Assessor's Guidelines for the SVQ2 Rail Services: Driving SCQF level 5

Contents

About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ2 Rail Services: Driving level 5**. 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

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy. The qualifications have been designed by standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

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

Each SVQ which a standards-setting body develops has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared. SVQs are specified at five levels which reflect the various technical and supervisory skills knowledge and experience, which employees should have as they progress in their industry. For further information on the Scottish Credit and Qualifications Framework (SCQF) go to www.scqf.org.uk. This SVQ has been credit rated at SCQF level 5.

Explanation of levels

SVQ1 (SCQF level 4)   Defines competent performance in a range of activities which are largely routine and predictable.

SVQ2 (SCQF level 5)   Specifies that competent performance must be shown in a broader range of work activities which are less routine and predictable. The employee will have more autonomy and responsibility, and may have to work as part of a team.

SVQ3 (SCQF level 6/7)   Specifies that competent performance must involve the employee in carrying out a broad range of varied work activities, most of which are complex and non-routine. There is considerable autonomy and responsibility, including the possibility of controlling or guiding others.

SVQ4 (SCQF level 8/9)   Specifies competence as complex technical or professional work activities which require a substantial degree of personal autonomy or responsibility. Managing staff and other resources is often involved.

SVQ5 (SCQF level 10/11)   Specifies competent performance as involving the employee in carrying out a significant range of activities in a wide variety of situations which are often unpredictable. Substantial responsibility and autonomy is involved in the work, which requires decision-making in the allocation of resources and the work of others. This will require complex skills such as analysis, design and evaluation.

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 Requirements**. These may also be called **statements of competence** or **what candidates should do**.

The section on **knowledge and understanding requirements** says what candidates must know and understand, and how this knowledge applies to their jobs. The current occupational standards for rail services can be downloaded at **http://nos.ukces.org.uk/Pages/index.aspx.**

Who is involved in SVQs?

There are several roles:

- **the candidate:** the person who wants to achieve the SVQ (eg an employee)

- **the assessor*:** the person who assesses the candidates and decides if they are competent (eg supervisor)

- **the internal verifier*:** an individual nominated by the centre (eg a company) who ensures that assessors apply the standards uniformly and consistently (eg supervisor's line manager)

- **the External Verifier*:** an individual appointed by SQA who ensures that standards are being applied uniformly and consistently across all centres offering the SVQ

*Assessors and Verifiers in centres will be asked by SQA to prove they have the appropriate occupational competence to assess and verify the SVQ. Occupational competence has been defined by the standards-setting body in the assessment strategy for these SVQs . The current assessment strategy is available to download see SQA's website: **www.sqa.org.uk**.

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 Rail Services

The SVQ in Rail Services: Driving Were originally developed by Goskills, now part of People 1st www.people1st.co.uk

Age restrictions apply to train drivers. Many people enter the industry as passenger service personnel and then move to other areas as age and opportunity arise. Some employers now take direct entrants into their specialism (Virgin Trains Millennium Drivers).

They will require skills and knowledge in each area of their specialism. In general terms much of the training is of a very specialised nature and is provided by the employer (Train Driving School, Train Simulators). This is assessed in the workplace by industry specialists, eg Driver Test Manager (DTMs) on a two year rolling programme.

The underpinning knowledge is contained in the 'Rule Book' and is assessed by 'Rules Exams/Rules Briefing Days' set by the employer (the results of which are held in the individual's safety file).

As much of the work is of a safety critical nature, it is governed by legal requirements and in some cases the safety files may contain material of a very sensitive nature and may be sub judice, therefore security of evidence and portfolios is of the highest priority.

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:

- ♦ driver training school
- ♦ the workplace
- ♦ train simulators
- ♦ DTMs offices
- ♦ train cabs
- ♦ sleeper trains
- ♦ station platforms
- ♦ on the P-Way (trackside)

Since privatisation of the railways there are many companies involved in supplying the industry with services from P-Way maintenance to freight operating companies and train operating companies (FOCs/TOCs) with Network Rail the owner of the infrastructure and most of the large stations.

Many of these companies are setting up partnerships with training providers and further education colleges to provide a service of internal verification, as independent consultants.

A great many of the industry employees in these companies are 'A' Unit qualified assessors and some of the companies are accredited centres with national awarding bodies.

Structure of the SVQs

This section lists the Units which form the SVQ in Rail Services: Driving at level 2. There are occupational standards for seven separate pathways for Rail Services, SQA offers SVQs for **four** of these routes, namely driving, shunting, control room operations and planning.

SVQ 2 Rail Services: Driving level 5 (G9Y2 22)

Mandatory: All candidates must complete the following nine Units

SQA ref	SSC ref	Title
F9T8 04	1	Prepare to Undertake Duties in the Rail Industry
F9T9 04	2	Maintain a Safe and Secure Working Environment in the Rail Industry
F9TA 04	3	Obtain and Communicate Information in the Rail Industry
F9TC 04	4	Maintain Effective Working Relationships with Colleagues in the Rail Industry
F9TD 04	5	Maintain and Develop your Knowledge, Understanding and Skills in the Rail Industry
F9TF 04	7	Bring Trains into Service
F9TH 04	8	Operate and Control Trains in Service
F9TJ 04	9	Respond to Abnormal Working Conditions in the Rail Industry
F9TK 04	10	Handover and Dispose of Trains

The following Unit is available but not a requirement

SQA ref	SSC ref	Title
F9TE 04	6	Plan for Further Professional Development in the Rail Industry

An assessment strategy for the SVQ

The relevant SSC has developed an assessment strategy which defines a range of requirements:

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

The relevant parts of the assessment strategy can be downloaded at **http://www.sqa.org.uk/sqa/45267.html** and both SQA and centres must comply with these requirements.

Why would people be interested in the SVQ?

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

How do candidates begin?

Choosing the SVQ

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

Example

Jamie has worked for ScotRail, for nearly twenty years, he started at Dalmuir station as a ticket examiner. He enjoyed working with customers and carrying out commercial duties. Jamie gained experience of dealing with on-board situations from service disruption, passenger complaints and awkward customers.

After five years as a ticket examiner at Dalmuir, Jamie progressed to the role of conductor at Glasgow Central. For the conductor role, he attended the ScotRail Training Academy for a conductor rules course.

After being employed for ten years with ScotRail, Jamie was appointed to the role of train driver at Yoker Depot. He attended the Training Academy again and he successfully completed the drivers rules course, and a basic traction course.

At the Training Academy, Jamie was advised about ScotRail Driving Standards, and that he would be assessed to these standards prior to becoming a driver and throughout his driving career.

At the end of his training he was informed about the opportunity to do an SVQ 2 Rail Services at SCQF level 5.

Jamie was given a portfolio to build and he was supported throughout by a mentor, his DTM and by the internal verifier.

Jamie was a bit apprehensive at first about the portfolio but was reassured that it would be a record of work-based activities which naturally-occurred during the working day environment.

It was also a 'sign-posting type' document, which would contain some evidence but in the main would contain reference to where material could be found, eg in his safety file or a record of oral questions and observation reports submitted by his mentor.

2 Preparing to assess the SVQ

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

Your role and your candidate's role

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

Your role

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

Candidates' role

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

Planning

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

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

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

If you are a new assessor working towards your 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 Element 1.1 of Unit 1.

As this Unit specifically requires workplace observation it will allow for evidence to be collected for other Units by naturally occurring workbased activities and could provide evidence for:

Unit 2   Maintain a Safe and Secure Working Environment in the Rail Industry
Unit 3   Obtain and Communicate Information in the Rail Industry
Unit 4   Maintain Effective Working Relationships with Colleagues in the Rail Industry

You will notice that we have included spaces to enter dates when the assessment plan has been reviewed. Any gaps identified during these reviews should be discussed with your candidates and noted for action in the assessment plan.

Assessment plan

Unit: 1 Prepare to Undertake Duties in the Rail Industry
Element: 1.1 Complete personal preparation

Activities	Performance requirements	Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units
Using the Authorised Walking Route, Booking on Handing over Wearing uniform and high visibility clothing as required Being aware of the company drink and drugs policy SCWID and Sentinel cards Be in possession of current WON, PON Sectional Appendix, and TRB up-to-date, etc	1 Meet your organisation's standard for appearance and conduct. 2 Comply with your organisation's procedures relating to fitness for duty. 3 Possess the required documentation and equipment as specified.	Performance evidence must be collected by observation of naturally occurring activity in the workplace, in respect of the PRs 1 and 3. Supplementary evidence can be assessed by: ♦ observation ♦ oral written questions ♦ personally prepared evidence ♦ simulation ♦ witness testimony ♦ written visual records ♦ prior achievement on board recorder data and voice recorded data	To be arranged to suit all involved. Candidate, assessor IV, EV, etc	Some evidence for this may be found in the candidate's safety file.	During the visit by the assessor for observation it is likely that evidence will also become available for the following Units: 2 Maintain a Safe and Secure Working Environment in the Rail Industry 3 Obtain and Communicate Information in the Rail industry 4 Maintain Effective Working Relationships with Colleagues in the Rail industry

| Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review | Where knowledge and understanding cannot be inferred by observation, oral, written or computer-based questions should be used to ensure that the candidate possesses knowledge and understanding of:

a   the standards of appearance and conduct required by your organisation
b   the importance of appearance, conduct and fitness in relation to your role
c   your organisation's procedures relating to fitness for duty
d   the type of equipment required for duty
e   how to access and use required equipment
f   the documents required when completing personal preparation
g   the standards of behaviour required by the organisation | | | | |

Assessor's signature: *Robert Duff*

Candidate's signature: *Duncan Mangesi*

Date of agreement: 01/07/2010

1st review due: 15/08/2010

2nd review due: 30/10/2010

Date of completion: 15/12/2010

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:

♦ The candidate is assessed in the normal working environment.
♦ The evidence required should be to hand or observations can be made.
♦ Assessment visits can be arranged to capture the evidence required.
♦ The candidate will know the assessor and should be at ease
♦ Assessment should only take place when the candidate is consistently displaying competence. SVQs are not meant to highlight incompetence.

The challenges might be:

♦ In the rail industry shift work is the norm and it can be difficult to arrange assessments.
♦ The candidate may have been 'volunteered' by the employer.
♦ Some 'out of course' material may be of a sensitive nature and may be sub judice.
♦ 'Out of course' management will normally be assessed by simulation.

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 assessment methods, such as questioning. It may be appropriate to ask oral questions of candidates as they carry out naturally-occurring activities. For example:

♦   Observation may be a mandatory requirement of the Unit and therefore is not negotiable.

♦   Observation allows the assessor and the internal verifier to become acquainted with the candidate's working environment. (The internal verifier should endeavour to observe each candidate being assessed in the normal work environment.)

Product evaluation

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:

Book on sheets, PON/WON notification (for the Unit Preparation for Duty), Driver safety files will contain substantial product evidence against all Units.

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 Unit in stated PRs. 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.

1   Most railway employees are involved in some form of continuous professional assessment, which will include 'Rules Testing' as part of the safety critical element of the industry. This provides a great deal of evidence, which has been assessed against company and national standards.

2   During observation assessments oral questioning allows the assessor to prove the candidate's knowledge and understanding during 'live' operational conditions.

Other methods of assessment

These methods, like questioning, are often used for authentication. See section 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.

Personal statements (Self-Prepared Evidence) is an accepted form of assessment in the rail industry. However, where this method of assessment is used by a candidate the assessor and the internal verifier should ensure that they are convinced of the robustness of the presented evidence.

This type of evidence will be made more reliable if it is supported by supplementary material (extracts from the TRB, Possession Orders, PON/WON notification, etc).

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.

Witness testimony in the rail industry, as with many others, will come in the style of:

♦ references
♦ letters from satisfied customers
♦ statements from superiors
♦ feedback comments from 'Rules Briefings'

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 situations. Examples might be:

♦ safety
♦ legislation
♦ regulation
♦ contingency
♦ cost
♦ significant interruption to candidate's or employer's business

It is recognised that there may be other assessment situations where simulation would be appropriate. In such instances, consideration should be given to the reliability and validity of the likely evidence.

Simulations should be as realistic as possible!

Although a candidate should be able to generate most of the evidence through their normal job there are occasions when a situation needed to generate this evidence does not occur naturally because the type of work undertaken is infrequent, unpredictable or may compromise safety. This should not stop the candidate from obtaining the SVQ and the task may be simulated in order that the evidence can be provided.

If the assessor considers that simulation is necessary they must ensure that the exercise replicates the workplace task. Three factors that must be met if simulation is to take place:

♦ demands upon technical knowledge, eg use of equipment
♦ ability required in real life, eg carrying out work on actual work systems
♦ recognised pressures or constraints pertinent to the situation being assessed, eg time

In the interests of good practice, where simulation is to be used for assessment the assessor must agree this with the internal verifier and External Verifier *before* assessing the candidate. Either one or both the internal verifier or the External Verifier may wish to attend the simulation to sample the reliability of it.

Simulation is used in the rail industry to:

♦ assess candidate's competence in dangerous situations which may arise in the course of their work
♦ assess the candidate's competence in safety critical communication, eg driver voice recorded with signal man

The following list indicates the Units where simulation is permissible:

Unit name	Simulation allowed
Prepare to Undertake Duties in the Rail Industry	N
Maintain a Safe and Secure Working Environment in the Rail Industry	N
Obtain and Communicate Information in the Rail Industry	N
Maintain Effective Working Relationships with Colleagues in the Rail Industry	N
Maintain and Develop your Knowledge, Understanding and Skills in the Rail Industry	N
Plan for Further Professional Development in the Rail Industry	N
Bring Trains into Service	Y
Operate and Control Trains in Service	N
Respond to Abnormal Working Conditions in the Rail Industry	Y
Handover and Dispose Of Trains	N

The table of Rail Service Evidence Requirements provides guidance on the appropriate methods of assessment for each Unit.

Rail Service Evidence Requirements

Unit title	Performance Requirements					Knowledge and Understanding				
	Simulation allowed	Observation	Witness testimony	Response to questions written/oral	Professional discussion	Written evidence	Product evidence	Oral question	Written question	Professional discussion
Prepare to Undertake Duties in the Rail Industry	N	Y	Y	Y	N	N	N	Y	Y	Y
Maintain a Safe and Secure Working Environment in the Rail Industry	N	Y	Y	Y	Y	N	N	Y	Y	Y
Obtain and Communicate Information in the Rail Industry	N	Y	Y	Y	Y	Y	Y	Y	Y	Y
Maintain Effective Working Relationships with Colleagues in the Rail Industry	N	Y	Y	Y	Y	Y	Y	Y	Y	Y
Maintain and Develop your Knowledge Understanding and Skills in the Rail Industry	N	Y	Y	Y	Y	Y	Y	Y	Y	Y
Plan for Further Professional Development in the Rail Industry	N	N	Y	Y	Y	Y	Y	Y	Y	Y
Bring Trains into Service	Y	Y	N	Y	Y	N	N	Y	Y	Y
Operate and Control Trains in Service	N	Y	Y	Y	Y	N	N	Y	Y	Y

Unit title	Performance Requirements							Knowledge and Understanding		
	Simulation allowed	Observation	Witness testimony	Response to questions written/oral	Professional discussion	Written evidence	Product evidence	Oral question	Written question	Professional discussion
Respond to Abnormal Working Conditions in the Rail Industry	Y	Y	Y	Y	Y	Y	N	Y	Y	Y
Handover and Dispose of Trains	N	Y	N	Y	Y	N	N	Y	Y	Y

Other sources of evidence

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

Safety critical work evidence

Many of the candidates undertaking SVQs will be in safety critical roles and will have provided evidence to show competence in accordance with the Railway (SCW) Regulations.

Because the Railway (SCW) Regulations standards of competence are an integral part of the SVQ system, the assessor should have access to the Railway (SCW) Regulations system and records. This will automatically provide evidence for the safety critical Units. Again, as with any evidence, this may also be used as evidence for other Elements.

SQA's *Guides to Assessment and Quality Assurance* 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.

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

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

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

Observation

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

Observation record

Unit: 1 Prepare to Undertake Duties in the Rail Industry
Candidate: Duncan Mangesi   **Date of observation:**   11/08/2010
Evidence index number: 1

Skills/activities observed:	PRs covered:
This observation took place at 11.25 in the Perth depot. Anne arrived in the depot wearing her full uniform and was in possession of her driver's kitbag dress. At the depot she produced her driving licence and signed the book on sheet and checked with the resource co-ordinator if there were any alterations to her workings. She checked all notice cases. Anne produced her SCWID when asked to do so and was aware when questioned of the company drugs and alcohol policy.	Element 1.1.1, 1.1.2, 1.1.3 Element 1.2.1, 1.2.2, 1.2.3, 1.2.4, 1.2.5

Knowledge and understanding apparent from this observation:
Element 1.1 a–g Element 1.2 a–e

Other Units/Elements to which this evidence may contribute:
Unit 2   Maintain a Safe and Secure Working Environment in the Rail Industry Unit 3   Obtain and Communicate Information in the Rail Industry Unit 4   Maintain Effective Working Relationships with Colleagues in the Rail Industry

Assessor's comments and feedback to candidate:
Anne turned in for duty in a professional manner and met all the safety requirements in respect of her safety clothing and awareness of the drugs and alcohol policy. She was suitably dressed, fit for duty and in possession of all necessary documentation.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *Robert Duff*   Date: 11/08/2010

Candidate's signature: *Duncan Mangesi*   Date: 11/08/2010

Questions and candidate responses

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

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

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

Record of questions and candidate's answers

Unit: 2 Maintain a Safe and Secure Working Environment in the Rail Industry	**Element(s):** 2.1 and 2.2

Evidence index number: 3

Circumstances of assessment:

An assessor observation in conjunction with observational requirements for another Unit.

(Information regarding this method of assessment will be recorded in the candidate's rules exams or safety briefings).

List of questions and candidate's responses:

Q: The assessor displays or indicates a warning sign and asks the candidate to identify it and explain its meaning.
A: Correct identification and description.

Q: What pieces of safety equipment are carried in a driving cab?
A: Ten detonators
Two track circuit clips
Two red flags
A portable fire extinguisher

Q: In an emergency, if possible, where would you avoid stopping a train?
A: In a tunnel, anywhere with a high camber, a viaduct, a cutting or any place where it may be difficult to deal with the emergency.

Assessor's signature:	*Robert Duff*	Date: 20/09/2010
Candidate's signature:	*Duncan Mangesi*	Date: 20/09/2010

Candidate's personal statement

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

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PRs covered
01/11/10	**4**	At 08.45 I advised the signal centre that the Temporary Speed Restriction Board at 20mph on the up line was not visible. I recorded this in the TRB. The signalman advised me to proceed at 20mph until I reached the termination board and obey all signals		3.2.1, 3.2.2, 3.2.3, 3.2 a-f

Signed (candidate):   *Duncan Mangesi*

Date: 01/11/2010

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:	SVQ 2 Rail Services: Driving Level 5
Candidate's name:	Sanjay Patel
Evidence index no:	2
Index no of other evidence which this testimony relates to (if any):	
Unit:	Maintain Effective Working Relationships with Colleagues in the Rail Industry
Date of evidence:	16 December 2009
Name of witness:	KC Homes
Designation/relationship to candidate:	Resource Co-ordinator

Details of testimony:

As resource co-ordinator at Yoker station, I work closely with the driving staff.

I have worked with Sanjay for five years and have a good working relationship with him. We are in close communication with each other to advise on the problems that the general public encounter in their travels. This includes platform changes, train arrivals and departures, train running information, keeping them informed of rail infrastructure problems and cancellations of services, changes to diagrams, advice on alterations, etc.

Communication at all levels is very important as any message that is not clearly understood may cause delays to services and frustration to the passengers. In order to ensure that this does not happen, information is given and then repeated back to ensure that both parties clearly understand what is happening. If it is required the phonetic alphabet is used to promote clarity and understanding.

Sanjay carries this out effectively, and even during very bad disruptions when instructions are liable to be altered continuously, he manages to maintain a high standard of service to ensure that the station demands are met.

During our time working together, Sanjay and I have a good rapport with each other. When things are quiet, we talk casually, but if disruption occurs, Sanjay is very professional and inputs suggestions to assist in minimising delays.

I can confirm the candidate's evidence is authentic and accurate.
Signed by witness: *KC Homes*   Date: *16/12/2009*

Witness (please tick the appropriate box)**:**

☒   Holds A1/A2 or D32/D33 Award

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

Filling the gaps

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

In the SVQ, such gaps are likely to occur in generating evidence for Out of Course Situations and Safety Critical Work.

You may be able to overcome these by observation, oral or written questions and simulations.

Assessment in simulated conditions is only permissible with the express prior consent of the External Verifier. The External Verifier is likely to allow assessment to take place in simulated conditions due to reasons of:

♦ health and safety
♦ confidentiality
♦ operational constraints
♦ cost
♦ rarity of opportunity

When preparing to undertake an assessment in simulated conditions the following points should be noted:

♦ you should ensure that the simulation has been ratified by your SVQ assessment centre
♦ you should inform all relevant third parties that the simulation is going to take place
♦ the simulation should be as realistic as possible
♦ you should ensure the candidate is aware of the differences between the simulated conditions and those in the actual workplace

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.

It is recognised that in the specific case of the performance requirements in Unit 9 — *Respond to Abnormal Working Conditions in the Rail Industry*, observation of naturally-occurring activity in the workplace may not be practicable. In these cases the method of collecting evidence of a candidate's competence will be by simulation. This observation must be carried out by a qualified assessor and with prior agreement of the External Verifier.

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.

SQA do not offer portfolios for this SVQ. However, they supply blank recording forms. (See Appendix 1)

The provider, as a recording mechanism, may in the first instance supply portfolios for the SVQ ~~in Rail Services level 2.~~ It could take the style of a signposting document which will index/list where evidence can be found, with a record of the candidate's evidence matched against the rail services National Occupational Standards (downloadable at **http://www.ukstandards.org.uk**).

If a candidate wishes to supply their own recording method this must be approved by the awarding body (SQA) External Verifier.

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

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

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

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

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

♦ completing the Unit progress record
♦ using the evidence index
♦ completing the Element achievement record

These forms are also used in SQA's portfolio.

Completing the Unit progress record

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

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

Unit progress record

Qualification and level: SVQ 2 Rail Services: Driving level 5

Candidate: Duncan Mangesi

To achieve the whole qualification, you must prove competence in nine **mandatory** Units.

Unit Checklist

Mandatory	1	2	3	4	5	7	8	9	10
Optional extras	6								

Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
F9T8 04	Prepare to Undertake Duties in the Rail Industry	*Robert Duff*	11/08/2010
F9T9 04	Maintain a Safe and Secure Working Environment in the Rail Industry	*Robert Duff*	20/09/2010
F9TA 04	Obtain and Communicate Information in the Rail Industry		
F9TC 04	Maintain Effective Working Relationships with Colleagues in the Rail Industry		
F9TD 04	Maintain and Develop Your Knowledge Understanding and Skills in the Rail Industry		
F9TF 04	Bring Trains into Service		
F9TH 04	Operate and Control Trains in Service		
F9TJ 04	Respond to Abnormal Working Conditions in the Rail Industry		
F9TK 04	Handover and Dispose of Trains		

Optional extras Units achieved

F9TE 04	Plan for Further Professional Development in the Rail Industry		

Using the index of evidence

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

The index of evidence should be completed by entering:

♦ the index number for each piece of evidence

♦ a description of each piece of evidence

♦ the place or location where it can be found

♦ the initials of the internal verifier and the date (if they have sampled the candidate's evidence)

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

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

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

Index of evidence

SVQ title and level: SVQ 2 Rail Services: Driving level 5

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	Observation record	Yes	
2	Witness testimony		
3	Record of questions and candidate's answers	Yes	PG 21/09/10
4	Personal statement		

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 requirements

♦ entering the areas of knowledge and understanding the piece of evidence covers

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

An example of an Element achievement record is provided.

Element achievement record

Unit 1: Prepare to Undertake Duties in the Rail Industry

Element 1.1: Complete personal preparation

Evidence index no	Description of evidence	PRs			Knowledge and Understanding Requirements						
		1	2	3	a	b	c	d	e	f	g
1	Observation record										
2	Witness testimony										
3	Record of questions and candidate's answers										
4	Personal statement										

Unit 1: Prepare to Undertake Duties in the Rail Industry

Element 1.1: Complete personal preparation

Notes/Comments

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

Candidate's signature: *Duncan Mangesi* Date: 15/08/2010

Assessor's signature: *Robert Duff* Date: 15/08/2010

Internal verifier's signature: *Pamela Green* Date: 15/08/2010

5 Further information

What else should I read?

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

Assessor/Verifier Units: assessment guidance

External Verification: A Guide for Centres

Guide to Assessment

Introduction to Assessment Arrangements for Schools and Colleges

SQA's Quality Framework: a guide for centres

Operational Help Centre

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

Appendix 1: Blank recording forms

Unit progress record

Qualification and level:

Candidate:

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

Unit Checklist

Mandatory										
Optional										

Mandatory Units achieved

Unit	Assessor's signature	Date

Optional Units achieved

Index of evidence

SVQ title and level:			

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)

Element achievement record

Unit:

Element:

Evidence index no	Description of evidence	PCs						Range													

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:**

Witness testimony

SVQ title and level:	
Candidate's name:	
Evidence index no:	
Index no of other evidence which this testimony relates to (if any):	
Element(s):	
Date of evidence:	
Name of witness:	
Designation/relationship to candidate:	

Details of testimony:

I can confirm the candidate's evidence is authentic and accurate.

Signed by witness: **Date:**

Witness (please tick the appropriate box)**:**

☐   Holds A1/A2 Units or D32/D33 Award

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

Record of questions and candidate's answers

Unit:	Element(s):
Evidence index number:	
Circumstances of assessment:	

List of questions and candidate's responses:

Assessor's signature:	Date:
Candidate's signature:	Date: