



# **Assessor's Guidelines for the SVQ2 Print Administration SCQF level 5 and SVQ3 Print Administration SCQF level 6**

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# About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ2 and SVQ3 Print Administration (SCQF level 5 and level 6 respectively)**. 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, candidates 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 SVQ2 Print Administration SCQF level 5 and SVQ3 Print Administration SCQF level 6

The SVQs in Print Administration have been developed by Proskills in association with employers, professional bodies, trade unions and education bodies and are intended for people in the printing and media occupational sectors.

These people may be working in departments such as Administration, Costing and Estimating, Customer Service, Internal Sales, Quality Control, Production Control and Print Procurement. They will require skills and knowledge in working safely, improving areas of personal performance, working effectively as individuals and teams, costing and estimating customer liaison, developing solutions for customers, print production control.

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 Print Administration SVQs are likely to be delivered include all commercial printers including flexographic printers, lithographic printers, screen printers, graphic design studios, packaging companies, magazine and newspaper companies and print finishing companies. Training providers will usually deliver the SVQ.

## Structure of the SVQs

This section lists the Units which form the SVQs in Print Administration.

### SVQ2 Print Administration (GK0N 22)

#### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H7TY 04	5	4	PROFM01	Comply with Health and Safety Requirements in the Workplace
H7T3 04	4	3	PROMP997	Improve the Effectiveness of the Print Organisation through Good Communication with Others
H7V0 04	5	8	PROPA01	Print Production Processes
H7V1 04	5	5	PROPA02	Produce Quotations for Printed Products
H7TH 04	5	2	PROPA124	Send and Receive Digital Files

### Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H7V2 04	5	5	PROPA04	Produce Work Orders for the Production of Printed Matter
H7V3 04	5	2	PROMP529	Check and Archive Finished Print Job Records

### SVQ3 Print Administration (GK0M 23)

#### Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H7T2 04	6	4	PRO031	Ensure Your Own Actions Reduce Risks to Health and Safety in the Workplace
H7TG 04	6	6	PROHB032	Improve Individual and Organisational Performance
H7TH 04	5	2	PROPA124	Send and Receive Digital Files
H7TJ 04	6	6	PROPA523	Spreadsheet Software 3
H7V0 04	5	8	PROPA01	Print Production Processes

#### Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H7TL 04	6	7	PROPA03	Produce Print Estimates and Data for Invoicing
H7TM 04	6	7	PROPA07	Tender Writing: Identify Opportunities, Complete and Submit Tender Documents
H7TN 04	6	6	PROPA08	Monitor Costing Systems
H7TP 04	6	4	PROPA05	Procurement for Print Services
H7TR 04	6	6	CFACSCS	Monitor and Solve Customer Service Problems
H7TS 04	6	7	PROPA09	Monitor and Maintain Quality Systems within a Printing Environment
H7TT 04	6	4	PROPA11	Comply with Company Environmental Procedures
H7TV 04	6	8	PROPA12	Printed Products: Standard Operating Procedures
H7TW 04	6	5	PROPA13	Produce Print Industry Management Reports
H7TX 04	7	7	PROPAM509	Plan, Schedule and Monitor Print Production

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

As part of their/its review of the SVQ(s), the standards-setting body Proskills 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

Gordon has worked as an administrator for ten years, but did not possess any formal qualifications. He wanted to do a qualification that would recognise the skills he already had and offer him a chance to gain a nationally recognised qualification. As he already had some experience in costing and estimating, customer service, buying print services (outwork) the Administration Manager in his company advised him to consider undertaking a SVQ3 Print Administration at SCQF level 6.

When the Administration Manager matched Gordon's job remit and existing skills and experience with the SVQ, it emerged that Gordon should be able to generate sufficient evidence to meet the requirements of the following SVQ Print Administration Units:

- ◆ Produce Print Estimates and Data for Invoicing
- ◆ Monitor Costing Systems
- ◆ Send and Receive Digital Files
- ◆ Procurement for Print Services

The Administration Manager arranged for an assessor within the company to provide Gordon with guidance on how to collect evidence and construct a portfolio to achieve these Units.

Gordon also had some experience in relation to three further Units, however, some planning was required in order to provide him with the opportunity to demonstrate competence in these areas.

The Units were:

- ◆ Ensure Your Own Actions Reduce Risks to Health and Safety in the Workplace
- ◆ Improve Individual and Organisational Performance

The Administration Manager arranged for the assessor to accompany Gordon to observe and assess him for the first two of these Units. A simulated emergency situation was set up for the assessment of Ensure Your Own Actions Reduce Risks to Health and Safety in the Workplace.

Unit, and plans were made to assess Improve Individual and Organisational Performance and Units through a combination of observation, questioning and preparation of training and development plans to cover all of the vocational qualification and assessment of work products.

Gordon had not gained enough experience of the areas covered by the final two Units, which were:

- ◆ Spreadsheet Software 3
- ◆ Print Production Processes

Since Gordon's job remit would not cover all of these areas of the SVQ, the Administration Manager arranged for him to shadow a senior member of staff for observation and practice in relation to the company.

All the arrangements were agreed by everyone involved, then written up in an assessment plan for Gordon.

## 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(s) H7TL Produce Print Estimates and Data for Invoicing — Element 1, Produce a quotation using an approved estimating procedure on a Management Information System.

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	PROPA 03 Produce Print Estimates and Data for Invoicing				
Element	PROPA 03.1 Produce a quotation using an approved estimating procedure on a Management Information System				
Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
<b>Produce a quotation using an approved estimating procedure on a Management Information System</b>	Assess the job requirements  Communicate with and clarify customers' requirements  Use your company's estimating system  Obtain customer prices for the product and quantity requested, plus potential different quantities and any run-on quantities	Observation and questions  Observation, questions and material evidence  Observation, questions and material evidence  Observation, questions and end product evidence	15/11/2014	Knowledge of working towards company procedures	PROPA 03.2 PROPA 03.3

Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
	<p>Include the following on your estimate:</p> <ul style="list-style-type: none"> <li>◆ material costs</li> <li>◆ labour and/or machinery costs</li> <li>◆ outwork costs, if applicable</li> <li>◆ delivery costs, if applicable</li> <li>◆ ancillary costs, if applicable</li> </ul> <p>Analyse the quotation and provide calculations for added value, contribution and cost rates</p>	<p>Observation, questions and end product evidence</p> <p>Observation, questions and end product evidence</p>			

Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
	<p>Deal effectively with queries including alternative materials, methods of production and differing finishing or image enhancement techniques/processes</p> <p>Provide the quotation to the customer in the format required by the customer and/or your company</p>	<p>Observation, questions and material evidence</p> <p>Observation, questions and end product evidence</p>			

<b>Assessor's signature</b>	<u>Alex Newman</u>	<b>1st review due</b>	<u>15/11/2014</u>
<b>Candidate's signature</b>	<u>Gordon Sturrock</u>	<b>2nd review due</b>	<u>15/01/2015</u>
<b>Date of agreement</b>	<u>15/09/2014</u>	<b>Date of completion</b>	_____

# 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:

- ◆ Assessments can be made to suit the candidate
- ◆ Timings can be flexible to accommodate shift working patterns
- ◆ Familiarity of workplace and equipment
- ◆ Good relationship with the assessor can put the candidate at ease
- ◆ Assessment can be scheduled to avoid work peaks
- ◆ Good internal company documentation is available to the assessor

The challenges might be:

- ◆ Familiarity with candidate
- ◆ Difficulties caused by production deadlines
- ◆ Pressure of work
- ◆ Meeting customer needs and candidate needs

## Example

You might agree with a candidate working as part of a team, who has to demonstrate how to deal with departmental pressures/priorities and work deadlines, that this will be carried out by **observation** as and when such situations arise. If you are an assessor who is working alongside the candidate you should be well placed to observe the candidate's performance, perhaps using a prepared checklist, and to question the candidate about the situation afterwards.

## 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.

### 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:

- ◆ Production of estimates/quotations
- ◆ Revisions of costs against estimate
- ◆ Highlighting of additional costs
- ◆ Production of invoices
- ◆ Communications with customers

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

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

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

One example of a situation where questioning might be used, is when you are observing a candidate's naturally occurring work activities. Additional opportunities can arise to generate more evidence of the candidate's knowledge of a task or operation. Where gaps appear in the performance, or your observation reveals something not quite right, you can ask for more details of why the candidate performed a task in a particular way.

Another situation in which you might use questioning is to generate evidence of the candidate's knowledge of correct procedures, current legislation, mandatory requirements or safety issues associated with the performed tasks.

**Q** When you were producing an estimate for a customer you had several issues to deal with that proved problematic. Explain to me the procedures you adopted when dealing with these difficulties.

**A** We are always guided by what the customer wants and try to work round their wishes. So we react to that.

*Wrong answer — further questioning should be used to try and get the candidate to realise that they have to sometimes take the lead and advise the customer as to what would be best for them, whether it is to use another substrate or how to reduce costs. The candidate could not satisfy the assessor that the underpinning knowledge had been satisfactorily demonstrated.*

**Q** If dealing with an estimate for a complicated job, whose specification falls outwith the templates used in your MIS estimating system, what process would you adopt to ensure the customer got an accurate quotation?

**A** This is something that can occur frequently. A number of jobs are 'one offs'. Where I was unsure or wanted to double-check my thoughts prior to producing an estimate, I would communicate with production staff as to the best way to produce the job. I would then estimate it on the information given. A final check with production staff would take place prior to forwarding the quotation to the customer.

## Other methods of assessment

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

### Personal statements

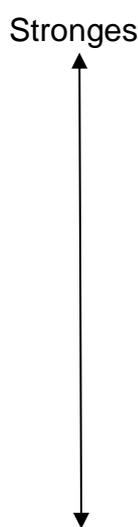
You might sometimes find it helpful to ask a candidate to give an account of why they did an activity in a certain way or how they produced a product of their work. This is often referred to as a *personal statement*. You should take care to ensure that by asking candidates to produce such statements, 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.

In most cases, personal statements are not suitable for presentation of evidence solely. The preferred methods of assessment should always be direct observation, questioning, product evidence, witness statements and testimonies of compliance by a skilled observer.

### 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.

Witness testimonies may be used where equipment or specific operations cannot be observed during parts of the assessment — for example, when trying to get quotations for outwork. This can happen randomly and might not be able to be replicated for assessment due to the timing of work in progress. In this case, witness testimony could be sought to ensure the candidate has been observed carrying out the task competently by a qualified observer over a number of occasions.

## **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.

Proskills 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)**.

There are only two areas where simulation will be acceptable:

- ◆ Where the competence to be assessed, is required only for dealing with emergencies (such as fires or accidents) or highly unusual circumstances.
- ◆ Where it is not possible to collect all the required evidence from the candidate's normal work.

Before simulations are used, express permission must be sought and obtained from the Internal/External Verifier in advance of the assessment. Any simulations must replicate the workplace environment as far as production/administration issues are concerned.

## **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)** PROPA 03 Produce print estimates and data for invoicing  
 PROPA 03.1: Produce a quotation using an approved estimating procedure on a Management Information System

**Candidate** Gordon Sturrock

**Evidence index number** 1

**Date of observation** 15/11/2014

<b>Skills/activities observed</b>	<b>Performance Criteria covered</b>
Identifying the job requirements and referring to company procedures	PC 1 assess job requirements
Communicating with customer	PC 2 communicate with and clarify customers' requirements
Using companies estimating system (MIS)	PC 3, 4 and 5
Awareness of the costs and variables in estimates	PC 5 include applicable costs
Producing an accurate quotation	PC 6 analyse the quotation
Dealing with queries/problems	PC 7 Deal effectively with queries
<b>Forward an accurate quotation to customer in an agreed format</b>	P8 provide the quotation to customer in format required by customer/company

### Knowledge and Understanding apparent from this observation

The candidate was aware of the proper procedures of producing and accurate quotation to the customer. Cost/production adjustments were made where appropriate. Queries were dealt with in a proficient manner. Complete understanding of company procedures was observed.

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

PROPA 03.2: Review and revise production costs and — some evidence will be applicable to this element, eg PC 9, 10, 11, 12 and 14

PROPA 03.3: Produce data for invoicing — some evidence will be applicable to this element, eg PC 15, 16 and 17

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

The assessment/observation was performed well with all the Performance Criteria being covered as per the assessment plan. The candidate demonstrated competence in all of the skills/activities identified with the Element. No interruptions were encountered with the work being performed to the company standards of performance.

I can confirm the candidate's performance was satisfactory.

**Assessor's signature**     *A Newman*                          **Date**     15/11/2014    

**Candidate's signature**     *G Sturrock*                          **Date**     15/11/2014

## **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>	PROPA 03 Produce print estimates and data for invoicing
<b>Element(s)</b>	PROPA 03.1: Produce a quotation using an approved estimating procedure on a Management Information System
<b>Evidence index number</b>	
<b>Circumstances of assessment</b>	
When dealing with an enquiry from a prospective new customer, this gave the opportunity to assess the candidates underpinning knowledge on how to deal/suggest and advise a range of alternatives that could be applied.	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	Why did you suggest to the customer to reduce the weight of stock he wanted to use?
<b>A</b>	As the job had to be folded and the customer wanted his job printed on a 200gsm silk board, the job would have to be creased prior to folding. If they reduced the stock to 170gsm, we would not need to crease it prior to folding, therefore reducing costs to the customer.
<b>Q</b>	Why did you have to contact an outworker for finishing costs?
<b>A</b>	There can be two scenarios to this. Firstly we may not be able to finish the job in our post press as we do not have the equipment. The other scenario is that if we are going to have a production bottleneck it will be in post press. It is prudent to have a cost from an outworker just in case you have to use them. Initially this will be given to the customer as part of the quotation but can be reduced on the final invoice if we can produce within our own company. The customer will always be pleased to receive a reduced invoice.

**Assessor's signature** A Newman **Date** 15/11/2014

**Candidate's signature** G Sturrock **Date** 15/11/2014

## **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
15/11/14		<p>I work as an estimator who produces quotations for print orders and data for invoicing. This involves review and comparison of costs.</p> <p>I receive customer enquiries with regard to prospective print jobs. I have to establish all the relevant information prior to supplying a quotation. This sometimes involves communicating with the customer to confirm all details but also on occasion to suggest alternative options. When all details have been confirmed I then forward the quotation to the customer.</p> <p>I have to produce invoices, sometimes for complex jobs, that in some cases require the use of a trade house specialist and on occasion many delivery addresses.</p> <p>I have to analyse the quotation, providing in some cases extra calculations for added value, etc</p>		<p>PCs 1,2,3, 4, 7 and 8</p> <p>PC 5</p> <p>PC6</p>

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
		Customers can be difficult at times for a variety of reasons. Having to deal with customer queries is an everyday occurrence.		PC7

Candidate's signature *G Sturrock*

Date *15/11/2014*

## **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>	Print Administration at Level 3
<b>Candidate's name</b>	G Sturrock
<b>Evidence index no</b>	
<b>Index no of other evidence which this testimony relates to (if any)</b>	
<b>Element(s)</b>	Element: PROPA 03.1: Produce a quotation using an approved estimating procedure on a Management Information System
<b>Date of evidence</b>	15/11/2014
<b>Name of witness</b>	James McFarlane
<b>Designation/relationship to candidate</b>	Manager (Administration department)
<b>Details of testimony</b>	
<p>I, James McFarlane, have observed Gordon Sturrock perform all the tasks as defined in the National Standard Performance Criteria for Print Administration at level 3.</p> <p>Element: PROPA 03.1: Produce a quotation using an approved estimating procedure on a Management Information System.</p> <p>The tasks were performed competently and in the defined time allocated for such tasks. He produced quotations, dealt with customer queries, communicated with outworkers and suggested alternatives to the customers in a way that complied with company standards. Any queries that occurred were identified and corrected.</p>	

I can confirm the candidate's performance was satisfactory.

**Witness's signature**   *J McFarlane*                        **Date**   15/11/2014  

**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 situations
- ◆ fire evacuation
- ◆ how to deal with accidents

You may be able to overcome these by:

- ◆ naturally occurring questions
- ◆ prepared questions
- ◆ alternatively through simulation

## 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**

The candidate could not be observed identifying and correcting production/machine faults due to the timing of the assessment and observation. It became necessary to seek witness testimonies to authenticate actual completion of these tasks and Performance Criteria for this operation. Questioning was carried out after the assessment on procedural and process operation knowledge — but the actual observation could not be provided. The Administration department Manager provided a testimony to satisfy the assessor that the candidate had on many occasions dealt with customer queries, competently and to the complete satisfaction of the company.

The witness testimony was signed and validated as authentic.

## 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.

There are a few SVQs where assessors are strongly recommended to use the nationally- devised recording documents. Should you choose to use your own recording material, this has to be approved by us or by the awarding partner (where this is a requirement). For all other SVQs, you can use your own recording documents so long as they meet with our quality assurance requirements.

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** Print Administration level 3

**Candidate** Gordon Sturrock

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

### Unit checklist

<b>Mandatory</b>	H7T2	H7TG	H7TH	H7TJ	H7V0		
<b>Optional</b>	H7TL	H7TM	H7TN	H7TP	H7TR	H7TS	H7TT
	H7TV	H7TW	H7TX				

### Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
H7T2	Ensure Your Own Actions Reduce Risks to Health and Safety in the Workplace	<i>A Newman</i>	15/11/14
H7TG	Improve Individual and Organisational Performance	<i>A Newman</i>	15/11/14
H7TH	Send and Receive Digital Files	<i>A Newman</i>	15/11/14
H7TJ	Spreadsheet Software 3	<i>A Newman</i>	15/11/14
H7V0	Print Production Processes	<i>A Newman</i>	15/11/14

### Optional Units achieved

Unit number	Title	Assessor's signature	Date
H7TL	Produce Print Estimates and Data for Invoicing	<i>A Newman</i>	15/11/14
H7TM	Tender Writing: Identify Opportunities, Complete and Submit Tender Documents	<i>A Newman</i>	15/11/14
H7TN	Monitor Costing Systems		
H7TP	Procurement for Print Services		
H7TR	Monitor and Solve Customer Service Problems		
H7TS	Monitor and Maintain Quality Systems within a Printing Environment	<i>A Newman</i>	15/11/14
H7TT	Comply with Company Environmental Procedures		
H7TV	Printed Products: Standard Operating Procedures		
H7TW	Produce Print Industry Management Reports		

**Optional Units achieved (cont)**

<b>Unit number</b>	<b>Title</b>	<b>Assessor's signature</b>	<b>Date</b>
H7TX	Plan, Schedule and Monitor Print Production		

## 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		Print Administration — level 3	
Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
PRO 031.1a	Written Report — List of responsibilities for Health and Safety	Yes	LO 15/11/14
PROPA 124.1a	Printed records of sending and receiving digital files	Yes	LO 15/11/14
PROPA 525.1a	Printed Excel spreadsheets supplying production figures	Yes	LO 15/11/14
PROPA 01.1a	Samples of printed work produced on 2 colour lithographic printing press	Yes	LO 15/11/14
PROPA 03.1a	Printed samples of quotations supplied to customers	Yes	LO 15/11/14
PROPA 07.1a	Documents identifying tendering opportunities	Yes	LO 15/11/14
PROPA 07.2a	Samples of completed tender documents submitted as part of the bidding process	Yes	LO 15/11/14
PROPA 07.3a	Letters of feedback from suppliers	Yes	LO 15/11/14
PROPA 09.1a	Records of the monitoring of quality system including comments and recommendations	Yes	LO 15/11/14

## 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** Produce Print Estimates and Data for Invoicing

**Element** Produce a quotation using an approved estimating procedure on a Management Information System

Evidence index no	Description of evidence	PC/performance statements								Areas of Knowledge and Understanding/scope										
		1	2	3	4	5	6	7	8	1	2	3	4	5	6	7	8	9	10	11
PROPA 03.1a	Customer enquiries				✓								✓							
PROPA 03.1b	Testimony of Compliance	✓	✓	✓	✓	✓	✓	✓	✓								✓			✓
PROPA 03.1c	Prices from outworker	✓	✓	✓	✓	✓	✓	✓	✓								✓	✓		
PROPA 03.1d	Substrate costs	✓								✓		✓	✓		✓				✓	✓
PROPA 03.1e	Delivery costs	✓	✓	✓	✓	✓	✓	✓	✓					✓			✓			
PROPA 03.1f	Customer queries	✓								✓			✓		✓					
PROPA 03.1g	Produced quotations	✓	✓	✓	✓	✓	✓	✓	✓								✓			
PROPA 03.1h	Revised quotations	✓								✓			✓		✓				✓	
PROPA 03.1k	List of Assessor questions										✓		✓				✓			
PROPA 03.1l	Questions and Answers																✓			✓
PROPA 03.1o	QA report																		✓	

**Unit** Produce Print Estimates and Data for Invoicing

**Element** Produce a quotation using an approved estimating procedure on a Management Information System

**Notes/comments**

The evidence was collected at the time of production. Company documentation was provided at a later stage to support the assessment. The candidate was informed that the assessment had been recorded as successful.

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

<b>Candidate's signature</b>	<u><i>G Sturrock</i></u>	<b>Date</b>	<u><i>15/11/14</i></u>
<b>Assessor's signature</b>	<u><i>A Newman</i></u>	<b>Date</b>	<u><i>15/11/14</i></u>
<b>Internal verifier's signature</b>	<u><i>Linda Orr</i></u>	<b>Date</b>	<u><i>15/11/14</i></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 xx **mandatory** Units and xx **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**

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



**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>	

**Assessor’s signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Candidate’s signature** \_\_\_\_\_ **Date** \_\_\_\_\_