Information for candidates starting an SVQ

Version number: 02

Published: October 2026

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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 SVQs	Content updated for accuracy and clarity. Added information about remote assessment.
2 How to compile your portfolio	Added information about video recorded evidence. Updated templates for accessibility: Observation record, Witness testimony, Questions and candidate answers.
Appendix 1	This is a new section.

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1 General information about SVQs

Introducing SVQs

The qualification you are undertaking is a Scottish Vocational Qualification (SVQ).

SVQs are work-based qualifications that assess the skills and knowledge people need to perform their job role effectively. The qualifications are designed using National Occupational Standards (NOS).

For each industry sector there is a standards-setting organisation made up of experienced practitioners who represent employers, professional bodies, trade unions, education organisations and voluntary organisations.

Each standards-setting organisation is responsible for developing the NOS that 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.

Access to SVQs is open to all, and you can be assessed either against part of an SVQ or the full SVQ. There are no entry requirements, no prescribed method of delivery, and no time constraints for completion or 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.

SVQs attract UCAS tariff points, which are used by some Higher Education providers to set entry requirements for courses. More information about tariff points can be found on the UCAS website.

There are SVQs for nearly all occupations in Scotland, and they range from SCQF level 4 to 11. Some SVQs or SVQ units are incorporated into other qualifications or programmes, including Higher National Certificates, Diplomas and Apprenticeship Frameworks. SVQ units can also be taken individually without the need to complete a full SVQ.

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 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 level of a qualification

indicates the level of difficulty and the number of credit points indicates the size of the qualifications and the typical length of time it takes to complete.

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

The title of an SVQ includes its SCQF level, to distinguish between SVQs at different SCQF levels in the same subject. For example, ‘SVQ in Professional Cookery at SCQF Level 5’.

Who offers SVQs?

An organisation that offers SVQs is called a ‘centre’. SVQ 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 the awarding body for your SVQ. We check that a rigorous and effective assessment process has been followed before we award your qualification. This is so that employers can be sure that you have the skills and knowledge you need for your job.

What is the structure of an SVQ?

An SVQ is made up of a number of NOS (they are often referred to as ‘units’, so that’s what we’ll call them in this guide). 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, you must achieve each of the SVQ units by demonstrating that you are competent in that aspect of the job.

The standards-setting organisation develops the NOS and determines the structure of the SVQ in consultation with employers, professional bodies, trade unions, education organisations and voluntary organisations.

The structure of an SVQ identifies the total number of units needed to achieve an SVQ.

The structure will also identify mandatory and optional units. The **mandatory section** will contain units that employers consider to be crucial to the job role, so everyone doing an SVQ must do these. The **optional section** gives you an opportunity to choose the remaining amount of units needed to achieve an SVQ that are most relevant to your specific job role.

The units define the broad functions carried out in the sector and are made up of a number of **Performance Criteria** and **Knowledge and Understanding Statements**.

The Performance Criteria describe what you have to do and how well you have to do it.

The Knowledge and Understanding statements describe what you must know and understand, and how this knowledge applies to your job.

Extract from an SVQ Unit

Unit number: XXXX XX

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

Unit overview:

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

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

Performance Criteria

(Performance criteria set out the standard of performance you need to demonstrate consistently to claim competence.)

You must be able to:

P1 carry out a formal risk assessment for work activities as required by legislation

P2 identify the hazards, evaluate the risks and implement suitable control measures

P3 where existing control measures are in place ensure that they are adequate and applied

P4 communicate the findings of the risk assessment to those at risk and promote good health and safety practice

Knowledge and Understanding

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

You need to know and understand:

K1 the difference between ‘hazard’ and ‘risk’ and how to carry out a risk assessment

K2 the hierarchy of measures to control risks (including elimination, substitution, relevant engineering controls, safe systems of work, training/instruction and Personal Protective Equipment (PPE)

K3 how to communicate the findings of the risk assessment and health and safety precautions to those at risk

K4 relevant health and safety legislation and the standards of protection to be achieved

Who does what in SVQs?

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

Role	Who are they?	What is their role?
Approved centres	Organisations approved by Qualifications Scotland to deliver and co-ordinate assessment arrangements for SVQs.	Manage assessment on a day-to-day basis. Centres are responsible for registering candidates with Qualifications Scotland and the assessors and internal verifiers that work from them. 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.
Candidates	The person who wants to achieve the SVQ — in this case, you.	Need to show they can perform to National Occupational Standards to be awarded a unit or a full SVQ.
Assessors*	The person who assesses the candidate and decides if they are competent. They will be experienced in the same area of work as the candidate, for example, a supervisor.	Judge the evidence of a candidate's performance, knowledge and understanding against the National Occupational Standards. Decide whether the candidate has demonstrated competence. Provide guidance and support to the candidate. Assist with planning assessments, giving feedback, and recording candidate progress. Ensure that the assessment process is not discriminatory in any way and that assessments are as fair and accessible as possible.
Internal verifiers	An individual nominated 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.

Role	Who are they?	What is their role?
External verifiers	An individual appointed by the awarding body to ensure that standards are being applied uniformly and consistently across all centres offering the SVQ.	Check the quality and consistency of assessments, both within and between centres, by systematically sampling candidates' evidence. Make regular visits to centres to ensure they still meet the criteria to deliver SVQs.
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 SVQ, 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.

*Assessors and verifiers in centres will be asked by Qualifications Scotland to prove they have the appropriate occupational competence to assess and verify the SVQ. Occupational competence has been defined by the standards-setting body in the Assessment Strategy for each SVQ. You can find this on our website.

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 recognised qualification.

How do I achieve an SVQ?

When you show that you have met the performance criteria and knowledge and understanding statements in a unit, you can then claim that you are competent in that unit. You can claim certification for single units or groups of units that form a full SVQ. Your centre will register your claim to competence with us.

The process of gaining an SVQ is flexible and depends on your needs. At the beginning of the process your assessor will discuss your existing competence in the units, 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 an SVQ, or a unit of an SVQ, you must demonstrate that you meet the requirements of the unit by collecting appropriate evidence to meet all performance criteria and knowledge and understanding statements. This evidence is assessed against the requirements of the unit by a qualified assessor.

For your assessor to determine your competence for a unit, your evidence must show:

- you can perform all the specified tasks to the required standard (performance criteria)
- you understand why you are doing things (knowledge and understanding)

Evidence can come from:

- **your current practice** — where you generate evidence in your current job role
- a **programme of development** — where evidence comes from assessment opportunities built into a learning or training programme (this could be at or away from your workplace)
- the **Recognition of Prior Learning** (RPL) — where evidence comes from past experience or achievements
- a combination of these

What is evidence?

To claim competence for an SVQ unit, you need to gather evidence that shows you have met the standards. It is important that your evidence is easy to understand so your assessor, your centre and the awarding body can check it against the standards.

Evidence can take many forms, including:

- direct observation of your performance by your assessor
- products of your work
- authenticated statement — witness testimony
- personal statement (reflective account)
- 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 SVQ 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 from a range of sources, such as employment, voluntary work, training programmes and interests/activities from 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, video or audio recordings or photographs.

English is the language of assessment for SVQs, unless otherwise stated. This means that your evidence collected must be in English. A small number of SVQs can be assessed in Gaelic where demand has been identified, should you wish to find out more about this please speak with your assessor.

When you first begin your SVQ, you and your assessor should identify all the units where you can **integrate the assessment** to avoid unnecessary duplication of effort. You can find out more about integrating assessment on page 10.

Demonstrating knowledge, understanding and skills

To meet the standards, you may also be required to prove your knowledge and understanding. Each unit contains a list summarising the knowledge, understanding and skills you need. Evidence of how you've achieved and used these could be included in the performance evidence as one or more of:

- 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 the way 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 whether 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 performance criteria 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 that you feel is relevant to your SVQ, 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. For example, if you have achieved an HNC in a relevant subject, your assessor may feel that you already have some of the knowledge and understanding required for the SVQ.

The process of matching your previous experience and learning is often referred to as the ‘Recognition of Prior Learning’ (RPL). Its purpose is to give you some credit towards your SVQ for things you can already do to the national standard. Your assessor judges the evidence that is available and matches it against the requirements of the SVQ. This means that your assessor should not have to assess you for these things again.

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 SVQ. The more information you can supply to support your claims, the easier it should be to convince your assessor that you are competent.

When can simulation be used?

Throughout your SVQ, 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 is not appropriate for you to be assessed while you are working. For example, your SVQ 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 produced by the standards-setting organisation. The assessment strategy will also specify the standards where simulation is and is not acceptable.

Remote assessment

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

Some types of live remote assessment, such as live video streaming, can be used for 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.

There are specific SVQs that follow different guidance on using remote assessment for direct observation. You can find more detail about this is in Appendix 1.

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 performance and knowledge and understanding statement assessed separately — doing so could result in assessment taking too long, and it 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 parts of different units. This is called **integration of assessment**. You may hear it being called ‘holistic assessment’.

When you first begin your SVQ, 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 and arrange for the best way to collect a single piece of evidence which satisfactorily covers all the performance criteria and or knowledge statements.

If you are going to integrate assessments, make sure that the evidence is cross-referenced to the relevant units. There are details of how to cross-reference your evidence in the following section.

2 How to compile your portfolio

General information

A portfolio is a way of recording evidence of your achievements. It's 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 and methodical. Each piece of evidence should relate to the performance criteria and knowledge and understanding statements. 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.

There is no need to duplicate evidence for a portfolio, for example by making copies or printing out digital evidence. A clear explanation of where the original evidence can be found is sufficient.

You will need to present your evidence in a format that is easy to read and that makes it easy to add materials or take them 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 that will help you to chart your progress through the SVQ.

You don't 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 SVQ, 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 to your assessor Your assessor to the internal verifier
Reference acceptable evidence	You
Assess evidence	Assessor will judge evidence and give you feedback on which evidence meets the standards
Record evidence in achievement record	You
Store evidence in portfolio	You

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 don't have to do the units in order. There may be some units that relate to tasks which you carry out on a regular basis, making it easier to collect evidence right away. Alternatively, there may be activities in other units that you only undertake now and again, and which 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'll 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 — they 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've produced an example assessment plan (example 1) which covers a typical Health and Safety unit. It's included as guidance only.

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

We've 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 be located easily. You can then circle the reference number of that 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 SVQ.

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. We've given links to blank samples of these forms in Section 3.

We recommend that you compile your portfolio in the following order:

- Portfolio cover
- Unit progress record
- Candidate declaration
- Personal profile
- Index of evidence
- Completed unit achievement records
- Pieces of evidence
- Standards (your assessor will provide you with copies of these)

Although we've provided you with sample forms (in section 3), your centre may have their own recording documents which they would prefer you to use, or they may use e-portfolios that have these features built-in so you don't need to use the downloadable forms.

We've explained below about how and when these forms should be used, and there are worked examples to give you a clearer picture of how to compile your portfolio. You should ask your assessor for 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 (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

There's a title page for the portfolio ☐

Personal profile includes:

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 cover:

Each unit ☐

Unit progress record:

Is signed by yourself, your assessor and the internal verifier (where relevant) ☐

Includes evidence reference numbers ☐

Index of evidence:

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 the evidence you collect and present for assessment must be relevant to your SVQ. 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 performance 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 you're 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 tasks you have performed, and the standard to which you did this. There is also a section for your assessor to note which other units are covered by this evidence (integration of assessment).

The assessor will discuss with you which performance criteria and knowledge and understanding statements you have successfully achieved, and will 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 unit.

For example, you may refer to paperwork that's 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 describe 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, and 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 that 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. 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 or 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.

Unit achievement record

There is an achievement record for every unit in your portfolio. These records have been designed to allow you to record the evidence you have gathered for each unit in the SVQ. Each record has boxes across it which represents the performance criteria and knowledge and understanding statements. When collecting your evidence you should use these grids to display the performance and knowledge and understanding statements that piece of evidence relates to.

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 that you cannot physically include in your portfolio. This might be for confidentiality reasons, or it could be that something 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 SVQ, 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 performance criteria and Knowledge and Understanding statements that are linked to a specific piece of evidence. The links should be noted on the pieces of evidence themselves as well as on the unit achievement record (see page 31) and the index of evidence (see page 24).

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

Activities	**Performance criteria/ Knowledge and Understanding Statement**	**Method of assessment/sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other units**
Visit the HSE website for practical guidance on what a risk assessment is and how to go about it.	P1, K1, K2, K4	Review documentation (product evidence) Personal statement	By 00/00/0000 By 00/00/0000		
Walk around the workplace and look at what could reasonably be expected to cause harm.	P1 and 2, K1 and K2	Observation	By 00/00/0000		
Ask employees for their thoughts on potential hazards.	P1 and 2	Observation	By 00/00/0000		
Check manufacturers' instructions or data sheets for chemicals and equipment to determine potential hazards and any counter measures.	P1 and 2	Observation	By 00/00/0000		
	Informal review to chat through how things are progressing and discuss any issues or concerns		00/00/0000		

Activities	**Performance criteria/ Knowledge and Understanding Statement**	**Method of assessment/sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other units**
Evaluate findings.	P1 and P2	Question and Answer (second review)	By 00/00/0000		
Identify and implement control measures.	P1 and P2	Review documentation (product evidence) Witness testimony	By 00/00/0000 By 00/00/0000		
Identify, source and review current company policy, documentation and procedures to determine what existing control measures are in place.	P3	Review documentation (product evidence)	By 00/00/0000		
Check how well the existing control measures are applied by employees through observation of working practice, visibility of health and safety notices, etc.	P3	Review of documentation (product evidence)	By 00/00/0000		
Check existing control measures are adequate by comparing them with examples of good practice identified on HSE's website.	P3, K4	Review of documentation (product evidence)	By 00/00/0000		
Identify any additional precautionary measures that should be applied to bring control measures up to current standard.	P3	Review of documentation (product evidence)	By 00/00/0000		

Activities	Performance criteria/ Knowledge and Understanding Statement	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units
Produce a report that records details of the hazards identified, adequacy of existing control measures and recommendations for updating existing control measures to meet current standards and new control measures to be introduced.	P4	Review of documentation (product evidence)	By 00/00/0000		
Communicate Health and Safety control measures through staff presentations, handbooks, procedures and signage.	P4, K3	Review of documentation (product evidence)	By 00/00/0000		

Assessor's signature Peter Hoskins

Candidate's signature Paul Lee

Date of agreement 00/00/0000

1st review due 00/00/0000

2nd review due 00/00/0000

Date of completion 00/00/0000

Index of evidence – Example 2

Qualification title and level:

Evidence number	Description of evidence	Included in portfolio (Yes/No) If No, state location	Sampled by the IV (initials and date)
1	Plan of areas to be inspected and potential hazards to look for	Yes — Section 1, page 1	SM — 00/00/0000
2	Personal statement reflecting on the importance and benefit of promoting a culture of health and safety within the organisation	Yes — Section 1, page 2	SM — 00/00/0000
3	Observation record of workplace review	Yes — Section 1, page 3	SM – 00/00/0000
4	Record of questions and answers	Yes — Section 1, page 4	SM — 00/00/0000
5	Witness testimony of responsible people	Yes — Section 1, page 5	SM — 00/00/0000
6	Presentation to senior management team	Yes — Section 1, page 6	SM — 00/00/0000
7	Risk assessment report for senior management team	Yes — Section 1, page 7	SM — 00/00/0000

Observation record – Example 3

Unit title Promote, monitor and maintain health, safety and security
Candidate's name Paul Lee
Evidence index number 3
Date of observation 00/00/0000

Skills/activities observed	Performance criteria/Knowledge and Understanding statements covered
Prior to carrying out the risk assessment, Paul prepared a plan detailing the areas of the organisation to be inspected and potential hazards to look for. This approach proved very successful as it helped him focus on what to look for in terms of hazard, risk and control measures either currently in place or that should be implemented. Throughout the risk assessment, Paul spoke with several members of staff to gather their understanding of health and safety in general and any potential hazards they considered to be present. Paul made comprehensive notes during the review.	P1, 2 and 3, K1, 2

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

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)	Performance criteria/ Knowledge and Understanding statements covered
00/00/0000	2	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	P1, P2, K1, K4

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

Record of questions and candidate's answers – Example 5

Unit	Promote, monitor and maintain health, safety and security
Outcome(s)	
Evidence index number	4

Circumstances of assessment
First review session with candidate. (Considering Performance criteria/Knowledge and Understanding statements: P1, 2 and 3, K1, 2, 3 and 4)

List of questions and candidate's responses
Q Can you explain the difference between a hazard and a risk?
A Hazard — anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer. Risk — the chance, high or low, that somebody could be harmed by these and other hazards and how series the harm could be.
Q Tell me about the health and safety legislation that applies to your organisation.
A Section 3 (i) of the Health and Safety at Work Act 1974 which states that: 'It shall be the duty of every employer to conduct his undertaking in such a way as to ensure, so far as is reasonably practicable, that persons not in his employment who may be affected are not thereby exposed to risks to their health or safety.'
Q What standards of protection must be achieved in your organisation?
A • Management of Health and Safety at Work (Amendment) Regulations 2006 Health and Safety (Display Screen Equipment) Regulations 1992 • Health and Safety (First Aid) Regulations 1981 • Reporting of Injuries, Diseases and Dangerous Occurrences (Amendment) 2012 — (RIDDOR) • Workplace (Health, Safety and Welfare) Regulations 1992 Manual Handling Operations Regulations 1992 (As Amended) • Although not strictly under Health and Safety Regs the Fire Safety (Scotland) Regulations 2006 does affect us greatly.

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:

To achieve the whole qualification, you must prove competence in insert number mandatory units and insert number optional units.

Unit checklist

Mandatory units	**Optional units**
Unit title Unit title Unit title Unit title	Unit title Unit title Unit title Unit title

Mandatory units achieved

Qualifications Scotland code	**Unit title**	**Assessor's signature**	**Date**
Code	Unit title		Date
Code	Unit title		Date
Code	Unit title		Date
Code	Unit title		Date
Code	Unit title		Date

Optional units achieved

Qualifications Scotland code	**Unit title**	**Assessor's signature**	**Date**
Code	Unit title		Date
Code	Unit title		Date
Code	Unit title		Date
Code	Unit title		Date

Witness testimony – Example 7

Qualification title and level	**Promote, monitor and maintain health, safety and security**
Candidate's name	Paul Lee
Evidence index no.	5
Index no. of other evidence which this testimony relates to (if any)	
Performance criteria/Knowledge and Understanding statements covered	
Date of evidence	00/00/0000
Name of witness	Dave Mulvaney (on behalf of senior management team)
Email address of witness	
Designation/relationship to candidate	Senior manager responsible for health and safety, line manager of Paul Lee

Details of testimony
Paul delivered a very interesting and informative presentation to senior management today about the risk assessment he carried out in January this year. He began by explaining what a risk assessment is and what is meant by a hazard, risk and control measures. He then handed us a blank risk assessment template he had produced. He then put a picture of our general office up on the screen and asked us to see whether we could see any hazards. This prompted a very interesting discussion as some hazards are much more obvious than others. Having identified the hazards, Paul then asked us to consider who might be harmed and how? Again, this prompted good discussion as it encouraged us to think about the consequences of what could happen to the individual and the organisation. Paul then presented us with a report of his risk assessment findings. After reading through the report and discussing some aspects with Paul, all members of the senior management team agreed with most of Paul's recommendations and requested he implement them as soon as possible.

I can confirm the candidate's performance was satisfactory.

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

Witness (please select the appropriate box):

Holds appropriate qualifications and/or experience ☐

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

Unit Achievement Record – Example 8

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

Columns P1 to K4 indicate the Performance criteria/Knowledge and Understanding statements covered.

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

Assessor's notes/comments

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

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

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

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

Internal verifier's signature Sharon Moore **Date** 00/00/0000

Personal profile

Name**:**

Address:

Postcode:

Telephone:

Email address:

Job title**:**

Relevant experience

Description of your current job (you don't have to write a lot for your current and previous work experience just bullet main aspects that you think are relevant to the SVQ you are doing):

Previous work experience**:**

Qualifications and training**:**

Voluntary work/interests:

Current training

Name of employer/training provider/college**:**

Address**:**

Postcode:

Telephone number:

Type of business**:**

Number of staff:

Structure of organisation (include chart or diagram if available):

Mentor's name**:**

Mentor's relationship to you**:**

3 The units and recording documents for your qualification

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

- Unit Progress Record
- Assessment Plan
- Candidate Declaration
- Personal Profile
- Index of Evidence
- Achievement Record
- Observation Record
- Question and Answer
- Personal Statement
- Witness Testimony

Appendix 1: Remote assessment

This appendix provides more detail on the arrangements for remote assessment for SVQs. Remote assessment means using technology to conduct assessment from another location. In this case, we refer specifically to the use of remote assessment for direct observation, such as through a live video stream.

For the majority of SVQs, remote assessment can be used for direct observation if the assessment strategy for the qualification specifically permits it. This means that the assessment strategy will state that remote assessment can be used in this way. If the assessment strategy does not state this, remote assessment cannot be used.

There are specific SVQs for which remote assessment **can** be used to conduct direct observations, as long as the assessment strategy does not prohibit it. These SVQs are:

Qualification title	**Code**
SVQ in Beauty Therapy at SCQF level 6	GW2F
SVQ in Learning and Development at SCQF level 8	GV86
SVQ in Learning and Development at SCQF level 9	GV87
SVQ in Museums and Galleries Practice at SCQF level 7	GV5T
SVQ in Beauty Therapy at SCQF level 5	GW2E
SVQ in Textile Care Services at SCQF level 5	GW1G
SVQ in Food and Drink Operations (Brewing Skills) at SCQF level 5	GW05
SVQ in Food and Drink Operations (Craft Bakery Skills) at SCQF level 5	GW06
SVQ in Food and Drink Operations (Craft Bakery Skills) at SCQF level 5	GW0E
SVQ in Food and Drink Operations (Dairy Skills) at SCQF level 5	GW02
SVQ in Food and Drink Operations (Distribution Skills) at SCQF level 5	GW03
SVQ in Food and Drink Operations (Distribution Skills) at SCQF level 5	GW0F
SVQ in Food and Drink Operations (Fish and Shellfish Skills) at SCQF level 5	GW04
SVQ in Food and Drink Operations (Food Sales and Service Skills) at SCQF level 5	GW07
SVQ in Food and Drink Operations (Food Sales and Service Skills) at SCQF level 5	GW08
SVQ in Food and Drink Operations (Meat and Poultry Skills) at SCQF level 5	GW0A
SVQ in Food and Drink Operations (Meat and Poultry Skills) at SCQF level 5	GW0G
SVQ in Food and Drink Operations (Production and Processing Skills) at SCQF level 5	GW0H
SVQ in Food and Drink Operations (Production and Processing Skills) at SCQF level 5	GW0J
SVQ in Food and Drink Operations: Food Manufacturing Excellence at SCQF level 5	GW0C

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.

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 performance criteria and knowledge and understanding statements.

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 performance criteria and knowledge and understanding statements.

Performance criteria and knowledge and understanding statements: Statements of competence or knowledge which describe the standard to which candidates must perform the activities that are stated in the unit.

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.