies of Materials
F08D 04	6	12	O15	Recommend, Monitor and Improve Supplies of Plant and Equipment

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F51E 04	6	10	O18	Lead the Work of Teams and Individuals to Achieve their Objectives
F51F 04	6	10	O19	Identify, Assess and Agree Customer Requirements for Products and Services
F51G 04	6	12	O20	Recommend, Advise on and Determine the Selection and Design of Products and Services
F51H 04	6	10	O21	Agree Proposals for the Provision of Products and Services
F51J 04	6	10	O22	Provide Information and Advice on Products and Services

SVQ 4 Construction Contracting Operations: Buying SCQF level 8 (GC4K 24)

Candidates are required to complete seven mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM74 04	8	10	O01	Maintain Health, Safety and Welfare Systems
FM79 04	8	10	O02	Manage the Performance of Teams and Individuals
FM6E 04	7	8	O03	Chair Meeting and Take Decisions
FM6T 04	7	8	O04	Enhance Working Relationships
FM70 04	9	18	O07	Identify, Assess and Evaluate Project Requirements
FM71 04	8	18	O11	Implement Strategic and Integrated Supply Chain Management and Sourcing Partnerships
FM6C 04	8	12	O15	Analyse, Monitor and Optimise Materials, Plant and Services

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM7F 04	8	14	O05	Plan Measured Surveys
FM6D 04	8	12	O06	Ascertain the Condition of Property
FM6M 04	9	20	O08	Develop and Agree Detailed Projects Designs
FM7M 04	8	18	O09	Specify and Control Production Documents
FM7K 04	8	18	O10	Prepare Procurement Schedules and Programmes of Works
FM7D 04	8	12	O12	Obtain Tenders and Appoint Successful Contractors
FM6X 04	8	12	O13	Evaluate Enquiries and Submit Tenders
FM6W 04	8	12	O14	Evaluate and Confirm Work Methods and Programme
FM6H 04	7	10	O16	Control Contract Work
FM7E 04	8	12	O17	Optimise and Control Contract Progress and Costs
FM7G 04	8	12	O18	Prepare and Agree Contract Accounts and Claims

SVQ 4 Construction Contracting Operations: Estimating SCQF level 8 (GC4L 24)

Candidates are required to complete seven mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM74 04	8	10	O01	Maintain Health, Safety and Welfare Systems
FM79 04	8	10	O02	Manage the Performance of Teams and Individuals
FM6E 04	7	8	O03	Chair Meeting and Take Decisions
FM6T 04	7	8	O04	Enhance Working Relationships
FM70 04	9	18	O07	Identify, Assess and Evaluate Project Requirements

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM7D 04	8	12	O12	Obtain Tenders and Appoint Successful Contractors
FM6X 04	8	12	O13	Evaluate Enquiries and Submit Tenders

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM7F 04	8	14	O05	Plan Measured Surveys
FM6D 04	8	12	O06	Ascertain the Condition of Property
FM6M 04	9	20	O08	Develop and Agree Detailed Projects Designs
FM7M 04	8	18	O09	Specify and Control Production Documents
FM7K 04	8	18	O10	Prepare Procurement Schedules and Programmes of Works
FM71 04	8	18	O11	Implement Strategic and Integrated Supply Chain Management and Sourcing Partnerships
FM6W 04	8	12	O14	Evaluate and Confirm Work Methods and Programme
FM6C 04	8	12	O15	Analyse, Monitor and Optimise Materials, Plant and Services
FM6H 04	7	10	O16	Control Contract Work
FM7E 04	8	12	O17	Optimise and Control Contract Progress and Costs
FM7G 04	8	12	O18	Prepare and Agree Contract Accounts and Claims

SVQ 4 Construction Contracting Operations: General SCQF level 8 (GC4M 24)

Candidates are required to complete four mandatory Units and four optional Units.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM74 04	8	10	O01	Maintain Health, Safety and Welfare Systems
FM79 04	8	10	O02	Manage the Performance of Teams and Individuals
FM6E 04	7	8	O03	Chair Meeting and Take Decisions
FM6T 04	7	8	O04	Enhance Working Relationships

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM7F 04	8	14	O05	Plan Measured Surveys
FM6D 04	8	12	O06	Ascertain the Condition of Property
FM70 04	9	18	O07	Identify, Assess and Evaluate Project Requirements
FM6M 04	9	20	O08	Develop and Agree Detailed Projects Designs
FM7M 04	8	18	O09	Specify and Control Production Documents
FM7K 04	8	18	O10	Prepare Procurement Schedules and Programmes of Works
FM71 04	8	18	O11	Implement Strategic and Integrated Supply Chain Management and Sourcing Partnerships
FM7D 04	8	12	O12	Obtain Tenders and Appoint Successful Contractors
FM6X 04	8	12	O13	Evaluate Enquiries and Submit Tenders
FM6W 04	8	12	O14	Evaluate and Confirm Work Methods and Programme
FM6C 04	8	12	O15	Analyse, Monitor and Optimise Materials, Plant and Services
FM6H 04	7	10	O16	Control Contract Work

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM7E 04	8	12	O17	Optimise and Control Contract Progress and Costs
FM7G 04	8	12	O18	Prepare and Agree Contract Accounts and Claims

SVQ 4 Construction Contracting Operations: Planning SCQF level 8 (GC4N 24)

Candidates are required to complete seven mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM74 04	8	10	O01	Maintain Health, Safety and Welfare Systems
FM79 04	8	10	O02	Manage the Performance of Teams and Individuals
FM6E 04	7	8	O03	Chair Meeting and Take Decisions
FM6T 04	7	8	O04	Enhance Working Relationships
FM70 04	9	18	O07	Identify, Assess and Evaluate Project Requirements
FM7K 04	8	18	O10	Prepare Procurement Schedules and Programmes of Works
FM6W 04	8	12	O14	Evaluate and Confirm Work Methods and Programme

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM7F 04	8	14	O05	Plan Measured Surveys
FM6D 04	8	12	O06	Ascertain the Condition of Property
FM6M 04	9	20	O08	Develop and Agree Detailed Projects Designs
FM7M 04	8	18	O09	Specify and Control Production Documents
FM71 04	8	18	O11	Implement Strategic and Integrated Supply Chain Management and Sourcing Partnerships

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM7D 04	8	12	O12	Obtain Tenders and Appoint Successful Contractors
FM6X 04	8	12	O13	Evaluate Enquiries and Submit Tenders
FM6C 04	8	12	O15	Analyse, Monitor and Optimise Materials, Plant and Services
FM6H 04	7	10	O16	Control Contract Work
FM7E 04	8	12	O17	Optimise and Control Contract Progress and Costs
FM7G 04	8	12	O18	Prepare and Agree Contract Accounts and Claims

SVQ 4 Construction Contracting Operations: Surveying SCQF level 8 (GC4P 24)

Candidates are required to complete seven mandatory Units and one optional Unit.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM74 04	8	10	O01	Maintain Health, Safety and Welfare Systems
FM79 04	8	10	O02	Manage the Performance of Teams and Individuals
FM6E 04	7	8	O03	Chair Meeting and Take Decisions
FM6T 04	7	8	O04	Enhance Working Relationships
FM7M 04	8	18	O09	Specify and Control Production Documents
FM7E 04	8	12	O17	Optimise and Control Contract Progress and Costs
FM7G 04	8	12	O18	Prepare and Agree Contract Accounts and Claims

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FM7F 04	8	14	O05	Plan Measured Surveys
FM6D 04	8	12	O06	Ascertain the Condition of Property
FM70 04	9	18	O07	Identify, Assess and Evaluate Project Requirements
FM6M 04	9	20	O08	Develop and Agree Detailed Projects Designs
FM7K 04	8	18	O10	Prepare Procurement Schedules and Programmes of Works
FM71 04	8	18	O11	Implement Strategic and Integrated Supply Chain Management and Sourcing Partnerships
FM7D 04	8	12	O12	Obtain Tenders and Appoint Successful Contractors
FM6X 04	8	12	O13	Evaluate Enquiries and Submit Tenders
FM6W 04	8	12	O14	Evaluate and Confirm Work Methods and Programme
FM6C 04	8	12	O15	Analyse, Monitor and Optimise Materials, Plant and Services
FM6H 04	7	10	O16	Control Contract Work

An Assessment Strategy for the SVQ

As part of its review of the SVQs, the standards-setting body CITB-Construction Skills has developed an Assessment Strategy which defines a range of requirements:

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

The relevant parts of the Assessment Strategy can be downloaded from SQA's website: www.sqa.org.uk. Both SQA and centres must comply with these requirements.

Why would people be interested in the SVQ?

People will take SVQs for a variety of reasons: to gain promotion, to prove their job competence, or for personal development. There will be other reasons too. One of the first things to do is to find out why your candidates want to do the SVQ, and to advise them of the appropriateness of the qualification. If anyone is acting as a coach or mentor to your candidates, they might help you to do this.

How do candidates begin?

Choosing the SVQ

You should make sure that candidates get guidance before starting out on an SVQ — they need advice to ensure that their existing job remit, skills, experience, and their plans for progression, are matched to the SVQ selected. It does not have to be you, as the assessor, who carries out the matching process, but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

Example 1

David had worked as a surveyor for two years with a firm of building and civil engineering contractors. He did not possess any formal management or supervisory qualifications. He wanted to do a qualification that would give him national recognition of the skills he already possessed. David had a lot of prior experience in working on construction projects as a tradesperson and now had two years' supervisory experience behind him.

The Training and Development Manager in his company, after consultation with a local professional training agency, advised him to consider an SVQ in Construction Contracting Operations at level 3. They both agreed that David could, in the future, aspire to be a Contracts Manager with the firm. The SVQ could be a significant landmark on the road to such a career progression. David was duly enrolled and inducted into the SVQ programme with the private training agency. This training agency appointed one specific assessor to David to support and guide him through the formal assessment process. When the assessor matched David's job remit and existing skills and experience with the SVQ, it emerged that David should be able to generate enough evidence to meet the requirements of the following SVQ Units:

- ◆ C01 *Operate Health, Safety and Welfare Systems*
- ◆ O14 *Monitor, Maintain and Improve Supplies of Materials*

The Training and Development Manager arranged for a mentor within the company to provide David with guidance on how to collect evidence and construct a portfolio to achieve these Units. David also had some experience in relation to three further Units, however, some planning was required to provide him with the opportunity to demonstrate competence in these areas:

- ◆ C03 *Develop and maintain Working Relationships of Personal Development*
- ◆ C02 *Prepare Programmes and Schedules of Work*
- ◆ O15 *Recommend, Monitor and Improve Supplies of Plant and Equipment*

The Training and Development Manager arranged for the assessor to accompany David on a tour to observe and assess him for the first of these Units. For this Unit he would also have to liaise more closely with his contracts manager and the firm's senior surveyor, both of whom had a greater knowledge of David's skills and abilities. In addition the firm's recently introduced staff development and appraisal system had focused its attention so far on senior management and contracts managers, and it was agreed that David should be given a comprehensive introduction to and overview of the SDA regime by the Training and Development Manager.

For the second Unit it was decided that David would play a more significant role in assessing work methods and resources and applying the firm's existing systems and procedures to new projects under consideration. This would require David to get involved with such planning at an earlier stage than he currently was. The Training and Development Manager would recommend such an approach to the contracts manager and senior surveyor so that David could gain experience in the relevant Elements of the Unit and prove his competence against the standards.

Finally, since David's job remit would not cover all the areas of the SVQ, the Training and Development Manager arranged for him to shadow a senior estimator. This was to enable David to participate in observation and practice in relation to the company on how to monitor plant and equipment supplied, in addition to the effects of recommending particular plant and equipment for tasks, enabling David to understand better the impact that decisions on plant and equipment selection have on project productivity and costs.

All of these arrangements were agreed by everyone involved and then written up in an assessment plan for David. David would meet with his assessor on a regular basis to review evidence produced for both informal and formal assessment.

Example 2

Diane had joined one of the leading stone masonry contractors in central Scotland straight from school. She had gained a number of Standard Grades but had decided not to do any Highers or go to university. She was appointed as Office Junior and after six months was assigned to the Estimating Department to work alongside the Senior Surveyor and the three other Surveyors. She showed considerable aptitude for the work in the department and over the next ten years gained considerable knowledge and experience of the many aspects of estimating, surveying and contract management in which the company was involved. Due to her contribution to the installation and operation of the computer-based programmes for estimating and surveying, she was promoted to the post of Assistant Surveyor.

Diane held no formal qualifications in any of the subject areas in which she worked, but it was felt, by both the Chief Surveyor and the Training Manager, that her knowledge and skills should be rewarded by some form of national qualification.

The Training Manager, in conjunction with the Curriculum Manager in the local FE college identified several SVQs which were available and could be appropriate for Diane. At her next annual review, it was agreed that Diane would pursue an SVQ in Construction Contracting Operations in Surveying at level 4 as this was related to her current job remit, existing skills and the future direction of her career within the company. It was considered that Diane could easily generate sufficient evidence from her current portfolio of work to satisfy the requirements of the following SVQ Units:

- ◆ C01 *Maintain Health, Safety and Welfare Systems*
- ◆ O09 *Specify and Control Production Documents*
- ◆ O17 *Optimise and Control Contract Progress and Costs*

The company agreed to enrol Diane as a student with the local FE college on the appropriate SVQ. The college in turn, would appoint an assessor and an internal verifier to support Diane through the appropriate academic and assessment processes for the duration of the SVQ. In addition, one of the more experienced surveyors in the department would be appointed as mentor to Diane to guide her in the gathering of evidence and production of her portfolio. After induction into the SVQ programme, the assessor, mentor and Diane met to review and agree a suitable assessment plan for her. Diane could demonstrate knowledge and skills related to several other Units as follows:

- ◆ C02 *Manage the Performance of Teams and Individuals*
- ◆ C03 *Chair Meetings and Take Decisions*
- ◆ C04 *Enhance Working Relationships*

- ◆ O18 *Prepare and Agree Contract Accounts and Claims*
- ◆ O07 *Identify, Assess and Evaluate Project Requirements*

From the review, it was established that there were gaps in Diane's experience in some aspects of each of these Units. This prompted the production of a staff development programme for her which would allow her to gain the necessary knowledge and skills to complete the Elements of the SVQ.

In respect of Units C02 and C04, which refer to workforce relationships and management, a suitable programme of formal, theoretical education was balanced with exposure to practical management situations with both domestic and independent contractors. Finally, Diane would be given responsibility for a small but high-quality stone replacement project which could allow her to demonstrate and evidence the techniques and skills required to manage a workforce and satisfy the Elements in both Units.

For Units C03, O18 and O07, Diane would have to take a leading role in a forthcoming project in order to generate the required evidence. It was agreed that she would 'shadow' her mentor for a time and then be appointed to a proposed development as Project Surveyor. Her mentor would then observe and counsel Diane as she led the project from inception to completion. The evidence accrued would easily satisfy the array of Elements within the three Units.

After all the information had been assimilated, an Assessment Plan was drawn up for Diane. Throughout, the assessor would meet with Diane on a regular basis to review progress and carry out the formal assessment processes. Support, feedback and guidance would be given as necessary and progress reports relayed to the Training Manager as required.

2 Preparing to assess the SVQ

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

Your role and your candidate's role

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

Your role

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

Candidates' role

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

Planning

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

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

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

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

To help you plan for assessment, we have produced an assessment plan which covers Unit C02 *Prepare Programmes and Schedules of Work*. You will notice that we have included spaces to enter dates when the assessment plan has been reviewed. Any gaps identified during these reviews should be discussed with your candidates and noted for action in the assessment plan.

Assessment plan

Units: C02 Prepare Programmes and Schedules of Work					
Elements: C02.1 Obtain the information needed to take critical decisions					
Activities	Performance Criteria	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PCs and range)
Meeting with senior estimator — minor project let on drawings and specifications	C02.1 (a)	Direct observation and product evidence with questioning	08/01/07	Filed records from previous projects	C03.1 PCs (a), (b) and (d)
Review drawings and specification to compile risk factors and investigate queries, specifically looking to identify unusual or hard to obtain materials	C02.1 (b), (c), (d), (e), (f)	Product evidence		Written reports from previous projects	C03.2 PCs (a), (b), (f), (g)
Investigation of appropriate work methods and alternative materials where permitted	C02.1 (b), (c), (d), (e), (f)	Product evidence		Written reports from previous projects	C03.2 PCs (a), (b), (f), (g)
Meeting with senior estimator to make recommendations based on investigations related to proposed materials and work methods	C02.1 (e)	Direct observation and product evidence with questioning		Filed records from previous projects	C03.1 PCs (a), (b) and (d)
Questioning for knowledge and understanding not apparent from performance to be identified from second review.					

Assessor's signature: *E W Thomson*

Candidate's signature: *David Simpson*

Date of agreement: 8 January 2007

1st review due: *22 January 2007*

2nd review due:

Date of completion:

Selecting methods of assessment

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

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

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

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

The benefits might be:

- ◆ candidate's familiarity with their own working environment
- ◆ candidate's familiarity with assessor (this could also present a challenge)
- ◆ assessment progresses at candidate's own pace of learning
- ◆ proximity of resources in workplace
- ◆ relative informality of the processes

The challenges might be:

- ◆ candidates may change company regularly
- ◆ confidentiality, eg tender documents and/or pricing information
- ◆ pressure of work, eg company deadlines taking priority
- ◆ timing visits for specific assessments

Example 1

A candidate working as a buyer in a contractor's office has to demonstrate how they can obtain sufficient information from various sources to make relevant, accurate and timely decisions on appropriate materials purchases. You might agree that this will be carried out by *observation* at appropriate times. If you are an assessor who is working alongside the candidate you should be well placed to observe the candidate's performance, perhaps using a prepared checklist, and to question the candidate about the situation afterwards.

Example 2

A candidate employed as a surveyor in a building contractor's office, involved in the procurement and management of construction projects, needs to be able to demonstrate that he or she can contribute significantly to the management of contracts from inception to completion. Evidence will be required to confirm that the candidate can develop strategies to monitor, control and record progress of the works against an agreed programme. As an assessor appointed by a training establishment or FE college, you may agree that certain types of product evidence such as critical path analysis, minutes of meetings and progress reports would be acceptable. That evidence could be further verified by observation, witness reports and questioning of the candidate.

Methods of assessment

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

Observation

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

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

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

Example 1

An assessor could observe a candidate preparing product evidence when carrying out materials enquiries and compiling results of the enquiries. This could include logging of telephone calls, e-mails, researching manufacturers' product literature, checking websites and possibly visiting manufacturers' premises for samples. In addition, observation could cover how accurately the candidate records data and subsequently stores it in accordance with organisational and other necessary requirements for later use. The candidate can also be observed carrying out necessary checks on implications for handling, storage and safety of materials when comparing for purposes of selection and use.

Example 2

An assessor could observe a candidate on site, in his or her management role, applying routine management strategies to promote, monitor, control and record progress. These could include site meetings, visual inspections and review of programmes against actual progress records. Further, observation could cover how the candidate controlled and directed the workforce, plant and equipment and other resources in the day-to-day operation of the construction site. The candidate can also be observed compiling the necessary records of the various activities which have been implemented in accordance with the company's standard procedures. These can be used as product evidence which confirms the observation report.

Product evidence

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

- ◆ a buyer could produce a materials ordering schedule in order to purchase the necessary materials for a project at the appropriate times for delivery and use — contributing to C02 *Prepare Programmes and Schedules of Work*
- ◆ a surveyor could be expected to produce an interim valuation or final account for a small project — contributing to O16 *Monitor Costs, Accounts and Claims*
- ◆ letters, memos, e-mails and other written correspondence can provide evidence for C03 *Develop and Maintain Working Relationships of Personal Development*
- ◆ the pre-tender health and safety plan and construction phase health and safety plan can contribute to C01 *Operate Health, Safety and Welfare Systems*
- ◆ confirmation of verbal instruction (CVI) sheets can be part of confirming project requirements (C02.3)

Questioning

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

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

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

Example 1

A candidate has been tasked with carrying out a materials ordering schedule for the refurbishment of a disused mansion house that is listed as part of an old hospital complex that is in a poor condition. The building has been deemed to have considerable development potential but there are specific requirements to ensure appropriate use of materials to meet various stakeholder interests and to stay within particular cost limitations.

Questioning the candidate will confirm that they know what appropriate actions are necessary before commencing a check on the nature, availability and costs of materials for sourcing in conjunction with the necessary documentation to complete an accurate and cost effective materials ordering schedule.

A discerning assessor would be seeking to reassure themselves that prior to commencing a materials schedule, that all appropriate actions had been taken into account before ordering any materials survey to avoid unnecessary purchase of materials that may not be reusable on other projects or returnable once purchased.

Questions that could confirm underpinning knowledge in the above situation could include:

- ◆ Who would you need to contact in order to ensure that appropriate requirements for incorporation of materials on a listed building is complied with?
- ◆ Would it be appropriate for you to visit the site? Why?
- ◆ Who would you contact to ensure that you had accurate quantities for the purposes of ordering appropriate amounts of materials?
- ◆ How would you deal with inconsistencies in data between your observations and existing data?

- ◆ How would you ensure that materials you were ordering matched, where required, existing materials?

What specific factors would you consider to protect the health and safety of others when investigating the materials to be used?

Example 2

A candidate has been asked to devise a comprehensive programme plan for a prospective building project based only on drawings and specifications. The firm is very keen to be awarded the contract. The plan is likely to be brought to an adjudication meeting at which senior management will discuss the costs, timescales and risk factors.

Questions that may confirm underpinning knowledge and understanding in the above situation include:

- ◆ What sources of labour and plant outputs would be used to compile the programme plan?
- ◆ How do you ensure that the time calculated for the overall plan is as short as reasonably possible?
- ◆ At what time in the planning process will you make allowances for:
 - geographical location
 - seasonal weather conditions
 - supply lead times
 - statutory requirements
 - contractual limitations/restrictions
 - planned overtime
- ◆ How do you go about identifying the key or critical activities in your plan?

Other methods of assessment

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

Personal statements

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

A personal statement may be used effectively as a source of evidence when, for example, an urgent request to process a variation has arisen. Normally the candidate might like to give the assessor the opportunity to observe them identifying the variation and investigating the incident. In this case there might not have been time to call in the assessor. It could also be that the assessor was otherwise involved with something which they could not leave at short notice. Direct observation would not be possible in this situation, making a personal statement from the candidate useful.

Witness testimony

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

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

Strongest	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards. This person may also be an assessor or internal verifier qualified with the A/V Units or 'D-Units'.
	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.
	Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.
	Someone who may be a colleague of the candidate, but with no knowledge of the standards.
Weakest	Someone with no or little knowledge of the candidate's work or no knowledge of the standards.

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

A situation where witness testimony could be used is where you have missed an opportunity for observation. The candidate's performance might have been witnessed by reliable sources within the firm. For example, the

contracts manager might have seen the candidate react to identifying an opportunity to improve output of plant and equipment. The witness testimony might be useful for O15.2 (c) which requires candidates to identify changes to improve the use of plant and discuss and agree changes.

Simulation

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

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

The CIC Standards Committee has defined what it regards as simulation, and has specified in the standards when simulation is and is not acceptable. The standards also state when candidates must demonstrate competence in the workplace.

For more details on simulation and what constitutes performance in the workplace, look at the Assessment Strategy on SQA's website: **www.sqa.org.uk**.

Care must be taken to ensure that simulation is not used where it is not permitted. In situations where simulation is permitted the following guidance is provided. Where something is a relatively rare occurrence in the candidate's workplace and the organisation has its own standard paperwork to cover the situation for which an Element is required, it is possible to provide the candidate with a simulation to complete the necessary paperwork and use as evidence.

Other sources of evidence

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

SQA's *Guides to Assessment and Quality Assurance* (see section 5) have more advice on methods of assessment and how to ensure that your assessment is valid, reliable and practicable.

3 **Generating evidence**

The methods of assessment you use should generate sufficient evidence to demonstrate the candidate's competence.

Given the nature of the industry, it is inevitable that experience, knowledge and skills are relevant and transferable to many of the Units in the award. It follows that evidence produced for an Element in one Unit could also relate to an Element in some other Unit within the structure. It is essential that all evidence is clearly referenced to each Element in each Unit to which it is related.

We described earlier the circumstances in which you might choose to use different methods of assessment. Starting on the next page, this section gives you examples of forms which you can use to record and present evidence of:

- ◆ observation (by the assessor)
- ◆ questions and candidate responses
- ◆ personal statement (produced by the candidate)
- ◆ witness testimony

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

Observation

For observation, note that the form asks you to record the skills and activities observed. This helps you to make a judgement on how the activity was carried out and what it demonstrates.

The Buying option has been chosen for the purposes of this particular example observation.

Observation record

Unit/Element(s): O14.1

Candidate: John McCairn

Date of observation: 25 January 2007

Evidence index number: 10

Skills/activities observed:	PCs covered:
<p>Chair meeting to discuss purchasing plan and evaluate progress of purchasing plan for Waterfront retail development. Follow standing agenda and AOCB.</p>	<p>Contributes towards</p> <ul style="list-style-type: none"> (a) user feedback and quantities for the delivery of supplies and lead times (b) developing an accurate purchasing plan by analysing design information, technical criteria and projected supply requirements (c) identifying what opportunities there are for standardising to economise on usage, cost and environmental impact (d) checking from the purchasing plan and preparing orders which meet the supply requirements (f) identifying any changes to minimise disruption to the project programme
<p>Knowledge and understanding apparent from this observation: How to check from the purchasing plan and users what materials supplies are needed (application; d (1),(2)); how and why operational plans are analysed, the implications of user feedback and quantities in addition to assessing what materials supplies will be required (analysis; a (1)); identifying opportunities for standardisation or equivalent alternative materials (understanding; c (2)); how and why an accurate purchasing plan is developed (synthesis; b (3)); changes likely to result in over/under supply (understanding; f (3)); how and why schedules for the delivery of supply and lead times are calculated (analysis; a (1)); how orders are prepared to meet supply requirements (application; d (3)); how to modify purchasing plan to minimise disruption (application; f (4)).</p>	
<p>Other Units/Elements to which this evidence may contribute: C03.1</p>	
<p>Assessor's comments and feedback to candidate: Well prepared for the meeting. Initially nervous, thereafter more confident, especially when presenting progress of non-standard materials since last meeting, answered all questions thoroughly and clearly labelled action points for next meeting. Agenda followed quite rigidly. Overall clearly competent in obtaining and sharing information to monitor progress of materials supply with effective contributions as necessary. Watch out for items that stem from the meeting. Some of them might provide useful sources of SVQ evidence elsewhere.</p>	

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *E W Thomson*

Date: *25 January 2007*

Candidate's signature: *John McCairn*

Date: *25 January 2007*

Questions and candidate responses

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

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

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

A compulsory Unit has been chosen in the context of the Surveying route for the purposes of demonstration for this particular example related to questions and candidate responses.

Record of questions and candidate's answers

Unit: C02	Element(s): C02.2
Evidence index number: 12	
<p>Circumstances of assessment: In order to investigate the circumstances of some variations and deviations from planned progress of works affecting the efficient supply and storage of materials, the candidate has had to visit the site to make observations checking the suitability of systems and procedures for recording and storing information to make efficient use of resources, and how opportunities for team members to make suggestions for improvements to systems and procedures may be achieved. Questioning confirmed the candidate's knowledge and understanding of how to select appropriate communication methods, and assess the effectiveness of current methods of handling information, and procedures for making recommendations on improvements.</p>	
<p>List of questions and candidate's responses:</p> <p>Q: Why is the progress of works critical to managing the purchasing plan effectively? A: Space on site is limited. If materials arrive considerably earlier than needed, safe storage becomes a problem. There are also the added complications of damage due to various reasons related to prolonged storage and delayed payment from the client from our date of purchase.</p> <p>Q: Things invariably change on sites for many reasons, how would you know about changes that could affect the purchasing plan? A: The company has very clear procedures related to variations of work and how quickly someone should be informed. A verbal notification would be the first indication to check for the implications of a change, and would require discussions with relevant people; followed within the set time period by written confirmation via e-mail or fax to confirm any prior notified changes along with any additional information since first notification.</p> <p>Q: You mention site storage and safety issues for materials that cannot be stored on-site, how would you deal with a situation where a site couldn't accept materials for safety reasons related to adequate storage due to earlier delays in a project? A: This was potentially a problem on another project I was involved in where a suggestion from a colleague that was new to the company was helpful. We recognised the potential effects of delays in delivery or oversupply of the prefabricated units early on in the possible problem areas and secured a large warehouse very close to the site at a very reasonable rental rate for the planned project duration. We were ordering prefabricated shower and toilet units for a hotel project and the prefabricated units came from Germany that arrived at regular intervals from a set date. We took 8 Units early to allow for transport delays and allowing for potentially defective units and had practical, safe and affordable storage in the event of over-supply if our programme fell behind. The secure storage also provided other benefits.</p>	
Assessor's signature: <i>E W Thomson</i>	Date: <i>26 January 2007</i>
Candidate's signature: <i>Jack Cowper</i>	Date: <i>26 January 2007</i>

Candidate's personal statement

If a personal statement is being used as evidence, it should be completed by the candidate. The statement should record what they did, how and why they chose to carry out an activity or produce work in a certain way. Where other people may have been present during an activity and they may be able to provide witness testimony, the candidate should record how the statement links to other evidence in the column provided.

A compulsory Unit has been chosen in the context of the Buying route for the purposes of demonstration for this particular example related to questions and candidate responses.

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered
5/02/07	3	<p>During the week commencing 15 January, I called two meetings with colleagues from the purchasing and estimating departments. The main subject of the meetings was the pricing of a minor retail project let on drawings and specs on a brownfield site as part of a waterfront redevelopment. We had already had one other minor project for an office building commence six months earlier and I wanted to learn from their experiences, particularly in relation to site constraints, safety, and programming and resourcing issues, as we all specialise in specific types of minor works contracts.</p> <p>We shared sources of information that we knew to be reliable on the basis of how work has progressed, and identified where costs were higher than expected and the reasons for such increases, and where opportunities to save costs could be made. It was identified that costs could be saved through the use of prefabrication, particularly as lessons had been learned from the office project. Prefabrication could provide opportunities to reduce the proposed programme and I decided to make this suggestion as a benefit for the company and the client.</p> <p>I had to ask colleagues some searching questions as the rationale for some decisions was unclear. I was mindful that this could be sensitive and tried to do so without causing colleagues to become defensive as I genuinely wanted to understand how they made some decisions, being more familiar with civil engineering works than building works.</p>	4	<p>C02.1 PCs (a), (b), (c), (d), (e), (f)</p> <p>C03.1 PCs (a), (b)</p>

Signed (candidate): *David Underwood*

Date: *5 February 2007*

Witness testimony

Remember when you use witness testimony that it must be capable of being authenticated — even if the testimony itself is being used to authenticate a candidate's claim to competence.

To make sure the witness testimony is genuine, you must ensure that you have a record of who is acting as a witness, their relationship to the candidate (eg supervisor, client), address, telephone number and the date. There are spaces for this information in the form.

Witness testimony

SVQ title and level:	Construction Contracting Operations level 3
Candidate's name:	David Underwood
Evidence index no:	4
Index no of other evidence which this testimony relates to (if any):	3
Element(s):	C02.1 (a) to (f) inclusive; C03.1 (a) and (b)
Date of evidence:	16 January and 19 January 2007
Name of witness:	Michelle McCairn
Designation/relationship to candidate:	David is a buyer for our minor works contracts. I am the senior estimator for Scottish Highland Contracts.
<p>Details of testimony: David has been responsible for the purchasing requirements of our minor projects for a year now, having moved from civil engineering related works as part of our plan to develop his knowledge and provide David with some building works experience. David has been with us for just over 18 months working exclusively on civil engineering works. Having proved himself capable on these, we agreed with David to give him some different areas to work on in order to broaden his experience. David is now working with our retail section and was given sole responsibility for this retail project, the largest project he has had so far. He knew that he could meet gaps in his knowledge by speaking specifically to those on an earlier office project which is part of the same waterfront development (an earlier phase in the redevelopment). He was proactive in calling two meetings to obtain as much practical information as was relevant from colleagues internally and learn from what they had done. As senior estimator I was also invited for my contributions.</p> <p>David managed both meetings effectively and ensured that by sticking to a clear agenda which he had drafted himself that all items were covered clearly. He ensured everybody had been properly briefed prior to the meeting to help him by providing useful information and feedback that would otherwise not have been available. David had to call a second short meeting to address issues arising from the first meeting that couldn't be dealt with there and then.</p> <p>Throughout it was clear that David had prepared himself properly, seeking advice and direction from colleagues as a trusted source of information. David asked his colleagues some challenging questions on their rationale for issues relating to the office project. However, he was mindful to do so in a professional manner that will maintain goodwill and trust for the future with his colleagues.</p> <p>I am satisfied David undertook all the work mentioned by himself and under his own initiative.</p> <p>I can confirm the candidate's evidence is authentic and accurate.</p>	
<p>Signed by witness: <i>Michelle M K McCairn</i> Date: <i>22 February 2007</i></p>	

Witness (please tick the appropriate box):

Holds A1 or D32/D33 qualifications

Is familiar with the SVQ standards to which the candidate is working

I have been briefed on the SVQ standards applicable. I am familiar with SVQs, having achieved an SVQ level 4 Construction Contracting (Estimating).

Filling the gaps

There may come a time when your candidate has provided evidence for most of the Unit (or SVQ), but there are some gaps. For example, you may find that certain situations 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 these by ensuring that, where appropriate, the widest possible range of assessment methods is available to permit the candidate maximum potential to meet Evidence Requirements.

Guidance and support to candidates

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

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

Judging candidate evidence and making an assessment decision

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

Evidence must:

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

Insufficient evidence

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

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

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

Authenticating candidates' evidence

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

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

Example

Authentication may be required when a candidate following the Buying route has carried out checks on lead-in times and specific material purchase issues for the purposes of comparing options. Some, but not all, of the candidate's performance may be evidenced by means of meetings with colleagues, e-mails and documentation such as manufacturers' published data from brochures and the internet. However, a large amount of data to establish any necessary purchases may arise from telephone calls.

Personal statements, witness testimony or peer reports may be valuable sources of authentication in such cases. It is not certain that external organisations would always be willing to provide peer reports for a candidate's qualification, particularly if there is no long-term working relationship. However, this should not prevent triangulation with other sources within the organisation to demonstrate that appropriate checks on resource availability and costs had been calculated as accurately as possible in the context of the project circumstances.

4 Recording achievement

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

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

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

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

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

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

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

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

These forms are also used in SQA's portfolio.

Completing the Unit progress record

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

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

For the purposes of demonstration this example is based on a candidate following the Buying route.

Unit progress record

Qualification and level: Construction Contracting Operations level 3

Candidate: David Underwood

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

Unit Checklist

Mandatory	C01	C02	C03							
Optional	O14	O15	O16	O17						

Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
C01	Operate health, safety and welfare systems	<i>E W Thomson</i>	12/03/07
C02	Prepare programmes and schedules of work	<i>E W Thomson</i>	02/04/07

Optional Units achieved

O16	Monitor costs, accounts and claims	<i>E W Thomson</i>	23/04/07
O17	Control expenditure and income	<i>E W Thomson</i>	14/05/07

Using the index of evidence

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

The index of evidence should be completed by entering:

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

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

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

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

For the purposes of demonstration this particular example will relate to the Buying route and incorporate some of the examples covered earlier in these guidelines.

Index of evidence

SVQ title and level: Construction Contracting Operations level 3

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	Drawings and specification notes for new retail project as sent by client	No, office, ref 07/008/001	RS 21.01.07
2	Notes from meeting with senior estimator to discuss details of the project and candidate's responsibilities for this project	Yes	RS 23.01.07
3	Personal statement — obtaining information for critical decisions	Yes	RS 05.02.07
4	Witness testimony — provided by Michelle McCairn, senior estimator	Yes	RS 22.02.07
5	Observation record by assessor	Yes	RS 23.02.07
6	Questions and candidate's responses	Yes	RS 27.02.07
7	Results of necessary enquiries for further information and decision for each enquiry	Yes	RS 28.02.07
8	Materials costed for project taking into account appropriate requirements in specifications including health, safety and welfare matters and sustainability	No, office, ref 06/108/014	RS 05.03.07
9	Discussion of purchase plan with senior buyer to cover lead times and non-standard materials.	Yes	RS 12.03.07
10	Letters/e-mails to/from materials suppliers; particular attention to non-standard and imported materials	Yes Copies only	RS 15.03.07
11	Enquiries to specialist suppliers as required. Copies of all replies from specialist suppliers and their conditions of supply.	No, see file 2007/008	RS 15.03.07

Completing the Element achievement record

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

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

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

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

For the purposes of demonstration this particular example will relate to Route 1 Estimating and incorporate some of the examples covered earlier in these guidelines.

Unit: C02 Prepare Programmes and Schedules of Work

Element: C02.1 Obtain the information needed to make critical decisions

Notes/Comments

All Performance Criteria covered within the evidence submitted

The Range (1) — Sources of information, clearly covered in full

The Range (2) — Types of information, clearly covered in full

The Range (3) — Methods of obtaining information, clearly covered in full

The Range (1) — Decisions, clearly covered in full

Notes:
Some of this evidence is also suitable for cross-referencing with other Units/Elements; candidate advised to ensure rigorous checking of cross-referencing to avoid the need to identify unnecessary product evidence.

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

Candidate: *David Underwood*

Date: *12 March 2007*

Assessor: *E W Thomson*

Date: *12 March 2007*

Internal Verifier: *Robert Simpson*

Date: *12 March 2007*

5 Further information

What else should I read?

The publications listed here provide additional information on how to implement SVQs. Details of these and other SQA publications are available on our website at www.sqa.org.uk on the 'Publications, Sales and Downloads' section. They can be ordered from SQA's Customer Contact Centre — telephone 0845 279 1000. Please note that there may be a charge for some of these publications.

Assessor/Verifier Units: assessment guidance

External Assessment Moderation in National Qualifications and Higher National Qualifications: a guide for centres

Guide to Assessment and Quality Assurance for Colleges of Further Education

Guide to Assessment and Quality Assurance for Employers and Training Providers

Arrangements for Candidates with Disabilities and/or Additional Support Needs in Examinations and Assessments

Quality Assurance Principles, Elements and Criteria

Operational Help Centre

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

Appendix 1: Blank recording forms

Unit:

Element:

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate:

Date:

Assessor:

Date:

Internal Verifier:

Date:

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered

Signed by candidate:

Date:

Observation record

Unit/Element(s):

Candidate:

Date of observation:

Evidence index number:

Skills/activities observed:	PCs covered:

Knowledge and understanding apparent from this observation:

Other Units/Elements to which this evidence may contribute:

Assessor's comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor's signature:

Date:

Candidate's signature:

Date:

Record of questions and candidate's answers

Unit:	Element(s):
Evidence index number:	
Circumstances of assessment:	
List of questions and candidate's responses:	
Assessor's signature:	Date:
Candidate's signature:	Date: