Information for candidates starting an Award, Certificate or Diploma in Scotland

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We are committed to using plain language. If you have any suggestions on how we can improve, let us know at editor@qualifications.gov.scot.

Changes in this version

Section	Details of changes
1 General information about Awards, Certificates and Diplomas	Content updated for accuracy and clarity. Added information about employers' roles. Added information about remote assessment.
2 How to compile your portfolio	Updated content on electronic evidence for accuracy. Added information about recording forms. Added information about video recorded evidence. Updated unit progress record example.

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1: General information about Awards, Certificates and Diplomas

Award, Certificates and Diploma are **work-based qualifications** that assess the skills and knowledge that are needed to perform a job role competently.

Most are based on **National Occupational Standards** (NOS) that have been developed by experienced practitioners through standards-setting organisations in which employers, professional bodies, trade unions, education organisations and voluntary organisations are all represented.

Awards, Certificates and Diplomas are externally regulated qualifications and depending on the country of delivery will be regulated by Qualifications Scotland Accreditation, Ofqual or Qualifications Wales.

Access to these qualifications is open to all, and you can be assessed either against part of a qualification (a unit) or the full qualification. There are no entry requirements, no prescribed method of delivery, no time constraints for completion, and generally no age limits. However, you must be in a role that will give you access to a workplace to allow you to generate evidence to meet the requirements of the qualification or associated units.

Scottish Credit and Qualifications Framework

The Scottish Credit and Qualifications Framework (SCQF) provides a national framework for qualifications in Scotland by bringing together all Scottish mainstream qualifications, including Awards, Certificates and Diplomas, 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. Credit points are a measure of the size of the qualification.

Each qualification has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared.

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, for example:

- Awards are made up of 1 to 12 SCQF credit points (or 10 to 120 notional learning hours)
- Certificates have 13 to 36 SCQF credit points (130 to 360 notional learning hours) and
- Diplomas require 37 or more SCQF credit points (370 or more notional learning hours)

Who offers Awards, Certificates and Diplomas?

An organisation that offers these qualifications is called a ‘centre’. Centres are usually a workplace, a college, a training provider, or a combination of these. The centre has responsibility for the quality of the qualification and is required to work within an awarding body’s policies and guidelines.

Qualifications Scotland is your awarding body for these qualifications. Qualifications Scotland checks that a rigorous and effective assessment process has been met before awarding a qualification so that employers can be sure that someone has the skills and knowledge needed for their job.

What is the structure of an Award, Certificate or Diploma?

An Award, Certificate or Diploma is made up of a number of 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 Award, Certificate or Diploma, you must achieve each of the units by demonstrating that you are competent in that aspect of the job.

The standards-setting organisation develops the occupational standard and determines the structure of the qualification in consultation with employers, professional bodies, trade unions, education organisations and voluntary organisations. The structure of the qualification identifies the total number of units needed to achieve the Award, Certificate or Diploma.

The structure will also identify mandatory and optional units. The **mandatory section** will contain units that industry considers to be crucial to the job role, so everyone doing the Award, Certificate or Diploma must do these. The **optional section** gives you an opportunity to choose the remaining units needed to achieve the Award, Certificate or Diploma that is most relevant to your specific job role.

The units define the broad functions carried out in an occupational sector and either consist of **assessment criteria** or **performance and knowledge and understanding requirements**. In both instances they describe:

- what you have to do and how well you have to do it (your performance)
- what you must know and understand, and
- how this knowledge applies to your job

How are units defined in Awards, Certificates and Diplomas?

The main components of a unit are:

Feature	Explanation
Title	The unit title describes the content of the learning.
Level	All units must identify a single level for the unit that represents the complexity, autonomy and/or range of achievement expressed within the unit.
Credit value	All units must have a credit value. One credit equals 10 hours of learning. Learning time is defined as the time taken by candidates at the level of the unit, on average, to complete the learning outcomes of the unit to the standard determined by the assessment criteria or performance and knowledge and understanding requirements.
Learning outcome	All units must contain one or more learning outcomes that set out what a candidate is expected to know, understand or be able to do as the result of a process of learning.
Assessment criteria or performance and knowledge and understanding requirements.	All units must contain assessment criteria or performance and knowledge and understanding requirements that specify the standard a candidate is expected to meet to demonstrate that the learning outcomes of that unit have been achieved.

The second section of the unit provides ‘Additional information about the unit’:

- Unit purpose and aims
- Unit expiry date
- Details of the relationship between the unit and relevant National Occupational Standards or other professional standards or curricula
- Requirements about the way a unit might be assessed
- Support for the unit from an SSO or other appropriate body
- Location of the unit within the subject/sector classification system
- Name of the organisation submitting the unit
- Availability for use
- Date from which the unit is available for use by candidates

How do I achieve an Award, Certificate or Diploma?

When you consistently meet the skills or knowledge and understanding described in the learning outcomes and show you have met the assessment criteria or the performance and knowledge and understanding requirements, you can then claim that you are competent in that unit. You can claim certification for single units or groups of units that form Awards, Certificates or Diplomas. Your centre will register your claim to competence through Qualifications Scotland.

The process of gaining an Award, Certificate or Diploma is flexible and depends on your needs. At the beginning of the process your assessor will review your existing competence in relation to the units available (occupational standards) and identify the most suitable ones. The level you start at will depend on the type and breadth of your current job role together with your past experience, skills and any relevant prior learning.

To achieve a unit, you must demonstrate that you meet the requirements of the unit by collecting appropriate evidence to meet all assessment criteria and performance and knowledge and understanding requirements. This evidence is assessed against the requirements of the unit by a qualified assessor.

Evidence may come from:

- the **recognition of prior learning (RPL)** — where evidence relates to past experience or achievements
- **current practice** — where evidence is generated from a current job role
- a **programme of development** — where evidence comes from assessment opportunities built into a learning/training programme whether at or away from the workplace
- a combination of these

How are Awards, Certificates and Diplomas assessed?

Assessment is based on what you can do and involves you, your assessor, an internal verifier and an external verifier — see ‘Who does what in Awards, Certificates and Diplomas’ on the following page.

Assessment is flexible and you can be awarded for each unit you successfully achieve, even if you do not complete the full qualification. There is no set period of time in which you need to complete a unit. However, you and your assessor should still set target dates for completion. Be realistic, as there are many factors such as your previous experience, demands within your workplace and availability of resources, which will affect how quickly you are able to achieve the qualification.

Who does what in Awards, Certificates and Diplomas?

A number of individuals and organisations have parts to play in the assessment. Their roles have been designed to guarantee fair, accurate and consistent assessment.

	Who are they?	What is their role?
Candidates	The person who wants to achieve the qualification — in this case, you.	Need to show they can perform to assessment criteria or performance and knowledge and understanding requirements in order to be awarded a Unit or Award, Certificate or Diploma.
Assessors	An experienced person in the same area of work as the candidate; for example, a supervisor.	Judge the evidence of a candidate's performance and knowledge and understanding against the units. Decide whether the candidate has demonstrated competence. Provide guidance and support to the candidate. Assist with planning assessments, giving feedback and recording candidate progress.
Internal verifiers	Individuals appointed by an approved centre to ensure the quality of assessment within the centre.	Advise assessors and maintain the quality of assessment in a centre. Systematically sample assessments to confirm the quality and consistency of assessment decisions.
Approved centres	Organisations approved by Qualifications Scotland to co-ordinate assessment arrangements for the qualifications.	Manage assessment on a day-to-day basis. Must have effective assessment practices and internal verification procedures. Must meet criteria laid down by Qualifications Scotland and be able to provide sufficiently competent assessors and internal verifiers.
External verifiers	Individuals appointed by the awarding body to ensure that standards are being applied uniformly and consistently across all centres offering the qualifications.	Check the quality and consistency of assessments, both within and between centres, by systematic sampling. Make regular visits to centres to ensure they still meet the criteria to deliver the qualifications.
Employers	An organisation that presents a candidate to an approved centre for assessment.	Employers will be required to support the assessment process by making themselves available to the assessors where required. Support the candidate undertaking the qualification, for example ensure a full induction to the role has been provided and that they are provided with rich job experiences and opportunities relevant to their job role.

What is evidence?

To claim competence for a unit, you need to gather evidence which shows you have met the standards. It is important that your evidence is easily understood so that it can be checked against the standards by your assessor, your centre and the awarding body.

Evidence can take many forms including:

- direct observation of your performance by your assessor
- products of your work
- authenticated statement — witness testimony
- personal statement
- outcomes from questioning
- outcomes from simulation
- case studies
- assignments or projects
- recognition of prior learning (RPL) — evidence from the past

It is important that your evidence is:

- **valid** — it relates to the qualification standard you are trying to prove
- **authentic** — the evidence, or an identified part of it was produced by you
- **consistent** — achieved on more than one occasion
- **current** — usually not more than two years old
- **sufficient** — covers all the performance and knowledge requirements laid down in the standards

Your evidence may be collected through a range of sources, such as employment, voluntary work, training programmes and interests/activities which you perform outside your work. It can also be produced in various formats. For example, your own reports, testimonies from colleagues, supervisors or members of the public, projects, models, audio recordings, photographs, videos.

When you first begin your qualification, you and your assessor should identify all the units and learning outcomes and where you can **integrate the assessment** in order to avoid unnecessary duplication of effort. You can find out more about integration of assessment on page 9.

Demonstrating knowledge, understanding and skills

To meet the unit requirements, you may also need to prove you have the required knowledge and understanding. Some standard-setting organisations have split the skills and knowledge into separate units while others have retained units which cover both skills and knowledge.

Evidence of how knowledge has been achieved and applied could be included in the performance evidence as one or all of the following:

- descriptions of why a particular approach was used
- personal reports about the learning process
- reflective reports which include how a theory or principle was applied
- assessment interviews
- assessment tests
- responses to questioning

These should be included in your portfolio.

How will my assessor check I have the knowledge and understanding listed in the standards?

For some units, it will be clear to your assessor that you have the required knowledge and understanding from how you carry out your work. This is often referred to as ‘knowledge and understanding apparent from performance’.

There will be other occasions though, when your assessor will be unsure if you know why, for example, it is important to give information to clients in certain situations. This could be because your assessor has not had the opportunity to observe all the assessment criteria or performance, knowledge and understanding requirements during assessment. In these situations, your assessor may wish to assess your knowledge and understanding by asking you some questions. These questions can be given orally or in writing, and will be recorded in your portfolio as evidence. They might be recorded in writing or through a video or audio recording.

Your assessor could also check you have the required level of knowledge and understanding by asking you to produce personal statements or to complete a project or assignment.

What if I have previous experience and knowledge and understanding from work and other qualifications?

If you have previous work experience, skills, and knowledge and understanding which you feel is relevant to your qualification, you should tell your assessor about it. Your assessor may ask you for more proof in the form of letters from previous employers/training providers or details about any courses you have completed.

The process of matching your previous experience and learning is often referred to as the recognition of prior learning (RPL). The purpose of this process is to try to give you some credit towards your qualification for things you can already do. Your assessor judges the evidence available and matches it against the requirements of the qualification you are undertaking. This means that your assessor should not have to assess you for these things again.

However, the success of this process depends on you telling your assessor what previous work experience or knowledge and understanding you have and how you think it is relevant to your qualification. The more information you can supply to support your claims, the easier it should be to convince your assessor that you are competent. There are some instances when previous learning and experience may not be used for recognition of prior learning. These include units and group awards where there are:

- existing requirements for a licence to practise
- specific health and safety requirements
- regulated professional requirements
- specific components of a programme of study which require placements within a given setting

Your assessor will be able to advise you.

When can simulation be used?

Throughout your qualification, the emphasis is on you being able to carry out real work activities so assessment will normally be carried out in the workplace itself.

There may be times, however, when it might not be appropriate for you to be assessed while you are working. For example, your qualification might require you to carry out emergency or contingency procedures (for safety or confidentiality reasons), or your job role may not cover all aspects of the qualification. In such instances, when you have no other means of generating evidence, simulation might be appropriate.

Simulation is any structured exercise involving a specific task which reproduces real-life situations. Care must be taken though to ensure that the conditions in which you are assessed exactly mirror the work environment, so that it is a **realistic working environment**.

Your assessor will be able to advise what constitutes a realistic working environment in relation to your qualification. This information is contained in the assessment strategy related to the qualification you are undertaking.

Remote assessment

If it is not possible to conduct assessment in person, it may be acceptable do so remotely.

Some types of live remote assessment, such as live video streaming, can be used to undertake direct observation. This must take place in real time, in a way that allows the assessor to verify your identity, to have an uninterrupted view of what you are doing, and to ask questions through live audio. You can only use remote assessment in this way if the assessment strategy for the qualification permits it.

Pre-recorded evidence, for example in video or audio, is considered an indirect method of assessment. This can be used for assessment, but it cannot be used to conduct direct observation. The same principles of assessment apply whether conducting assessment in-person or remotely. The assessor must gain your consent if making a recording and may also need your employer's authorisation if the recording is taking place in the workplace. There is more information on remote assessment on the Qualifications Scotland website.

Integration of assessment

It is not necessary for you to have each learning outcome assessed separately — doing so could result in assessment which takes too long and places too great a burden on you and your assessor.

There will be instances when you will be able to use one piece of evidence to prove your competence across different learning outcomes and assessment criteria or performance and knowledge and understanding requirements. You may even find that evidence is relevant for different units. This is called integration of assessment or holistic assessment.

When you first begin your qualification, you and your assessor will spend time looking at the standards, planning how much time you are both able to devote to the qualification, and drawing up an action plan.

At this stage, you should identify any activities which relate to more than one unit or learning outcome and arrange for the best way to collect a single piece of evidence which satisfactorily covers all the assessment criteria or performance and knowledge and understanding requirements.

If you are going to integrate assessments, make sure that the evidence is cross-referenced to the relevant units. You'll find details of how to cross-reference your evidence in Section 2 'How to compile your portfolio'.

2: How to compile your portfolio

Introduction

A portfolio is a way of recording evidence of your achievements. It is a collection of different items of evidence which indicates that you have the required skills, knowledge and understanding to support your claim to a qualification.

Evidence may be physical or paper-based, or it may be electronic. Physical or paper-based evidence can be stored in a traditional portfolio. Electronic evidence can be stored in any appropriate and secure manner. You may wish to use specific e-portfolio software to help with storing and managing electronic evidence. The use of technology could help you be creative with the types of evidence you upload, such as voice notes, videos and graphics.

Please refer to your centre which may have specific guidance on their recommended use of technology.

All portfolios should be well organised, methodical and each piece of evidence should relate to:

- learning outcomes
- assessment criteria or
- performance requirements and/or
- knowledge and understanding requirements

If the information is presented in a logical way, it will enable the assessor to make clear judgements on your submission and it will also help you clearly identify any gaps in evidence.

You will need to present your evidence in a format that is easy to read and in which materials can be added or taken away. This section gives suggestions on how to lay out and present your evidence, whether you are compiling a paper-based portfolio or compiling a portfolio electronically. There are also forms, records and indexes which will help you to track your progress.

You do not have to lay out your evidence in the way suggested but you may find it helpful to do so. Your portfolio should include information about you (the candidate), the organisation where you are undertaking your qualification, the assessor and so on.

Collecting your evidence

What?	Who?
Assessment plan	You and your assessor
Collect evidence	You and your assessor if observation/questioning/professional discussion is required
Present evidence	You and your assessor
Reference acceptable evidence	You
Store evidence in portfolio	You
Assess evidence	Your assessor will judge your evidence and give you feedback

Planning your portfolio

Start by carefully reading through the units making up the qualification and, together with your assessor, decide which units you might like to work on first. You do not have to do the units in order. There may be some units that relate to tasks which you carry out on a regular basis, therefore making it easier to collect evidence right away. Alternatively, there may be activities in other units which you only undertake now and again, these can be left until the opportunity arises for you to collect evidence.

Before you start looking for different kinds of evidence and deciding if they should be included in your portfolio, you will find it helpful to plan how you will carry out the tasks and how long they are going to take.

The plan is usually referred to as an ‘assessment plan’. It should be produced in discussion with your assessor and will set out the different stages in developing your portfolio. You will probably want to produce a plan for each unit. You should treat assessment plans as working documents that can be updated and changed as you progress. Assessment plans are generally developed and agreed by you and your assessor.

To help you plan for assessment, we have produced an example assessment plan which covers a typical Health and Safety unit. It is included as guidance only.

It is unlikely that you will be able to complete all of the units straight away and you should therefore think about starting with those units where you have a lot of experience and in which you work well. You should also remember to identify any opportunities for integration of assessment.

We have also provided you with a unit progress record, which can be completed after you achieve each unit — see Example 6. At this stage, it might be a good idea to check that all your evidence and recording documents have been completed correctly and can easily be located.

Starting your portfolio

Whether using an electronic or paper-based portfolio, you must clearly label your portfolio with your name together with the title and level of the award.

Your portfolio should provide information about yourself and your job as well as providing information about your employer, training provider or college. There's a link to blank samples of these forms in Section 3.

We recommend that you compile your portfolio in this order:

- Title page
- Contents checklist
- Candidate declaration
- Personal profile
- Unit progress record
- Index of evidence
- Pieces of evidence
- Glossary of terms
- Standards

You can download sample recording forms from our website, however your centre may have their own recording documents which they would prefer you to use. They may also use e-portfolios that have these features built-in, so you may not need to use the forms.

We've explained below how and when these forms should be used, and there are worked examples of the various forms to give you a clearer picture of how to compile your portfolio. You should ask your assessor for further advice and support if you are still unsure about how to use the forms and who should complete them. Some of these forms — for example observation records and the record of questions and answers — will be completed by your assessor. Other forms, such as witness testimonies, will be used by people other than your assessor to testify that they have observed you doing your job.

Contents checklist

You might also find it useful to complete this checklist as you work your way through your portfolio. This will help you to see if you have covered all the relevant points.

Title page for the portfolio	

Personal profile	**Completed**
Your own personal details	
A brief CV or career profile	
A description of your job	
Information about your employer,	
training provider or college	

Unit assessment plans	**Completed**
Refers to each unit	

Unit progress record	**Completed**
Signed by yourself, your assessor and	
the internal verifier (where relevant)	
Evidence reference numbers included	

Index of evidence (with cross-referencing information completed)	**Completed**
Evidence (with reference numbers)	
Observation records	
Details of witnesses (witness testimony sheets)	
Personal statements	
Products of performance	

Candidate declaration

Centres must take appropriate steps to minimise the risk of plagiarism and ensure that assessment evidence is the candidate's own work. Centres should ensure the candidate signs this form and it is available for verification purposes.

I confirm that the content of this portfolio is my own work.

Candidate's signature

Candidate's name (print)

Date

Assessor's signature

Assessor's name (print)

Date

Collecting your evidence

All of the evidence you collect and present for assessment must be relevant to your qualification. Your assessor will help you choose which pieces of evidence you should include. You can use the forms in Section 3 to help you record and present your evidence, or your centre's own recording documents or e-portfolios.

We explain below about how and when these forms should be used.

Assessment plan

An assessment plan is a document created in discussion with your assessor. It will include details of the activities to be assessed, how they will be assessed, and which assessment criteria they meet. An assessment plan can be produced for individual units, or for a combination of units or learning outcomes if assessment is being integrated.

An assessment plan should be created at the start of the assessment process, but you can update it as you progress through the unit(s).

How to complete the index of evidence

If compiling a paper-based portfolio you should complete an index of evidence sheet and file it immediately before the actual pieces of evidence in your portfolio.

The index of evidence should be completed by entering:

- the index number for each piece of evidence
- a description of each piece of evidence
- the place or location where it can be found
- the initials of the internal verifier and the date (if they have sampled your evidence)

Observation record

The observation record is used by your assessor to record what tasks you have performed and to what standard. There is also a section for your assessor to note which other units or learning outcomes are covered by this evidence (integration of assessment).

The assessor will discuss with you which assessment criteria or performance and knowledge and understanding requirements you have successfully achieved and give you feedback. This form should then be given a reference number and included in your portfolio as part of your evidence.

If it isn’t possible to conduct face-to-face observations, video streaming may be used, as long as the assessment strategy for your qualification permits this. The same principles of assessment apply to recorded evidence as they would any other. Your assessor must gain your consent before making the recording and will need to authenticate that the person in the recording is you.

Personal statement

There will be times when you need to put a piece of your evidence in context for your assessor so that they can decide if it is relevant to your qualification. You can complete personal statements to help you do this — these can relate either to the pieces of evidence or to each learning outcome or unit.

For example, you may refer to paperwork which is often used in your organisation to help you pass on information to a colleague. It may not be clear to an assessor why you are communicating to your colleague in this way, so a brief explanation of the paperwork and why it is relevant to a particular part of your qualification may be required.

A personal statement might also be used to record your experience of something, such as how you handled a specific situation. Your personal statement should be a description of what you did, how you did it and why you did it. It will also allow you to include the people who were present and either assisted you or witnessed your actions. This, in turn, might identify who you should approach for ‘witness testimony’. In your personal statement you could also refer to product evidence that you have produced (for example, reports, notes, completed forms). These can also be included as evidence in your portfolio.

The personal statement can be a piece of evidence in itself and should therefore be included in your portfolio.

Record of questions and candidate’s answers

This form is used to record any questions which your assessor may ask, to establish whether you have the required level of knowledge and understanding associated with each unit. There is also space on the form for your answers to be noted.

Unit progress record

The unit progress record is used by your assessor and each time you complete a unit, your assessor should sign and date the relevant section on the form. You can circle the reference number of the unit in the checkboxes at the top of the form so that you can see at a glance what stage you are at in your qualification.

You must make sure that the information contained in the evidence index is accurate when you give your portfolio to your assessor, particularly in relation to where the evidence can be located.

Witness testimony

There may be occasions when your assessor is not available to observe you carrying out certain aspects of your job. In such instances, it may be appropriate for another person to comment about your performance by completing a statement called a ‘witness testimony’.

Witness testimony should only be used as supporting evidence and should:

- be provided by a person, not related to you, who is in a position to make a valid comment about your performance, for example supervisor, line manager or possibly a client/customer
- contain comments which specifically relate your performance to the units (standards)
- be authenticated by the inclusion of the witness’s signature, role, address, telephone number or email address and the date

It is unlikely that your assessor would make an assessment decision based on witness testimony alone. They would normally supplement this type of evidence with questioning.

Presenting your evidence

It is important to present all of your evidence in a clear, consistent and legible manner. Your assessor will then find it much easier to make appropriate judgements about the quality, sufficiency and currency of the materials you are putting forward for consideration.

It is not necessary to produce all of your evidence in typewritten format — some hand-written pieces of evidence, such as notes, will be perfectly acceptable.

There may also be items of evidence which you cannot physically include in your portfolio. This might be for confidentiality reasons, or it could be that something which you have produced as part of your day-to-day work is normally kept in a filing cabinet or stored electronically.

In compiling your portfolio, we suggest that anything you produce as part of your day-to-day work is kept in its normal location, but those pieces of evidence which have been produced specifically for your qualification, for example witness testimony statements or personal statements, are filed in your portfolio. However, assessors and verifiers should be able to locate and access your evidence at all times. It is, therefore, very important that you clearly reference every item of evidence.

Referencing your evidence

Your assessor, as well as the internal and external verifiers, will need to find their way around your portfolio, so you should give each piece of evidence a number.

Remember, that where you have used integration of assessment, you need to give details of all the units and learning outcomes which are linked to a specific piece of evidence. The links should be noted on the pieces of evidence themselves as well as on the index of evidence (cross-referencing).

Worked examples

To give you a clearer picture of how to compile your portfolio, you will find worked examples of the various forms over the next few pages. You should ask your assessor for further advice and support if you are still unsure about how to use the forms and who should complete them.

Assessment plan — Example 1

Unit: Promote a Culture of Health and Safety in the Workplace

Outcomes

1 Be able to develop plans to promote a health and safety culture in the workplace.

2 Implement the plan to promote a health and safety culture in the workplace.

Activities	Assessment criteria	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units (assessment criteria)
Conduct a review of currently available health and safety documentation and procedures to ensure understanding (staff handbooks, induction information, etc).	1.2	Review documentation (product evidence). Question and answer.	By 00/00/0000 00/00/0000 (first review)		
Conduct a review of the working environment.	1.2	Observation of review. Question and answer.	00/00/0000 00/00/0000		
Devise a questionnaire for all staff to identify current level of understanding and support. Staff complete questionnaire.	1.3	Questionnaire (product evidence).	By 00/00/0000		
Attend health and safety meetings.	1.2	Personal statement.	By 00/00/0000		
Develop a plan based on findings.	1.1, 1.4, 1.5, 2.2	Plan	By 00/00/0000		
Present plan to the responsible people.	2.1	Observation of presentation. Witness testimony of those ‘presented’ to.	00/00/0000		

Activities	Assessment criteria	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units (assessment criteria)
Run focus groups with staff to ensure relevant information and advice is provided.	2.3	Observation of focus group.	00/00/0000		
Staff complete questionnaire to compare against previous findings. Conduct a re-review of working environment.	2.4	Findings of completed questionnaire compared to previous results (product evidence).	By 00/00/0000		
Use performance measures as indicated in plan (such as % of dangerous occurrences) to measure effectiveness of plan.	2.4	Report on performance measure comparisons (product evidence).	By 00/00/0000		

Assessor's signature Peter Hoskins 1st review due 00/00/0000

Candidate's signature Paul Lee 2nd review due 00/00/0000

Date of agreement 00/00/0000 Date of completion 00/00/0000

Index of evidence — Example 2

Evidence number	Description of evidence	Included in portfolio (yes/no) If 'no', state location	Sampled by the IV (initials and date)
4	Observation record of workplace review	Yes — Section 1, page 4	SM — 00/00/0000
5	Personal statement reflecting on health and safety meeting	Yes — Section 1, page 5	SM — 00/00/0000
6	Record of questions and answers	Yes — Section 1, page 6	SM — 00/00/0000
7	Witness testimony of responsible people	Yes — Section 1, page 7	SM — 00/00/0000

Observation record — Example 3

Unit/outcome(s) Promote a Culture of Health and Safety in the Workplace

Candidate's name Paul Lee

Evidence index number 4

Date of observation 00/00/0000

Skills/activities observed	Assessment criteria covered
A thorough review of the workplace environment was carried out by Paul. This review included the observation of current posters, signage, etc that was displayed in the environment. Paul also spoke to several employees to ask them about how information on instructions and regulations was communicated to them. Paul made comprehensive notes during the review.	1.2 Identify how information on health and safety instructions and regulations are currently communicated. 1.3 Identify current level of understanding and support for health and safety instructions and procedures.

Knowledge and understanding apparent from this observation
Current communication strategies in respect of health and safety — Paul completed a thorough review which will support the development of a plan to promote a health and safety culture within the organisation. Current level of understanding and support for health and safety instructions and procedures — Through his insightful discussions with employees as he conducted his review Paul was able to identify the current level of understanding and support for health and safety within the organisation which will all make a valuable contribution to the development of his plan.

Other units/outcome(s) to which this evidence may contribute

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

I can confirm the candidate's performance was satisfactory.

Assessor's signature Peter Hoskins Date 00/00/0000

Candidate's signature Paul Lee____ Date 00/00/0000

Personal statement — Example 4

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Learning Outcomes covered*
00/00/0000	5	Having attended the health and safety meeting today, I have been able to identify further how information on health and safety instructions and regulations are currently communicated. I think the meeting also improved my awareness of the current level of understanding and support for health and safety. Clearly the management team is very supportive of all health and safety issues, and this was highlighted in a report discussed at the meeting about an incident at another factory. The meeting has also clarified my thoughts on providing opportunities to promote the advantages and legal necessity of following health and safety procedures. Having attended the meeting, I feel more able to include these in my plan.	4 and 6	1.2

Candidate's signature Paul Lee Date 00/00/0000

*or performance and knowledge and understanding requirements covered

Record of questions and candidate's answers — Example 5

Unit	Promote a Culture of Health and Safety in the Workplace
Outcome(s)	
Evidence index number	6

Circumstances of assessment
First review session with candidate. (Considering assessment criteria: 1.2 and 1.3 in particular)

List of questions and candidate's responses	
Q	Having completed your review of the workplace how would you rate the way health and safety information is currently communicated to the workforce within your organisation? Can you support your view?
A	I'd say that currently the communication with regard to health and safety is adequate. There are some good practices, but there are also plenty of opportunities for improvement.
Q	Having completed your review, spoken to employees and collated the results of your questionnaire, what would you say is the current level of understanding and support for health and safety instructions and procedures?
A	Generally, the understanding of health and safety instructions and procedures is good. All employees remembered the information they had been given at induction. They could show me the relevant sections within the staff handbook and they were aware of the importance of health and safety. However, in some of the operational areas there are instances where standards have begun to slip and shortcuts are being made. When I develop my plan, I will need to focus on opportunities for promoting the advantages and legal necessity of following health and safety procedures. I'm sure management will support me with this.

Assessor's signature Peter Hoskins Date 00/00/0000

Candidate's signature Paul Lee Date 00/00/0000

Unit progress record — Example 6

Qualification and level:

Candidate's name: Paul Lee

To achieve the whole qualification, you must complete all 13 credits from the mandatory units.

Unit checklist

Mandatory units: F/601/6633

Optional units:

Mandatory units achieved

Unit number	Title	Assessor's signature	Date
F/601/6633	Promote a Culture of Health and Safety in the Workplace	Peter Hoskins	00/00/00

Optional units achieved

Unit number	Title	Assessor's signature	Date

Witness testimony — Example 7

Witness testimony

Qualification title and level	**Promote a Culture of Health and Safety in the Workplace**
Candidate's name	Paul Lee
Evidence index no.	7
Index no. of other evidence which this testimony relates to (if any)	
Outcome(s)	
Date of evidence	00/00/0000
Name of witness	Dave Mulvaney (on behalf of senior management team)
Designation/relationship to candidate	Senior manager responsible for health and safety, line manager of Paul Lee

Details of testimony
Paul has provided a very insightful and detailed plan to support the promotion of a culture of health and safety within the organisation. Paul has made some good recommendations about how the communication of health and safety information could be improved; he has based this on some sound research, including a detailed audit, discussions with staff and the results of a staff questionnaire. Paul has clearly used his knowledge and understanding of health and safety and the organisation to include within his plan new and innovative opportunities for promoting health and safety within the organisation. The senior management team has agreed Paul's plan and recommended that he takes this forward. I can confirm the candidate's performance was satisfactory.

Witness's signature Dave Mulvaney Date 00/00/0000

Witness (please select the appropriate box):

☐ Holds appropriate qualifications

☐ Is familiar with the units to which the candidate is working

Meta-skills

Some Awards, Certificates and Diplomas include meta-skills as part of their content.

Meta-skills are transferable behaviours and abilities that help you adapt and succeed in life, study and work. There are three categories of meta-skills: self-management, social intelligence and innovation. Each of these is made up of four meta-skills and a number of sub-skills.



If they're included in your course, meta-skills might have a unit of their own, or they might be included across units. Whichever is the case, you will develop your meta-skills through a personal process of goal setting, action planning and reflecting on your progress. You'll work on developing the most relevant meta-skills across the categories. Your assessor will give you support and guidance on exactly what's required for assessment.

You will be supported to develop your meta-skills through projects and other assignments that reflect the professional or vocational practices and behaviours expected in industry or sector contexts.

They're included in the course in order to help you to actively identify and understand the meta-skills you are developing alongside technical knowledge and skills. We want to help you to appreciate the personal and professional value of these skills, which can help you to succeed in further study, gain employment, and make your mark in any workplace. We've always needed these skills, but we need them more than ever now, as industry, job roles and society changes as a result of technological and other global developments.

3: The units and recording documents for your qualification

On our website there are downloadable versions of blank recording forms. These are generic forms that can be found on the page for any Award, Certificate or Diploma, within the Candidate Guidance and Portfolio section. This includes blank versions of the following forms:

Assessment Plan

Index of evidence

Observation record

Personal statement

Record of questions and candidate's answers

Unit progress record

Witness testimony

Glossary of terms

Advisor: A person who carries out, either singly or in combination, the functions of advising a candidate, collecting evidence of his or her competence on behalf of the assessor and authenticating the work candidates have undertaken. A mentor might also provide witness testimony.

Assessment: The process of generating and collecting evidence of a candidate's performance and judging that evidence against defined criteria.

Assessment criteria: Statements which describe the standard to which candidates must perform the activities which are stated in the learning outcome.

Authentication: The process by which an advisor or assessor confirms that an assessment has been undertaken by a candidate and that all regulations governing the assessment have been observed.

Candidate: The person enrolling for a Qualifications Scotland qualification.

Centre: The college, training organisation or workplace where Qualifications Scotland qualifications are delivered and assessed.

Evidence: Materials the candidate has to provide as proof of his or her competence against specified assessment criteria or performance and knowledge requirements.

Evidence requirements: Statements that specify the evidence that must be gathered to show that the candidate has met the standards laid down in the assessment criteria or performance and knowledge requirements.

External verifier: The person appointed by Qualifications Scotland who is responsible for the quality assurance of a centre's delivery and assessment of a qualification. An external verifier is often appointed on a subject area basis or for groups of units that have a common background.

Instrument of assessment: A means of generating evidence of the candidate's performance.

Internal verifier: The person appointed from within the centre who ensures that assessors apply the standards uniformly and consistently.

Observation: A means of assessment in which the candidate is observed carrying out tasks that reflect the learning outcomes and assessment criteria or performance and knowledge requirements.

Learning outcomes: Statements which define the products of learning. They describe the activities the candidate has to perform to achieve the unit, and contain assessment criteria or performance and knowledge requirements.

Performance and knowledge requirements: Statements of competence or knowledge which describe the standard to which candidates must perform the activities that are stated in the learning outcome.

Portfolio: A compilation of evidence which can form the basis for assessment. The portfolio is commonly used in competence-based qualifications and in alternative routes to assessment such as recognised prior learning and credit transfer.

Product evaluation: A means of assessment which enables the quality of a product produced by the candidate to be evaluated, rather than the process of producing it.