



# **Assessor's Guidelines for the SVQ2 and 3 in Food and Drink Operations: Food Manufacturing Excellence SCQF levels 5 and 6**

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# About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ2 and 3 Food and Drink Operations: Food Manufacturing Excellence SCQF levels 5 and 6**. 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 SVQ2 and 3 in Food and Drink Operations: Food Manufacturing Excellence SCQF levels 5 and 6

The SVQs in Food and Drink Operations: Food Manufacturing Excellence have been developed by Improve and are intended for people in in the Food Manufacture occupational area.

These people may be working as a/an:

- ◆ baker
- ◆ butcher
- ◆ food scientist/technologist
- ◆ manager
- ◆ operator
- ◆ supervisor
- ◆ technician

They will require skills and knowledge in areas recognised as critical to achieving sustainable lean practices such as change management, leadership and using specific tools or techniques.

The SVQs are designed to be assessed in the workplace, or in conditions of the workplace within any aspect of the industry or as part of a realistic working environment (RWE) within a centre. Criteria for RWE are set out in the assessment strategy developed by the Sector Skills Council, Improve. The assessment strategy is available on the SVQ Food Manufacture subject page of SQA's website: [www.sqa.org.uk](http://www.sqa.org.uk).



## Structure of the SVQs

This section lists the Units which form the SVQ2 and 3 in Food and Drink Operations: Food Manufacturing Excellence at SCQF levels 5 and 6.

### SVQ2 Food and Drink Operations: Food Manufacturing Excellence SCQF level 5 (GF0G 22)

8 Units are required to achieve this qualification. Candidates must achieve a minimum of 3 Units and a maximum of 4 Units from Group A. Candidates must also achieve a minimum of 3 Units and a maximum of 4 Units from Group B. Candidates can achieve up to 2 Units from Group C.

#### Group A

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H133 04	5	5	202	Work Effectively with Others in a Food Environment
DP73 04	5	6	203	Store, Retrieve and Archive Information
F2M9 04	5	7	204	Maintain Product Quality in Food Manufacture
F4H3 04	5	6	206	Maintain Workplace Food Safety Standards in Manufacture
F4H2 04	5	6	207	Maintain the Workplace and Health and Safety in Food Manufacture
F2JL 04	4	5	209	Contribute to Environmental Safety in Food Manufacture
F2JV 04	6	10	210	Contribute to the Maintenance of Plant and Equipment in Food Manufacture
F2JK 04	6	8	239	Contribute to Developing Production Specifications in Food Manufacture
H134 04	5	5	444	Contribute to Sustainable Practice in a Food Environment

**Group B**

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
H135 04	5	7	446	Organise and Improve Work Activities for Achieving Excellence in a Food Environment
H136 04	5	4	447	Contribute to Continuous Improvement for Achieving Excellence in a Food Environment
H137 04	5	4	448	Contribute to the Measurement and Collection of Data for Achieving Excellence in a Food Environment
H138 04	6	7	449	Contribute to the Application of Improvement Techniques for Achieving Excellence in a Food Environment
H139 04	5	5	450	Undertake Proactive Plant Maintenance in a Food Environment
H13A 04	6	5	451	Contribute to the Development of Standard Operating Procedures (SOP) in a Food Environment
H13B 04	6	7	452	Reduce and Manage Conflict in Achieving Excellence in a Food Environment
H13C 04	5	5	453	Contribute to Compliance for Achieving Excellence in a Food Environment
H13D 04	5	4	454	Contribute to Problem Diagnosis in a Food Environment
H13E 04	5	5	455	Contribute to Problem Resolution in a Food Environment

**Group C**

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
H13F 04	7	4	456	Principles of Sustainability in a Food Environment
H13G 04	6	6	457	Principles of Workplace Organisation in a Food Environment
H157 04	6	6	458	Principles of Improvement in a Food Environment
H13J 04	7	7	459	Principles of Continuous Improvement Techniques (Kaizen in a Food Environment)

### SVQ3 Food and Drink Operations: Food Manufacturing Excellence SCQF level 6 (GF0H 23)

8 Units are required to achieve this qualification. Candidates must achieve a minimum of 3 Units and a maximum of 4 Units from Group A. Candidates must also achieve a minimum of 3 Units and a maximum of 4 Units from Group B. Candidates can achieve up to 2 Units from Group C.

#### Group A

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H13K 04	6	7	505	Organise and Run Meetings in Food Manufacture
FD3H 04	6	9	506	Develop Productive Working Relationships with colleagues (MSC, D1)
DR3Y 04	7	14	512	Allocate and Monitor The Progress and Quality of Work in your Area of Responsibility (MSC, D6)
DR47 04	8	11	501	Develop and Implement Operational Plans in your Area of Responsibility
F2JH 04	6	5	532	Contribute to Continuous Improvement of Food Safety in Manufacture
H13L 04	6	6	607	Contribute to the Development of an Achieving Excellence Culture in a Food Environment
H13M 04	6	9	608	Plan Organisational Change for Achieving Excellence in a Food Environment
H13N 04	6	7	609	Manage Organisational Change for Achieving Excellence in a Food Environment
H13P 04	6	4	610	Provide Organisational Support for Achieving Excellence in a Food Environment
H13R 04	6	7	611	Monitor Change and Improvement for Achieving Excellence in a Food Environment
H13S 04	6	7	612	Review and Evaluate Organisational Change for Achieving Excellence in a Food Environment
H13T 04	6	4	613	Contribute to the Development of an Achieving Excellence Strategy in a Food Environment
H13X 04	6	4	614	Identify Learning and Skills Needs for Achieving Excellence in a Food Environment
H13Y 04	6	6	615	Provide Coaching and Mentoring for Achieving Excellence in a Food
H140 04	6	7	616	Provide Training for Achieving Excellence in a Food Environment
H141 04	6	6	617	Assess Teams and Individuals in the Achievement of Excellence in a Food Environment

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
H142 04	6	7	618	Manage Workplace Organisation for Achieving Excellence in a Food Environment
H143 04	6	5	619	Manage Compliance to Support Achieving Excellence in a Food Environment

### **Group B**

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
F2NB 04	7	6	527	Monitor and Control Throughput to Achieve Targets in Food Manufacture
F2J8 04	7	7	529	Carry out Quality Audits in Food Manufacture
H144 04	7	6	602	Control Energy Efficiency in a Food Environment
H145 04	7	6	603	Control Waste Minimalisation in a Food Environment
H146 04	7	6	604	Control Water Usage in a Food Environment
H147 04	7	5	605	Control Transport in a Food Environment
H148 04	6	6	620	Analyse Current Practice for Achieving Excellence in a Food Environment
H149 04	6	5	621	Carry out Value Stream Mapping (VSM) Programme in a Food Environment
H14A 04	6	3	622	Implement Visual Management Systems in a Food Environment
H14B 04	5	3	623	Diagnose Problems in a Food Environment
H1AR 04	5	2	624	Analyse and Select Areas for Achieving Excellence in a Food Environment
H14C 04	6	3	625	Apply Failure Modes and Effects Analysis (FMEA) in a Food Environment
H14D 04	6	3	626	Resolve Problems in a Food Environment
H14E 04	6	7	627	Plan and Agree Targets for Achieving Excellence in a Food Environment
H14F 04	6	5	628	Implement a Problem Solving Methodology for Achieving Excellence in a Food Environment
H14G 04	6	3	629	Implement Improvement Programmes for Achieving Excellence in a Food Environment
H150 04	6	4	630	Implement a Set Up Reduction Programme for Achieving Excellence in a Food Environment
H151 04	6	4	631	Implement Mistake/Error Proofing (Poka Yoke) for Achieving Excellence in a Food Environment
H152 04	5	2	632	Measure and Collect Data for Achieving Excellence in a Food Environment
H153 04	6	4	633	Analyse Improvement Outcomes for Achieving Excellence in a Food Environment

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
H154 04	6	3	634	Review Improvement Activities for Achieving Excellence in a Food Environment
H155 04	6	4	635	Evaluate Improvement Activities for Achieving Excellence in a Food Environment
H156 04	6	4	636	Sustain Improvement for Achieving Excellence in a Food Environment

### **Group C**

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
H157 04	7	4	666	Principles of Sustainability in a Food Environment
H158 04	6	4	637	Principles of Change Project Management in a Food Environment
H159 04	7	4	638	Principles of Achieving Excellence in a Food Environment
H15E 04	6	4	639	Principles of Flow Process Analysis in a Food Environment
H15F 04	6	3	640	Principles of Measurement Systems Analysis in a Food Environment
H15J 04	6	4	641	Principles of Lead Time Analysis in a Food Environment
H15M 04	5	3	642	Principles of Basic Statistical Analysis in a Food Environment
H15R 04	7	4	643	Principles of Taguchi Linear graphs in a Food Environment
H15V 04	6	3	644	Principles of Flexible Production and Manpower Systems in a Food Environment
H15Y 04	6	3	645	Principles of Statistical Process Control Procedures (SPC) in a Food Environment
H160 04	7	3	646	Principles of Design of Experiments (DCE) in a Food Environment
H161 04	7	4	747	Principles of Quality Function Development (QFD) in a Food Environment
H162 04	7	4	648	Principles of Response Surface Methodology in a Food Environment
H163 04	6	4	649	Principles of Value Stream (VSM) in a Food Environment
H164 04	6	3	650	Principles of Visual Management Systems in a Food Environment
H165 04	5	2	651	Principles of Analysis and Selecting Areas for Achieving Excellence in a Food Environment
H166 04	6	2	652	Principles of Failure Models and Effects Analysis (FMEA) in a Food Environment

<b>SQA ref</b>	<b>SCQF level</b>	<b>SCQF credit points</b>	<b>SSC ref</b>	<b>Title</b>
H167 04	6	3	653	Principles of Six Sigma Process Mapping in a Food Environment
H16C 04	6	3	654	Principles of Six Sigma Methodology in a Food Environment
H16D 04	6	3	655	Principles of Six Sigma Metrics in a Food Environment
H16E 04	6	4	656	Principles of Set Reduction in a Food Environment
H16F 04	6	3	657	Principles of Mistake/Error Proofing (Polka Yoke) in a Food Environment
H16G 04	6	3	658	Principles of a Characteristic Selection Matrix in a Food Environment
H16H 04	6	3	659	Principles of Capability Studies in a Food Environment
H16J 04	6	3	660	Principles of Multi Variance in a Food Environment
H16L 04	6	3	661	Principles of Hypothesis Testing in a Food Environment
H16N 04	7	4	662	Principles of Evolutionary Operations (EVOP) in a Food Environment
H16R 04	7	4	663	Principles of Central Limit Theorem and Confidence Intervals in a Food Environment

## **An Assessment Strategy for the SVQ**

As part of its review of the SVQ(s), the standards-setting body Improve 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

Shazia Wilkinson has been working as a bakery team leader for three years. She has decided that although she has done some training she would like to study for a qualification enabling her to develop her management skills and increase her knowledge of sustainability and lean practice in line with her company's corporate objectives. After discussing this with her line manager at her performance review, it was agreed to contact a local training provider to discuss the possibility of assessing her to undertake an SVQ.

Shazia had a meeting with Doug Smith, peripatetic assessor, at which her line manager was also present. They discussed her job role and decided that she was working to an appropriate standard to be assessed for the SVQ2 in Food and Drink Operations: Food Manufacturing Excellence qualification, with the option on successful completion of progressing to the SVQ3 in Food and Drink Operations: Food Manufacturing Excellence. In addition to the mandatory Units, they selected suitable Units within the framework to match her job role.

SQA ref	SSC ref	Title
H133 04	202	Work Effectively With Others in a Food Environment
F2M9 04	204	Maintain Product Quality in Food Manufacture
F4H2 04	206	Maintain Workplace Food Safety Standards in Food Manufacture
H134 04	444	Contribute to Sustainable Practice in a Food Environment
H135 04	446	Organise and Improve Work Activities for Achieving Excellence in a Food Environment
H136 04	447	Contribute to Continuous Improvement for Achieving Excellence in a Food Environment
H138 04	449	Contribute to the Application of Improvement Techniques for Achieving Excellence in a Food Environment
H13F 04	456	Principles of Sustainability in a Food Environment
H13G 04	457	Principles of Workplace Organisation in a Food Environment



Doug explained the assessment process, part of which would involve him observing Shazia while she worked. He also issued Shazia with a portfolio containing Unit record forms which would be used to record the assessments. They agreed a date for her first assessment, which was timed for when she would be observed working with her team. This was recorded on an assessment plan, which would then be updated on each assessment occasion. Her line manager confirmed that time would be allowed for recording assessments, giving feedback and answering questions.

## 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 H133 04 Work Effectively with Others in a Food Environment.

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	H133 04 Work Effectively with Others in a Food Environment				
Elements					
Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
<p>Works within a team to complete work activities</p> <p>Gives and receives information to others in the team</p> <p>Works with the team to improve the way work is done</p>	1, 2, 3	<p>Observation</p> <p>Written and oral questioning</p> <p>Evidence from company systems</p> <p>Reviewing the outcomes of work</p>	11.02.12	Witness Testimony	206 — Maintain Workplace Food Safety Standards in Food Manufacture
<p><b>Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review</b></p>	The importance of team working and the importance of following environmentally safe working practices.	Questioning	11.02.12		

<b>Assessor's signature</b>	<u>Doug Smith</u>	<b>1st review due</b>	<u>01.03.12</u>
<b>Candidate's signature</b>	<u>Shazia Wilkinson</u>	<b>2nd review due</b>	<u></u>
<b>Date of agreement</b>	<u>1.02.12</u>	<b>Date of completion</b>	<u></u>

## 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:

- ◆ Performance and product evidence will be valid and can be authenticated
- ◆ Resources to be used are available
- ◆ Familiarity of the work area and equipment, so the candidate is comfortable during assessment
- ◆ Familiarity with the assessor
- ◆ Support/guidance can be obtained from work colleagues
- ◆ Candidates can progress at his/her own pace

The challenges might be:

- ◆ Work pressures for both candidates and assessor
- ◆ Shift patterns
- ◆ Lack of support from supervisor/colleagues
- ◆ Customer needs and associated time constraints
- ◆ The location of the workplace

**Example**

You might agree with a candidate working in a bakery, who has to demonstrate that they can work with a team to improve the way the work is carried out, that this will be evidenced as and when such situations naturally occur.

If you are an assessor who is working alongside the candidate you should be well placed to observe the candidates performance, perhaps using a prepared checklist and to question the candidate about the activity afterwards.

## 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. For example:

- ◆ Observation of a candidate retrieving and processing information as evidence for DP73 04 Store, Retrieve and Archive Information. The product evidence would be archived information. Observation could be supplemented with questions regarding procedures and legislations for archiving information
- ◆ Observation of a candidate keeping the workspace clean as evidence for F4H3 04 Maintain Workplace Food Safety Standards in Manufacture, could be supplemented by questions regarding procedures for dealing with product contamination and cross contamination.
- ◆ Observation of a candidate following environmentally safe working practices as evidence F2JL 04 Contribute to Environmental Safety in Food Manufacture could be supplemented by questions regarding the disposal of waste materials.

### 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:

- ◆ Documents completed by the candidates in the workplace such as reports and entries into accident books
- ◆ Staff rota, which will usually require some form of authentication
- ◆ Photographic or video evidence of a task, which will usually require authentication
- ◆ Written evidence on the form of a project set by the assessor or the candidate's organisation

## 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. 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.

**Q** Why is it important to exchange information and resources with colleagues?

**A** So that each member of the team knows what is required of them and has the resources to carry out their part of the operation.

**Q** Why is it important to develop and keep good working relations with your team?

**A** To improve communication leading to less resistance to change. Also, to improve productivity and outputs.

**Q** What could happen if your organisation failed to follow environmentally safe working practices?

**A** We might be responsible for causing environmental damage, and it may be in violation of legislation which could have severe repercussions for both the organisation and its employees.



## 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.

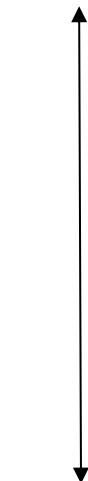
#### Example

A candidate has made positive suggestions to improve work activities. By using the personal statement, the candidates could give a fuller explanation of their suggestion eg what their suggestion is and how it contributes to improving work activities.

### 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.

 <p>Strongest</p>	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

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.

## **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.

Improve 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)**.

## **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)** H133 04 Work Effectively with Others in a Food Environment

**Candidate** Shazia Wilkinson

**Evidence index number** 1

**Date of observation** 11.02.12

Skills/activities observed	Performance Criteria covered
<p>Shazia worked on shift rotas and work schedules. She then held a team meeting — there was a contentious discussion regarding holiday cover for the forthcoming school holidays. Shazia suggested that priority should be given to requests submitted in date order. The team agreed that this was fair.</p>	<p>1, 2, 3</p>
<p>Shazia then had to deal with the maintenance of the department's health and safety log book, and ensuring that any incidents were fully explained and signed off. Shazia noticed that a minor incident had been reported about one of the mixers. She highlighted this to the health and safety officer and the maintenance manager.</p>	<p>1, 2</p>

### Knowledge and Understanding apparent from this observation

Shazia was able to demonstrate that she could carry out tasks to meet her responsibilities — she worked with others, made positive suggestions to improve work activities and dealt proficiently with differences of opinions.

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

F4H3 04 – Maintain Workplace Food Safety Standards in Food Manufacture

### Assessor's comments and feedback to candidate

You handled the discussions regarding annual leave well, and followed organisational procedures regarding health and safety. Well done.

I can confirm the candidate's performance was satisfactory.

**Assessor's signature** Doug Smith

**Date** 11.02.12

**Candidate's signature** Shazia Wilkinson

**Date** 11.02.12

## **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>	H133 04 Work Effectively with Others in a Food Environment
<b>Element(s)</b>	
<b>Evidence index number</b>	2
<b>Circumstances of assessment</b>	
Following observation of Shazia I wanted to expand on her work responsibilities, and her knowledge of policy.	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	Do you understand the organisation's grievance and disciplinary procedures?
<b>A</b>	Yes — I have easy access to the policy handbook. I recently had to work with one of my team members who had to be put on the performance improvement plan following a disciplinary procedure.
<b>Q</b>	If the team had not agreed to your suggestion regarding annual leave what would you have done?
<b>A</b>	I would have listened to their objections and tried to come up with another solution. I would also consult with my manager for guidance and advice.
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	
<b>Q</b>	
<b>A</b>	

**Assessor's signature** Doug Smith

**Date** 11.02.12

**Candidate's signature** Shazia Wilkinson

**Date** 11.02.12

## **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
06/02/12	3 (Filed in management meeting network file)	<p>Today I reported back on the improvements from last month's action plan and identified that two of the changes through the continuous improvement scheme were working well, one was not. I also presented a report to the committee on improvements in output and less wastage.</p> <p>I suggested a change of location of the dried yeast from stores to a suitable place on the factory floor; this would save time as it takes at least 10 minutes per shift to get the yeast from the stores. It was agreed that this would be tried for one month in consultation with the store manager.</p>		<p>202-3</p> <p>202-2</p>

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
		In discussion at the meeting it was agreed that light sensor would be fitted in the toilets and staffroom to improve energy efficiency in line with corporate objectives. I agreed to cascade this to my team.		202-2

Candidate's signature Shazia Wilkinson

Date 6.2.12

## **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 Food and Drink Operations: Food Manufacturing Excellence
<b>Candidate's name</b>	Shazia Wilkinson
<b>Evidence index no</b>	complete
<b>Index no of other evidence which this testimony relates to (if any)</b>	
<b>Element(s)</b>	
<b>Date of evidence</b>	01.02.12
<b>Name of witness</b>	Janice Alan
<b>Designation/relationship to candidate</b>	Health & safety officer
<b>Details of testimony</b> I can confirm that Shazia followed correct procedure for health and safety incidents. The log book was correctly updated and we discussed the incident in relation to the company risk register.	

I can confirm the candidate's performance was satisfactory.

**Witness's signature** Janice Alan **Date** 11.02.12

**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 this SVQ, such gaps are likely to occur in generating evidence for emergency procedures, dealing with difficult situations, breakdowns in equipment, and health and safety issues.

You may be able to overcome these by simulation, or questions. Stimulation should only be used if it is permitted in the standards.

## 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**

Authentications could be needed if a candidate has produced evidence of a finished product, such as a flowchart illustrating the process they have devised for monitoring throughput. This could be authenticated by asking the candidate about how it was produced, and also questioning colleagues. The same could apply to other products of work such as work rotas and maintenance or supply requests.

## 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 Food and Drink Operations: Food Manufacturing Excellence)

**Candidate** Shazia Wilkinson

To achieve the whole qualification, you must prove competence in a minimum of 3 and a maximum of 4 Units from Group A and Group B, and up to 2 Units from Group C.

### Unit checklist

<b>Group A</b>	202	204	206	444	446		
<b>Group B</b>	447	449					
<b>Group C</b>	456	457					

### Units achieved

<b>Unit number</b>	<b>Title</b>	<b>Assessor's signature</b>	<b>Date</b>
202	Work Effectively with Others in a Food Environment		
204	Maintain Product Quality in Food Manufacture		
206	Maintain Workplace Food Safety Standards in Food Manufacture		
444	Contribute to Sustainable Practice in a Food Environment		
446	Organise and Improve Work Activities for Achieving Excellence in a Food Environment		
447	Contribute to Continuous Improvement for Achieving Excellence in a Food Environment		
449	Contribute to the Application of Improvement Techniques for Achieving Excellence in a Food Environment		
456	Principles of Sustainability in a Food Environment		
457	Principles of Workplace Organisation in a Food Environment		

## 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.



## **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** Work Effectively with Others in a Food Environment

**Element**

Evidence index no	Description of evidence	PC/performance statements	Areas of Knowledge and Understanding/scope																																																																																																																																																																																																																																																																																																																																																															
1	Observation	✓																																																																																																																																																																																																																																																																																																																																																																

**Unit** 202 Work Effectively with Other in a Food Environment

**Element**

**Notes/comments**

Shazia has been able to demonstrate that she has the ability to work with a team to complete work activities, that she can give and receive information, and that she can work with a team to improve the way work is done. Shazia was observed on one occasion by the assessor.

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

**Candidate's signature** Shazia Wilkinson

**Date** 01.04.12

**Assessor's signature** Doug Smith

**Date** 01.04.12

**Internal verifier's signature** Greg Willis

**Date** 01.04.12

## 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 a minimum of 3 and a maximum of 4 Units from Group A and Group B, and up to 2 Units from Group C.

### 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**

**Element**

**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** \_\_\_\_\_