



Requirements for assessment of Scottish Vocational Qualifications (SVQs) in Construction

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History of changes

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02	Updated in line with various assessment strategy documentation and requirements from SQA Accreditation <ul style="list-style-type: none">- Section 5 replace with the details from the CITB Consolidated Assessment Strategy (May 2017)- Section 6: 1.1, 1.3 and 2 – removal of unnecessary information plus the addition of clarification and guidance- Section 6: Photographs and videos – additional clarification and guidance plus moved to Section 7.	October 2018/February 2019
03	Appendix 1 has been completely replaced with new information in relation to the: <ul style="list-style-type: none">- revised CITB SSC Consolidated Assessment Strategy- Appendix C (1st July 2020)- CITB SSC COVID-19 Guidance document	July 2020

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1 About this document

This document offers practical advice on how to begin to go about assessing your candidates for an SVQ in the Construction Sector. This guide also contains suggested recording documentation, which you may amend as appropriate.

Before assessing any candidate, you should read the appropriate Assessment Strategy produced by ConstructionSkills, however all relevant information is incorporated into Sections 5 and 6 of this document. It must be noted that adherence to the Assessment Strategy for any SVQ is mandatory therefore Sections 5 and 6 must be viewed in the same fashion. The ConstructionSkills Assessment Strategies are published in full on the relevant SVQ subject page on SQA's website (www.sqa.org.uk).

2 About SVQs

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy. They 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.

ConstructionSkills is the standard setting body responsible for developing National Occupational Standards (NOS) in the Construction sector these 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.

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 candidate works to nationally-recognised occupational standards.

There are SVQs for nearly all occupations in Scotland, and they range from SCQF levels 4 to 11.

Some SVQs or SVQ units are incorporated into other qualifications or programmes including Foundation Apprenticeships and Modern Apprenticeships. SVQ Units can also be taken individually without the need to complete a full SVQ.

People will take SVQs for a variety of reasons including: to prove their job competence, personal development, and promotion.

How are SVQs structured?

An SVQ is made up of a number of National Occupational Standards (NOS), which are often referred to as units. Each unit defines one aspect of a job or work-role, and 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 that make it up by demonstrating that they are competent in that aspect of the job.

ConstructionSkills develops the NOS and determines the structure of an SVQ in consultation with employers, professional bodies, trade unions, education and voluntary organisations. The SVQ is broken down into a number of units, which are identified as mandatory or optional. The mandatory section will consist of units that employers consider to be crucial to the job role — meaning that all candidates doing the SVQ need to do them. The optional section provides candidates with an opportunity to choose units that are most relevant to their specific job role.

How are standards defined?

The units define the broad functions carried out in the sector, and are made up of a number of performance statements and knowledge and understanding statements.

The performance statements describe what the candidate has to do and how well they have to do it.

The knowledge and understanding statements describe what candidates must know and understand, and how this knowledge applies to their jobs.

Varying terminology may be used in different SVQs, depending on how the standard-setting body has defined the NOS, but all will be recognisable as either a performance statement or knowledge and understanding statement.

3 SVQs and the SCQF

What is the Scottish Credit and Qualifications Framework (SCQF)?

The SCQF provides a national framework for qualifications in Scotland by bringing together all Scottish mainstream qualifications, including SVQs, into a single unified framework.

How does the SCQF work?

The SCQF uses two measures: the **level** of a qualification or learning programme (level 12 is the most challenging) and the **number of credit points** awarded (the size of the qualification).

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

Individual SVQs sit at differing SCQF levels and have differing amounts of credit points, depending on the structure and context of the SVQ.

The level of a qualification indicates the level of difficulty and the number of credit points indicates the typical length of time it takes to complete. One SCQF credit point represents an average of 10 notional hours of learning time.

Titling in SVQs

All SVQs are assigned a level in the SCQF. 'Credit rating' is the term given to the process for the allocation of an SCQF level and the calculation of SCQF credit points.

All SCQF credit rating must be confirmed and approved by an authorised credit rating body for the SCQF. SQA Accreditation is an approved SCQF credit rating body, and is also the qualifications regulator for Scotland.

For those SVQs that have been credit rated and levelled, the titling convention is for example, 'SVQ in Customer Service at SCQF level 5'.

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

For further information on credit rating, go to the Accreditation section of the SQA website **www.sqa.org.uk**.

4 Who is involved in SVQs?

There are several roles:

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

Your role as an assessor

Both you and the candidate should be clear on your roles in the assessment process before you begin. Your role follows these stages:

- ◆ plan for assessment
- ◆ 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
- ◆ ensure candidates know how 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
- ◆ 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

5 Occupational expertise requirements for assessors and verifiers

Centres will be asked by SQA to prove that Assessors and Internal Verifiers have the appropriate occupational competence to assess and verify Construction SVQ as specified by ConstructionSkills.

The occupational competence required to assess and verify Construction SVQ are detailed below:

5.1 Awarding organisations must ensure that **assessors**:

5.1.1 Have sufficient, verifiable, relevant current industry experience, knowledge and understanding of the occupational working area at, or above, the level being assessed. This must be of sufficient depth to be effective and reliable when judging candidates' competence. Assessors' experience, knowledge and understanding could be verified by a combination of:

- ◆ curriculum vitae and employer endorsement or references
- ◆ possession of a relevant NVQ/SVQ, or vocationally related qualification
- ◆ corporate membership of a relevant professional institution
- ◆ interview

(The verification process must be recorded and available for audit)

5.1.2 Have sufficient occupational expertise so they have up to date experience, knowledge and understanding of the particular aspects of work they are assessing. This could be verified by records of continuing professional development achievements.

5.1.3 Only assess in their acknowledged area of occupational competence.

5.1.4 Have a sound, in-depth knowledge of, and uphold the integrity of, the sector's NOS and the Assessment Strategy (this document).

5.1.5 Are prepared to participate in training activities for their continued professional development.

5.1.6 Hold, or are working towards, a qualification as listed within 'Assessing and Assuring Quality of Assessment':

- ◆ RQF/QCF Level 3 Award in Assessing Competence in the Work Environment
- ◆ RQF/QCF Level 3 Award in Assessing Vocationally Related Achievement
- ◆ RQF/QCF Level 3 Certificate in Assessing Vocationally Related Achievement
- ◆ RQF/QCF Level 3 Certificate in Assessing Vocational Achievement
- ◆ an appropriate Assessor qualification in the SCQF as identified by SQA Accreditation

or hold one of the following:

- ◆ A1 Assess candidates using a range of methods
- ◆ D32/33 Assess candidate performance, using differing sources of evidence

Holders of A1 and D32/33 must assess to the current National Occupational Standards (NOS) for Learning and Development.

In Scotland, approval for exemptions must be obtained from SQA Accreditation.

5.2 Awarding organisations must ensure that **internal verifiers**:

5.2.1 Have sufficient, verifiable, relevant up to date experience, knowledge and understanding of the occupational working area at, or above, the level being verified. This must be of sufficient depth to be effective and reliable when verifying judgements about assessors' assessment processes and decisions. Internal verifiers' experience, knowledge and understanding could be verified by a combination of:

- ◆ curriculum vitae and employer endorsement or references
- ◆ possession of a relevant NVQ/SVQ, or vocationally related qualification
- ◆ corporate membership of a relevant professional institution
- ◆ interview

(The verification process must be recorded and available for audit)

5.2.2 Have expertise so they have up to date experience, knowledge and understanding of the particular aspects of work they are verifying. This could be verified by records of continuing professional development achievements.

5.2.3 Have a sound, in-depth knowledge of, and uphold the integrity of, the sector's NOS and the Assessment Strategy (this document).

5.2.4 Are prepared to participate in training activities for their continued professional development.

5.2.5 Hold, or are working towards, a qualification as listed in 'Assessing and Assuring Quality of Assessment':

- ◆ RQF/QCF Level 4 Award in the Internal Quality Assurance of the Assessment RQF/QCF Process and Practice
- ◆ RQF/QCF Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Process and Practice
- ◆ an appropriate Internal Verifier qualification in the SCQF as identified by SQA Accreditation

or hold one of the following:

- ◆ V1 Conduct internal quality assurance of the assessment process
- ◆ D34 Internal verify the assessment process

Holders of V1/D34 must quality assure to the current National Occupational Standards (NOS) for Learning and Development.

It is strongly recommended that within the role of Internal Quality Assurance one of the following qualifications is held:

- ◆ RQF/QCF Level 3 Award in Assessing Competence in the Work Environment
- ◆ RQF/QCF Level 3 Certificate in Assessing Vocational Achievement
- ◆ an appropriate Assessor qualification in the SCQF as identified by SQA Accreditation

or one of the following:

- ◆ A1 Assess candidates using a range of methods
- ◆ D32/33 Assess candidate performance, using differing sources of evidence.

Regardless of the qualification held by assessors they will need to show that they continue to practice to the assessment and verification standards contained in the Learning and Development National Occupational Standards (Standard 9). SQA has a CPD Toolkit on its L&D webpage that can assist with this process.

Additional requirements for assessors of Thermal Insulation SVQ units and qualifications

Training Providers offering Thermal Insulation NVQ and SVQ units and qualifications:

- ◆ Must ensure that their Thermal Insulation assessors are registered with the Thermal Insulation Contractor Association (TICA) and are Thermal Installation installers with at least five years verifiable, relevant, current industry experience, knowledge and understanding of the occupational area at, or above the level being assessed. This must be of sufficient depth to be effective and reliable when judging candidates' competence. Assessors' experience, knowledge and understanding could be verified by a combination of:
 - curriculum vitae and employer endorsement
 - references
 - possession of a relevant NVQ/SVQ, or vocationally related qualification
 - interview

(The verification process must be recorded and available for audit)

- ◆ Will provide opportunities to identify and address particular issues of external control, including the assessment of Thermal Insulation NVQ qualifications and Apprenticeship Standards.

Additional requirements for assessors of Plant Operations

Assessors must be competent and have an up-to-date working knowledge of the occupation and sector. Assessors must have had active involvement in plant operations and on each endorsement or plant type for which they wish to assess.

In order to meet contractual and regulative requirements, many sectors of industry, particularly construction, require operators of plant and equipment to possess certification from recognised industry approved bodies. SQA encourage all assessors to hold appropriate registration cards bearing the CPCS logo, or certificates to support industry initiatives for a qualified workforce.

Where plant operating experience was gained within the armed forces, assessors must gain external work experience within industry, or be able to demonstrate knowledge of relevant industry working practices outside the armed forces.

Additional requirements for assessors of Planning and Supervising Lifting Operations

Assessors must be competent and have an up-to-date working knowledge of the occupation and sector. Assessors must have had active involvement in lifting operations and on each endorsement for which they wish to assess.

In order to meet contractual and regulative requirements, many sectors of industry require lift planners and supervisors to possess certification from recognised industry approved bodies. SQA encourage all assessors to hold appropriate registration cards or certificates to support industry initiatives for a qualified workforce.

Where lifting experience was gained within the armed forces, assessors must gain external work experience within industry, or be able to demonstrate knowledge of relevant industry working practices outside the armed forces.

Internal verifiers must:

- ◆ Have sufficient, verifiable, relevant up to date experience, knowledge and understanding of the occupational working area at, or above, the level being verified. This must be of sufficient depth to be effective and reliable when verifying judgements about assessors' assessment processes and decisions. Internal verifiers' experience, knowledge and understanding could be verified by a combination of:
 - curriculum vitae and employer endorsement or references
 - possession of a relevant NVQ/SVQ, or vocationally related qualification
 - corporate membership of a relevant professional institution
 - interview
- ◆ Have expertise so they have up to date experience, knowledge and understanding of the particular aspects of work they are verifying. This could be verified by records of continuing professional development achievements
- ◆ Have a sound, in-depth knowledge of, and uphold the integrity of, the NOS and the Assessment Strategy (this document)
- ◆ Are prepared to participate in training activities for their continued professional development

Internal verifiers are also expected to obtain or possess an appropriate qualification in verification as identified below:

- FD43 04 Internally Monitor and Maintain the Quality of Workplace Assessment (unit)
- GA2F 48 Internal Verification of Workplace Assessment (PDA)
- GA2P 78 The Internal Quality Assurance of Assessment Processes and Practice (Level 4 Award)
- GA2Y 63 Leading the Internal Quality Assurance of the Assessment Processes and Practice (Level 4 Certificate)
- D94P 04 Conduct Internal Quality Assurance of the Assessment Process (unit)
- G7ER 15 Conducting Internal Quality Assurance of the Assessment Process
- B08W 04 Internally Verify the Assessment Process (unit)

Regardless of the qualification held by internal verifiers they will need to show that they continue to practice to the assessment and verification standards contained in the Learning and Development National Occupational Standards (Standard 11). SQA has a CPD Toolkit on its L&D webpage that can assist with this process.

6 Assessment and Assessment Evidence

For all SVQ the evidence must show that the candidate consistently meets all the performance criteria/learning outcomes and assessment criteria across the scope/range.

Construction Skills have detailed acceptable and mandatory methods of assessment across all of their SVQs. Centres must be aware that there are different methods specified for SVQ in Plant Operations and Controlling Lifting Operations. These requirements also apply to individual Units from SVQ in Plant Operations and Controlling Lifting Operations where they are used within other SVQ.

In addition some construction SVQs contain units from Management SVQs these units should be assessed in line with the requirements of Skills CFA and the associated Assessment Strategy and not the information provided in this document.

Prior to any assessment Assessors should familiar with and refer to **Appendix 2 for Clarification of NOS/Unit terminology.**

1 Assessment of the craft SVQ at SCQF level 6 below:

1.1 Industry Skills Test

- ◆ Bricklaying
- ◆ Carpentry and Joinery
- ◆ Floorcovering
- ◆ Painting and Decorating
- ◆ Plastering
- ◆ Roofing Occupations
- ◆ Stonemasonry
- ◆ Wall and Floor Tiling
- ◆ Woodmachining

An Industry Skills Test unit is included in the SVQ structures and involves the candidate attending a competence assessment in an SQA Approved centre in the final 6 months of their SVQ in the final six months of the delivery of the SVQ.

The Industry Skills Test is the final part of the assessment process for the SVQ. Candidates should not be put forward for their Skills Test until they are deemed ready to be assessed as competent.

Each craft occupation has its own assessment material developed by SQA

An Expert Witness meeting the criteria prescribed in Section 6.1.2 below must be present to observe at each Industry Skills Test assessment event.

Final assessment decisions are the responsibility of the Assessor and must be accurately recorded for evidence (including photographic) should there ever be any appeals.

SQA's external verifiers (EVs) will be responsible for quality assuring the Assessment Materials and Marking Guidance in accordance with our requirements.

1.2 Occupational expertise requirements for Industry Skills Test Assessors and Industry Expert Witnesses

Skills Test Industry Expert Witnesses:

- ◆ Must not employ any of the candidates involved in the Skills Test to ensure an independent observation.
- ◆ Must have sufficient, verifiable, relevant current industry experience, knowledge and understanding of the occupational working area being assessed. This must be of sufficient depth to be effective and reliable when observing the marking of the Skills Test. Expert Witnesses' experience, knowledge and understanding could be verified by either of the following:
 - curriculum vitae
 - references
 - possession of a relevant vocationally related qualification
 - corporate membership of a relevant professional institution
 - interview
- ◆ Must only observe in their acknowledged area of occupational competence.
- ◆ Have a sound, in-depth knowledge of, and uphold the integrity of, the sector's NOS and this appendix.
- ◆ Are prepared to participate in training activities for their continued professional development.

1.3 Selection and appointment of Skills Test Industry Expert Witnesses

Centres should advise all applicants that they may be interviewed. Applicants' CVs should be profiled against the activities and range of the occupational area they will observe, to check that the applicant has the relevant current experience, knowledge and understanding of the occupational working area. This should be of sufficient depth to credibly verify judgements and assessments to uphold the integrity of the NOS and the Consolidated Assessment Strategy.

Whilst Expert Witnesses cannot accredit the final award of the Skills Test, if they disagree with the assessment decision made by the Assessor, they can appeal directly to SQA. There is a form on each of the Craft web pages under the Assessment Strategy Section which should be completed then submitted to Craft.skills.test@sqa.org.uk

2 All other SVQs and Units

- ◆ Direct evidence produced through normal performance in the workplace is the primary source for meeting the requirements. This will be in the form of direct observation of workplace activity, product evidence and questioning. Additional evidence to support this can be in the form of photographs and videos, professional discussions, personal statements and witness testimonies.
- ◆ Workplace evidence must be supported by the required evidence of knowledge and understanding. This evidence may be identified by:
 - questioning the candidate
 - recognised industry education and training programme assessment or professional interview assessment that has been matched to NOS requirements
 - performance evidence
- ◆ A holistic approach towards the collection of evidence should be encouraged. The focus should be on assessing activities generated by the whole work experience rather than focusing on specific tasks. This would show how evidence requirements could be met across the qualification to make the most efficient use of evidence.

The assessment strategy further applies where plant or lifting units, based on Plant Operations or Controlling Lifting Operations National Occupational Standards (NOS), are used in other competence-based qualifications for use within the construction and built environment sector.

How simulated working conditions may be used to assess competence

- ◆ Simulations (designed situations for producing artificially generated evidence) may only be used where candidates are prevented from gathering direct evidence from the workplace in the normal way because:
 - there are hazards
 - it is difficult to distinguish individual performance in team situations
 - circumstances occur infrequently or long term results are involved

- confidentiality is important
- there are organisational constraints
- they are apprentices registered prior to 1 January 2015 refer to **Appendix 1 — Guidance on the acceptable use and characteristics of simulation within SVQs during the current economic climate**
- ◆ The ConstructionSkills National Working Group will determine and specify on the required realistic working environment and context to be adopted. This could include appropriate:
 - tools, equipment and instruments
 - materials
 - types of contingencies
 - standards and quality specifications
 - real timescales
 - quantities of work
 - physical conditions
 - relationships with people
 - types of interaction
 - communication methods and media
 - information and data.
- ◆ Where simulated evidence is stated as acceptable in the unit, the circumstances and requirements for the simulation needs to be confirmed by discussions between the candidate and the assessor, and which are then agreed by the internal and external verifiers.
- ◆ Where other Standard Setting Bodies' units are imported into a ConstructionSkills suite, the evidence requirements of the originating body will be adopted and specified.

7 Assessment Method Definitions

The following are general definitions of types of assessment methods with examples, provided for general guidance only. These do not override any specific requirements listed elsewhere in this document.

Direct Observation of Workplace Activity

Direct Observation of Workplace Activity 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

Direct Observation of Workplace Activity 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.

Example

Direct Observation of Workplace Activity can be used for assessment in a variety of ways, such as:

- ◆ Assessor could observe the candidate undertaking a formal Health and Safety risk assessment of the work environment. The assessor can note if the candidate 'misses' any key factors to support performance and knowledge and understanding statements and can also use question and answer techniques alongside this observation to see what the candidate did/did not notice.
- ◆ Assessor could observe the candidate presenting the plan resulting from the findings of the review to the responsible people. The structure and the clarity of this presentation would be important for the assessor to observe.
Assessor could observe the candidate actually carry out work/an activity in the workplace. This visit by the assessor would have been prior arranged to coincide with the piece of planned work/activity

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:

Example

- ◆ Plan of areas to be inspected and potential hazards to look for
- ◆ Presentation to senior management team
- ◆ Risk assessment report for senior management team

Questioning

Candidates have to show that they can meet the knowledge statements for the SVQs. 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.

Example of oral questioning

- Q** Whilst observing you undertaking your review of the workplace, I noticed you referenced a trip hazard as a potential problem. Could you explain how you would go about controlling the risk?
- A** I would talk to the staff about both short and long-term solutions to the problem, asking them why the trip hazard is there in the first place. If it needs to stay there, then in the short-term they need to look at adequate signage, but in the long-term there needs to be a solution that removes the trip hazard, this may involve moving equipment, adding extra plug sockets, etc.
- Q** Having completed your review, how adequate do you consider current control measures to be and how effectively are they being applied?
- A** I'd say that on the whole, existing control measures throughout the workplace are adequate and staff are following them as required. I found examples of good practice in some areas and also identified areas of current practice which could be improved upon.

Other methods of assessment

These methods, like questioning, are often used for authentication. See Section 8 for more about authenticating candidates' evidence.

Photographs and videos

Naturally occurring workplace activity can be supported with photographs and videos. However, it must be accompanied by the Assessor's judgement of said performance; the format of which can be written or oral, ie an Assessor's observation report or an oral digital recording for example (the format is not prescribed.)

Within the photograph or video it must be clear that it is the candidate carrying out the activity.

Photographs should be taken at various stages during the activity.

Videos should ideally be only few minutes in length.

- Anyone can take the photographs or videos. They are not responsible for making the assessment decision.
- The candidate should check with their centre to ensure the format of their photograph or video is compatible with that of their centre.
- It must be clear that it is the candidate carrying out the activity.
- The details and quality of the image must be of good quality to ensure that it is the candidate.
- Close ups and long shots are recommended to allow as much opportunity for any professional discussions to be carried out.
- Close ups of work with measurement tools are recommended to allow any test tolerances to be validated.
- The security and use of a camera onsite must be authorised by the employer/customer/client. Assistance may be required from the centre and/or Managing Agent for this permission from the employer.
- Authentication/verifying of the photographs and videos as potential evidence may be carried out by the candidate's line manager or apprenticeship officer. Only the assessor can make the final assessment judgment.
- All evidence must be sent to the centre using the secure process that they have set up for their candidates. However, it would be advisable for the candidate to keep their own back up of evidence until it has been confirmed that the centre has received it, made an assessment judgment on it and it has been Internally verified and Externally verified.

Professional discussion

Professional discussion is a structured and recorded talk between the candidate and the assessor. The objective of the discussion is to allow the candidate to present evidence of competence to you, and to demonstrate skills, knowledge and understanding by discussing the evidence they have presented and showing how it relates to the standards. It is seen as a more holistic approach than straight question and answer.

Your role is to guide the discussion by using open questioning, active listening and knowledge of the standards so that the discussion stays focused on the competences and the knowledge being explored.

This is not an easy alternative to questioning — it requires careful planning to stay focused. It can be successful only when both assessor and candidate have a good knowledge of the standards. It is most appropriate when the level and scope of the work activities is complex and when the underpinning knowledge required to do the range of activities competently is interrelated.

As a method of assessment it lends itself to audio or video recording, but can be recorded by paper-based methods.

Personal statements (or ‘reflective accounts’)

You might sometimes find it helpful to ask a candidate to give an account of why they did an activity in a certain way or how they produced a product of their work. This is often referred to as a *personal statement*. You should take care to ensure that by asking candidates to produce such statements, you are not asking them to demonstrate competence beyond what is required by the standards. You should also be selective in the use of personal statements, and make sure they have not been produced as a substitute to a more valid, reliable and practical method of assessment.


Example

A personal statement could be used as an opportunity for the candidate to say how helpful their research was in helping them prepare to carry out a formal Health and Safety risk assessment in their workplace. The candidate could be asked to explain how their research contributed towards their plan of areas to be inspected and potential hazards to look for. Similarly, following the formal risk assessment, a personal statement could provide evidence of a candidate’s knowledge and understanding for example, explaining how recommendations for change/improvement of current control methods were derived.

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 potential 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 witness. 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 assessor/verifier 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.

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.

The benefits of assessing in the workplace might be:

- ◆ assessment can take place at a time and location suitable to the candidate
- ◆ assessment can accommodate the candidate's pace of learning

The challenges might be:

- ◆ finding suitable times for assessment to take place, especially if the assessor is based at a different site from the candidate
- ◆ meeting the needs of candidates for assessment whilst maintaining client confidentiality
- ◆ identifying appropriate witness testimony where evidence from assessor observation is not available

Example

You could agree with a candidate working in an engineering firm who has to ensure that relevant information and advice on health and safety is provided in a timely way, that this will be carried out by **observation** when 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.

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 units 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.

8 Planning for assessment

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. They need advice to ensure that their existing job remit, skills, experience, and their plans for progression, are matched to the SVQ they have selected. It does not have to be you as the assessor, who carries out the matching process, but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

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, in full or in part. It can be a practical and cost-effective way of assessing your candidate's competence.

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

To help you and your candidates plan for assessment, we have produced an example of an assessment plan which covers a typical health and safety unit. It is included as guidance only. Examples relevant to this unit are used throughout the rest of this guidance.

Producing an assessment plan will help focus the discussion with your candidate around possible sources of evidence and assessment methods.

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.

Extract from an SVQ unit

Unit number: H2RN 04

Unit title: Promote, monitor and maintain health, safety and security

Unit overview:

It is the responsibility of all individuals, in all working contexts, to operate to certain standards of health, safety and security. This standard covers the key activities that are required to prevent (as far as possible) any accidents, health problems or emergencies from occurring and to promote good health, safety and security practice.

An important aspect of this standard is risk assessment. You will be able to conduct a risk assessment prior to work activities, and to take action to minimise the potential risks to yourself and others within the workplace. Work activities must adhere to health and safety codes of practice and relevant legislation.

Performance statement

You must be able to:

Performance statements set out the standard of performance you need to demonstrate consistently to claim competence.

- P1 carry out a formal risk assessment for work activities as required by legislation
- P2 identify the hazards, evaluate the risks and implement suitable control measures
- P3 where existing control measures are in place ensure that they are adequate and applied
- P4 communicate the findings of the risk assessment to those at risk and promote good health and safety practice

Knowledge and understanding

You need to know and understand:

The **knowledge and understanding** requirements state what you must know and understand, and how this applies to your job.

- K1 the difference between 'hazard' and 'risk' and how to carry out a risk assessment
- K2 the hierarchy of measures to control risks (including elimination, substitution, relevant engineering controls, safe systems of work, training/instruction and Personal Protective Equipment (PPE))
- K3 how to communicate the findings of the risk assessment and health and safety precautions to those at risk
- K4 relevant health and safety legislation and the standards of protection to be achieved

Assessment plan

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ knowledge and understanding statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units
Visit the HSE website for practical guidance on what a risk assessment is and how to go about it.	P1, K1, K2, K4	Review documentation (product evidence) Personal statement	By 08/01/17 By 17/01/17		
Walk around the workplace and look at what could reasonably be expected to cause harm.	P1 and 2, K1 and K2	Observation	By 20/01/17		
Ask employees for their thoughts on potential hazards.	P1 and 2	Observation	By 20/01/17		
Check manufacturers' instructions or data sheets for chemicals and equipment to determine potential hazards and any counter measures.	P1 and 2	Observation	By 20/01/17		
	Informal review to chat through how things are progressing and discuss any issues or concerns		10/02/17		
Read through the company's accident and ill-health records to identify hazards that have occurred and frequency.	P1 and 2	Review documentation (product evidence)	By 25/02/17		

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ knowledge and understanding statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units
Evaluate findings.	P1 and P2	Question and Answer (second review)	By 05/03/17		
Identify and implement control measures.	P1 and P2	Review documentation (product evidence) Witness testimony	By 10/03/17 By 10/03/17		
Identify, source and review current company policy, documentation and procedures to determine what existing control measures are in place.	P3	Review documentation (product evidence)	By 15/03/17		
Check how well the existing control measures are applied by employees through observation of working practice, visibility of health and safety notices, etc.	P3	Review of documentation (product evidence)	By 20/01/17		
Check existing control measures are adequate by comparing them with examples of good practice identified on HSE's website.	P3, K4	Review of documentation (product evidence)	By 20/03/17		
Identify any additional precautionary measures that should be applied to bring control measures up to current standard.	P3	Review of documentation (product evidence)	By 20/03/17		

Unit title	Promote, monitor and maintain health, safety and security				
Activities	Performance/ knowledge and understanding statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units
Produce a report that records details of the hazards identified, adequacy of existing control measures and recommendations for updating existing control measures to meet current standards and new control measures to be introduced.	P4	Review of documentation (product evidence)	By 23/03/17		
Communicate Health and Safety control measures through staff presentations, handbooks, procedures and signage.	P4, K3	Review of documentation (product evidence)	By 31/03/17		

Assessor's signature *Peter Hoskins*
First review due 10/02/17

Candidate's signature *Paul Lee*
Second review due 05/03/17

Date of agreement 05/01/17
Date of completion 01/04/17

9 Generating and collecting 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) — this will apply to direct observation of workplace activity (onsite assessment) plus videos and photographs
- ◆ questions and candidate responses
- ◆ personal statement (produced by the candidate)
- ◆ witness testimony

These forms can be amended/incorporated into other materials.

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. This will apply to direct observation of workplace activity (onsite assessment) as well as videos and photographs.

Observation record

Unit title	Promote, monitor and maintain health, safety and security
Candidate's name	Paul Lee
Evidence index number	3
Date of observation	19/01/17

Skills/activities observed

Prior to carrying out the risk assessment, Paul prepared a plan detailing the areas of the organisation to be inspected and potential hazards to look for. This approach proved very successful as it helped him focus on what to look for in terms of hazard, risk and control measures either currently in place or that should be implemented.

Throughout the risk assessment, Paul spoke with several members of staff to gather their understanding of health and safety in general and any potential hazards they considered to be present. He then asked if they had any ideas on how they could be avoided which seemed to promote a greater interest by staff on what Paul was doing and why.

Paul always concluded his discussion with staff by asking them if they knew where information on health and safety relating specifically to the organisation was located. Paul made comprehensive notes during the review including a note of all chemicals used in the organisation and the manufacturers' instructions on precautions and counter measures.

Knowledge and understanding apparent from this observation

Current level of understanding and support for health and safety instructions and procedures

It is clear from the plan that Paul produced prior to carrying out the risk assessment that he has a good knowledge and understanding of the importance of health and safety and how to go about carrying out a risk assessment.

Communication strategies in respect of health and safety

Through discussions with employees during his review Paul was able to identify the current level of understanding and support for health and safety within the organisation and how accessible information is to employees. The information gained from these discussions will make a valuable contribution to his report.

Performance/knowledge and understanding statements covered

P1, 2 and 3, K1, 2

Other Units to which this evidence may contribute**Assessor's comments and feedback to candidate**

The research and preparation you undertook beforehand enabled you to carry out a very thorough risk assessment and gather invaluable evidence that will help support any recommended actions you consider will be beneficial to the organisation.

Well done.

I can confirm the candidate's performance was satisfactory.

Assessor's signature *Peter Hoskins* **Date** 19/01/17

Candidate's signature *Paul Lee* **Date** 19/01/17

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 title	Promote, monitor and maintain health, safety and security
Evidence index number	4
<p>First review session with candidate.</p> <p>(Considering performance/knowledge and understanding statements: P1, 2 and 3, K1, 2, 3 and 4</p>	
List of questions and candidate's responses	
Q	Can you explain the difference between a hazard and a risk?
A	<p>Hazard — anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer.</p> <p>Risk — the chance, high or low, that somebody could be harmed by these and other hazards and how serious the harm could be.</p>
Q	Can you outline the hierarchy of measures to control risk?
A	<p>The hierarchy of control is a sequence of options which offer you a number of ways to approach the control of hazards. You begin by working your way down the list, and implement the best measure possible for your situation.</p> <p>Eliminate the hazard</p> <ul style="list-style-type: none"> ◆ if possible, remove the cause or source of the noise, by eliminating the machine, task or work process. <p>If this is not practical, then:</p> <p>Substitute the hazard with a lesser risk</p> <ul style="list-style-type: none"> ◆ use a less-noisy machine for the task, or introduce a less-noisy work process. <p>If this is not practical, then:</p> <p>Isolate the hazard</p> <ul style="list-style-type: none"> ◆ separate the noisy process or equipment from the workers by relocation or by changing the hours of operation so that the noisy task is carried out when the majority of workers are not in the vicinity.

List of questions and candidate's responses

	<p>If this is not practical, then:</p> <p>Use engineering controls</p> <ul style="list-style-type: none"> ◆ introduce enclosures and barriers around the noise source or between the source and the workers to modify the sound pathways and dampen the source of the noise. ◆ improve maintenance procedures to ensure the effectiveness of sound damping and muffling equipment. <p>If this is not practical, then:</p> <p>Use administrative controls</p> <ul style="list-style-type: none"> ◆ use strategies such as rest breaks, pause exercises and job rotation. ◆ establish hearing protection zones and use signage to warn workers of noise risks. <p>If this is not practical, then:</p> <p>Use personal protective equipment</p> <ul style="list-style-type: none"> ◆ provide protective equipment appropriate to the risk. ◆ provide training information and supervision to ensure that personal hearing protection is fitted, used and maintained appropriately.
Q	Now you have completed your risk assessment, how will you ensure that those at risk are aware of the findings?
A	The results of my findings and any recommendations I make have to be approved by senior management in the first instance. If approved, my intention for communicating changes to staff is through a series of presentations. Working with relevant colleagues to update the staff handbook, departmental procedures and signage throughout the organisation.
Q	Tell me about the health and safety legislation that applies to your organisation.
A	Section 3 (i) of the Health and Safety at Work Act 1974 which states that: 'It shall be the duty of every employer to conduct his undertaking in such a way as to ensure, so far as is reasonably practicable, that persons not in his employment who may be affected are not thereby exposed to risks to their health or safety.'

List of questions and candidate's responses	
Q	What standards of protection must be achieved in your organisation?
A	<p>Management of Health and Safety at Work (Amendment) Regulations 2006</p> <p>Health and Safety (Display Screen Equipment) Regulations 1992</p> <p>Health and Safety (First Aid) Regulations 1981 — Note Changes are expected to come into force on 1 October, 2013 (subject to Parliamentary agreement).</p> <p>Reporting of Injuries, Diseases and Dangerous Occurrences (Amendment) 2012 — (RIDDOR)</p> <p>Workplace (Health, Safety and Welfare) Regulations 1992</p> <p>Manual Handling Operations Regulations 1992 (As Amended)</p> <p>Although not strictly under Health and Safety Regs the Fire Safety (Scotland) Regulations 2006 does affect us greatly.</p>

Assessor's signature *Peter Hoskins* **Date** 16/03/17

Candidate's signature *Paul Lee* **Date** 16/03/17

Candidate's personal statement (reflective account)

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

Evidence index number	Details of statement	Performance/ knowledge and understanding statements covered
2	<p>I was dreading doing this unit as the idea of carrying out a risk assessment of my workplace sounded really boring. However, I actually found it really interesting as it has made me aware of the importance of health and safety and how lucky we are to have such legislation in place as it protects the workforce. Not following the legislative requirements could result in an employee being needlessly injured or killed and the organisation being sued.</p> <p>I found the information on the HSE website really helpful and very easy to read. Until I started this unit I had always thought of health and safety as being about hazardous substances, electrical/gas appliances and stuff like that. I never realised that health and safety covers things such as use of VDUs, repetitive strain, stress, etc.</p> <p>Everyone has a legal and moral duty for ensuring the safety and well-being of employees and visitors. The Chief Executive has overall responsibility for the provision and maintenance of standards necessary to achieve compliance. As a manager, I have to be aware of the rules and regulations with regard to health and safety and know what the procedures are in the event of an accident or injury occurring in my area of responsibility and also what is available to staff to prevent any injuries. All employees have a responsibility to make themselves familiar with, and comply with any control procedures in place; bring to the knowledge of his/her line manager any process, situation or other circumstances which in their opinion constitutes a hazard; take reasonable care for the health and safety of themselves and others who may be affected by their acts or omissions.</p>	P1 and 2, K1, K4

Evidence index number	Details of statement	Performance/ knowledge and understanding statements covered
	<p>The HSE website had a really helpful leaflet that explained, in simple language, what a risk assessment is and how to go about assessing the risks in the workplace. I really appreciated the definition on what is meant by a hazard (anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer) and what is meant by the risk (the chance, high or low, that somebody could be harmed by these and other hazards and how serious the harm could be).</p> <p>The leaflet provided information on the five steps to follow when carrying out a risk assessment:</p> <ol style="list-style-type: none"> 1 Identify the hazards 2 Decide who might be harmed and how 3 Evaluate the risks and decide on precautions 4 Record your findings and implement them 5 Review your risk assessment and update if necessary <p>Having read the information in this leaflet I now feel I have the necessary knowledge and understanding of what a risk assessment is and how to go about it. I have gone from dreading doing this unit to cannot wait to get started!!</p>	

Candidate's signature Paul Lee Date 13/01/17

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 contact details and their relationship to the candidate (eg supervisor, client) address.

Witness testimony

Qualification title	Promote, monitor and maintain health, safety and security
Candidate's name	Paul Lee
Performance/knowledge and understanding statements covered	
Evidence index no	5
Date of evidence	18/02/17
Name of witness	Dave Mulvaney (on behalf of senior management team)
Address of witness	SQA The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ
Telephone number of witness	0141-666 9999
Designation/relationship to candidate	Senior manager responsible for health and safety, line manager of Paul Lee
Details of testimony	
<p>Paul delivered a very interesting and informative presentation to senior management today about the risk assessment he carried out in January this year.</p> <p>He began by explaining what a risk assessment is and what is meant by a hazard, risk and control measures. He then handed us a blank risk assessment template he had produced. He then put a picture of our general office up on the screen and asked us to see whether we could see any hazards. This prompted a very interesting discussion as some hazards are much more obvious than others.</p> <p>Having identified the hazards, Paul then asked us to consider who might be harmed and how? Again, this prompted good discussion as it encouraged us to think about the consequences of what could happen to the individual and the organisation.</p> <p>Paul then put up a slide detailing the control measures currently in place which was good to see. He then asked us to think about if there was anything more we could do. Initially we thought we had it well covered however, Paul then suggested a couple of things which got us all thinking and before we knew it the original list had almost doubled which was a surprise to us all.</p>	

Paul then presented us with a report of his risk assessment findings which included:

- ◆ a completed risk assessment template for all areas of the organisation
- ◆ an action plan detailing recommendations for improvement, who would do them and when
- ◆ a proposed communication strategy to employees.

After reading through the report and discussing some aspects with Paul, all members of the senior management team agreed with most of Paul's recommendations and requested he implement them as soon as possible.

I can confirm the candidate's performance was satisfactory.

Witness's signature *Dave Mulvaney* **Date** 24/02/17

Witness (please select the appropriate box):

- Holds appropriate qualifications and/or experience
- Is familiar with the units to which the candidate is working

10 Judging candidate evidence and making an assessment decision

In judging candidate evidence, you must be satisfied that your candidates can work 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 current, valid, authentic and sufficient

Assessments must be:

- ◆ valid, equitable, reliable and fair
- ◆ made against specified criteria

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.

The candidate's portfolio should contain a declaration that confirms that the content of their portfolio is their own work.

11 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.

- ◆ Using the evidence index
- ◆ Completing the unit progress record
- ◆ Completing the 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 _____

Candidate's name Paul Lee

To achieve the whole qualification, you must prove competence in **insert No of mandatory units** mandatory units and **insert No of optional units** optional units.

Unit checklist

Mandatory	H2RN 04								
Optional									

Mandatory units achieved

Unit number	Title	Assessor's signature	Date
H2RN 04	Promote, monitor and maintain health, safety and security	<i>Peter Hoskins</i>	01/04/17

Optional units achieved

Unit number	Title	Assessor's signature	Date

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

Qualification title and level			
Evidence number	Description of evidence	Included in portfolio (Yes/No) If No, state location	Sampled by the IV (initials and date)
1	Plan of areas to be inspected and potential hazards to look for	Yes — Section 1, page 1	SM — 04/04/17
2	Personal statement reflecting on the importance and benefit of promoting a culture of health and safety within the organisation	Yes — Section 1, page 2	SM — 04/04/17
3	Observation record of workplace review	Yes — Section 1, page 3	SM — 04/04/17
4	Record of questions and answers	Yes — Section 1, page 4	SM — 04/04/17
5	Witness testimony of responsible people	Yes — Section 1, page 5	SM — 04/04/17
6	Presentation to senior management team	Yes — Section 1, page 6	SM — 04/04/17
7	Risk assessment report for senior management team	Yes — Section 1, page 7	SM — 04/04/17

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 unit. 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 statements
- ◆ entering the areas of knowledge and understanding the piece of evidence covers

If integrated assessment is used (linking performance or knowledge and understanding statements 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.

Achievement Record

Unit title Promote, monitor and maintain health, safety and security

Evidence index no	Description of evidence	Performance/knowledge and understanding statements covered							
		P1	P2	P3	P4	K1	K2	K3	K4
1	Plan of areas to be inspected and potential hazards to look for	✓	✓	✓		✓			
2	Personal statement reflecting on carrying out a risk assessment	✓	✓			✓			
3	Observation record of workplace review	✓	✓			✓	✓		
4	Record of questions and answers	✓	✓	✓		✓	✓	✓	✓
5	Witness testimony from Dave Mulvaney (on behalf of senior management team)	✓	✓	✓	✓	✓			✓
6	Presentation to senior management team	✓	✓	✓	✓	✓		✓	
7	Risk assessment report for senior management team	✓	✓	✓	✓	✓	✓	✓	✓

Assessor's notes/comments

Paul has worked conscientiously on this unit and produced some very good evidence that will benefit both himself and the organisation.

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

Candidate's signature	<u>Paul Lee</u>	Date	<u>04/04/17</u>
Assessor's signature	<u>Peter Hoskins</u>	Date	<u>04/04/17</u>
Internal verifier's signature	<u>Sharon Moore</u>	Date	<u>04/04/17</u>

12 Further information

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

E-assessment

SQA believes that e-assessment will play an increasingly important role in supporting delivery of our qualifications. We believe that e-assessment offers significant benefits to SQA, centres and in particular the candidates that take our qualifications.

SQA has produced criteria designed to advise SQA centres and SQA external verifiers about the **standards expected of e-assessment systems** which are used to deliver SQA qualifications.

To find out more about e-assessment in SQA visit <http://www.sqa.org.uk/sqa/5606.html>

Appendix 1:

Additional information for the: CITB SSC Consolidated Assessment Strategy – Appendix C

The CITB SSC Consolidated Assessment Strategy – Appendix C provides guidance on the acceptable use and characteristics of simulation within SVQs during extra-ordinary events.

CITB SSC will publish guidelines on its website when the use of their Appendix C will be valid for the assessment of candidates/apprentices. The implementation and decision to use this Appendix C will be based on CITB SSC's reasonable opinion of the extra-ordinary event and guidance available to CITB SSC at the time.

Examples of extra-ordinary events could be, but not limited to;

- 2008 Economic downturn and recession;
- 2020 Covid-19 pandemic

When CITB SSC issues instruction for the use of their Appendix C to support candidates/apprentices through difficult and challenging situations it will clearly define the start and end date and any required extensions to the end date, of the special measures.

In addition to the CITB SSC documentation, the following must be fully satisfied:

- "Appendix C Simulation" can only take place between the dates that CITB SSC invoke Appendix C of the Assessment Strategy.

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- "Appendix C Simulation" is **NOT "credit transfer" from the Craft PDA units (TAPs).**

- Simulation can only be planned if the employer confirms that the candidate would have had the opportunity to gather the necessary "workplace (competence) evidence" **in the coming 4-month period.**

- "Simulated evidence" is not permitted for a full SVQ unit/NOS – it can only be used to **fill in the missing gap of where there is already "workplace (competence) evidence" for that SVQ unit.**

- Any "workplace (competence) evidence" already gathered should be checked to see if it could also be used to plug any gaps identified across any SVQ units.

- Simulation must be properly planned to be as close/authentic to the working environment as possible eg not a group of 8 candidates building a wall/digging a drain.

- Assessment evidence can only be for one candidate at a time.

- Tolerances for the "simulated evidence" must be the same as the tolerances and standards required in the SVQ unit/NOS (industry standard).

Requirements for assessment of Scottish Vocational Qualifications (SVQs) in Construction 54

- Employer can be involved with the planning of the “Appendix C Simulation” activity as simulation can either be done on site or in a simulated environment such as a college.
- Simulation should take place outside if required to replicate the “workplace” environment eg roofing, laying slabs, digging drains.
- Supervisor and labourer can be involved with this simulation activity if it is carried out on site, as per normal working activity eg supervisor ensuring the overall Health and Safety of the candidate and a labourer assisting the candidate lifting heavy slabs /holding the end of the line for “lining up”. Other suitable people can be involved if this simulation is carried out in a simulated environment.
- Centre to submit a rationale and details of the “planned simulation” to SQA Awarding Body via operationshmvq@sqa.org.uk using the SQA “Adaption to Conditions of Assessment” form available via QVprior@sqa.org.uk .
- To ensure standardisation across all submissions, a small group of SEVs/experienced EVs will consider any submissions from centres on a monthly basis.
- Assessor will observe the candidate as per normal and must also carry out a professional discussion with the candidate. The assessment decision will be given to the candidate there and then.
- Candidate portfolio to be completed as per normal for the SVQ. Any documentation for this “Appendix C Simulation” request, the approval from SQA and the assessment, if passed, to be added into the candidate’s portfolio.
- Internal Verification to take place as per normal for the SVQ.
- External Verification will take place as per normal for the SVQ.
- EVs will include asking the question to centres- “has any Appendix C Simulation been used for this SVQ” in their planning of the SVQ Verification visit.
- EVs will check that all “Appendix C Simulation” documentation is filed in the Candidate Portfolio when they carry out their verification visit.

Appendix 2: Clarification of NOS/unit terminology

Various sectors of industry, supported by the Health and Safety Executive, requested national occupational standards for the safety critical occupations of lift planner and lift supervisor. Standards from the suite of National Occupational Standards for Construction Site Supervision and Construction Site Management were identified by the National Working Group (NWG) as conveniently defining the job roles of planner and supervisor.

Certain standards (NOS, NVQ or SVQ units), however, use terminology particular to, or make reference to, the construction sector, limiting the scope of the standards. Clarification of terminology has been produced below which provides interpretation and meaning of selected words that are used in lifting operations within other industrial sectors. Provision of this clarification further avoids a proliferation of new standards.

‘construction operations’	Includes lifting operations within other sectors of industry.
‘decision-makers’	This refers to the client, customer or their representative, senior/contracts manager, project team, consultants or in VR705 the lift planner.
‘ensure notice has been given to all the people who will be affected...’	This means as dictated by the lift plan.
‘lines’, ‘levels’, ‘angles’	This includes load levels, ground levels, lines for placing loads and lifting accessory angles.
‘near neighbours’	This can include other structures and a workforce in a different part of the project.
‘organise and control the site’	The lifting activity and the immediate surrounding area.
‘position, align and/or level the work’	This refers to items being moved and placed and the equipment used to attach and move the loads.
‘produce clear requests for plant, equipment or machinery’	This means those specified by the lift plan.
‘place and maintain notices’	This means ensuring that the correct notices (for the lifting activity) are in place prior to the commencement of the lifting activity, and checked throughout the duration of the activity.

‘plan how the work will be undertaken’	This means as dictated by the lift plan.
‘programmes and schedules’	This refers to either components part of, or the complete lift plan.
‘programmes and schedules’	This refers to either components part of, or the complete lift plan.
‘project’	A lifting operation that is taking place within an overall contract, project or work activity.
‘project plan’	This refers to either components part of, or the complete lift plan.
‘site’	A lifting operation that is taking place within an overall contract, project or work activity.
‘site plan’	This refers to either components part of, or the complete lift plan.
‘vehicular access’	This can comprise of all forms of transport, including waterborne and airborne craft.

Appendix 3: Additional Clarification re the Industry Skills Test and the Expert Witness

Additional Clarification re the Industry Skills Test and the Expert Witness

CITB Skills Tests

What materials should be used in the skills tests?

New building materials must be used for all skills tests.

Over how many days should the skills tests be completed?

Each skills test has a specified time limit, which is detailed in each of the individual skills test SVQ units/NOS. For example:

- ◆ Carpentry and Joinery — 8 hours (one day)
- ◆ Plastering — 12 hours (split over two days)
- ◆ Painting and Decorating — 16 hours (split over two days)

If a centre is unable to comply with this, the test can be carried out over more days. For example, the Carpentry and Joinery Skills Test could be done over two days instead of one; eg six hours on day one and two hours on day two. As with the conduct of any other assessment arrangements, professional discretion should be used.

If a centre does choose to split the test over more than the specified number of days, this must be recorded, along with the reason behind the decision.

You can access skills test units/NOS by following the instructions above.

Must the assessor be present for the full duration of the skills test?

Yes. The assessor must be present throughout the skills test, to assess if the candidate has carried out the test in a safe and sustainable manner.

As stated in the Industry Skills Test — Provider and Marking Instructions, 'Achievement of the skills test will not be awarded unless all elements are carried out in a safe and sustainable manner — even if the other standards have been met'.

The instructions for conducting the skills test state that 'It is the responsibility of the candidate to work safely without danger to themselves or to others and therefore must complete a risk assessment and method statement, covering all parts of the skills test, prior to starting work. Candidates must work safely and keep a clean and tidy workstation at all times'.

Where can I access risk assessment and method statement forms?

These are available from the SQA secure [website](#).

Is an invigilator required?

No. There is no requirement for an invigilator to be present.

What if a candidate runs out of time and has not completed the skills test by the end of the specified assessment period?

If the candidate is very close to completing the skills test at the end of the specified time period (eg Carpentry and Joinery is 8 hours, while Plastering is 12 hours), they should be allowed to complete it within a reasonable period of time (eg an additional 30 minutes). Centres should use their professional judgement and record any additional time given, along with the reasoning behind the decision. This will be checked at external verification.

If a candidate fails the skills test, do they need to do a full resit?

A candidate who fails the skills test is not required to do a full resit. The candidate can resit the part of the skills test that they have failed. This is in line with SQA's policy on assessments. Two attempts are allowed, with a third in exceptional circumstances. Further instructions for these will be provided in the *Provider and Marking Instructions*.

Which skills test should I result candidates against?

Current SVQs

From 1 January 2018 until 31 August 2021, centres delivering the current SVQs must use the new CITB Skills Test SVQ unit, along with SQA's *Candidate Assessment Instructions* and *Provider and Marking Instructions*, to provide the evidence required for successful achievement of the SVQ unit B664 04. This was agreed with the regulator — SQA Accreditation — in June 2017.

Centres should use this evidence to result the candidate for SVQ unit B664 04 until the lapsing period for the current SVQs has ended. The evidence from the new CITB Skills Test will be externally verified by SQA and regulated by SQA Accreditation.

New SVQs

Candidates who are doing the new Construction Craft SVQs at SCQF level 6 must also use the new CITB Skills Test but please note that the new SVQs have specific unit numbers for each skills test.

Expert witness

Is it possible to amend or remove the expert witness section from Appendix D of the CITB Consolidated Assessment Strategy?

The expert witness section cannot be amended or removed from the CITB Consolidated Assessment Strategy without approval from the regulator (SQA Accreditation). Only CITB Sector Skills Council can request that the assessment strategy be amended, and it must have the support of industry. The regulator will require robust evidence from industry prior to approving any changes.

As with the Assessors and Internal Verifiers sections of the assessment strategy, centres have a responsibility to comply with the expert witness section. This will be checked, as normal, by SQA external verifiers.

What is the criteria for the expert witness?

The expert witness must be an experienced and reputable tradesperson in the occupational area that is being assessed, as they are unlikely to have an in-depth knowledge of the NOS and the assessment strategy. You should use your professional judgement to select an appropriate expert witness and record the reasons for your decisions.

Can the expert witness be a centre employee, if they meet all of the requirements of Appendix D of the CITB Consolidated Assessment Strategy?

No. The expert witness must also be an independent and impartial witness. CITB Sector Skills Council has stipulated that an individual employed by the centre, in any role or capacity, is not independent and therefore will not be able to carry out the expert witness role for that centre. However, it would be possible to arrange for a member of staff from a different centre to take on the role of expert witness, where appropriate.

What do I do if I cannot find an expert witness?

If you are unable to find a suitable expert witness, please contact [Gill Harkness@citb.co.uk](mailto:Gill.Harkness@citb.co.uk) or [Ian Shaw@citb.co.uk](mailto:Ian.Shaw@citb.co.uk) for assistance and provide them with details of your search.

What if no expert witness can be sourced?

If a centre is still unable to source an expert witness for the Craft Skills Tests, after contacting Ian Shaw and Gill Harkness at CITB (Scotland) for assistance, and the centre proceeds with a Craft skills test, without an expert witness arranged, SQA will deem that skills test to be invalid, as the centre has not complied with the CITB Consolidated Assessment Strategy — May 2017 and additional information from SQA and CITB Sector Skills Council.

What should I do if the expert witness does not show up on the day of the skills test?

The expert witness must be in attendance to observe the marking of the skills tests in person. However, if they do not attend on the day, and you are unable to source a replacement at short notice, you should proceed with marking the skills test. The marking of the skills test should be filmed and a copy of the video sent to the expert witness for them to observe. The expert witness should be given a total of five days to observe the marking and reply to your centre (confirming receipt of the video within two days and responding to your centre within a further three days). You can then proceed as normal.

Can the expert witness appeal against the assessor's decision?

No, the expert witness cannot appeal against the assessor's decision. They can only appeal against the assessment *process*. For example, if they consider that the assessment process was compromised in any way or was unfair to a particular candidate or group of candidates; eg, the time allocated, the quality of materials, or the accommodation provided.

How does the expert witness go about appealing against the skills test assessment process?

If an expert witness wishes to make an appeal to SQA, they must inform the skills test assessor of this immediately. This will allow centres to ensure that sufficient evidence is retained for review during the appeal. The expert witness should then submit a formal request to SQA in writing stating the following:

- ◆ Title of the skills test
- ◆ Name of candidate(s)
- ◆ Candidate cohort
- ◆ Centre where skills test was taken
- ◆ Date on which the skills test was taken
- ◆ Name of the assessor involved in the skills test
- ◆ Detailed reason for the appeal, providing as much information and evidence as possible
- ◆ Expert witness name, contact details and previous experience of skills tests

We have published online forms for each of the nine Construction Craft SVQs at SCQF level 6. You can access them from each of the Construction Craft SVQ web pages on our [website](#), in the Assessment Strategy section.

Appendix 4: Plant Operations Skills-based test

1 Additional requirements for assessment in the workplace

- 1.1 A practical skills-based test can only be used for operators with extensive experience and who do not have any training needs in relation to operating with the machine. Any instances where a practical skills-based test is used must be supported by video observation of the candidate operating the machine in the workplace. The assessor must view the video evidence to ensure workplace competence has been demonstrated prior to arranging a practical skills-based test. The video evidence must constitute demonstration of work skills in compliance with the requirements in Section 4 within the assessment strategy.
- 1.2 The practical skills-based test must fully check operating skills which comply with good practice, safe and efficient working practices, legislation and regulations. The test must sufficiently check performance on:
- ◆ pre-use checks
 - ◆ preparing for and travelling to the working area (if applicable)
 - ◆ travelling on terrain typical for the type of plant (where relevant)
 - ◆ setting up and configuring for the required work
 - ◆ carrying out a number (two or more) of the core functions of the machine as per guidance in paragraph 4
 - ◆ completing the work and undertake cleaning/dismantling duties where applicable
 - ◆ travelling the machine to an out-of-service area (if applicable)
 - ◆ complete shut-down, isolation and securing procedures
- 1.3 The test specification must identify the required resources and activities to ensure consistency, are fully measurable, and made available to the candidate and assessor prior to the practical skills-based test taking place.
- 1.4 The grading criteria must ensure that full skills on all areas, have been measured and do not allow errors to be made to ensure competent performance. This test must be conducted in an environment which allows the candidate to perform without being hindered by non-related factors such as other work impinging on the test area, and with machinery that is compliant with current legislation and fit-for-purpose.
- 1.5 Any practical skills-based test devised as a part of the overall evidence must be submitted to construction@sqa.org.uk for initial assessment SQA will then forward to the CITB Plant Employer Forum for final approval by the Employer Forum as identified in Section 5.
- 1.6 When making a submission the following should be noted:
- ◆ There are no set forms of documentation which should be submitted.

- ◆ A very strong rationale must be included with your submission which evidences why a Skills-Based Test must be used. Each application shall be very closely scrutinised by subject specific experts.
- ◆ There is no set criteria however the Employer Forum recommend that Skills-Based Tests be based on the current CPCS Test however the marking information from the CPCS test will not be required.
- ◆ You should receive a response in approximately one to two weeks.
- ◆ The video evidence used prior to Skills-Based Tests must be of a duration to cover all of the key elements in the Assessment Strategy.

If approval is given for the use of Skills-Based Tests, this evidence must be retained along with the video evidence in addition to normal assessment evidence for External Verification by SQA.

2 Employer Forum for the Plant Operations and Controlling Lifting Operations Assessment Strategy

- 2.1 The forum consists of those involved with plant operations and who represent construction-related federations and associations. The forum will ensure that the content of the assessment strategy meets the needs of the construction and allied sectors in terms of plant operations; ensure fair, suitable and consistent assessment criteria and adjudicate on issues raised by awarding organisations, standard setting bodies or assessment centres.
- 2.2 The forum operates under a Terms of Reference with specified meetings and membership reviewed on a regular basis. The Terms of Reference imposes ongoing dialogue between the Employer Forum and the Built Environment Awarding Body Forum when required.