



Assessor's Guidelines for the SVQ in Hospitality Management Skills at SCQF level 8

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About this guide

This guide provides some practical examples of how to assess your candidates for the SVQ in Hospitality Management Skills at SCQF level 8. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

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

Introduction

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

About SVQs and the SCQF

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

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

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

There are SVQs for nearly all occupations in Scotland and they are available at SCQF levels 4–11. 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, that is job competence. Successful completion of an SVQ provides clear evidence that the candidate 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 Scottish Credit and Qualifications Framework (SCQF) levels

SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.

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

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

How are standards defined in SVQs?

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

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

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

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

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

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

Who is involved in SVQs?

There are several roles:

- ◆ **the candidate** the person who wants to achieve the SVQ (for example an employee).
- ◆ **the assessor*** the person who assesses the candidates and decides if they are competent (for example supervisor).
- ◆ **the internal verifier*** an individual nominated by the centre (for example a company) who ensures that assessors apply the standards uniformly and consistently (for example 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.

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 SVQ in Hospitality Management Skills at SCQF level 8

The SVQ in Hospitality Management Skills at SCQF level 8 has been developed by People 1st International and is intended for people working in all areas of hospitality and catering.

These people may be working at senior levels in a range of sub-sectors and job roles, such as Heads of Departments, Kitchen Managers, Head Chefs, Accommodation Managers, Executive Housekeepers, Food and Beverage Managers, etcetera. They will require skills and knowledge in generic management such as resource management, financial management, legislation, etcetera, as well as management of specific areas such as kitchen, front of house, accommodation and food and beverage operations.

The SVQs are designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the SVQs are likely to be delivered include small or large hotels, restaurants, contract caterers, residential homes or any other outlets involved the provision of hospitality services to the public.

Structure of the SVQs

This section lists the units which form the SVQ in Hospitality Management Skills at SCQF level 8.

SVQ in Hospitality Management Skills SCQF at level 8 (GR3N 24)

To achieve the qualification, candidates are required to complete 10 units in total. This comprises:

- ◆ All three mandatory units
- ◆ At least two units from Group A
- ◆ The remaining five units can come from either Group A or Group B

Mandatory units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2Y7 04	8	6	PPL4G EN8	Manage the Performance of Teams and Individuals
J4BN 04	8	6	4PPL4 GEN17	Comply with the Relevant Legislative and Regulatory Requirements in Hospitality
J198 04	7	8	CFAML A2	Manage Your Own Resources and Professional Development

Group A: Optional units, minimum two, maximum seven units required

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2YA 04	8	9	PPL4G EN2	Manage Purchasing Costs in Hospitality
H2YB 04	8	8	PPL4G EN3	Manage Payroll Costs for Your Team
H2YC 04	8	6	PPL4G EN4	Manage Rotas for Your Hospitality Team
H2YD 04	8	8	PPL4G EN5	Obtain, Analyse and Implement Customer Feedback
H2YE 04	7	3	PPL4G EN6	Lead, Manage and Follow Up the Meeting Process
J4BR 04	8	8	PPL4G EN7	Recruit and Select Hospitality Staff
H2Y8 04	8	6	PPL4G EN9	Contribute to the Strategic Goals of the Organisation's Leadership Team
H2YG 04	8	7	PPL4G EN10	Devise and Implement Training and Development Plans for Your Hospitality Teams
H2YH 04	8	11	PPL4G EN11	Manage the Use of the Organisation's Systems to Meet Operational Needs
H2YJ 04	9	11	PPL4G EN12	Determine Market Opportunities and Plan the Future Provision of Services
H2YK 04	9	10	PPL4G EN13	Maximise Sales and Profit
H2YM 04	8	9	PPL4G EN14	Manage Operational Aspects of Refurbishment Programmes
H2YN 04	8	7	PPL4G EN15	Initiate and Manage Supplier Contracts
H2YP 04	8	8	PPL4G EN16	Manage a Function
FM5F 04	8	9	CFAML E8	Manage Physical Resources
FM4X 04	8	11	CFAML C6	Implement Change
FM58 04	6	6	CFAML D15	Initiate and Follow Grievance Procedure
FM57 04	6	6	CFAML D14	Initiate and Follow Disciplinary Procedure
DR5T 04	8	14	CFAML E2	Manage Finance for Your Area of Responsibility
H9YH 04	8	10	CFACS C8	Handle Referred Customer Complaints
H9XX 04	7	8	CFACS 14	Use Customer Service as a Competitive Tool
FE2X 04	6	7	CFACS A15	Organise the Promotion of Additional Services or Products to Customers

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FE3L 04	8	8	CFACS B14	Review the Quality of Customer Service
H7CD 04	8	4	CFAM & LEB4	Manage the Environmental and Social Impacts of Your Work
H69C 04	8	9	CFAM & LBA7	Promote Equality of Opportunity, Diversity and Inclusion
H69F 04	6	5	CFAM & LDC5	Help Individuals Address Problems Affecting Their Performance
H41M 04	6	4	CFAM & LDA3	Induct Individuals into Their Roles
H41P 04	6	5	CFAM & LDB9	Promote Staff Wellbeing
H41X 04	6	5	CFAM & LDC3	Mentor Individuals

Group B: Optional units, up to five units may be selected from this group

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
J4BS 04	8	10	PPL4G EN1	Manage Food Safety in a Professional Kitchen
H2YR 04	8	7	PPL4K M31	Participate in the Design, Implementation and Monitoring of a Kitchen Food Safety Management System
H2YS 04	8	11	PPL4K M32	Develop and Evolve Dishes and Recipes Showing Innovation and Creativity
H2YT 04	8	10	PPL4K M33	Develop and Deliver a Menu Which Meets Organisational Standards and Financial Targets
H2YV 04	7	7	PPL4K M34	Manage the Presentation and Portion Size of Dishes in Accordance with Organisational Standards
H2YW 04	8	12	PPL4K M35	Manage a Team to Prepare, Cook and Present Food to Organisational Standards
J4BT 04	8	10	PPL4K M36	Investigate and Apply Current Methodologies to Food Preparation and Production
H2YY 04	8	5	PPL4K M37	Plan and Design Operational Areas
J4BV 04	8	5	PPL4P C1	Source Fresh Produce Sustainably for Use in a Professional Kitchen
J4BW 04	9	10	PPL4P C2	Design and Produce Complex Innovative Dishes in a Professional Kitchen

Group B (continued)

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H300 04	8	11	PPL4F OH41	Manage Customer Profiles and Recognition
H301 04	8	9	PPL4F OH42	Ensure Statutory Fire and Other Security Procedures Are In Place and Followed (Team and Whole Establishment)
H302 04	8	9	PPL4F OH43	Manage Arrivals and Departures to Deliver and Maximise Revenue Potential
J4BX 04	8	10	PPL4F OH44	Manage Billing and Payment Processes
H304 04	8	10	PPL4F OH45	Manage Front of House and Guest Relation Services
H305 04	7	7	PPL4F OH46	Manage Reservations Systems
H307 04	8	8	PPL4H K51	Implement and Manage Housekeeping Procedures
H309 04	8	4	PPL4H K52	Manage Guest Security and Privacy in Accordance with Legislative and Organisational Procedures
H30A 04	8	5	PPL4H K53	Manage Room Availability to Maximise Revenue Potential
H30B 04	8	6	PPL4H K54	Liaise with Others to Manage Maintenance and Repair Work
H30C 04	8	4	PPL4H K55	Manage Additional Services Throughout the Establishment
H30D 04	8	4	PPL4H K56	Manage Linen Service to Deliver a High Quality Provision
H30E 04	8	4	PPL4H K57	Manage the Supply of Uniforms and Housekeeping of Staff Areas
H30F 04	8	7	PPL4F B61	Ensure Food and Beverages are Served to Organisational Standards
H30G 04	8	6	PPL4F B62	Manage the Organisation of the Food and Beverage Service Area
H30H 04	8	6	PPL4F B63	Develop Beverage Lists to Complement the Menu
H30J 04	8	6	PPL4F B64	Participate in the Production and Presentation of the Menu
H30K 04	8	7	PPL4F B65	Manage Cellar Operations
H30L 04	8	7	PPL4F B66	Develop a Team to Provide Enhanced Levels of Food and Beverage Service

An assessment strategy for the SVQ

As part of their/its review of the SVQ(s), the standards-setting body, People 1st International 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), and both SQA and centres must comply with these requirements.

Evidence requirements

The evidence requirements for the SVQ in Hospitality Management Skills have been developed by People 1st International in consultation with awarding bodies. They provide information on how each unit should be assessed and give examples of what types of evidence will be acceptable.

The evidence requirements must be used in parallel with the approved assessment strategy for the SVQ.

The relevant parts of the assessment strategy and the evidence requirements document are published on SQA's website (www.sqa.org.uk). Both SQA and centres must comply with these requirements.

Why would people be interested in the SVQ?

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

How do candidates begin?

Choosing the SVQ

You should make sure that candidates get guidance before starting out on an SVQ — they need advice to ensure that their existing job remit, skills, experience, and their plans for progression, are matched to the SVQ selected. It does not have to be you as the assessor, who 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

Raymond has been working in food and beverage operations for the past 3 years, firstly within the restaurant and then as a supervisor in conference and banqueting. He was promoted to Food and Beverage Manager, a post he has held for the last year. However, he does not have any formal qualifications. He wanted to do a qualification which would give him national recognition for the competencies he already has, and which would allow him to develop his management skills. As he had a lot of practical experience in running functions, the Training and Development Manager in his company advised him to consider the SVQ in Hospitality Management Skills at SCQF level 8.

When the T & D Manager matched Raymond's job remit and existing skills and experience with the SVQ, it emerged that Raymond should be able to generate sufficient evidence to meet the requirements of the following SVQ units:

- ◆ Manage the Performance of Teams and Individuals
- ◆ Comply with the Relevant Legislative and Regulatory Requirements in Hospitality
Manage Your Own Resources and Professional Development
- ◆ Manage a Function
- ◆ Ensure Food and Beverages are Served to Organisational Standards
- ◆ Manage the Organisation of the Food and Beverage Service Area
- ◆ Develop Beverage Lists to Complement the Menu
- ◆ Develop a Team to Provide Enhanced Levels of Food and Beverage Service

The T & D Manager arranged for an assessor within the company to provide Raymond with guidance on how to collect evidence and construct a portfolio to achieve these units.

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

The units were:

- ◆ Contribute to the Strategic Goals of the Organisation's Leadership Team
- ◆ Manage Payroll Costs for Your Team

The T & D Manager arranged for the assessor to accompany Raymond to observe and assess him for these units. Plans were made to allow Raymond to undertake training in operational planning and strategic goal setting and managing payroll costs, so that he could undertake related tasks and demonstrate competence in these areas.

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/take part in professional discussion, and/or produce personal statement relating activities carried out to the standards
- ◆ 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 PPL4GEN16, Manage a Function.

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

Assessment plan

Units	PPL4GEN16 – Manage a Function				
Performance criteria P1-P9:	Plan a Function				
Activities	Performance criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other units (PC and range)
Plan a wedding breakfast for 60 people and 100 evening guests:	P1, P2, P3, P5	Observation, Products of work, Professional discussion	15/10/2020	Raymond's notes from meeting with the customer. Health and safety checklist	PPL4GEN17 (P1, P3, P6, P8, P10)
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review	K1, K4, K7, K8				

Assessor's signature: Ann Assessor

1st review due:

Candidate's signature: Raymond Smith

2nd review due:

Date of agreement: 01/10/2020

Date of completion:

Selecting methods of assessment

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

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

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

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

The benefits might be:

- ◆ performance and product evidence will be valid and can be authenticated
- ◆ resources to be used are readily available
- ◆ familiarity of the work area and equipment, so the candidate is comfortable during assessment
- ◆ familiarity with the assessor
- ◆ candidate can progress at their own pace

The challenges might be:

- ◆ work pressures for both candidate and assessor
- ◆ shift patterns
- ◆ lack of support from line manager/colleagues
- ◆ customer needs and time constraints
- ◆ the location of the workplace

Example

You might agree with a candidate working in front office, who has to demonstrate how they manage arrivals and departures to maximize revenue, 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/professional discussion. For example, it may be appropriate to ask oral questions of candidates as they carry out naturally-occurring activities.

- ◆ Observation of a candidate producing a new innovative dish that they have developed as evidence for unit PPL4KM32 could be supplemented with questions regarding ingredients and why chosen, cost effectiveness, nutritional value, information on seasonality and allergies.

Observation by the assessor can be used to generate evidence for several units and can provide excellent opportunities to integrate evidence.

Product evidence

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

- ◆ a completed product such as a dish devised from a new recipe the candidate has created. This would normally require authentication
- ◆ written evidence, such as a briefing session which the candidate then uses to inform staff, a promotional brochure or advertisement the candidate has created, complete with all drafts and background research
- ◆ staff rota, which will usually require some form of authentication, such as a witness testimony
- ◆ documents completed by the candidate in the workplace, such as procedures/policies, entries into accident books, requests for maintenance, the receipt of goods
- ◆ photographic or video evidence of a task, which will usually require authentication such as set-up for a function

- ◆ written evidence in the form of a project set by the Assessor or candidate's organisation, such as a customer satisfaction poll, or other written evidence which can be compiled in the candidate's portfolio
- ◆ certification of previously achieved competence can be submitted as accreditation of prior learning (APL)

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/professional discussion 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 reflects that level of the qualification, that is it does not go beyond the competence required for the SVQ and become a barrier to fair assessment or is not sufficient to meet the competence required for the SVQ. For example, some candidates will feel more comfortable with oral questions than written.

Q Why is clear communication important when explaining objectives and work plans?

A So that each member of the team knows what is required of them and the importance of their contribution to achieving objectives.

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.

If a candidate has created staff rotas for their team, they could produce a personal statement to illustrate all of the things they checked when compiling the rotas, for example levels of business, personal requests, experience of the staff involved.

Witness testimony

For practical reasons, you may not be able to observe all the activities carried out by your candidates, but might feel that other people may be able to provide a statement on what your candidates have been doing or producing as part of their work.

Statements of this kind are called *witness testimony*, and are often used to support other evidence produced by candidates. If witness testimony is used, you should, ideally, identify witnesses and opportunities for using their testimony as part of assessment planning.

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

Strongest ↑	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards. This person may also be an assessor or internal verifier qualified with the Learning and Development units.
	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.
	Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.
	Someone who may be a colleague of the candidate, but with no knowledge of the standards.
↓ Weakest	Someone with no or little knowledge of the candidate's work or no knowledge of the standards.

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

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.

People 1st International has defined what it regards as simulation and has specified in the Assessment Strategy when simulation is and is not acceptable. The Assessment Strategy also states 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.

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):

Candidate:

Evidence index number:

Date of observation:

Skills/activities observed	Performance criteria covered

Knowledge and understanding apparent from this observation

Other units/elements to which this evidence may contribute

Assessor's comments and feedback to candidate

I can confirm the candidate's performance was satisfactory.

Assessor's signature:

Date:

Candidates: signature:

Date:

Questions and candidate responses

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

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

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

Record of questions and candidate’s answers

Unit	
Performance criteria/knowledge and understanding covered	
Evidence index number	
Circumstances of assessment	
List of questions and candidate’s responses	
Q	
A	
Q	
A	
Q	
A	
Q	
A	
Q	
A	

Assessor’s signature:

Date:

Candidates: signature:

Date:

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, performance criteria, performance statements, evidence requirements covered

Candidate's signature:

Date:

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 (for example supervisor, client) address, telephone number and the date. There are spaces for this information in the form.

Witness testimony

SVQ title and level	
Candidate's name	
Evidence index number	
Index number of other evidence which this testimony relates to (if any)	
Element(s)	
Date of evidence	
Name of witness	
Designation/relationship to candidate	
Details of testimony	

I can confirm the candidate's performance was satisfactory.

Witness's signature:

Date:

Witness (please delete as appropriate)

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.

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

Authentication could be needed if a candidate has produced evidence of a finished product, such as a new dish, or they may have taken a photograph of a function set up. This could be authenticated by asking the candidate about how it was produced, and also questioning other work colleagues. The same could apply to other products of work such as booking forms, work rotas, 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.

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 (for example 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, for example 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 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 performance criteria or knowledge and understanding 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.

Unit:

Element:

Notes/comments

The candidate has satisfied the assessor and internal verifier that the performance criteria, knowledge and understanding and evidence requirements have been met.

Candidate's signature:

Date:

Assessor's signature:

Date:

Internal verifier's signature:

Date:

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:

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

Candidates' signature:

Date:

Observation record

Unit/element(s):

Candidate:

Evidence index number:

Date of observation:

Skills/activities observed	Performance criteria covered

Knowledge and understanding apparent from this observation

Other units/elements to which this evidence may contribute

Assessor's comments and feedback to candidate

I can confirm the candidate's performance was satisfactory.

Assessor's signature:

Date:

Candidate's signature

Date:

Witness testimony

SVQ title and level	
Candidate's name	
Evidence index number	
Index number of other evidence which this testimony relates to (if any)	
Element(s)	
Date of evidence	
Name of witness	
Designation/relationship to candidate	
Details of testimony	

I can confirm the candidate's performance was satisfactory.

Witness's signature:

Date:

Witness (please delete as appropriate)

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

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

Assessor's signature:

Date:

Candidate's signature:

Date: