



## **Assessor's Guidelines for the:**

**SVQ2 Waste Operations: Waste Collection Driver**

**SVQ2 Waste Operations: Waste Collection Operative**

**SVQ2 Waste Operations: Waste Site Operative**

**SVQ2 Waste Operations: Waste Team Leader**

**SVQ2 Waste Operations: Waste Weighbridge Operative**

**SVQ3 Waste Supervisory Management**

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# About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ2s Waste Operations and SVQ3 Waste Supervisory Management**. 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

<b>SVQ1 (SCQF level 4)</b>	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.
<b>SVQ2 (SCQF level 5)</b>	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.
<b>SVQ3 (either SCQF level 6 or 7)</b>	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.
<b>SVQ4 (either SCQF level 8 or 9)</b>	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.
<b>SVQ5 (SCQF level 11)</b>	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](http://www.scqf.org.uk).

## How are standards defined in SVQs?

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

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

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

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

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

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

## Who is involved in SVQs?

There are several roles:

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

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

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

## **The steps involved in assessing a candidate for an SVQ**

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

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

# 1 The SVQ2s Waste Operations and SVQ3 Waste Supervisory Management

The SVQs in Waste Operations and Waste Supervisory Management have been developed by Energy and Utility Skills and are intended for people in the waste and resource management sector which can include Local Authorities, waste management organisations and third sector organisations in Scotland.

The SVQ2s Waste Operations are very flexible awards that have five distinct pathways.

- ◆ Waste Collection Operative
- ◆ Waste Collection Driver
- ◆ Waste Site Operative
- ◆ Waste Team Leader
- ◆ Waste Weighbridge Operator

The SVQ3 Waste Supervisory Management is a flexible award which allows a range of options within the pathways.

The waste management industry is increasingly influenced by government priorities and by the need to manage waste sustainably. Because of this, SQA has worked with Energy and Utility Skills and with employers to develop and provide this SVQ. It is designed to meet the needs and expectations of the waste management industry.

These SVQs are designed to:

- ◆ provide a practical, hands-on qualification for anyone employed in frontline services in the waste and resource management industry
- ◆ be open to people of all ages and at any stage in their career
- ◆ be a very flexible qualification that can be tailored to meet your organisation's requirements, or to cover a specific job role
- ◆ give learners the ability to create a safe and healthy working environment, minimising risk and reducing accidents
- ◆ offer progression to Level 3 (supervisory) and Level 4 (management) diplomas in Waste Management

Scotland's Zero Waste Plan was published by the Scottish Government in June 2010. Action point 13 states 'Zero Waste Scotland will develop a programme to support continual improvement in health and safety and workforce skills in the resource management sector'. These SVQs are a key part of the plan, providing and certifying the skills and knowledge of the workforce who will carry out this work.



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:

- ◆ operational waste management facilities which can include landfill sites, waste transfers sites, Material Recycling Facilities, Anaerobic Digestion (AD) plants, composting facilities etc.
- ◆ waste and recycle collection facilities, for example council depots
- ◆ large organisations which have a waste management facility for example large shopping centre which manages the waste and recycle from the centre.

## Structure of the SVQs

This section lists the Units which form the SVQ2s Waste Operations and SVQ3 Waste Supervisory Management.

### SVQ2 Waste Operations: Waste Collection Driver (GF9G 22)

#### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2HV 04	5	3	WM63	Conform to Efficient Work Practices
H2HW 04	5	6	WO1	Maintain a Healthy and Safe Working Environment for Waste Management Activities
H2HY 04	5	3	WO3	Comply with Emergency Procedures on Waste Management Activities
H2HX 04	5	2	WO2	Working with Other People
H2J0 04	6	8	WM60	Work with Others to Improve Customer Service
H2J1 04	4	2	WO29	Contribute to the Sustainability, Maintenance and Preservation of the Environment
H2J2 04	5	3	WO9	Transportation of Waste

**Optional Units — candidates must choose three of the following**

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
H2L6 04	5	6	WM57	Resolve Customer Service Problems
H2J4 04	5	4	WO5	Loading a Waste Transport Vehicle
H2J5 04	5	7	WO10	Validation of Waste
H2J6 04	5	7	WO11	Acceptance of Waste
H2J7 04	5	2	WO14	Support Safety around Waste Collection Vehicles
H2J8 04	5	2	WO8	Install, Remove and Replace Containers for Waste
H2J9 04	5	5	WM53	Arrange Loading and Transportation of Materials
H2JA 04	4	3	WO28	Mechanically Handle Waste
H2K7 04	7	8	WM33	Manage Your Own Resources and Professional Development
H2K8 04	5	9	WO7	Control the Risk from Vehicle and Plant Movements on Waste Management Facilities
H2JD 04	6	8	WO21	Revise Planned Waste Transport Operations
H2K9 04	4	7	WO13	Maintain the Security of Waste Management Facilities
H2JF 04	4	2	WO36	Manual Handling and Lifting of Loads

## SVQ2 Waste Operations: Waste Collection Operative (GF9H 22)

### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2HV 04	5	3	WM63	Conform to Efficient Work Practices
H2HW 04	5	6	WO1	Maintain a Healthy and Safe Working Environment for Waste Management Activities
H2HY 04	5	3	WO3	Comply with Emergency Procedures on Waste Management Activities
H2HX 04	5	2	WO2	Working with Other People
H2J0 04	6	8	WM60	Work with Others to Improve Customer Service
H2J1 04	4	2	WO29	Contribute to the Sustainability, Maintenance and Preservation of the Environment
H2JG 04	4	3	WO4	Manual Collection of Waste

### Optional Units — candidates must choose three of the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2JH 04	5	7	WO6	Unloading a Waste Transport Vehicle
H2J6 04	5	7	WO11	Acceptance of Waste
H2J5 04	5	7	WO10	Validation of Waste
H2JJ 04	4	4	WO16	General Duties on Waste Facilities
H2JF 04	4	2	WO36	Manual Handling and Lifting of Loads
H2K7 04	7	8	WM33	Manage Your Own Resources and Professional Development
H2K8 04	5	9	WO7	Control the Risk from Vehicle and Plant Movements on Waste Management Facilities
H2J8 04	5	2	WO8	Install, Remove and Replace Containers for Waste
H2J7 04	5	2	WO14	Support Safety around Waste Collection Vehicles
H2JA 04	4	3	WO28	Mechanically Handle Waste

## SVQ2 Waste Operations: Waste Site Operative (GF9J 22)

### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2HV 04	5	3	WM63	Conform to Efficient Work Practices
H2HW 04	5	6	WO1	Maintain a Healthy and Safe Working Environment for Waste Management Activities
H2HY 04	5	3	WO3	Comply with Emergency Procedures on Waste Management Activities
H2HX 04	5	2	WO2	Working with Other People
H2J0 04	6	8	WM60	Work with Others to Improve Customer Service
H2J1 04	4	2	WO29	Contribute to the Sustainability, Maintenance and Preservation of the Environment
H2JK 04	4	7	WO19	Process Received Waste

### Optional Units — candidates must choose three of the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2JL 04	5	10	WO26	Maintain the Condition of Waste Treatment Equipment
H2JM 04	5	7	WO18	Store Waste and Operating Materials within a Waste Management Facility
H2JF 04	4	2	WO36	Manual Handling and Lifting of Loads
H2JN 04	4	7	WO20	Despatch Received Waste
H2JP 04	5	5	WO24	Clean and Adjust Small Plant and Equipment
H2JR 04	5	2	WO22	Control and Carry Out Landfill
H2KC 04	5	9	WO27	Exchange Responsibility for Control of Waste Treatment Operations
H2K7 04	7	8	WM33	Manage Your Own Resources and Professional Development
H2K9 04	4	7	WO13	Maintain the Security of Waste Management Facilities
H2KJ 04	5	2	WO17	Direct Waste Delivery Crews on a Waste Management Facility
H2JA 04	4	3	WO28	Mechanically Handle Waste
H2K8 04	5	9	WO7	Control the Risk from Vehicle and Plant Movements on Waste Management Facilities
H2J5 04	5	7	WO10	Validation of Waste

H2JJ 04	4	4	WO16	General Duties on Waste Facilities
H2K6 04	6	4	WO23	Conduct Environment Monitoring on Waste Management Facilities
H2J2 04	5	3	WO9	Transportation of Waste

## SVQ2 Waste Operations: Waste Team Leader (GF9K 22)

### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2HV 04	5	3	WM63	Conform to Efficient Work Practices
H2HW 04	5	6	WO1	Maintain a Healthy and Safe Working Environment for Waste Management Activities
H2HY 04	5	3	WO3	Comply with Emergency Procedures on Waste Management Activities
H2HX 04	5	2	WO2	Working with Other People
H2J0 04	6	8	WM60	Work with Others to Improve Customer Service
H2J1 04	4	2	WO29	Contribute to the Sustainability, Maintenance and Preservation of the Environment
H2JX 04	7	9	WM34	Provide Leadership for your Team
H2JY 04	5	12	WM43	Allocate and Check Work in your Team

### Optional Units — candidates must choose three of the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2K0 04	5	5	WM67	Contribute to the Provision of Customer Service
H2K1 04	7	14	WM10	Generate and Retain Waste and Resource Management Business
H2K2 04	8	11	WM45	Provide Learning Opportunities for Colleagues
H2K3 04	5	2	WM46	Participate in Meetings
H2JF 04	4	2	WO36	Manual Handling and Lifting of Loads
H2K4 04	7	5	WO33	Contribute to Maintaining Sustainable Development and Environmental Good Practice at Work
H2K5 04	5	5	WM58	Support Customer Service Improvements
H2K6 04	6	4	WO23	Conduct Environment Monitoring on Waste Management Facilities
H2K7 04	7	8	WM33	Manage Your Own Resources and Professional Development

H2K8 04	5	9	WO7	Control the Risk from Vehicle and Plant Movements on Waste Management Facilities
H2K9 04	4	7	WO13	Maintain the Security of Waste Management Facilities
H2J5 04	5	7	WO10	Validation of Waste
H2J6 04	5	7	WO11	Acceptance of Waste
H2KA 04	6	4	WO25	Oversee Waste Process Operations
H2K8 04	5	10	WO26	Maintain the Condition of Waste Treatment Equipment
H2KC 04	5	9	WO27	Exchange Responsibility for Control of Waste Treatment Operations

### SVQ2 Waste Operations: Waste Weighbridge Operative (GF9L 22)

#### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2HV 04	5	3	WM63	Conform to Efficient Work Practices
H2HW 04	5	6	WO1	Maintain a Healthy and Safe Working Environment for Waste Management Activities
H2HY 04	5	3	WO3	Comply with Emergency Procedures on Waste Management Activities
H2HX 04	5	2	WO2	Working with Other People
H2J0 04	6	8	WM60	Work with Others to Improve Customer Service
H2J1 04	4	2	WO29	Contribute to the Sustainability, Maintenance and Preservation of the Environment
H2KG 04	5	15	WM52	Operate Weighbridge

#### Optional Units — candidates must choose three of the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2KH 04	5	10	WM66	Manage the Movement of Loads
H2KJ 04	5	2	WO17	Direct Waste Delivery Crews on a Waste Management Facility
H2J6 04	5	7	WO11	Acceptance of Waste
H2KK 04	7	4	WM54	Provide Information to Vehicle Drivers Operating in your Area of Responsibility
H2JA 04	4	3	WO28	Mechanically Handle Waste
H2K7 04	7	8	WM33	Manage Your Own Resources and Professional Development

H2K8 04	5	9	WO7	Control the Risk from Vehicle and Plant Movements on Waste Management Facilities
H2KL 04	5	3	WM51	Monitor and Maintain Environmental Conditions in your Area of Responsibility
H2J9 04	5	5	WM53	Arrange Loading and Transportation of Materials
H2K9 04	4	7	WO13	Maintain the Security of Waste Management Facilities
H2JF 04	4	2	WO36	Manual Handling and Lifting of Loads
H2J5 04	5	7	WO10	Validation of Waste

### SVQ3 Waste Supervisory Management (GF9M 23)

#### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2KM 04	7	5	WS01	Ensure that Teams Conform to Efficient Working Practices
H2KN 04	6	8	WS02	Provide Health and Safety in the Working Environment for Waste Management Activities
H2KP 04	6	7	WS03	Supervise the Work of Others
H2KR 04	6	7	WS04	Contribute to the Management of the Environmental Impact of Work
H2KS 04	8	9	WS05	Provide Leadership in your Area of Responsibility

#### Optional Units

#### Group A — candidates must choose at least two of the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2K0 04	5	5	WM67	Contribute to the Provision of Customer Service
H2K1 04	7	14	WM10	Generate and Retain Waste and Resource Management Business
H2K2 04	8	11	WM45	Provide Learning Opportunities for Colleagues
H2K3 04	5	2	WM46	Participate in Meetings
H2JF 04	4	2	WO36	Manual Handling and Lifting of Loads
H2K4 04	7	5	WO33	Contribute to Maintaining Sustainable Development and Environmental Good Practice at Work
H2K5 04	5	5	WM58	Support Customer Service Improvements

H2JY 04	5	12	WM43	Allocate and Check Work in Your Team
H2JW 04	6	4	WO23	Conduct Environmental Monitoring on a Waste Management Facility
H2K7 04	7	8	WM33	Manage Your Own Resources and Professional Development
H2K8 04	5	9	WO7	Control the Risk from Vehicle and Plant Movements on Waste Management Facilities
H2J1 04	4	2	WO29	Contribute to the Sustainability, Maintenance and Preservation of the Environment
H2K9 04	4	7	WO13	Maintain the Security of Waste Management Facilities
H2J5 04	5	7	WO10	Validation of Waste
H2J6 04	5	7	WO11	Acceptance of Waste
H2KT 04	5	2	WO15	Inspection of Vehicles used in Waste Management Facilities
H2KA 04	6	4	WO25	Oversee Waste Process Operations
H2JL 04	5	10	WO26	Maintain the Condition of Waste Treatment Equipment
H2KC 04	5	9	WO27	Exchange Responsibility for Control of Waste Treatment Operations

**Group B — candidates must choose at least three of the following**

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
H2KV 04	8	19	WM24	Manage and Maintain Effective Systems for Responding to Emergencies
H2KW 04	7	9	WM28	Manage Customer Care Programmes to Improve Waste Management Services
H2KX 04	7	9	WM12	Control Work Activities on a Waste Management Facility
H2KY 04	8	8	WM18	Manage the Transfer of Outputs and Disposal of Residues from the Remediation of Contaminated Land
H2L0 04	7	13	WM30	Control Maintenance and Other Engineering Operations
H2KL 04	5	4	WM51	Monitor and Maintain Environmental Conditions in your Area of Responsibility
H2KG 04	5	16	WM52	Operate Weighbridge
H2KK 04	5	4	WM54	Provide Information to Vehicle Drivers Operating in your Area of Responsibility
H2L1 04	5	3	WM55	Monitor Vehicle Crew Activities in your Area of Responsibility
H2L2 04	5	3	WM56	Carry Out Procedures for the Sale of Stocked Materials or Products



H2L3 04	7	8	WM61	Identify and Evaluate Sustainable Resources
H2L4 04	5	2	WM62	Conform to General Workplace Safety
H2KH 04	5	10	WM66	Manage the Movement of Loads
H2L5 04	7	8	WM59	Evaluate the Quality of Customer Service
H2L6 04	5	6	WM57	Resolve Customer Service Problems
H2J0 04	6	8	WM60	Work with Others to Improve Customer Service
H2JX 04	7	9	WM34	Provide Leadership for your Team
H2L7 04	9	12	WM36	Ensure Compliance with Legal, Regulatory, Ethical and Social Requirements
H2L8 04	8	11	WM39	Implement Change
H2L9 04	9	12	WM40	Develop Productive Working Relationships with Colleagues and Stakeholders
H2LA 04	9	12	WM41	Recruit, Select and Keep Colleagues
H2LB 04	11	12	WM42	Plan the Workforce
H2LC 04	7	14	WM44	Allocate and Monitor the Progress and Quality of Work in your Area of Responsibility
H2LD 04	7	11	WM47	Manage a Budget
H2LE 04	8	4	WM50	Take Effective Decisions

## An Assessment Strategy for the SVQs

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

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

The relevant parts of the Assessment Strategy are published on SQA's website ([www.sqa.org.uk](http://www.sqa.org.uk)), and both SQA and centres must comply with these requirements.

## Why would people be interested in the SVQ?

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

# How do candidates begin?

## Choosing the SVQ

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

### Example

Margaret is 23 years old and has been unemployed for a number of years now. Recently she was offered the opportunity to enrol with a 'Return to Work' scheme run through a partnership between the Enterprise Company and a local recycling charity. After 2 weeks Margaret is enjoying her placement and has decided to take up formal training in the recycling industry. She sees the SVQ2 as a pathway to long-term full-time employment with a local authority or NGO as an operative involved in sorting and recycling of waste material. She ultimately wishes to progress towards acting as site supervisor when her manager is not present on the site.

Duncan has recently retired from a lifetime career in the armed forces. He is 55 years old and physically active and wishes to put his skills to good use. He has been asked to manage a waste treatment facility for a local skip hire company. As his qualifications all relate to military qualifications he would like to extend his knowledge of waste management to provide him with the skills to supervise the waste treatment operations. His manager has agreed to enrol Duncan on the SVQ3 in Waste Supervisory Management with a view to completing this within the next 6 months.

## 2 Preparing to assess the SVQ

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

### Your role and your candidate's role

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

#### Your role

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

#### Candidates' role

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

## Planning

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

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

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

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

To help you plan for assessment, we have produced an assessment plan which covers Unit WO1 Maintain a Healthy and Safe Working Environment for Waste Management Activities, element 'Maintain Personal Hygiene'.

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	WO1 Maintain a Healthy and Safe Working Environment for Waste Management Activities				
Elements	Maintain Personal Hygiene				
Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
<p><b>Maintain personal hygiene.</b></p> <p>1 Maintain personal standards of hygiene in accordance with organisational requirements.</p> <p>2 Select and use the designated personal protective equipment (PPE) in accordance with operational procedures and legislation.</p> <p>3 Use approved safe working and hygiene methods and techniques when carrying out work activities.</p> <p>4 Check work areas are kept clean and tidy and contribute to maintaining them in a suitable condition.</p> <p><b>Comply with safety procedures at the work site.</b></p> <p>5 Follow safe working procedures and practices in accordance with organisational requirements.</p>	<p><b>General</b></p> <p>(a) The classifications and types of waste.</p> <p>(b) The potential hazards associated with different wastes.</p> <p>(c) How to identify work-related hazards and risks.</p> <p>(d) Details of operational procedures and documentation.</p>	<p><b>Practical activities:</b></p> <p>Observation checklist.</p> <p>Photographic evidence.</p> <p>PPE Issue Record.</p> <p>Induction record.</p> <p>Defect sheets.</p> <p>Route risk assessment.</p> <p>Tool box talk record.</p>	<p>October 2012 to end June 2013.</p> <p>Observation completing shift w/c 29<sup>th</sup> October 2012.</p> <p>Review and questioning first week Nov. (Office)</p> <p>Internal verification (ongoing).</p>	<p>Route risk assessment.</p> <p>Candidates induction checklist and H&amp;S Briefing.</p> <p>H&amp;S Risk Assessment.</p> <p>Candidate's 4 years prior experience of collecting waste.</p>	<p>Support Safety around Waste Collection Vehicles WO14.</p> <p>Note — use of correct PPE will be common to many of the units in this award.</p>

<p>6 Carry out your work routines in accordance with organisational procedures.</p> <p>7 Check risk assessments are in place for all aspects of own work, prior to commencing operations, and ensure their requirements are complied with.</p> <p>8 Keep to specified walkways in the work place.</p> <p>9 Give warnings to people who might be at risk from hazardous conditions.</p> <p>10 Comply with the organisation's requirements for lone working situations.</p> <p><b>Use and communicate data and information in line with operational procedures.</b></p> <p>11 Report unsafe materials, plant and equipment.</p> <p>12 Report unsafe locations to the designated person.</p> <p>13 Report unsafe operating conditions in the work environment.</p> <p>14 Report hazards which have the potential to be risks.</p> <p>15 Report emergencies promptly.</p>	<p>(e) How to deal constructively with colleagues and other people and resolve disagreements.</p> <p>(f) How to use personal protective equipment (PPE) in line with operational procedures.</p> <p>(g) Operational procedures and why it is important to comply with them.</p> <p>(h) The limits of the job responsibility when communicating with others.</p>	<p><b>Knowledge and Understanding</b></p> <p>Oral and written questioning.</p>			
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<p><b>Resolve problems which could affect health and safety.</b></p> <p>16 Deal with unsafe behaviour in accordance with responsibilities of the job role and workplace procedures.</p> <p>17 Take steps to deal with conditions that are hazardous to people.</p> <p>18 Report problems within own area of responsibility in accordance with operational procedures.</p> <p>19 Refer — to the designated person — health and safety issues that fall outside the responsibility of the job role.</p> <p><b>Behaviour which underpins effective performance.</b> <b><i>You work in a manner which:</i></b></p> <ul style="list-style-type: none"> <li>◆ recognises and acts when others need support</li> <li>◆ takes responsibility for resolving problems in your work area</li> </ul>	<p><b>Health and safety</b></p> <p>(i) The differences between a hazard and a risk.</p> <p>(j) The organisational requirements for personal hygiene.</p> <p>(k) The importance of good housekeeping.</p> <p>(l) The importance of identifying hazards and how to minimise them.</p> <p>(m) The importance of warning others about risks and ways to do it.</p> <p>(n) The different types of plant equipment and potential risks from it.</p>				
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	<p>(o) Hazard warning signs and their purposes.</p> <p>(p) The legal requirements for Risk Assessments in the work place.</p> <p>(q) The organisational requirements for reporting risks, hazards and dangerous incidents.</p>				
<b>Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review</b>	Gaps identified during first review.	Oral and written questioning. Personal statement.	1 <sup>st</sup> week in December.	Portfolio.	

Assessor's signature \_\_\_\_\_

1st review due \_\_\_\_\_

Candidate's signature \_\_\_\_\_

2nd review due \_\_\_\_\_

Date of agreement \_\_\_\_\_

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 of the workplace. When you select methods of assessment, you should try to offer the candidate the benefits of workplace assessment and minimise any potential difficulties.

The benefits might be:

- ◆ 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 Course can be delivered in such a way as to allow the full integration of core Units, for example: Maintain a Healthy and Safe Working Environment for Waste Management Activities and Working with Other People; into practical optional Units. This approach ensures that assessment tasks arise naturally are not viewed by candidates as simply jumping through hoops.

The challenges might be:

- ◆ The candidate can often be working as part of a busy crew and the assessment process may slow the work activities down.
- ◆ The candidate may have been 'volunteered' by the employer.

## **Example**

While preparing to complete their shift a candidate would be expected to complete and hand in any defect reports and or complaints. For example defective bins, complaints record, record of contamination, etc. Candidate would be expected to remove work clothes and PPE and store it correctly. In many cases this will include drying clothes to ensure they are suitable for wearing the next day. Once complete candidate will be expected to wash hands and arms as per their induction procedure.

If completed correctly this observation will cover:

- ◆ Maintain personal hygiene.
- ◆ Comply with safety procedures at the work site.
- ◆ Use and communicate data and information in line with operational procedures.
- ◆ Resolve problems which could affect health and safety.

## Methods of assessment

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

### Observation

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

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

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

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 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:

- ◆ Risk assessments, procedures, COSHH assessments, training records, induction records, defect/complaint reports, activity diary, etc.
- ◆ Physical evidence of waste management activities: waste being collected, waste being received at a facility, waste being sorted into waste and recycle, recycle being processed for sending to others. If the assessor/verifier is not present this evidence can be captured on photographs.
- ◆ Physical evidence of issues which a candidate has resolved for example non-conforming waste received at site and handled as per non-conforming waste procedure, defects to facility which have been prepared.

## 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 within a Unit. Much of a candidate's knowledge and understanding will be apparent from what they do or produce as part of their work, but this will not always be the case, and questioning can be a useful way of confirming what candidates know and understand.

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

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

### **WM24 — Manage and Maintain Effective Systems for Responding to Emergencies**

**Q** What are the common emergencies which you need to prepare for at your landfill site?

**A** The main emergencies are fire, spillage of hazardous liquids and accident and injury. At the site we routinely (every 6 months) carry out a fire drill. All staff are also trained to deal with spillages using the spill kit provided and we have a number of trained first aiders around the site.

**Q** After an emergency drill and/or a real incident has been completed why is it important to review the company emergency plans and procedures?

**A** After an emergency drill and/or a real incident has been completed it is important to review the company emergency plans and procedures to ensure the correct procedures and plans were followed. Where they were not followed further investigation may indicate a need to train staff again in procedures or for example procedures and plans may need to be updated to reflect current activities.

### **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.

Personal statements are an accepted form of assessment in the waste management sector. 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: for example photographic evidence — before and after site improvements; video evidence of work in progress; documentary evidence — time sheets, log-books, candidate work diaries, minutes of staff meetings; witness testimony; checklists, etc. The veracity and reliability of personal statements can be easily verified through the use of oral questioning.

## **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 L and D Units, 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 waste management, as with many related fields, may come in the form of:

- ◆ references
- ◆ letters from satisfied customers
- ◆ letters from satisfied client organisations, eg contracting agents
- ◆ statements from superiors
- ◆ feedback comments from staff 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. 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.

Energy and Utility Skills 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](http://www.sqa.org.uk).

## **Simulated activities for Vocational Qualifications**

Energy & Utility Skills defines simulated activities as those which are carried out without the environment, resources or equipment found within the workplace and involve acting or other scenarios which are not 'real' work tasks. Where new national occupational standards are developed, Energy and Utility Skills will advise where simulation might be used.

### **Conditions for simulation**

The simulated situation can represent situations which rarely occur or are exceptional in any other way.

The people taking part in the simulation must have a brief which gives sufficient information to them to recognise the equivalent real situation and decide what they would do and say.

The people taking the parts of other personnel or contractors or customers must be credible for the situation that is being simulated.

The simulated situation should not require the learners to experience unusually difficult circumstances which are outside the normal scope of the job role.

### **Other sources of evidence**

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

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

### 3 Generating evidence

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

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

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

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



## **Observation**

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

## Observation record

**Unit/Element(s)** WO1 Maintain a Healthy and Safe Working Environment for Waste Management Activities

**Candidate** Margaret

**Evidence index number** 10

**Date of observation** 10<sup>th</sup> October 2012

Skills/activities observed	Performance Criteria covered
<p>Margaret arrived for work on time and immediately went to the changing rooms to change into her orange hi viz overalls, safety boots, hi viz jacket and hard hat. She had ear defenders fitted to her hard hat which she needs to wear for some areas of the site and also had gloves and safety glasses in her pocket. After checking in with the shift foreman she was directed to the picking line where she was tasked with removing cardboard from the conveyor belt. The staff all had a visible guide beside their work station giving examples of types of recycle, in this case cardboard which was to be removed from the waste stream (photo of visible guide). The guide also contained information on any known hazards of the material. Prior to commencing work Margaret ensured she had safe access to the emergency stop button. Margaret had also raised a defect the previous day regarding a defective fire door which had not been repaired. Prior to commencing work Margaret put on her ear defenders and also her safety glasses as per company procedures.</p> <p>I agreed to let Margaret get on with her work and promised to return just prior to her break.</p> <p>On return Margaret was just finishing up for her break. She shut down necessary equipment and ensured work area was clean and tidy. She left via the wash room, removed protective equipment and washed hands and arms as per company procedures.</p> <p>The fire door had still not been repaired and Margaret took the opportunity to speak to the shift foreman to get an update on progress.</p>	<p>Maintain personal hygiene, comply with safety procedures at the work site, use and communicate data and information in line with operational procedures and resolve problems which could affect health and safety.</p>

**Knowledge and Understanding apparent from this observation**

General

- (a) The classifications and types of waste.
- (b) The potential hazards associated with different wastes.
- (f) How to use personal protective equipment (PPE) in line with operational procedures.
- (h) The limits of the job responsibility when communicating with others

Health and safety.

- (j) The organisational requirements for personal hygiene.
- (k) The importance of good housekeeping.
- (l) The importance of identifying hazards and how to minimise them.
- (o) Hazard warning signs and their purposes.
- (q) The organisational requirements for reporting risks, hazards and dangerous incidents.

**Other Units/Elements to which this evidence may contribute**

WO14 Support Safety around Waste Collection Vehicles

Note — use of correct PPE will be common to many of the Units in this award.

**Assessor's comments and feedback to candidate**

Margaret approached her work in a confident and organised manner and took effective management of her work activities for the day. All tasks were completed in a timely manner to an acceptable standard. Margaret has made great progress since starting her work placement and is now demonstrating competence in all areas of recycling operations. In addition Margaret has a good awareness of health and safety issues and is beginning to demonstrate leadership potential. Margaret is now ready to finalise the details of her portfolio for this Unit. Well done.

I can confirm the candidate's performance was satisfactory.

**Assessor's signature** Margaret Jones      **Date** 10/10/12

**Candidate's signature** Alasdair Meldrum      **Date** 10/10/12

## **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

<b>Unit</b>	WO1 Maintain a Healthy and Safe Working Environment for Waste Management Activities
<b>Element(s)</b>	All
<b>Evidence index number</b>	11
<b>Circumstances of assessment</b>	
The above observation was carried out with Margaret on 10 <sup>th</sup> October 2012. A number of K&U points were not covered and the following Q&A session in the form of a discussion was carried out just prior to the end of Margaret's shift.	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	Can you describe the difference between a hazard and a risk and describe a number of each which occur in your working environment.
<b>A</b>	A hazard is something which has the potential to cause harm. For example the knives we use for splitting bags are a useful tool but they are sharp and can cut me. A risk is the likelihood of the hazard causing harm. For example using the knife correctly and securing it correctly after use reduces the risk it is going to cause harm.
<b>Q</b>	What operational procedures do you need to follow when working on the picking line?
<b>A</b>	We have three main procedures we need to follow while on the picking line. The first is our induction policy which details what PPE I need to wear, hygiene policy, manual handling etc. The second is the procedures and risk assessments relating to the picking line and the third is the general policy regarding safety issues and reporting of defects and issues.
<b>Q</b>	How do you deal constructively with colleagues and other people and resolve disagreements?
<b>A</b>	I try not to argue with my colleagues. If there is an issue I cannot resolve I will speak to my shift foreman.
<b>Q</b>	What are the different types of plant equipment and potential risks from it which are on the site?
<b>A</b>	The main items of plant on site are:  Mobile plant — main danger is being run over/hit, hence we are not allowed in area where mobile plant is operating Sorting belt — main danger is material falling from belt, sharp material on belt, catching on belt. Waste shredder — this kit shreds up all remaining waste into fine pieces. There is no requirement for us to work with this equipment.

<b>Q</b>	Why is it that it is important that you are inducted in all risk assessments for the work activities you will carry out?
<b>A</b>	My employer has a duty to carry out a risk assessment on all activities I will carry out. I must be inducted on this risk assessment and sign to acknowledge that I understand the risks and precautions I must take.

**Assessor's signature** Margaret Jones      **Date** 10/10/12

**Candidate's signature** Alasdair Meldrum      **Date** 10/10/12

## **Candidate's personal statement**

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

## Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
3 <sup>rd</sup> Oct 2012	7	<p>On Wednesday 3<sup>rd</sup> Oct. I was due to work on the picking line sorting received waste. After getting changed into the necessary PPE (hard hat, hi viz, safety boots, glasses and gloves) I walked up to the picking line. We usually have a team of six staff working at the line however due to holidays we were down to 4 staff. My colleagues were not happy about this so I suggested that to allow us to safely complete our work we should agree with the shift foreman to slow down the belt. After some discussion this was agreed and I also agreed to try and sort both cardboard and paper to reduce the load on the others. During the day we had a number of issues which I was involved with —</p> <p>The first was initially the belt speed was still too high. This resulted in a lot of recyclate being sent for landfill. I spoke to the foreman again and managed to get this reduced.</p>	5 and 6	<p><b>WO19 Process Received Waste</b></p> <p>Process received waste in accordance with operational procedures Use and communicate data and information to comply with waste processing procedures Resolve problems which arise from processing waste</p> <p><b>Knowledge and understanding</b></p> <ul style="list-style-type: none"> <li>(a) The classifications and types of waste.</li> <li>(b) The potential hazards associated with different wastes.</li> <li>(c) How to identify work-related hazards and risks.</li> <li>(d) Details of operational procedures and documentation.</li> <li>(e) How to deal constructively with colleagues and other people and resolve disagreements.</li> <li>(f) How to use personal protective equipment (PPE) in line with operational procedures.</li> </ul>



		<p>Just before break time a colleague noticed a fault with the picking line — some glass was stuck to the picking line resulting in a sharp hazard to us. It was agreed that we would break early for lunch to allow the fitter to stop the belt and remove the glass from the belt. In the afternoon I was called to assist the shovel driver cleaning up an oil spill. His machine had burst a hose and spilt oil over the floor. Oil absorbent material was spread over the material and then swept up and bagged. This oil contaminated material was then placed in the non-conforming waste area prior to safe disposal. Prior to returning to the picking line I had to wash down to remove some oil which had splashed on my waterproof coveralls.</p> <p>Late in the afternoon Craig Chandler — Council Safety Manager visited us on the picking line to assess our work activities and working environment. We had a lively discussion with Craig regarding getting the fire exit door fully operational again.</p>	<p>(g) Operational procedures and why it is important to comply with them.</p> <p>(h) The limits of the job responsibility when communicating with others.</p> <p>Processing of waste.</p> <p>(i) The waste processing procedures for the site.</p> <p>(j) How to identify and determine the different types of waste received in a waste facility.</p> <p>(k) The different methods of processing waste.</p> <p>(l) How to determine the waste received matches the description on the documentation.</p> <p>(m) How to identify unacceptable waste in deliveries.</p> <p>(n) How to determine different types of waste is contained and packaged correctly.</p> <p>(o) How to handle and process different types of waste and minimise risk.</p> <p>(p) How to deal with accidents and emergencies resulting from spillages and contamination.</p> <p>(q) How to deal with personal injury and accidents to other people.</p>
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		<p>It was opening too easily and gusts of wind were opening it causing a draft in our working area.</p> <p>At end of shift I completed my timesheet and also completed my daily diary to pass onto night shift.</p>	<p>(r) How to prevent processed waste becoming contaminated before it is despatched.</p> <p>(s) The procedures for reporting hazards and removing them from site.</p> <p>(t) Documentation and recording procedures to comply with organisational requirements and regulations.</p> <p>(u) Environmental permit requirements relating to the processing of wastes.</p> <p>(v) Organisational procedures and requirements related to the processing of wastes.</p>
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Candidate's signature Margaret Jones

Date 3/10/12

## **Witness testimony**

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

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

## Witness testimony

<b>SVQ title and level</b>	SVQ2 Waste Operations
<b>Candidate's name</b>	Margaret Jones
<b>Evidence index no</b>	8
<b>Index no of other evidence which this testimony relates to (if any)</b>	5, 6, 7
<b>Element(s)</b>	WO19 Process Received Waste
<b>Date of evidence</b>	3/10/12
<b>Name of witness</b>	Craig Chandler
<b>Designation/relationship to candidate</b>	Council Safety Manager
<b>Details of testimony</b>	
<p>I visited the picking line while they were sorting through the dry recyclate material which had recently been delivered. The usual team was down to 4 (from 6) due to staff shortages. The belt was operating at a reduced speed to allow for this. The objective of my visit was to assess the staff work activities and whether they were complying with council policy and also to review the working environment.</p> <p>I discussed the working conditions with Margaret at some length and in particular the faulty fire door. We also discussed the types of waste being sorted and the main issues they faced during the working day. She was both confident and knowledgeable and had clearly attained competence in all of the relevant skills required of the Unit. Margaret is clearly a team player and is respected by her colleagues and supervisor.</p>	

I can confirm the candidate's performance was satisfactory.

**Witness's signature** Craig Chandler                      **Date** 3/10/12

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

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

## Filling the gaps

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

In these SVQs, such gaps are likely to occur in generating evidence for Units where specific site activities are required and candidates cannot get experience working in these areas. As the awards are very flexible with the level 2 qualifications having different options and the level 3 having a wide range of options this should not be a common occurrence. In such circumstances the candidates should undertake alternative optional Units which meet the specification of the candidate's workplace. In other less extreme cases you may be able to overcome these obstacles through temporary work placements, site visits and Internet research coupled with oral or written questioning.

Assessment in simulated conditions is unlikely to be required in assessment of any of the Units in either the level 2 or 3 qualification. If used it must be clearly documented on the centre procedures and comply with the Energy and Utility Skills Assessment Strategy.

### Conditions for simulation

The simulated situation can represent situations which rarely occur or are exceptional in any other way.

The people taking part in the simulation must have a brief which gives sufficient information for them to recognise the equivalent real situation and decide what they would do and say.

The people taking the parts of other personnel or contractors or customers must be credible for the situation that is being simulated.

The simulated situation should not require the learners to experience unusually difficult circumstances which are outside the normal scope of the job role.

## Guidance and support to candidates

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

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

## **Judging candidate evidence and making an assessment decision**

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

Evidence must:

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

### **Insufficient evidence**

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

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

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

## **Authenticating candidates' evidence**

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

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

### **Example**

Candidate portfolios should be carefully cross-referenced and generally, evidence for any particular competence will be supported by other forms of evidence. Where gaps occur or where evidence cannot be clearly authenticated alternative forms of evidence may be required for example: oral or written questions; work sheets; time sheets; log books; minutes of team meetings, etc. In extreme cases where supporting authentication is not available it may be necessary to repeat the assessment task, observed by the assessor, under workplace conditions.

## 4 Recording achievement

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

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

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

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

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

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

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

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

These forms are also used in SQA's portfolio.

## **Completing the Unit progress record**

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

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



## Unit progress record

**Qualification and level** SVQ2 Waste Operations: Waste Site Operative

**Candidate** Margaret Jones

To achieve the whole qualification, you must prove competence in 7 **mandatory** Units and 3 **optional** Units.

### Unit checklist

<b>Mandatory</b>	WM63	WO1	WO3	WO2	WM60	WO29	
<b>Mandatory pathway</b>	WO19						
<b>Optional</b>	WO36	WO28	WO16				

### Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
WM63	Conform to Efficient Work Practices	<i>A Meldrum</i>	11/09/12
WO1	Maintain a Healthy and Safe Working Environment for Waste Management Activities	<i>A Meldrum</i>	10/10/12
WO3	Comply with Emergency Procedures on Waste Management Activities	<i>A Meldrum</i>	30/10/12
WO2	Working with Other People	<i>A Meldrum</i>	
WM60	Work with Others to Improve Customer Service	<i>A Meldrum</i>	11/09/12
WO29	Contribute to the Sustainability, Maintenance and Preservation of the Environment	<i>A Meldrum</i>	21/11/12

### Mandatory pathway Units achieved

Unit number	Title	Assessor's signature	Date
WO19	Process Received Waste	<i>A Meldrum</i>	3/10/12

### Optional Units achieved

Unit number	Title	Assessor's signature	Date
WO36	Manual Handling and Lifting Loads	<i>A Meldrum</i>	30/10/12
WO28	Mechanically Handle Waste	<i>A Meldrum</i>	30/10/12
WO16	General Duties on Waste Facilities	<i>A Meldrum</i>	21/11/12

## 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		SVQ2 Waste Operations: Waste Site Operative	
Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	Waste management license	On display in w/b office	CC 3/10/12
2	Induction check list	Yes	CC 3/10/12
3	Picking line guide	On display at picking line	CC 3/10/12
4	Picking line risk assessment	Yes	CC 11/9/12
5	PPE issue record	Yes	CC 11/9/12
6	Defect report (fire door)	Yes	CC 11/9/12
7	Personal statement	On W/B computer	CC 3/10/12
8	Witness testimony	Yes	CC 3/10/12
9	COSHH assessment	Yes	CC 30/10/12
10	Observation record	Yes	CC 30/10/12
11	Q&A for Unit WO01	Yes	CC 30/10/12

## **Completing the Element achievement record**

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

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

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

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

## Element achievement record

**Unit** WO1 Maintain a Healthy and Safe Working Environment for Waste Management Activities

Evidence index no	Description of evidence	PC/performance statements											Areas of Knowledge and Understanding/scope											
		6												a	d	g								
1	Waste management license	6												a	d	g								
2	Induction check list	1	2	3	4	5	10	12	13	14	15	16	b	c	f	g	h	i	j	o	p	q		
3	Picking line guide	5	6	7	8	10	16	17	18	19			a	b	f	g	j	k	l	m	n	o		
4	Picking line risk assessment	2	4	5	6	7	17						b	d	f	g	l	m	n	o	p	q		
5	PPE issue record	2	5										f	o										
6	Defect report (fire door)	12	13	17	18	19							d	k	q									
7	Personal statement	1	2	3	4	5	6						b	c	d	e	f	h	j	k	n	Q		
8	Witness testimony	2	4	5	6	13	18	19					f	h	k	l								
9	COSHH assessment	5	6	14	17								c	f	g	l	o	Q						
10	Observation record	1	2	3	4	5	6	16	17	18	19		b	d	e	f	k							
11	Q&A for Unit WO01	2	4	5	7	16							b	c	f	i	k	p	q					

**Unit** WO1 Maintain a Healthy and Safe Working Environment for Waste Management Activities

**Notes/comments**

Margaret has completed this unit to a very high standard and now can demonstrate that she maintains a healthy and safe working environment. She is aware of the health and safety risks inherent in waste management operations and has become skilled in minimising these risks. She is well liked by her colleagues and works well as a member of the team. On occasion she has demonstrated management potential and may, given time and further training, grow to occupy such a role. The priority now is to progress Margaret to allow her experience working within different areas of the site.

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

<b>Candidate's signature</b>	<u>Margaret Jones</u>	<b>Date</b>	<u>10/10/12</u>
<b>Assessor's signature</b>	<u>Alasdair Meldrum</u>	<b>Date</b>	<u>10/10/12</u>
<b>Internal verifier's signature</b>	<u>Craig Chandler</u>	<b>Date</b>	<u>10/10/12</u>

## 5 Further information

### What else should I read?

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

*Assessor/Verifier Units: assessment guidance*

*External Verification: A Guide for Centres*

*Guide to Assessment*

*Introduction to Assessment Arrangements for Schools and Colleges*

*SQA's Quality Framework: a guide for centres*

*Operational Help Centre*

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

# **Appendix 1: Blank recording forms**



## Unit progress record

Qualification and level \_\_\_\_\_

Candidate \_\_\_\_\_

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

### Unit checklist

<b>Mandatory</b>							
<b>Optional</b>							

### Mandatory Units achieved

Unit number	Title	Assessor's signature	Date

### Optional Units achieved

Unit number	Title	Assessor's signature	Date





**Unit**

**Notes/comments**

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

**Candidate's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**Assessor's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**Internal verifier's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

## Assessment plan

Units					
Elements					
Activities	Performance Criteria (PC)	Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (Performance Criteria and Range)
Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review					

Assessor's signature \_\_\_\_\_

1st review due \_\_\_\_\_

Candidate's signature \_\_\_\_\_

2nd review due \_\_\_\_\_

Date of agreement \_\_\_\_\_

Date of completion \_\_\_\_\_

**Personal statement**

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered

Candidate's signature \_\_\_\_\_

Date \_\_\_\_\_

**Observation record**

**Unit/Element(s)** \_\_\_\_\_

**Candidate** \_\_\_\_\_

**Evidence index number** \_\_\_\_\_

**Date of observation** \_\_\_\_\_

<b>Skills/activities observed</b>	<b>Performance Criteria covered</b>

**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

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

I can confirm the candidate's performance was satisfactory.

**Witness signature** \_\_\_\_\_ **Date** \_\_\_\_\_

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

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



**Record of questions and candidate's answers**

<b>Unit</b>	
<b>Element(s)</b>	
<b>Evidence index number</b>	
<b>Circumstances of assessment</b>	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	

**Assessor's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Candidate's signature** \_\_\_\_\_ **Date** \_\_\_\_\_