



# **Assessor's Guidelines for SVQ in Controlling Process Operations at SCQF level 6 (GR6X 23)**

Publication date: December 2020

Publication code: DB6316

*The information in this publication may be reproduced in support of SQA qualifications. If it is reproduced, SQA should be clearly acknowledged as the source. If it is to be used for any other purpose, then written permission must be obtained from the Assessment Materials Officer at SQA. It must not be reproduced for trade or commercial purposes.*

Published by the Scottish Qualifications Authority  
The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ  
Lowden, 24 Wester Shawfair, Dalkeith, Midlothian, EH22 1FD

**[www.sqa.org.uk](http://www.sqa.org.uk)**

© Scottish Qualifications Authority 2020



# Contents

About the Assessor's Guidelines	1
1 Introduction	2
SVQ in Controlling Process Operations at SCQF level 6	2
National Occupational Standards (NOS) and qualification structure	2
About SVQs	3
SVQs and the SCQF	5
Who is involved in SVQs?	7
2 SVQ in Controlling Process Operations at SCQF level 6	9
General SVQ requirements	9
2.1 General evidence requirements	9
2.1.1 Coverage of full SVQ requirements	9
2.1.2 Consistent competence over time	10
2.1.3 Varied evidence gathered from different work activities and situations	10
2.1.4 Evidence that occurs naturally	11
2.1.5 Simulated activities: supporting evidence from the workplace	11
2.2 Witness testimony	13
2.3 Knowledge assessment	16
2.4 Approaches to collecting evidence: assessor or candidate led	16
2.5 Types of evidence	17
2.6 Recording SVQ evidence	19
2.7 Using the sample recording format	20
3 Structure for the SVQ in Controlling Process Operations at SCQF level 6	23
Assessors' unit Notes: SVQ in Controlling Process Operations at SCQF level 6	25
4 Appendices	33
Appendix 1	33
Appendix 2: Sample witness testimony pro forma (generic)	40
Appendix 3: Types of SVQ evidence and associated risks	42
Appendix 4: Sample assessor report form (generic)	54
Assessor report form	55
5 Recording documents	60

# About the Assessor's Guidelines

This guidance covers the SVQ in Controlling Process Operations at SCQF level 6 and is designed to provide assessment centres with information on the content, structure and delivery of the SVQ.

This document provides both general guidance, applicable across the SVQ including general and specific evidence requirements. If you or your centre has any queries relating to one of the SVQs or its delivery, please contact either your allocated External Verifier (EV) or SQA contact.

This guidance (and updated versions issued during the lifetime of the SVQ) will be available on **[www.sqa.org.uk](http://www.sqa.org.uk)**.

Before assessing any candidate, you must read the assessment strategy produced by the standards-setting body for the SVQ. This is published on the SVQ subject page on SQA's website (**[www.sqa.org.uk](http://www.sqa.org.uk)**).

The assessment strategy outlines the following requirements:

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

# 1 Introduction

## SVQ in Controlling Process Operations at SCQF level 6

The SVQ in Controlling Process Operations at SCQF level 6 covers the skills required by candidates working on the operational management of water, waste water or sludge processes, using their technical skills in an operational supervisory role. The SVQ is based on national occupational standards developed by Energy and Utility Skills.

The majority of candidates' evidence for the award must be generated from real work activities. This means that any candidate undertaking the SVQ in Controlling Process Operations must be working in the water industry, supervising either water, waste water or sludge treatment operations, at one or more plants/assets. Assessors must ensure that sufficient evidence of workplace performance is provided before recommending certification.

Candidates undertaking this SVQ may be working in a water, waste water or sludge treatment environment, and their evidence across the full SVQ must be generated while undertaking their daily work activities.

### National Occupational Standards (NOS) and qualification structure

The content and structure of the SVQ in Controlling Process Operations derives from the national occupational standards (NOS) in Controlling Process Operations, developed by Energy and Utility Skills, the Sector Skills Council for the electricity, gas, water and waste management industries. The SVQ requirements are produced in line with the NOS, award structures and assessment strategy, following consultation with representatives from water companies, industry training providers and other industry stakeholders.

Copies of the NOS are available on the SQA website ([www.sqa.org.uk](http://www.sqa.org.uk)). The units may also be obtained from the UK Standards website ([www.ukstandards.org.uk](http://www.ukstandards.org.uk)) or from Energy and Utility Skills ([www.euskills.co.uk](http://www.euskills.co.uk)). Updates to the content of the NOS may be made incrementally to keep pace with industry practice, but all centres will be advised of revisions in advance of implementation, with updated SVQ guidance if required.

If, in delivering this SVQ, the team identifies any queries or issues with the content of the NOS or the SVQ structure, please contact your external verifier or SQA in the first instance. We can then advise you on the most suitable course of action and consult further with Energy and Utility Skills or the regulatory authorities, as necessary.

## 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.

Each standards-setting body is responsible for developing National Occupational Standards (NOS) 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.

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 4–11.

Some SVQs or SVQ units are incorporated into other qualifications or programmes including Higher National Certificates and/or Diplomas 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.

The standards-setting body 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.

# 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 new and re-accredited 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 Customer Service SCQF level 5'.

For those SVQs that have not been allocated SCQF level and credit, the SVQ titling convention will remain unchanged, for example, SVQ in Customer Service level 2', until such time as the SVQ is credit rated. Please note however, that in a small number of cases it has not proven possible to allocate an overall SCQF level to a full SVQ. In such circumstances the individual units within the SVQ will have been allocated a level and credit value.



## **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](http://www.scqf.org.uk)**.

For further information on credit rating, go to the Accreditation section of the SQA website **[www.sqa.org.uk](http://www.sqa.org.uk)**.

## Who is involved in SVQs?

There are several roles:

- ◆ **Candidate:** The person who wants to achieve the SVQ (for example an employee).
- ◆ **Assessor\*:** The person who assesses the candidates and decides if they are competent (for example this may be a supervisor working in the candidate's organisation, or may be from a training provider).
- ◆ **Internal verifier\*:** An individual nominated by the assessment centre who ensures that assessors apply the standards uniformly and consistently (for example this may be the 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.

\*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 will have been defined by the standards-setting body in the assessment strategy for each SVQ — see SQA's website: [www.sqa.org.uk](http://www.sqa.org.uk).

Assessors and verifiers are also expected to obtain an appropriate qualification in assessment and verification — this can be the assessor/verifier units (the national standards for assessment and verification), or an alternative qualification that SQA recognises.

## **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

The following sections contain detailed guidance on the requirements for delivering the SVQ in Controlling Process Operations at SCQF level 6.

# 2 SVQ in Controlling Process Operations at SCQF level 6

## General SVQ requirements

This section provides guidance on the collection, assessment and recording of SVQ evidence that applies across the SVQ in Controlling Process Operations. The general evidence requirements detailed below must be observed in addition to any SVQ- or unit-specific requirements outlined in Section 3, which covers the SVQ structure and specific units.

The following details are listed in this section to avoid repetition for each unit. If you have any queries arising relating to any of the evidence requirements, please do not hesitate to contact your external verifier or SQA.

### 2.1 General evidence requirements

Assessors should seek to identify five key qualities in candidates' evidence:

<b>Term</b>	<b>Explanation</b>
Valid	The evidence demonstrates competence against the SVQ requirements.
Authentic	The evidence is demonstrably the candidate's own work. (If it relates to a team activity, the candidate should be able to confirm what their role was within the team.)
Reliable	The total evidence must show genuine and sustained competence against the NOS (not a single occasion: you should be confident that they could demonstrate the same skill levels on a different occasion if required).
Sufficient	There must be enough evidence available against the SVQ requirements for you to make an assessment decision.
Current	The total evidence must show current competence (ie it must not be so old that its presence would lead you to query whether the candidate is still able to perform the task.)

The following general evidence requirements apply when assessing the SVQ:

#### 2.1.1 Coverage of full SVQ requirements

- ◆ The total evidence for each unit must cover all SVQ requirements for skills and competencies, knowledge and understanding (as defined in the NOS), and the scope of the evidence, and must meet any evidence requirements specified for that unit.
- ◆ You must be confident that all of the SVQ unit requirements are covered before assessing the candidate as 'competent'.

## 2.1.2 Consistent competence over time

- ◆ The candidate's evidence for each unit must show that they meet the NOS **consistently** in their work, **over a period of time**.
- ◆ The dates of the evidence provided (whether an observation report, witness testimony or other evidence from the workplace) must allow you to confirm that the candidate has carried out the required tasks on several different occasions.
- ◆ It is helpful if the diverse pieces of evidence are taken from dates that are days, weeks or months apart, to show that the candidate's competent performance is not a singular or unusual occurrence.

*(Please note — Assessors may ask how many pieces of evidence are sufficient to show consistent competence against the SVQ requirements. SQA recommends that each candidate's competence is judged on its own merits.*

*It is likely that different candidates will have different amounts of evidence available to satisfy particular SVQ unit requirements, depending upon their job roles. It is your job as an assessor to decide when a candidate has provided sufficient evidence of competence, and this will vary between candidates.*

*As a guideline, candidates could consider providing evidence of at least three occasions of performance against the NOS. You must remember, though, that the candidate must cover all SVQ requirements to a sufficient standard, and this could require evidence taken from more than three occasions.)*

## 2.1.3 Varied evidence gathered from different work activities and situations

- ◆ Candidates' performance and knowledge evidence must come primarily from their own **work activities**.
- ◆ Evidence should be **varied** and must arise from **different workplace situations** (ie different activities, undertaken at different times, which demonstrate their ability to meet the standard on a regular basis within their job role, rather than on a single assessment occasion).
- ◆ The mix of evidence must be provided from various sources and assessment methods, which, taken holistically, can be used to determine competence. This diversity will reflect the candidate's job role and act as a measure of authenticity.
- ◆ Assessors and candidates must not rely on a single type or source of evidence for any one unit: providing diverse evidence is a robust way of demonstrating consistent competence over time, and confirming authenticity.

## 2.1.4 Evidence that occurs naturally

- ◆ Assessors should make use of candidates' evidence as it occurs naturally. This applies to documentary or product evidence, but also to evidence from observations, line managers'/supervisors' reports, and witness testimonies.
- ◆ One work task undertaken by a candidate can generate evidence for a number of units. Assessors should be vigilant to this, and be able to identify where a candidate's evidence can be cross-referenced to other parts of the SVQ
- ◆ The more an assessor can identify opportunities for candidates to use one piece of evidence towards a number of units, the less chance there is of unnecessary repetition of assessment activity or evidence gathering. Where possible, assessors should try to use of this kind of holistic approach, and should encourage candidates to think about how the different tasks they do during the day can relate to different parts of their SVQ.

## 2.1.5 Simulated activities: supporting evidence from the workplace

- ◆ The requirements for using simulated activities are outlined in the EU Skills assessment strategy. Candidates who are assessed using simulated activities must also provide supporting evidence from the workplace to confirm that they have also performed competently against the relevant NOS as part of their job role.
- ◆ In situations where simulated activities are used because undertaking those tasks in a real site situation would affect actual work on-site (for example dealing with accidents and emergencies), assessors should ensure that their candidates provide supporting evidence of workplace performance from their daily work, where available.
- ◆ It is recognised that situations could arise where candidates have difficulty producing performance evidence from the workplace for particular skills, because they occur very rarely, and/or because there are health and safety implications to assessing them in the workplace (for example accidents and emergencies). If simulated activities have been used (in line with the SVQ requirements) to produce the primary performance evidence in this instance, and candidates cannot produce further performance evidence from their workplace, the assessor may use detailed discussion and questioning to explore the candidate's performance further against the NOS.

**Please note** — Assessors should ensure in using this approach that the candidate has not had enough opportunity to provide the appropriate performance evidence from their real work activities, rather than using this method as routine. If you have any queries surrounding the use of evidence from simulated activities as the primary performance evidence for any part of the NOS, please consult your external verifier in the first instance.

## 2.1.6 Witness testimonies

- ◆ Assessors should consider the potential for witness testimony to provide a valuable contribution to the candidate's total evidence. This is particularly useful to confirm employer contribution to the SVQ process, which is recommended for all qualifications based on NOS developed by Energy and Utility Skills.
- ◆ More detailed notes on witness testimony are provided but assessors must ensure that witness testimonies are subjected to the same level of assessment as any other piece of evidence.
- ◆ There are risks associated with the use of witness testimony as SVQ evidence, and assessors must be aware of these. Please ensure that you read the notes on witness testimony in this document, to ensure that robust procedures are put in place for its use, before you ask your candidates to provide such evidence from managers or colleagues.

**Please note** — *If any candidate works in a role where others report to them, their evidence for unit HG3E 04 (Develop and sustain productive working relationships with colleagues), must include evidence both from their own line manager(s) and from those who report to them.*

## 2.1.7 Employer involvement and contribution to assessment process

- ◆ In this SVQ, centres should ensure, where possible, that there is employer contribution to the assessment process.
- ◆ This can be demonstrated in different ways, although the most likely will be through the use of witness testimonies or other reports from candidates' managers and colleagues.
- ◆ Evidence from managers or colleagues can be useful to provide confirmation of candidates' work as part of a team and to show that their work meets the requirements of their organisation.

## 2.1.8 Evidence from technical treatment process activities

- ◆ Evidence provided for the Controlling Process Operations SVQ from technical treatment process activities should be produced from the range of treatment process activities for which the candidate is responsible.

## For example:

If the candidate works in a clean water environment, monitoring all stages of the treatment cycle, from receiving the raw water to producing the potable product, their total evidence should reflect the extent of their role and responsibility.

- ◆ This means that candidates' evidence should be generated from their normal work activities, which should facilitate demonstration of consistent competence over time against the SVQ requirements.
- ◆ While candidates for this SVQ will have access to diverse documentary or product evidence from the workplace, assessors should also make use where possible of direct observation of the candidate as they carry out their daily work activities. This could provide evidence for several units at the same time, and will also corroborate the evidence produced using other sources.
- ◆ Assessors may observe candidates on several occasions if appropriate, but further evidence to show consistent competence over time can be gathered from other sources if preferable — for example work records, witness testimonies, site logs/diaries, correspondence/e-mails, assessor questioning and discussion, etc
- ◆ **Please note:** There is no requirement (as with previous versions of the Controlling Process Operations SVQ) for assessors to observe specific NOS (skills or behaviours). This means that there is more flexibility in the way that observation is used, and is combined with other assessment methods to produce the total mix of evidence for the SVQ. The assessor and candidate should decide where they can make the most effective use of observation as part of their full mix of evidence.
- ◆ The individual evidence requirements for each unit from the SVQ in Controlling Process Operations has been identified in the unit-specific guidance at Section 3.

## 2.2 Witness testimony

Witness testimony can contribute significantly to the candidate's mix of evidence and provide external confirmation of different aspects of their work activities. Each testimony, statement or report from a witness can, additionally, provide evidence for several units, and may be used to confirm current competence or consistency over time, or to provide supporting evidence for workplace documentation and records.

Witness testimonies are not observed assessments, and they must be subjected to the same assessor scrutiny as any other type of performance evidence.

This specific guidance is designed to address the particular risks attached to witness testimony as a type of evidence. Assessors should be aware of these risks, and be able to take action to minimise them.

In discussing requirements for and potential sources of witness testimony with a candidate, you should ensure that they are briefed on good practice for witness testimonies, so that they know what characteristics you are seeking when assessing any witness testimonies that they provide.



## **Witness credibility**

The credibility of the witness is vital to the value of witness testimony as robust evidence. Witnesses can be drawn from a variety of sources, including:

- ◆ the candidate's line manager/supervisor
- ◆ a senior manager with experience of the candidate's work
- ◆ a colleague or associate from their team or another part of the business, or a related business (for example a project manager on-site)
- ◆ someone who reports to the candidate
- ◆ a client — either internal or external to the business

The choice of suitable witnesses varies between candidates, and some candidates will have access to more supporting evidence of this kind than others.

The key is to ensure that the witness:

- ◆ understands the context and operations of the candidate's job role
- ◆ can contribute detailed and credible information at the appropriate level about the candidate's activities described, in a context that is familiar to them

### **For example:**

- ◆ an operational manager could provide considerable information on the technical supervisory activities that the candidate undertakes covering water, waste water or sludge treatment operations during their usual work activities

**or**

- ◆ a colleague or team member could have useful information about how they interact with others and develop good working relationships as part of a team

It is up to assessors and candidates to identify witnesses who can provide sufficient detail against specific SVQ performance requirements. Assessors should also consider that one testimony can provide evidence for several units.

It is important to ensure that the witness is working at a level or in a context where they will be able to report meaningfully on the candidate's activities: in an operational context, this means that they are likely to be working at least at the same level as the candidate. Alternatively, where units relate to the development of productive working relationships, it would be appropriate to seek testimony from witnesses who interact with the candidate at various different levels.

## **Witness testimony content**

Assessors must be able to validate and authenticate the content of a report or statement. This means that the witness testimony should:

- ◆ Include clear information on the witness's name, job title, relationship to the candidate, and date (and be signed by the witness).
- ◆ Include the witness's contact details, to allow for follow-up or authentication of the evidence (the candidate's permission should be sought before contacting a witness).
- ◆ Refer to the candidate by name.
- ◆ Give a meaningful statement that can be used as evidence — ie it must include suitable detail about specific work activities (time, date, location, job instructions, etc) that are witnessed, and must be a statement of fact. A supervisor or line manager may be qualified to comment on the candidate's competent performance in terms of meeting operational and company requirements, for instance, but they should not be asked for an opinion on whether the candidate has met the SVQ requirements: that is the assessor's role.

There should be sufficient detail in a witness testimony to ensure that the report or statement refers to specific activities that the witness saw that particular candidate undertaking. This enhances witness credibility and provides a potential source of validation (for example through job records showing that the candidate was working in the stated location at the time the activities were witnessed).

Assessors should be alert to the potential for insufficient detail to be provided, or for situations where a witness provides testimony for several candidates, which is identical in each case. Even when working under supervision or as part of a team, the candidate will have a specific contribution to make, and a robust witness statement should be able to identify and confirm the candidate's own activities.

## **Recording witness testimony**

Formats for recording witness testimony vary between witnesses and between centres — some centres have a preferred pro forma that they issue to witnesses, while others prefer to leave the content and expression entirely up to the witness. An example of a witness testimony pro forma has been included in this document (Appendix 2).

As a guideline, in developing a more specific witness testimony form for this award, the centre should bear in mind that it is not recommended that a candidate's manager or other potential witness is given a list of statements with which they must agree or disagree. It is preferable to include open questions, which require them to think of specific examples of the candidate's work and provide more detailed responses about the candidate's own role and activities. The witness testimony must be subject to assessment, in the same way as any other type of evidence.

## 2.3 Knowledge assessment

You (or your centre) must have a strategy for assessing the knowledge and understanding requirements for the SVQ in Controlling Process Operations. This is likely to involve a combination of evidence generated from performance, during discussions with the assessor, and from assessor questioning (either in written or oral format). It is recommended that the candidate's ability to meet the knowledge requirements is assessed through discussions and oral questioning, during the course of observed assessments or assessment meetings. SQA also recommends that, where a candidate demonstrates during assessment that they have knowledge that applies to more than one unit, the assessor should ensure that this is recorded, to avoid unnecessary repetition of assessment activity. If candidates have undertaken written assessments that can be related to the knowledge requirements, these may also be used to confirm relevant NOS coverage.

For an assessor to confirm SVQ competence, the candidate must provide evidence against all of the knowledge and understanding requirements for a unit, so any areas that are not initially identified as correct must be revisited elsewhere in the candidate's total evidence. You should also remember that all question banks or other knowledge assessment materials used by the centre must be stored securely in the centre, and that candidates must not leave the assessment meeting or test situation with any materials that are used for knowledge assessment in controlled circumstances (question banks, test papers, etc).

## 2.4 Approaches to collecting evidence: assessor or candidate led

Some candidates will relate more easily than others to SVQ terminology, gathering evidence and matching the tasks they do in their daily work to the SVQ requirements. This depends upon candidates' individual aptitudes and preferences, and also on their job role, the amount of responsibility they have within their organisation, and the amount of evidence that they can typically generate from their work activities. Assessment approaches can vary according to each candidate or group of candidates.

Candidates working on the SVQ in Controlling Process Operations are likely to carry out their job role under their own initiative, and may need to carry out both routine and non-routine tasks. Subject to the requirements of their actual job role, it is also possible that they will be able to provide diverse workplace evidence (documents or products) to supplement assessor observations, discussions and witness testimonies. The candidates themselves could therefore adopt a more proactive approach to identifying the evidence available and cross-referencing it to the NOS, though this is **not** a requirement for undertaking the qualification. Candidates must be made aware of the SVQ requirements and what is expected of them and should understand the progress they are making through their SVQ; at this level, they could additionally be capable of relating their evidence to the SVQ requirements, though the assessor is responsible for deciding finally how the cross-referencing to the NOS is carried out.

## 2.5 Types of evidence

Candidates for the Controlling Process Operations SVQ will provide evidence from various sources. Assessors should look for a variety of evidence, from different sources, to provide a total picture of candidates' skills.

A table showing the various different types of evidence, their advantages, risks and potential solutions for managing the risks can be found at Appendix 3. This could be useful to you in planning and carrying out your assessments, or as a general reference tool.

As the advantages and risks vary according to the assessment method or type of evidence, it is always appropriate to combine a variety of evidence types in assessing any unit or full SVQ. This approach:

- ◆ allows evidence to be produced from several different sources, and in different forms, against the SVQ requirements
- ◆ ensures that candidates have the opportunity to use one piece of evidence to meet the NOS for a number of units, and
- ◆ allows them to make use of the full range of evidence that is available to them in their workplace

In planning assessments with candidates, assessors should encourage them to consider as many possible sources of evidence that they have available to them, and to refer to their assessor if they are unsure about the validity of evidence, rather than assuming that it will have no value.

Specific evidence requirements for each unit from the qualifications are found in the following section. Most types of evidence are acceptable for any unit, and candidates should make use of as much evidence as possible that arises naturally from their work activities.

Assessors may observe candidates on more than one occasion if this is appropriate, and should maximise opportunities to observe candidates in the workplace, but evidence to show consistent competence and/or to confirm coverage of the total SVQ requirements (skills, behaviour and knowledge and understanding) may also be provided through other means (for example work records, witness testimonies, site logs/diaries, e-mails, assessor questioning and discussion, etc). Assessors and candidates should decide together which sources of evidence are most appropriate to confirm competence against the SVQ requirements.

### **Assessing 'behaviours'**

The NOS for unit HG3E 04 Develop and Sustain Productive Working Relationships with Colleagues includes a number of 'behaviours'.

Assessors must ensure that candidates provide performance evidence to meet the behavioural requirements for each activity that they undertake. Some of the evidence is likely to be generated during assessor observations (and coverage must be recorded) and questioning, and it could also be provided through confirmation from line managers, supervisors or colleagues (for example in witness testimonies). Equally, candidates' workplace performance and appraisal records could provide evidence, although their use is not mandatory for any unit.

### **Graphical items and data in performance evidence**

As part of their evidence, candidates may produce marked up plans or other graphical items relevant to their treatment process control or management work. These are particularly useful for providing additional and detailed information relating to specific locations and jobs covered, and can be used to reinforce authenticity. As stated at Appendix 3, the risk associated with these types of evidence is that they are not meaningful for the SVQ unless the candidate can explain their relevance (either in a note or through assessor questioning).

The candidate must be able to show how this kind of workplace material relates to their job role and specific work activities, and the assessor must ensure that they satisfy themselves of the authenticity and validity of the evidence against the NOS (for example be able to confirm that a plan or photograph relates to a specific job — and corroborate, if necessary, with reference to other records (for example records on company systems, etc)).

### **Using generic workplace documentation**

Candidates may have access to a variety of generic workplace documentation, produced either by their employer or at customer premises (for example company risk assessment formats, health and safety policies, HSE forms, health and safety induction details or policies produced at third party premises).

This documentation is valuable as evidence only if a candidate can show how it relates to their particular job role or specific activities, and the assessor must ensure that they review generic documents on this basis. It is not sufficient for candidates to include generic material amongst their evidence without any explanation of its relevance.

### **For example**

It is more credible if:

- ◆ a candidate provides a company risk assessment form that they completed while undertaking a job (rather than providing the blank copy of the generic form that is used)
- ◆ a candidate can show how they used any information received during a health and safety induction on-site during their treatment process control or management work

## 2.6 Recording SVQ evidence

Assessors must ensure that sufficient records are produced to provide an audit trail for the assessment process.

Assessors' records must show:

- ◆ how they confirmed the candidate's competence against the SVQ requirements (NOS and any SVQ evidence requirements)
- ◆ that the SVQ assessment process is applied consistently to all of their candidates (assessors are likely to work with other assessors and IVs at the centre to develop systems and processes that allow this to be done)
- ◆ a clear audit trail

It is vital that assessment records are robust, as they provide the starting point for internal and external verifiers to sample records and monitor the assessment process. Assessors need to ensure that their records allow the IV and EV to follow the audit trail through the SVQ delivery process as applied to all candidates, and allow them, during verification sampling, to drill down into the detail of your assessment decisions.

### The SVQ audit trail

You must ensure that your records show your involvement in the stages of SVQ delivery. These will include:

- ◆ **Candidate induction and registration** — candidates must be aware that they have been registered with the awarding body, and the induction or first assessment meeting is commonly used to conduct skills scans or otherwise identify how the candidate's job role relates to the SVQ and what units they will undertake. It is also important, if possible, to identify any particular assessment requirements (for example personal needs relating to language or literacy issues or physical disabilities that could limit access to premises) at this stage, so that you can plan to meet the candidate's needs.
- ◆ **Assessment planning** — the assessment team should have systems in place for assessment planning, relating both to the planning of the SVQ assessment process, and more detailed assessment planning with individual candidates (which is likely to be reviewed at the end of each assessment meeting, so that you and the candidates know what is expected at the next assessment).
- ◆ **Observations and assessment meetings** — each meeting with a candidate should generate some form of assessment record. The type of report can differ depending upon your assessment activity. If you observe a candidate, you may prefer to use a tailored observation report form that allows you to concentrate on the tasks you are watching, while a discussion-based meeting could use a more generic template (see sample generic report at Appendix 4).

As candidates for the SVQ need to show evidence of specific treatment process control or management activities undertaken to meet the evidence requirements, it is also important that assessor reports (and particularly records of observations), line managers' reports, witness testimonies or other job records confirm details of the job location and work undertaken. This is useful not only to assessors in ensuring that the evidence is authentic and reflects the candidate's job role, but also to internal and external verifiers when validating assessment records during the sampling process. A generic report is useful for general assessment discussions or meetings at all levels.

- ◆ **Coverage of the national occupational standards** — it is important as candidates go through the SVQ process that there is a record of how their evidence meets the NOS. This allows assessors to:
  - ensure that any mandatory types of evidence are provided
  - show how far the candidate has progressed for any unit
  - identify gaps in the evidence and plan how further evidence can be provided
- ◆ **SVQ unit sign off to confirm coverage** — assessors need to confirm when the unit requirements have been satisfied, so that they can recommend unit (and, eventually, full SVQ certification). It could be helpful to provide a cover sheet or overview of how the assessment decision was reached, that can also require the candidate to confirm that the evidence is their own work. This could also act as the starting point for an IV or EV during sampling.

The assessment and verification team must identify how each unit will be signed off and confirmed.

- ◆ **Feedback to candidates and action planning** — this should be covered in the assessment reports, or potentially through correspondence records between assessors and candidates, but it is an important part of the ongoing SVQ delivery process, as candidates need to be aware of their current progress, and to know what further action or evidence is needed for them to complete the unit or award. Candidates should also be given the opportunity to provide feedback to their assessors (see sample assessment report, Appendix 4).

## 2.7 Using the sample recording format

Sample evidence recording documents have been included in Section 5 of this document and were produced for each unit, after consultation with existing assessment centres and EVs. Each unit document reproduces the NOS and includes a cover sheet tailored to the requirements for that unit, which allows the assessor to confirm how the SVQ requirements have been met.

The unit evidence tables list the performance criteria and knowledge and understanding items, so that assessors can use them without referring to a separate NOS document.

If using this format, assessors could either:

- ◆ provide a brief description of or reference for the evidence (under 'Evidence Ref/Description'), including a file reference if applicable (for example if the candidate is keeping an evidence file or portfolio), marking where the evidence meets the NOS requirement

or

- ◆ maintain a separate master list of SVQ evidence, giving each piece of evidence a reference number which is then inserted into the table against specific NOS requirements as necessary

The tables are designed to provide an at-a-glance indication for assessors and candidates of the progress made against the NOS for that unit. Assessors can initial against each NOS requirement when they feel that this has been covered.

The assessor can use the cover sheet to confirm that all evidence requirements are met, and both candidate and assessor sign on completion of the unit. The IV and EV can also sign to show where they have sampled.

A sample index of evidence is also included, which allows a master list of evidence for the SVQ to be kept, which can be cross-referenced to the unit recording tables.

***Please note*** — *The purpose of the tables is to provide a record of the candidate's progress through the SVQ, and it is up to the assessor to confirm completion of a unit. Some candidates could be comfortable in using the recording tables, but it is not mandatory for the candidates to complete any or all of this information on their own.*

**Centres may use the samples exactly as provided, adapt them for the use of their own assessment team, or use their own formats and templates, according to centre requirements.**

**If the centre wishes to use a different format, the EV will need to see sample documents that the team intends to use for this SVQ at the point of centre approval, to ensure that the proposed recording mechanism shows how the NOS are covered and the SVQ evidence requirements are met.**

It is not mandatory for candidates to maintain an evidence file or portfolio, but there must be a clear record of where each piece of evidence is located, either in the evidence recording documents or in a separate master list of evidence. Some candidates and centres prefer to use a portfolio or evidence file system, as the supporting evidence is held in one place, but it may not be appropriate to all candidates or situations. If alternative evidence storage methods are used, the centre must maintain a robust record of where evidence is located, because the IV and EV may require access to the original evidence when sampling, in order to validate the evidence and confirm authenticity.



**Please note** — *The sample recording formats are produced with a view to their use at SVQ centres, and on the basis of feedback provided during delivery of previous water industry SVQs. The joint awarding bodies would like to receive any suggestions from centres about the format of assessment records and reports and how they can be improved, and may update the sample materials during the lifetime of the SVQ, as a result of centre comments. Please advise the external verifier or contact SQA direct in order to feed back on the sample recording formats.*

**In using or adapting the sample format, the centre must not change the content of the national occupational standards.** *The NOS are the benchmark that assessors use to ascertain candidates' competence. If they are altered, the candidate's competence may not be fully confirmed.*

### 3 Structure for the SVQ in Controlling Process Operations at SCQF level 6

This section outlines the requirements for the SVQ in Controlling Process Operations based on the assessment requirements and content of individual units. The general evidence requirements covered in Section 2 apply across the full qualification, and most of this information is **not** repeated in the unit-specific notes that follow. Assessors should be aware of the general requirements covered in Section 2, and also of any specific requirements relating to the full SVQ or individual units.

**Please note** — *This qualification relates to activities associated with water, waste water or sludge treatment operations. Candidates' SVQ evidence will reflect the environment (water, waste water or sludge) in which they control or manage and control process operations.*

#### SVQ in Controlling Process Operations at SCQF level 6 (GR6X 23)

All candidates must complete three mandatory units and three optional units — one unit from Optional Group A, one unit from Optional Group B and one unit from Optional Group C.

Unit code	SCQF level	SCQF credit points	SSC ref	Unit title
J2SR 04	5	8	PROHSS1	Make sure your own actions reduce risks to health and safety
J2ST 04	7	8	PROHSS6	Conduct a health and safety risk assessment of a workplace
HG3E 04	6	6	CFAMandLD D1	Develop and sustain productive working relationships with colleagues
<b>Optional Group A — Select one unit from this group</b>				
J2SV 04	6	18	EUSTPC06	Monitor and maintain the quality of treatment process outputs
J2SX 04	6	18	EUSTPC06a	Monitor and maintain the quality of treatment process outputs (water treatment processes)
J2T0 04	6	18	EUSTPC06b	Monitor and maintain the quality of treatment process outputs (waste water treatment processes)

<b>Optional Group B — Select one unit from this group</b>				
J2T4 04	6	13	EUSTPC01	Monitor and maintain treatment processing plant and equipment at optimum performance
J2T5 04	6	13	EUSTPC01a	Monitor and maintain treatment processing plant and equipment at optimum performance (water treatment processes)
J2T6 04	6	13	EUSTPC01b	Monitor and maintain treatment processing plant and equipment at optimum performance (waste water treatment processes)

<b>Optional Group C — Select one unit from this group</b>				
J2T7 04	6	12	EUSTPC03	Carry out the maintenance of treatment processing plant and equipment
J2T8 04	6	12	EUSTPC02	Receive and store sludge for processing
J2T9 04	6	10	EUSTPC04	Organise maintenance of treatment processing plant and equipment
J2TA 04	6	7	EUSTPC05	Receive, store and handle processing chemicals, reagents and other consumables

The following pages outline the specific requirements for each unit from the SVQ in Controlling Process Operations. This includes an overview of the unit, and identifies any mandatory evidence requirements for that unit.

**Please note that the full detail of the national occupational standards is not reproduced in this section, but are reproduced in full for each unit, in the sample evidence recording documents.**

# Assessors' unit Notes: SVQ in Controlling Process Operations at SCQF level 6

## J2SR 04      **Make Sure Your Own Actions Reduce Risks to Health and Safety**

### Unit content

This standard is for everyone at work (whether paid, unpaid, full or part-time). It is about having an appreciation of significant risks at work, knowing how to identify and deal with them.

This standard is about the health and safety responsibilities for everyone at work. It describes the competences required to make sure that:

- 1 Your own actions do not create any health and safety hazards
- 2 You do not ignore significant risks at work
- 3 You take sensible action to put things right, including: reporting situations which pose a danger to people at work and seeking advice

Fundamental to this standard is an understanding of the terms “hazard”, “risk” and “control”.

### Assessor guidance on evidence

- ◆ The SVQ requirements covers performance and knowledge requirements, and the ‘Scope of the evidence’. The candidate’s evidence in total must show that they have the skills and knowledge to cover all of the Scope items listed. Where no direct performance evidence exists from observations or other work records, the assessor need to use questioning and discussion to ascertain the candidate’s competence.
- ◆ The majority of the evidence used for this unit must come from the candidate’s own performance in the workplace.
- ◆ Candidates are likely to generate evidence for this unit throughout their daily activities, as they need to ensure they monitor and maintain a safe working environment while carrying out their job role. If you are observing the candidate undertaking technical activities (monitoring and maintaining the quality of treatment processes; monitoring and maintaining treatment processes at optimum performance, etc), it is very likely that you will also identify coverage of aspects of this unit. Please ensure that you record this as part of your reporting process, to minimise duplication of assessment.
- ◆ As this unit covers health and safety requirements in the working environment and any locations on which the candidate is working, or for which they have responsibility, it is very likely that some of the evidence produced here can also be used towards unit *J2ST 04 — Conduct a Health and Safety Risk Assessment of a Workplace*. Again, as an assessor, you should seek to identify where this can be done, to avoid duplicating assessment activities.

## J2ST 04      **Conduct a Health and Safety Risk Assessment of a Workplace**

### **Unit overview**

This standard is for people carrying out risk assessments in the workplace. This could be an employer, line manager, supervisor, safety representative or employee.

It covers competences needed to identify hazards, evaluate risks and make recommendations to control risks and review results.

### **Assessor guidance on evidence**

- ◆ **All** of the evidence used for this unit must come from the candidate's own performance in the workplace. Simulated activities may not be used for assessment for this unit.
- ◆ Candidate's evidence must show that they can meet the standards consistently over time. Performance evidence must be provided against each of the performance criteria.
- ◆ Candidates' evidence should show as far as possible that they can cover the requirements through performance evidence, appropriate to their own workplace context. Performance evidence must be the primary source of evidence for this unit, but this may be supported by assessor questioning and discussion to confirm the candidate's ability to perform competently across all range items listed, and to confirm the candidate's knowledge of risk assessment in the workplace.
- ◆ Candidates are likely to generate evidence for this unit throughout their daily activities, as they will carry out operational risk assessments for various different work activities during their regular job role. If assessors are observing the candidate undertaking technical activities (monitoring and maintaining the quality of treatment processes; monitoring and maintaining treatment processes at optimum performance, etc), it is very likely that you will also identify coverage of aspects of this unit. Assessors should ensure that they record this as part of your reporting process, to minimise duplication of assessment.
- ◆ It is very likely that the candidate will demonstrate skills and knowledge relating to health, safety and conducting risk workplace assessments while being assessed for other units covering technical operational activities. Assessors should ensure that, where this happens, coverage of the knowledge is cross-referenced against unit J2ST 04 as well as against the industry-specific unit(s), to minimise duplication of assessment.
- ◆ **Knowledge and understanding.** The knowledge and understanding requirements for this unit must be covered in full for unit accreditation. The candidate may demonstrate considerable knowledge through their workplace performance, but it is likely that some assessor questioning will be needed to confirm that all knowledge requirements are met.

## **J2SV 04/J2SX 04/J2T0 04 Monitor and Maintain the Quality of Treatment Process Outputs**

### **Unit content**

This standard is about using data and information to check the quality and quantity of the material to be treated as it enters the plant and at the various stages of the treatment process. It involves monitoring the treatment processes in treatment plants and making adjustments to the plant operation where required to optimise the processes and ensure the quality of the outputs.

It can apply to any treatment process including abstraction, raw water management and pre-treatment, disinfection, chemical dosing and control, clarification, filtration, ozone, membranes, selective ion exchange, absorption, controlling infestation, UV disinfection, maceration, aeration, sludge digestion and mechanical sludge thickening or dewatering. It can also apply to control of supply to distribution including storage points and pumping.

It includes monitoring the treatment processes in treatment plants, assessing whether treatment plant inputs and outputs conform to requirements and making adjustments to the plant operation where required to optimise the processes and ensure the quality of the outputs. It also involves issuing and displaying all safety warnings and disposing of process by-products safely.

This standard is suitable for operatives that work at water, waste water and sludge treatment processing plants.

### **Assessor guidance on evidence**

- ◆ The evidence used for this unit must come from the candidate's own performance in the workplace. Simulated activities **may not** be used to assess this unit.
- ◆ Candidates' evidence must show that they cover the samples and **adjustments to processes** listed above, as they relate to their area of responsibility.
- ◆ It is very likely that some of the evidence produced for this unit can also be used towards gaining other units from the award, including the two units covering health and safety (*J2SR 04 Make Sure Your Own Actions Reduce Risks to Health and Safety* and *J2ST 04 — Conduct a Health and Safety Risk Assessment of a Workplace*) and, potentially, the industry-specific unit *J2T4 04/J2T5 04/J2T6 04 — Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance*. If, in assessing a candidate for J2SV 04/J2SX 04/J2T0 04 you can also identify evidence that applies to other units, please ensure that you record this as part of your reporting process, to minimise duplication of assessment.

## **J2T4 04/J2T5 04/J2T6 04      Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance**

### **Unit content**

This standard is about setting operational objectives and parameters for treatment processing plant and equipment and monitoring them to ensure they are maintained at maximum efficiency throughout the processing cycle.

It includes taking readings, analysing plant records, setting operating parameters, preparing maintenance schedules, assessing priorities and risks, investigating discrepancies in performance and checking the progress of equipment maintenance work.

This standard is suitable for operators working in water, waste water or sludge treatment processing plants.

### **Assessor guidance on evidence**

- ◆ The evidence used for this unit must come from the candidate's own performance in the workplace. Simulated activities **may not** be used to assess this unit.
- ◆ It is very likely that some of the evidence produced for this unit can also be used towards gaining other units from the award, including the two units covering health and safety (*J2SR 04 — Make Sure Your Own Actions Reduce Risks to Health and Safety* and *J2ST 04 — Conduct a Health and Safety Risk Assessment of a Workplace*) and, potentially, the industry-specific unit *J2SV 04/J2T0 04/J2SX 04 — Monitor and Maintain the Quality of Treatment Process Outputs*. If, in assessing a candidate for J2T4 04/J2T5 04/J2T6 04, you can also identify evidence that applies to other units, please ensure that you record this as part of your reporting process, to minimise duplication of assessment.

## HG3E 04      **Develop and Sustain Productive Working Relationships with Colleagues**

### **Unit overview**

This standard is about setting operational objectives and parameters for treatment processing plant and equipment and monitoring them to ensure they are maintained at maximum efficiency throughout the processing cycle.

It includes taking readings, analysing plant records, setting operating parameters, preparing maintenance schedules, assessing priorities and risks, investigating discrepancies in performance and checking the progress of equipment maintenance work.

This standard is suitable for operators working in water, waste water or sludge treatment processing plants.

### **Assessor guidance on evidence**

- ◆ All of the evidence for this unit must come from real work activities.
- ◆ Candidates are likely to generate evidence for this unit throughout their daily activities, as they will need to interact with colleagues in order to carry out their job role. If you are observing the candidate undertaking technical activities (sampling, testing, carrying out treatment processes, etc), it is very likely that you will also identify coverage of aspects of this unit. Please ensure that you record this as part of your reporting process, to minimise duplication of assessment.
- ◆ The evidence for this unit **must include** valid evidence from those to whom the candidate reports (line manager/supervisor) and from those who report to the candidate, if applicable (this does not apply if the candidate does not have anyone reporting to them, but is mandatory in all other cases — if candidates do not have anyone reporting to them, then please ensure that this is validated and clearly recorded in your assessment records). One way to provide this is through witness testimony from the colleagues concerned. (Please note that witness testimonies are not limited to those working at a different level from the candidate: they may also be colleagues working at the same level or in different departments, organisations, etc).
- ◆ You should be aware that candidates may not realise that they carry out some of the activities in this unit on a regular basis (for example resolving conflicts of interest or disagreements), so you may need to question them in some detail to identify less obvious sources of evidence. (For example, conflicts of interest or disagreements may not revolve around major incidents or issues: they can relate to situations as regular as prioritising work activities, setting up or changing rotas, resolving issues or queries with external parties, such as engineers or tanker drivers, who may need to access the site).



- ◆ The assessment of units in this format, and in particular, the assessment of behaviours, is new to water industry SVQs, including the Controlling Process Operations qualification. In general, evidence for this unit could be generated from:
  - notes, minutes or records of formal and informal meetings with colleagues, including details of any actions agreed and how the candidate has fulfilled them
  - e-mails, memos and correspondence with colleagues, including details of any actions agreed and how the candidate has met them
  - witness statements from colleagues confirming how the candidate interacts with them and how they fulfil any commitments made
  - notes or other records of feedback given to colleagues by the candidate, or to the candidate by colleagues
  - personal statements by the candidate describing how they have interacted with colleagues and the reasons for action taken.
- ◆ Candidates working at SCQF level 6 are likely to have access to diverse documentary evidence and records of interactions with colleagues, which reflects the more varied nature of their role. The awarding body has not provided industry-specific examples of evidence that can be used at this level against individual NOS requirements, **but** assessors should encourage candidates to focus on the different circumstances and ways in which they communicate with colleagues, as these points are likely to generate the most effective workplace evidence. (for example changes of shift or hand-over situations, where there is a clear requirement to communicate with colleagues in order to provide effective operational updates, are good sources of workplace evidence. At SCQF level 6, there could also be more involvement with other departments, and, particularly, other organisations — contractors, regulatory inspectors, etc — and communications and correspondence with these colleagues is likely to yield robust evidence of developing productive working relationships.)
- ◆ Knowledge and understanding. The knowledge and understanding for this unit is split into three sections:
  - general (relating to developing productive working relationships)
  - industry/sector-specific (relating to the regulations, codes of practice, performance and behaviour standards and working culture of the industry in which the candidate works)
  - context specific (relating to the specific work, processes, systems, reporting requirements and circumstances that apply to the candidate's organisation and particular work situation)

Please remember, as an assessor, that the candidate needs to demonstrate their knowledge and understanding **as it relates to their particular job role**, in controlling process operations.

## **For example**

*Working culture of the industry or sector.* The candidate needs to be aware of the working culture in the water industry and their own organisation. Sources of evidence for this could include their knowledge of areas such as equal opportunities and the application of the organisation's equal opportunities policy; or health, safety and hygiene issues and policies, how these might affect their interactions with colleagues (for example third party visitors to sites, minimising health and safety risks, etc).

*Power, influence and politics within the organisation.* Here, you could explore the candidate's knowledge of the organisation's structure and roles and responsibilities as they relate to their own job role. Who has responsibility for what aspects of treatment operations within their company? Who is able to authorise particular actions (for example in the event of an emergency), or implement changes to processes as a result of operational problems?

## J2T7 04 Carry Out the Maintenance of Treatment Processing Plant and Equipment

### Unit content

This standard is about setting operational objectives and parameters for treatment processing plant and equipment and monitoring them to ensure they are maintained at maximum efficiency throughout the processing cycle.

It includes taking readings, analysing plant records, setting operating parameters, preparing maintenance schedules, assessing priorities and risks, investigating discrepancies in performance and checking the progress of equipment maintenance work.

This standard is suitable for operators working in water, waste water or sludge treatment processing plants.

### Assessor guidance on evidence

- ◆ The evidence used for this unit must come from the candidate's own performance in the workplace. Simulated activities **may not** be used to assess this unit.
- ◆ Candidates' evidence must show that they cover the **equipment, maintenance — for equipment, plant environment, safety procedures and practices, malfunctions, plant operating priorities** and **temporary arrangements** listed above, as they relate to their area of responsibility. There are numerous requirements to be covered, and it is expected that the evidence of coverage will come from a variety of sources, including observation, workplace records, documents and/or products, and questioning that allows the candidate to demonstrate how they have cover the various items in their work activities.
- ◆ It is very likely that some of the evidence produced for this unit can also be used towards gaining other units from the award, including the two units covering health and safety (*J2SR 04 — Make Sure Your Own Actions Reduce Risks to Health and Safety* and *J2ST 04 — Conduct a Health and Safety Risk Assessment of a Workplace*) and, potentially, the industry-specific unit *J2SV 04/J2SX 04/J2T0 04 Monitor and Maintain the Quality of Treatment Process Outputs* and unit *J2T4 04/J2T5 04/J2T6 04 Monitor and Maintain Treatment Processing at Optimum Performance*. If, in assessing a candidate for J2T7 04, you can also identify evidence that applies to other units, please ensure that you record this as part of your reporting process, to minimise duplication of assessment.
- ◆ **Knowledge and understanding — Treatment processes and maintenance.** The 'treatment processes and maintenance' Knowledge and Understanding requirements for this unit are quite extensive and must be covered in full for unit accreditation. The candidate may demonstrate considerable knowledge through their workplace performance, but it is likely that some assessor questioning will be needed to confirm that all knowledge requirements are met.

# **4 Appendices**

## **Appendix 1**

**Sample line manager/supervisor observation report**

**Job report**

**Workplace job report — assessor confirmation**

<b>Candidate's name</b>		<b>Candidate's number</b>	
-------------------------	--	---------------------------	--

<b>Work address/location</b>		<b>Date of work</b>	
		<b>How long did the job take? (in days/hours)</b>	

<b>What were the job instructions?</b>	
<b>Location details for:</b> <ul style="list-style-type: none"> <li>◆ access</li> <li>◆ environment</li> </ul>	
<b>What work did you carry out?</b>	

<b>What materials and equipment did you use?</b>	
--	--

<b>What PPE did you use?</b>	
------------------------------	--

<b>What regulations, industry standards and specifications, Codes of Practice and company procedures did you need to meet?</b>	
--	--

<b>Were there any problems during the work, that you were able to solve?</b>	<input type="checkbox"/> <b>Yes</b>	<input type="checkbox"/> <b>No</b>
--	-------------------------------------	------------------------------------

<b>If YES, what was the problem, and what did you do?</b>	
---	--

<b>Were there any problems when doing the job, that you needed to report?</b>	<input type="checkbox"/> <b>Yes</b>	<input type="checkbox"/> <b>No</b>
---	-------------------------------------	------------------------------------

<b>If YES, what was the problem? What did you do to report it?</b>	
--	--

<b>What records did you keep or update during the job and after you had finished?</b>	
---	--

<b>Additional notes on this job</b>

I confirm that this is a true report of work that I undertook at the above location on the date stated.

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

**If you are this candidate's line manager or supervisor and witnessed them carrying out the activities described, please comment and confirm below.**

I confirm that I witnessed this candidate carrying out the activities described in this report on the date stated, and I am satisfied that the work was completed according to the instructions provided and in line with industry requirements and standards.

**Line manager/Supervisor's signature** \_\_\_\_\_

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



## Workplace job report — Assessor confirmation

<b>Candidate's name</b>		<b>SQA candidate number</b>	
<b>Assessor's name</b>		<b>Date</b>	

<b>Confirmation of job report(s) dated:</b>	
<b>I have assessed the above report(s) and confirm that the evidence applies to the following units/elements in the SVQ in Controlling Process Operations at SCQF level 6.</b>	
<b>Has the candidate provided any other workplace evidence to support the detail of this report? (for example documents, records, correspondence, photographic/recorded evidence). If so, please make a brief note of this evidence or a cross-reference to the relevant information its location.</b>	

**Additional assessor notes/comments**

**Please indicate your confirmation as appropriate and sign below:**

I have assessed this report and am satisfied that it is a valid and reliable account of the work activities undertaken.

The candidate's line manager/supervisor observed the candidate undertaking the work activities described in this report and has endorsed the report as an accurate record of the activities undertaken. I am satisfied that this endorsement is valid.

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

**Appendix 2: Sample witness testimony pro forma  
(generic)**

## Witness testimony

<b>Name of the person for whom witness testimony is given:</b>
<b>What is your working relationship with this person?</b>
<p><b>Describe briefly what process control and/or management activities you have seen them undertaking, and how they undertook the work, giving examples of specific activities that you have witnessed where possible. (NB These activities may include operational water industry activities, or associated activities, such as minimising risks to health, safety and hygiene in the workplace, developing productive working relationships, etc.)</b></p>

I can confirm the candidate's performance was satisfactory.

<b>Witness's name</b>			
<b>Witness's job title</b>			
<b>Witness's signature</b>		<b>Date</b>	

(This sheet can be printed on letter-headed paper)

### Note to the assessment team

This is only an example of a witness testimony form. It can be tailored to particular competence requirements. For example, a question on this form could be, '*Give an example of how the candidate has...*', and you could put in a competence, for example, '*identified resource requirements*'. Alternatively, the appropriate unit or qualification requirements could be photocopied and attached to this form (the competence or knowledge you would like the witness to comment on would need to be highlighted).

## **Appendix 3: Types of SVQ evidence and associated risks**

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<b>1 Direct assessor observation in the workplace</b>	<ul style="list-style-type: none"> <li>◆ The most direct form of assessment.</li> <li>◆ Assessor can observe the candidate carrying out daily work activities.</li> <li>◆ Observation likely to result in evidence for several units at once.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Logistical difficulties — labour and time intensive for assessors</li> <li>◆ Candidates may not work at a single site and may be called away to other sites at short notice (difficult to plan and carry out).</li> </ul>	<ul style="list-style-type: none"> <li>◆ Use of simulated activities in a realistic working environment (see below).</li> <li>◆ Use of robust witness testimony from candidate's line manager.</li> <li>◆ Limit mandatory observation and require diverse supporting evidence from workplace.</li> </ul>
<b>2 Direct assessor observation (simulated activities/realistic working environment)</b>	<ul style="list-style-type: none"> <li>◆ Allows direct assessor observation.</li> <li>◆ The centre has more control over the location and tasks covered — can ensure coverage of qualification requirements.</li> <li>◆ Can be used to assess activities encountered rarely, or where there are practical or safety considerations (for example health and safety issues; emergency procedures).</li> </ul>	<ul style="list-style-type: none"> <li>◆ Potential for simulated situation not to reflect the candidate's working practice accurately.</li> <li>◆ Does not provide evidence from real work activities.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Robust controls required for the realistic working environment and tasks to be assessed.</li> <li>◆ Requires robust supporting performance evidence from the workplace.</li> <li>◆ May need further questioning to establish underpinning knowledge, particularly if candidate has difficulty meeting specific performance criteria with other workplace evidence (for example responding to emergencies).</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<b>3 Witness testimony</b>	<ul style="list-style-type: none"> <li>◆ Useful record of candidate's work activity, provided by someone who has watched them working.</li> <li>◆ Variety of potential sources can be identified, depending on the skills the candidate needs to cover (for example manager; colleague; associates from other departments; customers — internal or external to employer organisation) — allows for diversity of evidence.</li> <li>◆ Allows candidate to focus on the work activity, in a familiar environment, without the presence of an assessor observing them.</li> <li>◆ Can support direct assessor observation evidence by showing consistency over time.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Is the witness credible? Do they understand what is required, and do they have the skills and knowledge to provide an accurate witness testimony?</li> <li>◆ Risks to objectivity of witness: what is their relationship to the candidate?</li> <li>◆ Need for witnesses to ensure they provide a statement of fact, not an opinion on competence against the qualification requirements.</li> <li>◆ Insufficient detail provided in reports: risk of statements being too generic.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Need to record details of witnesses, and how their relationship is to candidates.</li> <li>◆ Centres need to brief witnesses clearly on what they should provide in a witness testimony.</li> <li>◆ Centres may use pro forma, to prompt witnesses to provide an appropriate level of detail about the specific candidate or work activity.</li> <li>◆ The use of witness testimonies from more than one source is recommended, as above.</li> <li>◆ All witness testimonies must be subject to assessment by an A1 assessor.</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<p><b>4 Documentary evidence or product from the workplace</b></p>	<ul style="list-style-type: none"> <li>◆ Useful to confirm detail of jobs undertaken for consistent competence, or varied work activities and to meet qualification requirements in full.</li> <li>◆ Workplace documentation may provide confirmation of jobs completed, and also of coverage of qualification requirements on completion of appropriate records.</li> <li>◆ Can be used to corroborate information provided in other sources of evidence (for example witness testimonies or reports, candidate's own accounts during discussions with assessors).</li> <li>◆ Use of products to confirm technical skills (for example beads from completed PE fusion joints).</li> </ul>	<ul style="list-style-type: none"> <li>◆ Authenticity — is this a genuine record that can be verified against other types of evidence or workplace records?</li> <li>◆ Storage — impracticality of storing large quantities of documentation or workplace products with evidence records.</li> <li>◆ Availability of records — some job records are held electronically in employer's IT system, and need to be available to assessors.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Assessors check the authenticity and validity of evidence, by questioning the candidate or corroborating against other records relating to the same job (for example observation reports, witness testimonies).</li> <li>◆ Centres need to have robust evidence recording system where it is not appropriate to store items of evidence with assessment records, etc (must state location of evidence).</li> <li>◆ Evidence (including IT records) must be capable of being produced for IV and EV review, until candidate certification is confirmed (otherwise it could be declared invalid).</li> </ul>



Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<p><b>5 Assessment meetings with candidates (general informal discussions)</b></p>	<ul style="list-style-type: none"> <li>◆ Direct evidence from assessor.</li> <li>◆ Can be used to confirm or discuss candidate's evidence and identify gaps remaining for future action.</li> <li>◆ Oral questions can be asked of candidates, to confirm performance or knowledge evidence.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Sufficient detail must be recorded to confirm qualification/unit coverage — particularly if a variety of different units and requirements are being covered in one meeting.</li> <li>◆ May confirm candidate's knowledge more readily than performance — how does the assessor ensure that the candidate can apply their knowledge in a workplace situation.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Assessors can use a pro forma for assessment discussions as required.</li> <li>◆ Use of audio and video records for assessors to confirm the detail of qualification/unit coverage — and they can be made available for IV/EV sampling (centre will need to have arrangements for storing audio or video evidence once assessed).</li> <li>◆ Assessors can use a variety of different types of questions depending on the circumstances, to confirm candidate's performance as well as knowledge (for example questions revolving around a 'What if...?' scenario, or asking the candidate to describe particular mainlaying or servicelaying work they have previously undertaken).</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<b>6 Professional discussion interview</b>	<ul style="list-style-type: none"> <li>◆ More formal, structured interview — allows the assessor to guide the discussion and to tailor the subjects covered to gaps in the candidate’s evidence.</li> <li>◆ Candidates have the opportunity to discuss their work in depth.</li> <li>◆ Can generate a significant amount of evidence against various units.</li> <li>◆ Useful mechanism for generating evidence to meet the qualification requirements and fill in gaps towards the end of the assessment process, or complete a candidate’s assessment.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Requires assessor to conduct extensive preparation with close reference to the unit and qualification requirements and record detail of what is covered.</li> <li>◆ Not suitable for all candidates, particularly if they become nervous in a more formal assessment environment, or do not respond well to pressure.</li> <li>◆ Not suitable for all situations, for example at the start of the qualification/assessment process. Candidate may not be comfortable with a more formal, in depth discussions if they are not familiar with assessment processes.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Robust and detailed recording mechanism is needed — audio or video records, combined with a written pro forma or report could be useful here.</li> <li>◆ This is not a mandatory form of evidence, but can be very useful — assessors should make sure they use this method with candidates who will benefit from it.</li> <li>◆ The PDI, if used, should take place at a suitable stage in the assessment process — it is recommended that, if used with candidates who are new to the process, this is not their first experience of assessment. It can, though, be very effective in the later stages.</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<b>7 Recognition of Prior Learning (RPL)</b>	<ul style="list-style-type: none"> <li>◆ Useful to confirm skills and knowledge that the candidate has already demonstrated (for example through gaining other qualifications).</li> <li>◆ Useful to confirm experience of previous work undertaken.</li> <li>◆ Has potential to reduce the assessment burden for both candidate and assessor.</li> <li>◆ Can be used to request equivalence or exemptions for the qualification being undertaken.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Requires assessor authentication.</li> <li>◆ Evidence must be validated against the current qualification requirements.</li> <li>◆ Age of the previous accreditation is important — it may not confirm the candidate’s current competence.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Centres wishing to use RPL must have a process for authenticating proposed RPL evidence and validating it against the current qualification requirements (including requesting the recognition of equivalence or exemption by the awarding organisation if appropriate).</li> <li>◆ It is recommended that centres do not use RPL evidence that is too old to confirm current competence.</li> <li>◆ Supporting evidence (for example witness testimony to confirm current competence) could be used in conjunction with RPL evidence to confirm current competence (depending on the age of the RPL).</li> <li>◆ Any queries about validity of RPL should be raised with the IV and, if necessary, EV, before undertaking an extensive validation exercise, to agree a suitable solution.</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<p><b>8 Written answers to knowledge questions</b></p>	<ul style="list-style-type: none"> <li>◆ Allows centre to assess the knowledge of larger numbers of candidates simultaneously and then concentrate on gaps in knowledge during future observations and assessments.</li> <li>◆ Robust record of candidate's responses to knowledge questions, capable of being readily stored.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Not an integrated form of knowledge assessment — a 'test' situation could inhibit candidates unused to academic assessment, and it may not enable candidates to apply knowledge requirements readily to workplace performance.</li> <li>◆ Rigid format — does not allow assessors to probe a candidate's knowledge further.</li> <li>◆ Risks to security — candidates must not have sight of question papers prior to assessment.</li> <li>◆ Where large numbers of candidates may be involved, multiple versions of question papers could be required.</li> </ul>	<ul style="list-style-type: none"> <li>◆ It is not recommended as the only form of knowledge assessment used by centres.</li> <li>◆ Candidates' evidence must cover all of knowledge and understanding requirements for each unit taken. Marking schemes, etc are not suitable for this situation, because the knowledge associated with any 'incorrect' answers will need to be confirmed through other means.</li> <li>◆ If using written questioning, the centre will need to ensure that it has verifiable arrangements for the security of papers, for controlling assessment conditions, for providing for candidates unable to complete written question papers, and for provision of multiple question papers over time.</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<b>9 Records of oral questioning and answers given</b>	<ul style="list-style-type: none"> <li>◆ Allows assessors to explore a candidate's knowledge freely depending upon responses to initial questions.</li> <li>◆ The assessor is responsible for recording the responses and cross-referencing against unit and qualification requirements.</li> <li>◆ Can be used during any assessment discussions or observation to support candidate's performance evidence.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Logistical difficulties for assessors in recording questions and answers in written report form.</li> <li>◆ Need to ensure consistency of approach to individual candidates in questioning (less obvious than using question papers).</li> <li>◆ Need to ensure responses are cross-referenced to unit/qualification requirements.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Assessors can use a combination of recording methods if required — audio, video and/or written reports.</li> <li>◆ For written reports, a pro forma covering questions asked and candidates' responses may be advisable. This can also cover cross-referencing to unit/qualification requirements as necessary.</li> </ul>
<b>10 Audio or video evidence, and photographs</b>	<ul style="list-style-type: none"> <li>◆ Useful to confirm some aspects of authenticity (for example as a record of assessor discussions or interviews).</li> <li>◆ Avoids need for quantities of physical evidence to be stored — digital storage mechanisms can be used on-site, and stored using IT systems, memory sticks, etc.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Some authenticity issues may be compromised by excessive use of visual (video and particularly photographic evidence) in particular — issues of being able to relate evidence directly to the candidate's work activity.</li> <li>◆ Secure storage arrangements may be needed to preserve integrity of audio or visual evidence.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Assessors to ensure evidence (particularly photographic evidence) can be authenticated.</li> <li>◆ Discuss individual photographic or video evidence with the candidate to confirm how it relates to their work activities and the unit or qualification requirements.</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<b>10 Audio or video evidence, and photographs (cont)</b>	<ul style="list-style-type: none"> <li>◆ Visual evidence in particular can be useful as a starting point for discussions with candidates, etc.</li> <li>◆ Evidence can readily be made available for IV and EV sampling.</li> <li>◆ Allows assessor to revisit the evidence after recording to confirm the detail of the unit/qualification coverage if necessary.</li> </ul>	<ul style="list-style-type: none"> <li>◆ It is not sufficient for candidates to provide visual material without any elaboration.</li> <li>◆ Evidence provided in audio form only (for example recorded discussion with the assessor) may be insufficient to confirm the detail of the physical activities undertaken by the candidate.</li> <li>◆ Need to be able to relate evidence to the qualification requirements.</li> </ul>	<ul style="list-style-type: none"> <li>◆ If the candidate intends to make use of video evidence or photographs, it is recommended that they take account of the need to establish a clear link with their own work activities (for example ensuring that the candidate is recorded undertaking their activities, so their involvement in the work situation is clear).</li> <li>◆ If assessors use audio or visual evidence, a robust audit trail is needed to show where the unit/qualification requirements are met, and confirm the assessment decision. (This could require some form of report or audit trail document in addition to the audio/visual record.)</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<b>10 Audio or video evidence, and photographs (cont)</b>			<ul style="list-style-type: none"> <li>◆ For qualifications at levels 1 and 2, where candidates may have access to limited amounts of documentary evidence and records, and work in an environment that requires them to undertake 'hands-on' operational work, some visual record of performance — rather than audio only — is likely to be needed to meet the specific qualifications requirements (for example direct assessor observation and report, witness testimony, video recording, etc).</li> </ul>
<b>11 Use of electronic storage media for candidates' evidence</b>	<ul style="list-style-type: none"> <li>◆ Avoids need for quantities of physical evidence to be stored — digital storage mechanisms can be used on-site and stored using IT systems, CDs, memory sticks etc.</li> <li>◆ Potentially allows quick communication of evidence between assessor and candidate (via e-mail).</li> </ul>	<ul style="list-style-type: none"> <li>◆ Authenticity issues — if this is a scanned document, can it be authenticated? Where is the original held? Is it evidence of the candidate's own work?</li> <li>◆ Storage questions — need for candidates, assessors, IVs and EVs to be able to navigate through the stored evidence at different stages of qualifications delivery.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Assessors to ensure that they validate and authenticate evidence during assessment activity. This could include requesting the original documents or records provided, and questioning the candidate in detail about the particular activities associated with the evidence, so that a decision is made regarding its relevance to the qualification requirements.</li> </ul>

Type of evidence	Advantages	Risks/disadvantages	Suggested solutions
<b>11 Use of electronic storage media for candidates' evidence (cont)</b>	<ul style="list-style-type: none"> <li>◆ Allows the candidate to retain scanned or saved soft copies of job-related information easily where the originals may be required to be stored in a central function or elsewhere according to company or regulatory requirements.</li> </ul>		<ul style="list-style-type: none"> <li>◆ Assessors must make the final decision about candidates' competence against the unit and qualifications requirements — storage mechanisms such as e-portfolios could be very useful, but it is for the assessor to determine when the candidate is competent, and they must also have an audit trail to prove this.</li> <li>◆ IVs and EVs to ensure that where electronic storage mechanisms are used for assessment, they incorporate authentication of the evidence records into sampling activities (for example by asking for copies of original documents produced by particular candidates to be made available for verification; by discussing some of these aspects in some detail with assessors and with candidates during verification).</li> </ul>



## **Appendix 4: Sample assessor report form (generic)**

## Assessor report form

<b>Assessment report number:</b>		
<b>Candidate's name</b>	<b>SQA candidate number</b>	<b>Date of assessment</b>
<b>Assessor's name</b>	<b>SQA assessment centre</b>	<b>Assessment venue</b>  <b>Time of assessment</b>
<b>Description of what is to be assessed (together with unit and element references)</b>		
<b>Summary of evidence seen (cross-referenced against units and elements)</b>		
<b>Feedback given to the candidate</b>		

**Detail the outcome of the assessment**

**Candidate feedback/comments**

**Action points**

**Date, time and location of next assessment**

**What will be assessed**

**Has a copy of this form been given to the candidate for their evidence? Yes/No**

**Internal verifier informed of assessment decision? Yes/No**

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

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

If the internal verifier has sampled this report, please complete the details below:

**Internal verifier's name** \_\_\_\_\_ **Date** \_\_\_\_\_

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

SQA unit ref	NOS ref	
		Question
		Candidate's response
		Question
		Candidate's response
		Question
		Candidate's response
		Question
		Candidate's response
		Question
		Candidate's response

SQA unit ref	NOS ref	
		Question
		Candidate's response
		Question
		Candidate's response
		Question
		Candidate's response
		Question
		Candidate's response
		Question
		Candidate's response

## **5 Recording documents**

### **Assessment summary and confirmation**

## SVQ in Controlling Process Operations (GR6X 23) Cover Sheet

<b>Candidate's name</b>		<b>Candidate's SQA number</b>	
-------------------------	--	-------------------------------	--

<b>Date registered for qualification</b>		<b>Assessment centre</b>	
--	--	--------------------------	--

<b>Job role/location, or other information relevant to this qualification</b>	
---	--

### Unit completion

<b>Unit title</b>	<b>SQA ref</b>	<b>Mandatory/ optional</b>	<b>Assessor</b>	<b>Date of final assessment</b>	<b>Internal verifier</b>
Make sure your own actions reduce risks to health and safety	J2SR 04	Mandatory			
Conduct a health and safety risk assessment of a workplace	J2ST 04	Mandatory			
Develop and sustain productive working relationships with colleagues	HG3E 04	Mandatory			
<b>Optional Group A — Select one unit from this group</b>					
Monitor and maintain the quality of treatment process outputs	J2SV 04	Optional			
Monitor and maintain the quality of treatment process outputs (water treatment processes)	J2SX 04	Optional			
Monitor and maintain the quality of treatment process outputs (waste water treatment processes)	J2T0 04	Optional			



Unit title	SQA ref	Mandatory/ optional	Assessor	Date of final assessment	Internal verifier
<b>Optional Group B — Select one unit from this group</b>					
Monitor and maintain treatment processing plant and equipment at optimum performance	J2T4 04	Optional			
Monitor and maintain treatment processing plant and equipment at optimum performance (water treatment processes)	J2T5 04	Optional			
Monitor and maintain treatment processing plant and equipment at optimum performance (waste water treatment processes)	J2T6 04	Optional			
<b>Optional Group C — Select one unit from this group</b>					
Carry out the maintenance of treatment processing plant and equipment	J2T7 04	Optional			
Receive and store sludge for processing	J2T8 04	Optional			
Organise maintenance of treatment processing plant and equipment	J2T9 04	Optional			
Receive, store and handle processing chemicals, reagents and other consumables	J2TA 04	Optional			

**Candidate declaration**

I confirm that the evidence for this **SVQ in Controlling Process Operations** is my own work, and I have collected my evidence in line with the qualification requirements.

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

**Assessor confirmation**

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence for the units from the **SVQ in Controlling Process Operations** as listed above

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

**Internal verifier confirmation (If sampled)**

I confirm that I am satisfied that the evidence has been produced in line with the qualification requirements for **SVQ in Controlling Process Operations**, and that the certificates may be claimed from SQA.

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

**External verifier's confirmation (If sampled)**

**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**SVQ in Controlling Process Operations (GR6X 23)**

<b>Candidate's name</b>		<b>Employer</b>	
-------------------------	--	-----------------	--

<b>Assessor's name</b>			
<b>Internal verifier's name</b>		<b>Assessment centre</b>	

**Index of evidence**

<b>Evidence ref</b>	<b>Description of evidence</b>	<b>Date produced</b>	<b>Location of evidence</b>	<b>Evidence assessed (assessor initials/date)</b>

<b>Evidence ref</b>	<b>Description of evidence</b>	<b>Date produced</b>	<b>Location of evidence</b>	<b>Evidence assessed (assessor initials/date)</b>

## Assessment Summary and Confirmation

### HG3E 04 Develop and Sustain Productive Working Relationships with Colleagues

SCQF level	6	SCQF credit	6
------------	---	-------------	---

Candidate's name		Assessor's name	
------------------	--	-----------------	--

Types of evidence provided for this unit (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor/candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit HG3E 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit HG3E 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> — total evidence covers all performance criteria, and knowledge and understanding requirements for HG3E 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

## Assessment Summary and Confirmation

### Unit HG3E 04    Develop and Sustain Productive Working Relationships with Colleagues

#### Candidate declaration

I confirm that the evidence listed for **unit HG3E 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

#### Assessor confirmation

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit HG3E 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

#### If sampled

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

**External verifier's name** \_\_\_\_\_  
**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

## Unit HG3E 04      Develop and Sustain Productive Working Relationships with Colleagues

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	Establish working relationships with relevant colleagues within your organisation.	
1.2	Recognise and respect the roles, responsibilities, interests and concerns of colleagues.	
1.3	Seek to create a climate of trust and mutual respect, particularly where you have no authority, or shared authority, over those you are working with.	
1.4	Seek to understand difficult situations and issues from colleagues' perspectives and provide support, where necessary, to move things forward.	
1.5	Provide colleagues with appropriate information to enable them to perform effectively.	
1.6	Consult colleagues in relation to key decisions and activities and take account of their views.	
1.7	Fulfil agreements made with colleagues and let them know.	
1.8	Advise colleagues promptly of any difficulties or where it will be impossible to fulfil agreements.	
1.9	Identify and resolve conflicts of interest and disagreements with colleagues in ways that minimise damage to work activities and to the individuals involved.	

## Unit HG3E 04      Develop and Sustain Productive Working Relationships with Colleagues

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.10	Monitor and review the effectiveness of working relationships with colleagues in order to identify areas for improvement.	
1.11	Seek and provide feedback in order to improve your own and your colleagues' performance.	
<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
1	The benefits of developing productive working relationships with colleagues.	
2	Principles of effective communication and how to apply them in order to communicate effectively with colleagues.	
3	Why it is important to recognise and respect the roles, responsibilities, interests and concerns of colleagues.	
4	The importance of creating a climate of trust and mutual respect where you have no authority, or shared authority, over those you are working with.	
5	The importance of understanding difficult situations and issues from other perspectives and providing support, where necessary, to move things forward.	
6	How to identify and meet the information needs of colleagues.	
7	What information it is appropriate to provide to colleagues and the factors that need to be taken into consideration.	



## Unit HG3E 04 Develop and Sustain Productive Working Relationships with Colleagues

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
8	How to consult with colleagues in relation to key decisions and activities.	
9	The importance of taking account, and being seen to take account, of the views of colleagues.	
10	Why communication with colleagues on fulfilment of agreements or any problems affecting or preventing fulfilment is important.	
11	How to identify conflicts of interest with colleagues and the techniques that can be used to manage or remove them.	
12	How to identify disagreements with colleagues and the techniques for sorting them out.	
13	The damage that conflicts of interest and disagreements with colleagues can cause to individuals and organisations.	
14	How to monitor and review the effectiveness of working relationships with colleagues.	
15	How to get and make effective use of feedback from colleagues.	
16	How to provide colleagues with feedback designed to improve their performance.	
17	Sector-specific legislation, regulations, guidelines and codes of practice.	
18	Standards of behaviour and performance in your industry or sector.	

## Unit HG3E 04      Develop and Sustain Productive Working Relationships with Colleagues

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
19	The culture of your industry or sector.	
20	The vision, values, objectives, plans, structure and culture of your organisation.	
21	Relevant colleagues, their work roles and responsibilities.	
22	Agreements with colleagues.	
23	The identified information needs of colleagues.	
24	Mechanisms for consulting with colleagues on key decisions and activities.	
25	Your organisation's planning and decision-making processes.	
26	Mechanisms for communicating with colleagues.	
27	Power, influence and politics within your organisation.	
28	Standards of behaviour and performance that are expected in your organisation.	
29	Mechanisms in place for monitoring and reviewing the effectiveness of working relationships with colleagues.	

## Unit HG3E 04      Develop and Sustain Productive Working Relationships with Colleagues

Candidate's name \_\_\_\_\_

<b>Candidates are likely to demonstrate the following behaviours:</b>		<b>Evidence or File X-Ref/Coverage</b>
B1	Identify people's preferred ways of communicating	
B2	Use communication media and styles appropriate to different people and situations	
B3	Present information clearly, concisely, accurately and in ways that promote understanding	
B4	Keep people informed of plans and developments in a timely way	
B5	Show respect for the views and actions of others	
B6	Comply with and ensure others comply with legal requirements, industry regulations, organisational policies and professional codes	
B7	Seek to understand people's needs and motivations	
B8	Clarify your own and others' expectations of relationships	
B9	Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation	
B10	Honour your commitments to others	
B11	Recognise when there are conflicts, acknowledge the feelings and views of all parties, and redirect people's energy towards a common goal	
B12	Take account of the impact of your own actions on others	

## **Unit HG3E 04      Develop and Sustain Productive Working Relationships with Colleagues**

**Candidate's name** \_\_\_\_\_

### **Skills**

- ◆ Communicating
- ◆ Empathising
- ◆ Information management
- ◆ Involving others
- ◆ Leading by example
- ◆ Managing conflict
- ◆ Networking
- ◆ Obtaining feedback
- ◆ Prioritising
- ◆ Providing feedback
- ◆ Stress management
- ◆ Valuing and supporting others

## Assessment Summary and Confirmation

### Unit J2T4 04 Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance

SCQF level	6	SCQF credit	13
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor/candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2T4 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2T4 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> total evidence covers all performance criteria and knowledge and understanding requirements for J2T4 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

**Unit J2T4 04      Monitor and Maintain Treatment Processing Plant  
and Equipment at Optimum Performance**

**Candidate declaration**

I confirm that the evidence listed for **unit J2T4 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

**Assessor confirmation**

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2T4 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

**If sampled**

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

**External verifier's name** \_\_\_\_\_  
**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

## Unit J2T4 04      Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	set the operating parameters for plant efficiency, financial performance, and breakdown occurrence	
1.2	take readings from instruments and adjust treatment plant equipment, where necessary, to meet treatment plant output requirements	
1.3	analyse treatment plant output records and maintenance records to decide which equipment and instrumentation require maintenance	
1.4	assess treatment plant output priorities and the problems and hazards arising from out of service equipment and use this to inform the scheduling of maintenance work	
1.5	produce a maintenance schedule in line with organisational requirements	
1.6	monitor the progress of the maintenance against the timescale outlined in the maintenance schedule	
1.7	investigate the reasons for problems arising in meeting the timescale scheduled for completing maintenance	
1.8	rectify maintenance deficiencies	
1.9	provide the designated people with the maintenance schedule and other necessary documentation and instructions required to undertake maintenance work	
1.10	make details of planned equipment shut down available to workers on-site	

**Unit J2T4 04      Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.11	ensure discrepancies arising from investigations are recorded in the timescale required, according to organisational requirements	
1.12	maintain and store up-to-date maintenance records that are in an auditable format	
1.13	provide access to maintenance records on request	
<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's process for managing statutory inspectorates	
2	the organisation's process for managing emergency situations	
3	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
4	the role and purpose of data audit trails in quality assurance, health and safety and regulatory requirements	
5	how to determine and fulfil the maintenance needs of the process plant, equipment and environment	
6	how to prepare a maintenance schedule which incorporates information from investigations of treatment plant equipment, reflects safe working practices, takes account of scheduled outages of other treatment plant equipment and makes effective use of physical labour availability	



**Unit J2T4 04      Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
7	the organisation's process for planning and interacting effectively with other sites within the company regarding outages and effects on the site and use of components or the site itself	
8	the organisation's process for making plant and equipment available for maintenance while maintaining the process at the predetermined level of performance	
9	the organisation's process for assessing the effectiveness of maintenance work carried out	
10	the organisation's process for assessing the effect of plant and equipment breakdown	
11	why it is important to minimise the effects of broken-down plant and equipment, or plant or equipment that has been taken out of use, on the treatment process	
12	the organisation's process for monitoring the maintenance activities carried out by own staff and other departments' staff	
13	the organisation's process for assessing the implications of noncompliance with regulations and the employer's specification	
14	why it is important to comply with the organisation's confidentiality policies and cyber security protocols	

**Unit J2T4 04      Monitor and Maintain Treatment Processing Plant  
and Equipment at Optimum Performance**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
15	the organisation's process for operating treatment processes when there is a computer system failure	
16	the impact of changes in the catchment or distribution system on treatment process operations	
17	why it is important to maintain site security	
18	mechanical and electrical principles for maintenance of treatment process plant and equipment	
19	when to make details of planned outages available to workers on-site	
20	what facilities are required to carry out treatment process work	
21	the treatment process that the equipment being worked on relates to, and how the work may impact the performance or efficiency of that process	

## Assessment Summary and Confirmation

### Unit J2T5 04 Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Water Treatment Processes)

SCQF level	6	SCQF credit	13
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor/candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2T5 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2T5 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> total evidence covers all performance criteria and knowledge and understanding requirements for J2T5 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

**Unit J2T5 04 Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Water Treatment Processes)**

**Candidate declaration**

I confirm that the evidence listed for **unit J2T5 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

**Assessor confirmation**

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2T5 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

**If sampled**

**Internal verifier's name** \_\_\_\_\_

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

**External verifier's name** \_\_\_\_\_

**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

## Unit J2T5 04 Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Water Treatment Processes)

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	set the operating parameters for plant efficiency, financial performance, and breakdown occurrence	
1.2	take readings from instruments and adjust treatment plant equipment, where necessary, to meet treatment plant output requirements	
1.3	analyse treatment plant output records and maintenance records to decide which equipment and instrumentation require maintenance	
1.4	assess treatment plant output priorities and the problems and hazards arising from out of service equipment and use this to inform the scheduling of maintenance work	
1.5	produce a maintenance schedule in line with organisational requirements	
1.6	monitor the progress of the maintenance against the timescale outlined in the maintenance schedule	
1.7	investigate the reasons for problems arising in meeting the timescale scheduled for completing maintenance	
1.8	rectify maintenance deficiencies	
1.9	provide the designated people with the maintenance schedule and other necessary documentation and instructions required to undertake maintenance work	

## Unit J2T5 04 Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Water Treatment Processes)

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.10	make details of planned equipment shut down available to workers on-site	
1.11	ensure discrepancies arising from investigations are recorded in the timescale required, according to organisational requirements	
1.12	maintain and store up-to-date maintenance records that are in an auditable format	
1.13	provide access to maintenance records on request	
<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's process for managing statutory inspectorates	
2	the organisation's process for managing emergency situations	
3	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
4	the role and purpose of data audit trails in quality assurance, health and safety and regulatory requirements	
5	how to determine and fulfil the maintenance needs of the process plant, equipment and environment	

**Unit J2T5 04 Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
6	how to prepare a maintenance schedule which incorporates information from investigations of treatment plant equipment, reflects safe working practices, takes account of scheduled outages of other treatment plant equipment and makes effective use of physical labour availability	
7	the organisation's process for planning and interacting effectively with other sites within the company regarding outages and effects on the site and use of components or the site itself	
8	the organisation's process for making plant and equipment available for maintenance while maintaining the process at the predetermined level of performance	
9	the organisation's process for assessing the effectiveness of maintenance work carried out	
10	the organisation's process for assessing the effect of plant and equipment breakdown	
11	why it is important to minimise the effects of broken-down plant and equipment, or plant or equipment that has been taken out of use, on the treatment process	
12	the organisation's process for monitoring the maintenance activities carried out by own staff and other departments' staff	

**Unit J2T5 04 Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
13	the organisation's process for assessing the implications of noncompliance with regulations and the employer's specification	
14	why it is important to comply with the organisation's confidentiality policies and cyber security protocols	
15	the organisation's process for operating treatment processes when there is a computer system failure	
16	the impact of changes in the catchment or distribution system on treatment process operations	
17	why it is important to maintain site security	
18	mechanical and electrical principles for maintenance of treatment process plant and equipment	
19	when to make details of planned outages available to workers on-site	
20	what facilities are required to carry out treatment process work	
21	the treatment process that the equipment being worked on relates to, and how the work may impact the performance or efficiency of that process	



## Assessment Summary and Confirmation

### Unit J2T6 04 Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Waste Water Treatment Processes)

SCQF level	6	SCQF credit	13
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor/candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2T6 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2T6 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> total evidence covers all performance criteria and knowledge and understanding requirements for J2T6 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

**Unit J2T6 04      Monitor and maintain treatment processing plant and equipment at optimum performance (waste water treatment processes)**

**Candidate declaration**

I confirm that the evidence listed for **unit J2T6 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

**Assessor confirmation**

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2T6 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

**If sampled**

**Internal verifier's name** \_\_\_\_\_

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

**External verifier's name** \_\_\_\_\_

**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Unit J2T6 04      Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Waste Water Treatment Processes)**

**Candidate's name** \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	set the operating parameters for plant efficiency, financial performance, and breakdown occurrence	
1.2	take readings from instruments and adjust treatment plant equipment, where necessary, to meet treatment plant output requirements	
1.3	analyse treatment plant output records and maintenance records to decide which equipment and instrumentation require maintenance	
1.4	assess treatment plant output priorities and the problems and hazards arising from out of service equipment and use this to inform the scheduling of maintenance work	
1.5	produce a maintenance schedule in line with organisational requirements	
1.6	monitor the progress of the maintenance against the timescale outlined in the maintenance schedule	
1.7	investigate the reasons for problems arising in meeting the timescale scheduled for completing maintenance	
1.8	rectify maintenance deficiencies	
1.9	provide the designated people with the maintenance schedule and other necessary documentation and instructions required to undertake maintenance work	

**Unit J2T6 04      Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Waste Water Treatment Processes)**

**Candidate's name** \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.10	make details of planned equipment shut down available to workers on-site	
1.11	ensure discrepancies arising from investigations are recorded in the timescale required, according to organisational requirements	
1.12	maintain and store up-to-date maintenance records that are in an auditable format	
1.13	provide access to maintenance records on request	
<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's process for managing statutory inspectorates	
2	the organisation's process for managing emergency situations	
3	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
4	the role and purpose of data audit trails in quality assurance, health and safety and regulatory requirements	
5	how to determine and fulfil the maintenance needs of the process plant, equipment and environment	

**Unit J2T6 04      Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Waste Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
6	how to prepare a maintenance schedule which incorporates information from investigations of treatment plant equipment, reflects safe working practices, takes account of scheduled outages of other treatment plant equipment and makes effective use of physical labour availability	
7	the organisation's process for planning and interacting effectively with other sites within the company regarding outages and effects on the site and use of components or the site itself	
8	the organisation's process for making plant and equipment available for maintenance while maintaining the process at the predetermined level of performance	
9	the organisation's process for assessing the effectiveness of maintenance work carried out	
10	the organisation's process for assessing the effect of plant and equipment breakdown	
11	why it is important to minimise the effects of broken-down plant and equipment, or plant or equipment that has been taken out of use, on the treatment process	
12	the organisation's process for monitoring the maintenance activities carried out by own staff and other departments' staff	

**Unit J2T6 04      Monitor and Maintain Treatment Processing Plant and Equipment at Optimum Performance (Waste Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
13	the organisation's process for assessing the implications of noncompliance with regulations and the employer's specification	
14	why it is important to comply with the organisation's confidentiality policies and cyber security protocols	
15	the organisation's process for operating treatment processes when there is a computer system failure	
16	the impact of changes in the catchment or distribution system on treatment process operations	
17	why it is important to maintain site security	
18	mechanical and electrical principles for maintenance of treatment process plant and equipment	
19	when to make details of planned outages available to workers on-site	
20	what facilities are required to carry out treatment process work	
21	the treatment process that the equipment being worked on relates to, and how the work may impact the performance or efficiency of that process	

## Assessment Summary and Confirmation

### Unit J2T8 04 Receive and Store Sludge for Processing

SCQF level	6	SCQF credit	12
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2T8 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2T8 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> — total evidence covers all performance criteria and knowledge and understanding requirements for J2T8 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

## Assessment Summary and Confirmation

### Unit J2T8 04      Receive and Store Sludge for Processing

#### Candidate declaration

I confirm that the evidence listed for **unit J2T8 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

#### Assessor confirmation

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2T8 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

#### If sampled

**Internal verifier's name** \_\_\_\_\_

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

**External verifier's name** \_\_\_\_\_

**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_



## Unit J2T8 04      Receive and Store Sludge for Processing

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	check the nature, quantity and quality of the sludge received against processing requirements	
1.2	use sludge handling and storage methods and legislation as required by your organisation and legislation to minimise and avoid damage and cross-contamination of the sludge	
1.3	confirm there is sufficient storage capacity to receive the sludge at each stage of the processing operations	
1.4	store the sludge in the required place at each stage of the processing operation	
1.5	resolve situations where the sludge does not meet processing requirements	
1.6	record and report any defective equipment or storage facilities and report discrepancies to designated people	
1.7	work in line with relevant regulations and procedures	
1.8	produce data about sludge material as it enters the treatment plant	
1.9	manage the sludge throughput in line with procedures and specifications	
1.10	record all data and information on the plant records for the sludge received and stored	
1.11	maintain records about the sludge received and stored and sludge treatment equipment for audit and quality assurance purposes	

## Unit J2T8 04      Receive and Store Sludge for Processing

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's process for managing statutory inspectorates	
2	the organisation's process for managing emergency situations	
3	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
4	the role and purpose of data audit trails in quality assurance, health and safety and regulatory requirements	
5	the nature of sludge and how it affects processing at each stage	
6	organisational procedures for controlling sludge quality and volume at different stages of the process	
7	storage requirements at each stage of the process and the implications of the Control of Substances Hazardous to Health (COSHH) regulations	
8	the importance of confirming storage conditions and available space	
9	the importance of keeping damage to a minimum	
10	the organisation's reporting procedures	
11	the organisation's procedures for recording, documenting and storing information	
12	the organisation's process for using data for monitoring purposes	

## Unit J2T8 04      Receive and Store Sludge for Processing

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
13	the importance of supplying and receiving accurate information and in an appropriate format within identified timescales	
14	what to do if information or documentation is unclear or ambiguous	
15	the way monitoring information is utilised when operating the processing plant and the implications of its use	
16	information which is provided to other people relating to process plant activities	
17	why it is important to comply with the organisation's confidentiality policies and cyber security protocols	
18	why it is important to maintain site security	

## Assessment Summary and Confirmation

### Unit J2T7 04 Carry Out the Maintenance of Treatment Processing Plant and Equipment

SCQF level	6	SCQF credit	12
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2T7 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2T7 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> — total evidence covers all performance criteria and knowledge and understanding requirements for J2T7 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

## Assessment Summary and Confirmation

### Unit J2T7 04 Carry Out the Maintenance of Treatment Processing Plant and Equipment

#### Candidate declaration

I confirm that the evidence listed for **unit J2T7 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

#### Assessor confirmation

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2T7 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

#### If sampled

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

**External verifier's name** \_\_\_\_\_  
**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Unit J2T7 04      Carry Out the Maintenance of Treatment Processing Plant and Equipment**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	arrange for all materials, tools and parts to be available as recommended by manufacturers and in line with organisational requirements	
1.2	shut down or isolate, or request designated people to shut down or isolate, electrical and mechanical instruments and equipment being worked on	
1.3	operate treatment processes without the use of computer systems, or where there is a computer failure, to the required standard	
1.4	carry out maintenance within agreed timescales and in the specified sequence using procedures specific to the site	
1.5	follow manufacturers' and organisational specifications and safety procedures for using instruments and equipment	
1.6	check that safety monitoring procedures and equipment are in place and functioning throughout the maintenance work	
1.7	make sure that work is carried out using equipment, tools and procedures specific to the site	
1.8	restore plant and equipment to specified operational performance when maintenance is finished, in line with organisational requirements and safety procedures	

**Unit J2T7 04      Carry Out the Maintenance of Treatment Processing Plant and Equipment**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.9	make sure waste materials and unwanted components are disposed of in accordance with safe working practices and approved procedures	
1.10	report malfunctions of instrumentation, equipment or the plant environment to the designated people without delay	
1.11	report malfunctions and maintenance requirements which are outside the responsibility for your job role and which require designated skilled people or maintenance work	
1.12	report any instances where maintenance activities cannot be met or where defects are identified	
1.13	provide maintenance reports to designated people where decisions outside your authority are required	
1.14	use performance checks, observation, noise, heat, vibration and remote monitoring to check for malfunctions or other maintenance which might be required	
1.15	inform affected people when plant and equipment is to be shut down and when to expect plant and equipment to be re-started and re-commissioned	
1.16	issue and display safety warnings in advance of operational changes to plant and equipment	
1.17	record maintenance work in the designated place	

## Unit J2T7 04      Carry Out the Maintenance of Treatment Processing Plant and Equipment

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.18	store maintenance records in an auditable format	
1.19	provide access to maintenance records on request	
<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
2	the role and purpose of data audit trails in quality assurance, health and safety and regulatory requirements	
3	the organisation's operation and maintenance methods and procedures and consequences of carrying out maintenance incorrectly and out with limits of responsibility and authority	
4	who to contact when maintenance and problems affecting treatment operations occur	
5	procedures and the factors to be considered for isolation, diverting flows, bypassing treatment process units, operating temporary plant and shut down of plant and equipment, and who has authority to carry this out	
6	typical and unusual problems which may occur during maintenance and how these can be resolved	
7	the need for information which is provided to other people relating to maintenance activities	



**Unit J2T7 04      Carry Out the Maintenance of Treatment Processing Plant and Equipment**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
8	how to source materials and parts	
9	the characteristics of faulty equipment and instrumentation and the outcome of equipment and instrumentation breakdown	
10	why it is important to comply with the organisation's confidentiality policies and cyber security protocols	
11	the organisation's process for operating treatment processes when there is a computer system failure	
12	the impact of changes in the catchment or distribution system on treatment process operations	
13	why it is important to maintain site security	
14	mechanical and electrical principles for maintenance of treatment process plant and equipment	
15	the organisation's procedures for recording and storing information	
16	how and when to produce data in text, tabular and graphical formats and how to interpret it	
17	the treatment process that the equipment being worked on relates to, and how the work may impact the performance or efficiency of that process	

## Assessment Summary and Confirmation

### Unit J2T9 04 Organise Maintenance of Treatment Processing Plant and Equipment

SCQF level	6	SCQF credit	10
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2T9 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2T9 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> — total evidence covers all performance criteria and knowledge and understanding requirements for J2T9 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

## Assessment Summary and Confirmation

### Unit J2T9 04 Organise Maintenance of Treatment Processing Plant and Equipment

#### Candidate declaration

I confirm that the evidence listed for **unit J2T9 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

#### Assessor confirmation

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2T9 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

#### If sampled

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

**External verifier's name** \_\_\_\_\_  
**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

## Unit J2T9 04 Organise Maintenance of Treatment Processing Plant and Equipment

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	assess the amount and level of wear or damage to components, equipment or instruments	
1.2	assess plant operating priorities and report on findings and conclusions on the feasibility and cost-effectiveness of repairs	
1.3	assess whether plant and equipment maintenance can be carried out by treatment operatives or requires a third party contractor	
1.4	refer recommendations for a third party contractor to the designated person, where authority to make decisions to commission work is outside your responsibility	
1.5	isolate or shut down plant and equipment for maintenance in line with procedures and required timescale	
1.6	confirm the work team that will carry out the plant and equipment maintenance	
1.7	arrange for plant and equipment maintenance work to be carried out in accordance with the required timescale and using safe methods of work	
1.8	arrange for waste materials to be disposed of in accordance with safe working practice and organisational procedures	
1.9	restore plant and equipment to specified operational performance in line with organisational requirements and safety procedures	

## Unit J2T9 04      Organise Maintenance of Treatment Processing Plant and Equipment

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.10	arrange for operational maintenance on equipment and instruments requiring isolations to be done at a time appropriate to plant use	
1.11	inform affected people when plant and equipment is to be shut down and when to expect plant and equipment to be re-started and re-commissioned	
1.12	issue and display safety warnings in advance of operational changes to plant and equipment	
1.13	maintain and store maintenance records in an auditable format and in the designated place	
1.14	provide access to maintenance records on request	
1.15	resolve routine problems in line with procedures and your responsibilities	
1.16	report any instances where the maintenance activities cannot be met fully or where defects are identified which are outside the planned schedule	
1.17	report problems and seek assistance from designated people for difficulties outside your area of responsibility	
1.18	put temporary arrangements in place to protect the operation of the plant until problems are resolved	
1.19	report and resolve situations where maintenance over-runs the agreed timescales	

## Unit J2T9 04 Organise Maintenance of Treatment Processing Plant and Equipment

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
1	water industry legislation, standards, codes of practice, and industry regulations for health, safety, and hygiene in relation to your job role	
2	water industry legislation, standards, codes of practice, and industry regulations for environmental protection and measures to reduce harmful emissions and substances in relation to your job role	
3	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment	
4	the role and purpose of data audit trails in quality assurance, health and safety and regulatory requirements	
5	operation and maintenance methods and procedures and consequences of carrying out maintenance incorrectly and out with limits of responsibility and authority maintenance schedules and related specifications	
6	the organisation's procedures and the factors to be considered for isolation, diverting flows, bypassing treatment process units, operating temporary plant and shut down of plant and equipment	
7	typical and unusual problems which may occur during maintenance and how these can be resolved	

**Unit J2T9 04      Organise Maintenance of Treatment Processing Plant and Equipment**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
8	the need for information which is provided to other people relating to maintenance activities	
9	the organisation's maintenance records, documentation and authorisation procedures and limits of responsibility and authority	
10	the organisation's start-up and re-commissioning procedures	
11	the organisation's reporting lines and procedures	
12	the factors to be considered when shutting down and isolating plant and equipment and procedures to be used	
13	your responsibilities for resolving typical and unusual problems	
14	the implications and consequences of carrying out maintenance activities	
15	why it is important to comply with the organisation's confidentiality policies and cyber security protocols	
16	why it is important to maintain site security	
17	the importance of storing information according to organisational requirements	
18	the way maintenance information is utilised and the implications of its use	

**Unit J2T9 04      Organise Maintenance of Treatment Processing  
Plant and Equipment**

**Candidate's name** \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
19	information which is provided to other people relating to maintenance activities	
20	what work is required to bring the plant back to the specified condition	
21	how to translate the employer's specification for plant performance into operational and maintenance objectives	
22	how to decide if repairs can be carried out as first-line maintenance or whether a third party contractor is required	



## Assessment Summary and Confirmation

### Unit J2TA 04 Receive, store and handle processing chemicals, reagents and other consumables

SCQF level	6	SCQF credit	7
------------	---	-------------	---

Candidate's name		Assessor's name	
------------------	--	-----------------	--

Types of evidence provided for this unit (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2TA 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2TA 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> — total evidence covers all performance criteria and knowledge and understanding requirements for J2TA 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

## Assessment Summary and Confirmation

### Unit J2TA 04      Receive, Store and Handle Processing Chemicals, Reagents and Other Consumables

#### Candidate declaration

I confirm that the evidence listed for **unit J2TA 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

#### Assessor confirmation

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2TA 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

#### If sampled

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

**External verifier's name** \_\_\_\_\_  
**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Unit J2TA 04      Receive, Store and Handle Processing Chemicals, Reagents and Other Consumables**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	check sufficient storage capacity to receive the chemical, reagent or other consumable is available	
1.2	check that there are suitable access arrangements and handling requirements in place	
1.3	check that the receiving area is ready to receive the materials	
1.4	check that the storage space and conditions conform to safety requirements	
1.5	check that there are suitable emergency procedures in place	
1.6	assemble the required Personal Protective Equipment (PPE) and check that it is suitable for the work to be carried out	
1.7	confirm all the chemicals, reagents, and other consumables for treatment processing meet the delivery specification	
1.8	confirm all the materials delivered are of the specified quality	
1.9	follow appropriate quality control procedures, including sampling procedures	
1.10	check that deliveries are made to the correct storage facility	
1.11	wear the Personal Protective Equipment (PPE) specified for the job when handling chemicals, reagents or other consumables	

**Unit J2TA 04      Receive, Store and Handle Processing Chemicals, Reagents and Other Consumables**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.12	handle chemicals, reagents or other consumables in accordance with safe working procedures	
1.13	keep material wastage to a minimum by working efficiently	
1.14	ensure any equipment is used in line with safety requirements	
1.15	resolve any problems where the chemicals, reagents or other consumables do not meet delivery or safety requirements	
1.16	store the materials in the designated place	
1.17	check that the materials for storage are protected to avoid deterioration	
1.18	rotate stock in line with procedures	
1.19	monitor and periodically check materials for discrepancies in stock levels	
1.20	dispose of stock safely and in line with organisational procedures	
1.21	resolve situations where the storage facilities do not meet the storage requirements	
1.22	work in line with relevant regulations and procedures	
1.23	record all data relating to chemicals, reagents or other consumables in line with organisational procedures	

## Unit J2TA 04      Receive, Store and Handle Processing Chemicals, Reagents and Other Consumables

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.24	complete and maintain required documentation relating to chemicals, reagents or other consumables in an auditable format	
1.25	provide access to delivery records on request	
1.26	store delivery records in the designated place	
1.27	report any defective handling equipment or its unavailability to the designated person	
<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's procedures for receiving and chemicals, reagents and other consumables	
2	when deliveries of chemicals, reagents and other consumables should be rejected and the organisation's delivery rejection procedures	
3	the organisation's storage and stock rotation procedures	
4	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
5	the organisation's procedures for dealing with spillages and emissions of chemicals, reagents and other consumables	
6	when to report defective handling equipment and storage facilities	

**Unit J2TA 04      Receive, Store and Handle Processing Chemicals, Reagents and Other Consumables**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands		<b>Evidence or File X-Ref/Coverage</b>
7	the organisation's reporting lines and procedures	
8	the organisation's process on how to manage vehicle movement on-site	
9	the organisation's quality control procedures in relation to chemicals, reagents and other consumables	
10	why it is important to comply with current regulations related to the control of hazardous substances the importance of storing data in accordance with organisational requirements	
11	the organisations procedures for assessing risk	
12	dangerous substances and explosive atmospheres and their impact	
13	the organisation's procedures for recording, documenting and storing information	
14	the role and purpose of data audit trails in quality assurance, health and safety and for regulatory requirements	
15	why it is important to comply with the organisation's confidentiality policies and cyber security protocols	
16	why it is important to maintain site security	

## Assessment Summary and Confirmation

### J2SV 04 Monitor and Maintain the Quality of Treatment Process Outputs

SCQF level	6	SCQF credit	18
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor/candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2SV 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2SV 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> total evidence covers all performance criteria and knowledge and understanding requirements for J2SV 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

## **Unit J2SV 04      Monitor and Maintain the Quality of Treatment Process Outputs**

### **Candidate declaration**

I confirm that the evidence listed for **unit J2SV 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

### **Assessor confirmation**

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2SV 04**.

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

**Assessor's counter-  
signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

### **If sampled**

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

**External verifier's name** \_\_\_\_\_  
**External verifier's  
signature** \_\_\_\_\_ **Date** \_\_\_\_\_



## Unit J2SV 04      Monitor and Maintain the Quality of Treatment Process Outputs

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	carry out routine monitoring at the frequency specified in the plant procedures	
1.2	confirm flow recording instruments, quality monitors and level indicators are working as required in the plant specification by interpreting monitoring data	
1.3	compare the plant readings and other data with the operating schedule and operating instructions	
1.4	check that the procedures for collecting data from on-site visual assessment and quality tests remain adequate and conform to operating instructions	
1.5	check that the procedures for taking samples for testing remain adequate and conform to operating instructions	
1.6	check the quality and quantity of the materials at key points against processing requirements	
1.7	monitor the collation and use of flow, quality and operational data and make sure they comply with operating schedule and operating instructions	
1.8	implement special monitoring of process inputs and outputs where process adjustments have been made	
1.9	assess process performance from flow, quality, and operational records, and direct observations	

## Unit J2SV 04      Monitor and Maintain the Quality of Treatment Process Outputs

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.10	analyse data from records and direct observations and determine what adjustments are required to achieve optimal performance	
1.11	maintain process throughput within specified parameters	
1.12	assess process inputs and outputs to determine whether the plant has responded to corrective adjustments and conforms to the plant specification	
1.13	complete activities which maintain the optimal performance conditions for the treatment process	
1.14	complete activities to make sure the disposal of process by-products meet with the requirements of legislation, standards, and codes of practice	
1.15	ensure there is a consistent approach to responding to alarms in line with operational procedures	
1.16	use energy monitoring data to maximise energy performance	
1.17	resolve issues where there are problems which arise from inaccurate or incomplete data from treatment processes	
1.18	investigate and resolve failures of process adjustments through instruments, configurations, flow, and doses	

## Unit J2SV 04      Monitor and Maintain the Quality of Treatment Process Outputs

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.19	take corrective action where the quality of materials does not comply with the specification	
1.20	complete plant and process documentation and ensure it provides accurate and up-to-date data in the timescale required	
1.21	follow the systems for storing and inputting data	
1.22	check and compare monitoring data using treatment plant records	
1.23	confirm all materials leaving the plant conform to specification using data readings	
1.24	make optimisation suggestions using performance monitoring data	
1.25	provide those with a managerial role with clear information about the adjustments to processes which are being made	
1.26	inform affected people when plant and equipment is to be shut down and when to expect plant and equipment to be re-started and re-commissioned	
1.27	issue and display all safety warnings in advance of operational changes to plant and equipment	
1.28	record and report process defects, the corrective measures taken, and the results and outcomes	

## Unit J2SV 04      Monitor and Maintain the Quality of Treatment Process Outputs

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.29	maintain records that are in an auditable format	
1.30	provide access to data records on request	
1.31	store plant and process records in the designated place	
1.32	consult and liaise with those with a managerial role on further measures to be taken where there are failures to adjustments	
<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's process for managing statutory inspectorates	
2	the organisation's process for managing emergency situations	
3	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
4	your own role, responsibilities, and actions in sustaining favourable environmental conditions	
5	the organisation's process for treating water or waste water	
6	the organisation's process for disposing of treatment process by-products	
7	the steps involved in predicting changes in quality and flow and the effects of these changes on the unit processes and the final outflow	

## Unit J2SV 04      Monitor and Maintain the Quality of Treatment Process Outputs

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
8	the steps involved when assessing the effects of changes in quality and flow	
9	the steps involved in assessing variations in unit process performance and the effects of these variations in the total treatment process	
10	the steps involved in assessing the effect of process failure	
11	how to implement corrective actions to ensure the process meets its target performance	
12	how to assess the effects of a breach of consent for discharges from the process plant on the local environment	
13	the steps involved in dealing with technical queries arising from deviations to predetermined performance levels for unit processes	
14	the purpose of data audit trails, why they are important and how to maintain them	
15	the importance of ensuring maintenance information is accurate, valid and complete	
16	the organisation's procedures for recording, retrieving, recording and storing information in the appropriate format	
17	the need for information which is provided to other people relating to maintenance activities	

**Unit J2SV 04      Monitor and Maintain the Quality of Treatment  
Process Outputs**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
18	how to operate treatment processes when there is a computer system failure	
19	the organisation's confidentiality policies and cyber security protocols	
20	the impact of changes in the catchment or distribution system on treatment process operations	
21	the importance of maintaining site security	

## Assessment Summary and Confirmation

### J2SX 04 Monitor and Maintain the Quality of Treatment Process Outputs (Water Treatment Processes)

SCQF level	6	SCQF credit	18
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor/candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2SX 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2SX 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> total evidence covers all performance criteria and knowledge and understanding requirements for J2SX 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

**Unit J2SX 04      Monitor and Maintain the Quality of Treatment  
Process Outputs (Water Treatment Processes)**

**Candidate declaration**

I confirm that the evidence listed for **unit J2SX 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

**Assessor confirmation**

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2SX 04**.

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

**Assessor's counter-  
signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

**If sampled**

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

**External verifier's name** \_\_\_\_\_  
**External verifier's  
signature** \_\_\_\_\_ **Date** \_\_\_\_\_



**Unit J2SX 04      Monitor and Maintain the Quality of Treatment Process Outputs (Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	carry out routine monitoring at the frequency specified in the plant procedures	
1.2	confirm flow recording instruments, quality monitors and level indicators are working as required in the plant specification by interpreting monitoring data	
1.3	compare the plant readings and other data with the operating schedule and operating instructions	
1.4	check that the procedures for collecting data from on-site visual assessment and quality tests remain adequate and conform to operating instructions	
1.5	check that the procedures for taking samples for testing remain adequate and conform to operating instructions	
1.6	check the quality and quantity of the materials at key points against processing requirements	
1.7	monitor the collation and use of flow, quality and operational data and make sure they comply with operating schedule and operating instructions	
1.8	implement special monitoring of process inputs and outputs where process adjustments have been made	
1.9	assess process performance from flow, quality, and operational records, and direct observations	

**Unit J2SX 04      Monitor and Maintain the Quality of Treatment  
Process Outputs (Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.10	analyse data from records and direct observations and determine what adjustments are required to achieve optimal performance	
1.11	maintain process throughput within specified parameters	
1.12	assess process inputs and outputs to determine whether the plant has responded to corrective adjustments and conforms to the plant specification	
1.13	complete activities which maintain the optimal performance conditions for the treatment process	
1.14	complete activities to make sure the disposal of process by-products meet with the requirements of legislation, standards, and codes of practice	
1.15	ensure there is a consistent approach to responding to alarms in line with operational procedures	
1.16	use energy monitoring data to maximise energy performance	
1.17	resolve issues where there are problems which arise from inaccurate or incomplete data from treatment processes	
1.18	investigate and resolve failures of process adjustments through instruments, configurations, flow, and doses	

**Unit J2SX 04      Monitor and Maintain the Quality of Treatment  
Process Outputs (Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.19	take corrective action where the quality of materials does not comply with the specification	
1.20	complete plant and process documentation and ensure it provides accurate and up-to-date data in the timescale required	
1.21	follow the systems for storing and inputting data	
1.22	check and compare monitoring data using treatment plant records	
1.23	confirm all materials leaving the plant conform to specification using data readings	
1.24	make optimisation suggestions using performance monitoring data	
1.25	provide those with a managerial role with clear information about the adjustments to processes which are being made	
1.26	inform affected people when plant and equipment is to be shut down and when to expect plant and equipment to be re-started and re-commissioned	
1.27	issue and display all safety warnings in advance of operational changes to plant and equipment	
1.28	record and report process defects, the corrective measures taken, and the results and outcomes	

**Unit J2SX 04      Monitor and Maintain the Quality of Treatment  
Process Outputs (Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.29	maintain records that are in an auditable format	
1.30	provide access to data records on request	
1.31	store plant and process records in the designated place	
1.32	consult and liaise with those with a managerial role on further measures to be taken where there are failures to adjustments	
<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's process for managing statutory inspectorates	
2	the organisation's process for managing emergency situations	
3	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
4	your own role, responsibilities, and actions in sustaining favourable environmental conditions	
5	the organisation's process for treating water or waste water	
6	the organisation's process for disposing of treatment process by-products	
7	the steps involved in predicting changes in quality and flow and the effects of these changes on the unit processes and the final outflow	

**Unit J2SX 04      Monitor and Maintain the Quality of Treatment  
Process Outputs (Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
8	the steps involved when assessing the effects of changes in quality and flow	
9	the steps involved in assessing variations in unit process performance and the effects of these variations in the total treatment process	
10	the steps involved in assessing the effect of process failure	
11	how to implement corrective actions to ensure the process meets its target performance	
12	how to assess the effects of a breach of consent for discharges from the process plant on the local environment	
13	the steps involved in dealing with technical queries arising from deviations to predetermined performance levels for unit processes	
14	the purpose of data audit trails, why they are important and how to maintain them	
15	the importance of ensuring maintenance information is accurate, valid and complete	
16	the organisation's procedures for recording, retrieving, recording and storing information in the appropriate format	
17	the need for information which is provided to other people relating to maintenance activities	

**Unit J2SX 04      Monitor and Maintain the Quality of Treatment  
Process Outputs (Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
18	how to operate treatment processes when there is a computer system failure	
19	the organisation's confidentiality policies and cyber security protocols	
20	the impact of changes in the catchment or distribution system on treatment process operations	
21	the importance of maintaining site security	

## Assessment Summary and Confirmation

### J2T0 04 Monitor and Maintain the Quality of Treatment Process Outputs (Waste Water Treatment Processes)

SCQF level	6	SCQF credit	18
------------	---	-------------	----

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor/candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2T0 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2T0 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> total evidence covers all performance criteria and knowledge and understanding requirements for J2T0 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

**Unit J2T0 04 Monitor and Maintain the Quality of Treatment  
Process Outputs (Waste Water Treatment Processes)**

**Candidate declaration**

I confirm that the evidence listed for **unit J2T0 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

**Assessor confirmation**

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2T0 04**.

**Assessor's signature** \_\_\_\_\_ **Date** \_\_\_\_\_  
**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

**If sampled**

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

**External verifier's name** \_\_\_\_\_  
**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_



**Unit J2T0 04 Monitor and Maintain the Quality of Treatment  
Process Outputs (Waste Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Performance Criteria — the candidate must be able to:</b>		<b>Evidence or File X-Ref/Coverage</b>
1.1	carry out routine monitoring at the frequency specified in the plant procedures	
1.2	confirm flow recording instruments, quality monitors and level indicators are working as required in the plant specification by interpreting monitoring data	
1.3	compare the plant readings and other data with the operating schedule and operating instructions	
1.4	check that the procedures for collecting data from on-site visual assessment and quality tests remain adequate and conform to operating instructions	
1.5	check that the procedures for taking samples for testing remain adequate and conform to operating instructions	
1.6	check the quality and quantity of the materials at key points against processing requirements	
1.7	monitor the collation and use of flow, quality and operational data and make sure they comply with operating schedule and operating instructions	
1.8	implement special monitoring of process inputs and outputs where process adjustments have been made	
1.9	assess process performance from flow, quality, and operational records, and direct observations	

**Unit J2T0 04 Monitor and Maintain the Quality of Treatment  
Process Outputs (Waste Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Performance Criteria — the candidate must be able to:</b>		<b>Evidence or File X-Ref/Coverage</b>
1.10	analyse data from records and direct observations and determine what adjustments are required to achieve optimal performance	
1.11	maintain process throughput within specified parameters	
1.12	assess process inputs and outputs to determine whether the plant has responded to corrective adjustments and conforms to the plant specification	
1.13	complete activities which maintain the optimal performance conditions for the treatment process	
1.14	complete activities to make sure the disposal of process by-products meet with the requirements of legislation, standards, and codes of practice	
1.15	ensure there is a consistent approach to responding to alarms in line with operational procedures	
1.16	use energy monitoring data to maximise energy performance	
1.17	resolve issues where there are problems which arise from inaccurate or incomplete data from treatment processes	
1.18	investigate and resolve failures of process adjustments through instruments, configurations, flow, and doses	

## Unit J2T0 04 Monitor and Maintain the Quality of Treatment Process Outputs (Waste Water Treatment Processes)

Candidate's name \_\_\_\_\_

<b>Performance Criteria — the candidate must be able to:</b>		<b>Evidence or File X-Ref/Coverage</b>
1.19	take corrective action where the quality of materials does not comply with the specification	
1.20	complete plant and process documentation and ensure it provides accurate and up-to-date data in the timescale required	
1.21	follow the systems for storing and inputting data	
1.22	check and compare monitoring data using treatment plant records	
1.23	confirm all materials leaving the plant conform to specification using data readings	
1.24	make optimisation suggestions using performance monitoring data	
1.25	provide those with a managerial role with clear information about the adjustments to processes which are being made	
1.26	inform affected people when plant and equipment is to be shut down and when to expect plant and equipment to be re-started and re-commissioned	
1.27	issue and display all safety warnings in advance of operational changes to plant and equipment	
1.28	record and report process defects, the corrective measures taken, and the results and outcomes	

**Unit J2T0 04 Monitor and Maintain the Quality of Treatment  
Process Outputs (Waste Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Performance Criteria — the candidate must be able to:</b>		<b>Evidence or File X-Ref/Coverage</b>
1.29	maintain records that are in an auditable format	
1.30	provide access to data records on request	
1.31	store plant and process records in the designated place	
1.32	consult and liaise with those with a managerial role on further measures to be taken where there are failures to adjustments	
<b>Knowledge and Understanding — the candidate knows and understands:</b>		<b>Evidence or File X-Ref/Coverage</b>
1	the organisation's process for managing statutory inspectorates	
2	the organisation's process for managing emergency situations	
3	the organisation's process for safe working practices when dealing with equipment, instrumentation and environment, including lone working	
4	your own role, responsibilities, and actions in sustaining favourable environmental conditions	
5	the organisation's process for treating water or waste water	
6	the organisation's process for disposing of treatment process by-products	
7	the steps involved in predicting changes in quality and flow and the effects of these changes on the unit processes and the final outflow	

**Unit J2T0 04 Monitor and Maintain the Quality of Treatment  
Process Outputs (Waste Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
8	the steps involved when assessing the effects of changes in quality and flow	
9	the steps involved in assessing variations in unit process performance and the effects of these variations in the total treatment process	
10	the steps involved in assessing the effect of process failure	
11	how to implement corrective actions to ensure the process meets its target performance	
12	how to assess the effects of a breach of consent for discharges from the process plant on the local environment	
13	the steps involved in dealing with technical queries arising from deviations to predetermined performance levels for unit processes	
14	the purpose of data audit trails, why they are important and how to maintain them	
15	the importance of ensuring maintenance information is accurate, valid and complete	
16	the organisation's procedures for recording, retrieving, recording and storing information in the appropriate format	
17	the need for information which is provided to other people relating to maintenance activities	

**Unit J2T0 04 Monitor and Maintain the Quality of Treatment  
Process Outputs (Waste Water Treatment Processes)**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
18	how to operate treatment processes when there is a computer system failure	
19	the organisation's confidentiality policies and cyber security protocols	
20	the impact of changes in the catchment or distribution system on treatment process operations	
21	the importance of maintaining site security	

## Assessment Summary and Confirmation

### Unit J2SR 04 Make Sure Your Own Actions Reduce Risks to Health and Safety

SCQF level	5	SCQF credit	8
------------	---	-------------	---

Candidate's name		Assessor's name	
------------------	--	-----------------	--

Types of evidence provided for this unit (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2SR 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2SR 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> — total evidence covers all performance criteria and knowledge and understanding requirements for J2SR 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

## Assessment Summary and Confirmation

### Unit J2SR 04      **Make Sure Your Own Actions Reduce Risks to Health and Safety**

#### Candidate declaration

I confirm that the evidence listed for **unit J2SR 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

#### Assessor confirmation

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2SR 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

#### If sampled

**Internal verifier's name** \_\_\_\_\_

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

**External verifier's name** \_\_\_\_\_

**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_



## Unit J2SR 04      **Make Sure Your Own Actions Reduce Risks to Health and Safety**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.1	identify workplace instructions relevant to your job	
1.2	identify working practices in your job which may harm you or others	
1.3	identify aspects of your work which could harm you or others	
1.4	check which potentially harmful working practices and aspects of your work present the highest risks to you or to others	
1.5	deal with hazards in accordance with workplace instructions and legal requirements	
1.6	name and locate people responsible for health and safety at work	
1.7	control those health and safety risks within your capability and job responsibilities	
1.8	carry out your work in accordance with your level of competence, workplace instructions, suppliers or manufacturer's instructions and legal requirements	
1.9	pass on suggestions for reducing risks to health and safety to the responsible people	
1.10	check your behaviour does not endanger the health and safety of you or others at work	

## Unit J2SR 04      **Make Sure Your Own Actions Reduce Risks to Health and Safety**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.11	use equipment, materials and products safely following workplace instructions and suppliers' or manufacturers' instructions	
1.12	report any differences between workplace instructions and suppliers' or manufacturers' instructions following standard operating procedures	
1.13	check your personal presentation and behaviour at work: <ul style="list-style-type: none"> <li>◆ protects the health and safety of you and others,</li> <li>◆ meets any legal responsibilities, and</li> <li>◆ is in accordance with workplace instructions</li> </ul>	
<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
1	what “hazards” and “risks” are	
2	your responsibilities and legal duties for health and safety in the workplace	
3	your responsibilities for health and safety as required by the law covering your job role	
4	hazards which exist at work and the safe working practices which you must follow	
5	particular health and safety hazards which may be present in your own job and precautions you must take	

## Unit J2SR 04      **Make Sure Your Own Actions Reduce Risks to Health and Safety**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
6	importance of remaining alert to presence of hazards in the whole workplace	
7	importance of dealing with, or promptly reporting, risks	
8	responsibilities for health and safety in your job description	
9	safe working practices for your job	
10	responsible people you should report health and safety matters to	
11	where and when to get additional health and safety assistance	
12	your scope and responsibility for controlling risks	
13	workplace instructions for managing risks which you are unable to deal with	
14	suppliers' and manufacturers' instructions for the safe use of equipment, materials and products you must follow	
15	importance of personal presentation in maintaining health and safety at work	
16	importance of personal behaviour in maintaining health and safety	

## Assessment Summary and Confirmation

### J2ST 04 Conduct Health and Safety Risk Assessments of a Workplace

SCQF level	7	SCQF credit	8
------------	---	-------------	---

Candidate's name		Assessor's name	
------------------	--	-----------------	--

<b>Types of evidence provided for this unit</b> (please tick as appropriate)	Assessor observation report	<input type="checkbox"/>	Witness testimony	<input type="checkbox"/>
	Workplace records/products (includes designs)	<input type="checkbox"/>	Record of assessor candidate discussions	<input type="checkbox"/>
	Professional discussion interview	<input type="checkbox"/>	Written knowledge questions	<input type="checkbox"/>
	Records of oral questions and candidate's answers	<input type="checkbox"/>	RPL	<input type="checkbox"/>

#### Evidence requirements for unit J2ST 04 (please tick as appropriate)

	Yes	No		Yes	No
Has any evidence been produced from assessor observation of the candidate in a realistic working environment?	<input type="checkbox"/>	<input type="checkbox"/>	If a realistic working environment was used for observation, did it meet the qualification requirements?	<input type="checkbox"/>	<input type="checkbox"/>

#### The evidence is:

	Yes	No		Yes	No
<b>Valid</b> — meets the qualification requirements and demonstrates competence for unit J2ST 04	<input type="checkbox"/>	<input type="checkbox"/>	<b>Authentic</b> — is the candidate's own work and can be verified as genuine	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reliable</b> — shows genuine sustained competence over a period of time	<input type="checkbox"/>	<input type="checkbox"/>	<b>Sufficient</b> — total evidence covers all performance criteria, knowledge and understanding and scope requirements for J2ST 04	<input type="checkbox"/>	<input type="checkbox"/>
<b>Current</b> — recent enough to show current competence	<input type="checkbox"/>	<input type="checkbox"/>			

## Assessment Summary and Confirmation

### Unit J2ST 04 Conduct Health and Safety Risk Assessments of a Workplace

#### Candidate declaration

I confirm that the evidence listed for **unit J2ST 04** is my own work, and I have collected my evidence in line with the qualification requirements.

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

#### Assessor confirmation

I confirm that I have assessed the evidence produced and am satisfied that the candidate has demonstrated competence against the qualification requirements for **unit J2ST 04**.

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

**Assessor's counter-signature** (if appropriate) \_\_\_\_\_ **Date** \_\_\_\_\_

#### If sampled

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

**External verifier's name** \_\_\_\_\_  
**External verifier's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

## Unit J2ST 04      Conduct Health and Safety Risk Assessments of a Workplace

Candidate's name \_\_\_\_\_

<b>Performance Criteria — the candidate must be able to:</b>		<b>Evidence or File X-Ref/Coverage</b>
1.1	define why and where risk assessments will be carried out	
1.2	select appropriate methods for identifying hazards and evaluating risks following best practice	
1.3	prioritise areas where hazards with potential for serious harm to health are most likely to occur following best practice	
1.4	identify hazards that have potential to cause harm and/or loss following best practice	
1.5	review internal and external standards and guidelines following standard operating procedures	
1.6	confirm appropriate precautions are in place following best practice	
1.7	assess levels of risk and record significant findings following best practice	
1.8	consider and prioritise where further controls are required following standard operating procedures	
1.9	present results and reasonably practicable recommendations of risk assessments to the responsible people	
1.10	review and revise risk assessments following standard operating procedures	

**Unit J2ST 04      Conduct Health and Safety Risk Assessments of a Workplace**

Candidate's name \_\_\_\_\_

<b>Performance Criteria</b> — the candidate must be able to:		<b>Evidence or File X-Ref/Coverage</b>
1.11	maintain suitable and sufficient records following standard operating procedures	
1.12	take suitable action to control or remove imminent risks following best practice	
<b>Knowledge and Understanding</b> — the candidate knows and understands:		<b>Evidence or File X-Ref/Coverage</b>
1	relevant legal requirements and standards	
2	workplace hazards most likely to cause harm or loss	
3	importance of remaining alert to the presence of hazards in the workplace	
4	methods of identifying hazards and risks	
5	purpose, legal implications and importance of carrying out risk assessments	
6	techniques for carrying out risk assessments	
7	particular health and safety risks which may affect your own role and precautions to take	
8	resources required for risk assessments	
9	information sources for risk assessments	
10	what to do with results of risk assessments	

**Unit J2ST 04      Conduct Health and Safety Risk Assessments of a Workplace**

Candidate's name \_\_\_\_\_

<b>Knowledge and Understanding — the candidate knows and understands:</b>		<b>Evidence or File X-Ref/Coverage</b>
11	importance of dealing with, or promptly reporting relevant hazards and risks	
12	your own limitations, job responsibilities and capabilities	
13	where to find expert advice and guidance	
14	work areas and people you are carrying out assessments for	
15	work activities of people in the workplace where you are carrying out risk assessments	
16	effective communication methods	
17	how to identify suitable control measures	