Information for Assessment of Awards, Certificates and Diplomas Delivered in Scotland

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Version 3

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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**
Competence-based qualifications	Added information about roles of centres and employers.
1 Preparing to assess this qualification	Content updated for clarity. Added content about roles of internal and external verifiers. Updated content on methods of assessment. Added content about video recorded evidence. Added content about remote assessment.
2 Generating evidence	Content updated for clarity.
3 Recording Achievement	Updated content on electronic evidence for accuracy.
4 Further information	Links updated

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About this information

This guide offers practical advice on how to assess your candidates for a regulated Award, Certificate or Diploma.

This assessment information contains some general examples of assessment practice that are typical to most job roles. This advice is offered as examples of good practice. You may develop your own approaches to assessing your candidates, as long as they adhere to the assessment requirements of the specific qualification you are assessing. This information also contains suggested recording documentation, which you may amend as appropriate.

Before assessing any candidate, you must read the assessment strategy produced by the standards-setting organisation (SSO) or equivalent for the qualification. This is published on the SVQ/alternative competence-based qualification subject page on our website.

The assessment strategy outlines the following requirements:

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

Centres are reminded that it is their responsibility to ensure that assessments are appropriate and that quality assurance procedures are followed. The only exception to this is where assessments are provided by Qualifications Scotland, for example via SOLAR, Qualifications Scotland’s digital assessment platform.

Competence-based qualifications

Competence-based qualifications allow learners to evidence a standard of skill, usually in a workplace setting.

Qualifications Scotland main competence-based qualifications are SVQs and regulated Awards, Certificates and Diplomas (collectively termed alternative CBQs).

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

Awards, Certificates and Diplomas can be derived from a range of sources including National Occupational Standards (NOS), industry standards and professional standards.

Awards, Certificates and Diplomas are available from SCQF levels 4 to 11 and contain various SCQF credit points determined by the unit content within the qualification. Unlike most other Qualifications Scotland qualifications, the title of an alternative CBQ indicates the number of credit points (size of qualification) rather than the level of the qualification.

Title	**SCQF credit points**
Award	Up to 12 credits
Certificate	13 to 36 credits
Diploma	37+ credits

Unit specification

There are two types of Award, Certificate and Diploma Unit template, to accommodate the different styles of units developed by standards-setting organisations.

The main differences between the unit templates are that Unit template 1 contains assessment criteria and Unit template 2 contains performance and knowledge and understanding requirements — and can also include reference to meta-skills. The assessment process is the same regardless of the unit template used.

Unit template 1 is the most commonly used template and is therefore used here for exemplification.

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. The broad categories and their sub-skills provide a framework for learners to understand their own skills development.



The inclusion and assessment of meta-skills content is likely to be specified in one of a number of ways, such as:

- in a discrete meta-skills unit within which all specified evidence can be gathered
- in a discrete unit which specifies relevant evidence that should be gathered across the Award, Certificate or Diploma
- in one or more outcomes within units in the Award, Certificate or Diploma

Whichever approach is specified, learners will be required to gather evidence of their own meta-skills development through a process of self-assessment, goal setting, action planning and reflective practice. There are no mandated meta-skills that absolutely must be covered but we'd expect learners to develop relevant skills from across the three categories.

Centres will support learners to understand and develop the key meta-skills most relevant for the industry/sector and also those meta-skills that are most relevant to them, encouraging an individualised, active learning approach.

The emphasis is on their development via projects and other learning, teaching and assessment approaches that reflect the professional or vocational practices and behaviours expected in industry or sector contexts. We anticipate that the integrated inclusion of meta-skills will help learners to identify and understand the meta-skills they can develop, and to appreciate the personal and professional value of these skills. In this way, we prepare learners with broad skills profiles, who can thrive in a changing world.

Each Award, Certificate or Diploma will contain further guidance and signposting to relevant support materials.

Award, Certificate and Diploma units explained

Feature	Notes to assist completion
Title	A title is mandatory. It must be the accredited unit title.
Learning outcomes	Learning outcomes are mandatory. They 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	Assessment criteria or performance and knowledge and understanding requirements (depending on unit template used) are mandatory. They specify the standard a candidate is expected to meet to demonstrate that the learning outcomes of that unit have been achieved. All assessment criteria must be achieved.
Additional information about the unit	Appropriate additional information may be added here.
Unit purpose and aim(s)	This provides a succinct summary of the learning outcomes of the unit. It is mandatory.
Details of the relationship between the unit and other standards or curriculums	This will only be completed where there are other relevant professional standards or curricula.
Assessment requirements specified by a sector or regulatory body	This will only be completed where a particular approach to assessment is required to meet the requirements of one or more qualifications.
Assessment (evidence) requirements	This section outlines the types of evidence that candidates must produce, how much evidence is required and where applicable, and any restrictions on the way in which the evidence must be produced (the ‘conditions of assessment’) to meet the requirements of the assessment criteria.
Guidance on instruments of assessment	Instruments of assessment should be selected to meet the evidence required by the assessment criteria within the unit. In this section, some instruments of assessment may be suggested. However, their use is not mandatory.

Who is involved in this qualification?

There are several roles:

Candidate: the person who wants to achieve the qualification (for example, an employee).

Assessor*: the person who assesses the candidate and decides if they are competent (for example, a supervisor).

Internal verifier*: an individual nominated by the centre who ensures that assessors apply the standards uniformly and consistently (for example, supervisor's line manager).

External verifier*: an individual appointed by Qualifications Scotland who ensures that standards are being applied uniformly and consistently across all centres offering the qualification.

Approved centre: an organisation approved by Qualifications Scotland to deliver, assess and quality assure Qualifications Scotland qualifications. Centres are responsible for registering candidates and the Assessors and Internal Verifiers that work for them.

Employers: an organisation that presents a candidate to an approved centre for assessment.

*Assessors and verifiers in centres will be asked by Qualifications Scotland to prove they have the appropriate occupational competence to assess and verify the qualification. Occupational competence will have been defined by the standards-setting organisation or equivalent in the assessment strategy — see Qualifications Scotland website.

Assessors and verifiers are also expected to obtain an appropriate qualification in assessment and verification — or an equivalent as recognised by Qualifications Scotland and the relevant Assessment Strategy. In some instances, Assessor and Verifiers may have predecessor qualifications but can prove currency of practice by undertaking continued professional development. More information on Assessor and Verifier qualifications can be found in our publication Choosing appropriate assessor and verifier qualifications

The steps involved in assessing a candidate for this qualification

In deciding whether a candidate should be awarded a qualification, you will go through these stages:

- planning for assessment
- generating and collecting evidence of the candidate's competence in the units
- judging the evidence of the candidate's ability and making an assessment decision based on the evidence
- recording the assessment decision and the candidate's achievement

Why would people be interested in the qualification?

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

How do candidates begin?

Choosing the right qualification

You should make sure that candidates get guidance before starting out on this qualification. They need advice to ensure, for example, their existing job remit, skills, experience, and their plans for progression, are matched to the qualification selected. It does not have to be you as the assessor who carries out the matching process, but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

1: Preparing to assess this qualification

This section offers practical advice on how to go about assessing your candidates for the qualification. This advice here is offered as examples of good practice — you may develop your own approaches that work just as well provided they are in adherence with the Assessment Strategy for the qualification you are assessing.

Your role and your candidate's role

Assessing the qualification will involve several stages. Both you and the candidates should be clear on your roles in the assessment process before you begin.

Your role

- Plan for assessment
- Ensure candidates understand what is to be assessed and how it is to be assessed
- Ensure candidates understand that English is the language of assessment for regulated qualifications, unless otherwise stated
- Ensure the conditions for assessment are appropriate and any required resources are available
- Ensure candidates know how to identify and gather evidence
- Observe and record candidates carrying out the activities described in the units — records should say what has been observed, how it was carried out, and what it demonstrates
- Assess products of the candidates' own work
- Question candidates and record results
- Advise candidates on how to present evidence
- Authenticate the evidence candidates provide
- Judge evidence and make assessment decisions
- Identify gaps or shortfalls in candidates' competence
- Provide feedback to candidates throughout the assessment process
- Record achievement
- Participate in centre standardisation meetings and any other quality assurance practices as required by your centre

Candidate's role

- Prepare for assessment — become familiar with the units, what is to be assessed and how it is to be assessed
- Identify sources of evidence and how these could be assessed
- Carry out activities, produce products of own work, and answer questions
- Gather and present evidence
- Receive and act on feedback from the assessor

Internal and external verifier roles in the assessment process

To support the assessment process and to ensure that standards are being applied consistently across your centre and others, internal and external verification are required.

Internal verifier's role

- appointed by the approved centre
- guides and supports assessment teams and individual assessors
- monitors and develops assessors' practice
- conducts formative, interim and summative internal verification
- monitors candidate records, progress and achievements
- participates in the development of the centre's quality assurance systems, procedures and staff competences
- instigates and manages standardisation events and team meetings
- answers queries relating to assessment and verification practices and processes
- support assessors in specific ways such as providing guidance for simulations and additional support needs
- ensures that awarding organisation and centre quality assurance requirements are adhered to, monitored and evaluated

External verifier's role

- appointed by Qualifications Scotland
- prepares, plans and carries out external quality assurance to Qualifications Scotland and subject specific requirements
- undertakes prior verification of centres' internally devised methods of assessment
- provides the approved centre with feedback, advice and support to help them maintain and improve their assessment practice
- participates in approval, post approval and development visits to approved centres
- assists Qualifications Scotland and centre staff with subject specific inquiries
- delivers and participates in external verifier training events and standardisation

Planning for assessment

In planning for assessment, you will find it helpful to meet with your candidate and plan what is to be assessed, in what way, and when and where the assessment is to take place. This discussion can be confirmed in the form of an agreed assessment plan between you and your candidate.

You should treat assessment plans as working documents — they can be updated and changed as you review progress with your candidate.

While you are planning assessment, don’t forget to make the most of opportunities to integrate assessments. This means planning to assess an activity which draws on the contents of different units or learning outcomes. It can be a practical and cost-effective way of assessing your candidate’s competence. Integrating assessment is often referred to as ‘holistic assessment’.

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. Examples relevant to this unit are used throughout the rest of this assessment information document.

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

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

Structure of the Unit: Award, Certificate and Diploma (Unit specification template 1)

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

Outcomes — the candidate will:	Assessment criterion — the candidate can:
1 Be able to develop plans to promote a health and safety culture in the workplace.	1.1 Identify where improvements and changes may be necessary. 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. 1.4 Develop a plan based on findings to include performance measures, review dates and resources. 1.5 Include in the plan opportunities for promoting the advantages and legal necessity of following health and safety procedures.
2 Implement the plan to promote a health and safety culture in the workplace.	2.1 Present the plan to the responsible people for the workplace to gain their support. 2.2 Identify those in the workplace who will require advice about the plan to promote a health and safety culture in the workplace. 2.3 Ensure that relevant information and advice is provided at a timely way and provide opportunities for encouraging ideas on good practice. 2.4 Measure the effectiveness of the plan against past and present performance.

Assessment plan

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, and so on).	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		

Activities	Assessment criteria	Method of assessment/sources of evidence	Date of assessment	Evidence already available	Links to other units (assessment criteria)
Present plan to the responsible people.	2.1	Observation of presentation. Witness testimony of those 'presented' to.	00/00/0000		
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

Selecting methods of assessment

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

- By **valid** we mean that the assessment method should be appropriate to the units.
- By **reliable** we mean that the assessment method should ensure consistent results when used with different candidates, different assessors and on different occasions.
- By **practicable** we mean that the method ensures that the assessment makes best use of available resources, equipment and time.
- By **equitable** and **fair** we that the assessment method should offer all candidates an equal opportunity to demonstrate their competence.

Before you assess a candidate, you must make sure that the methods of assessment you have chosen to use, along with any assessment materials (such as questions and sample answers) have been agreed within your centre through its system of internal quality assurance. This system is often called **internal verification** — its purpose is to help to ensure that assessment methods are valid, reliable, practicable, equitable and fair. This does not apply in cases where assessments are provided by Qualifications Scotland, for example via SOLAR, Qualifications Scotland digital assessment platform.

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

The benefits might be:

- familiarity with working environment
- familiarity between candidate and assessor
- assessment supports valid work practices

The challenges might be:

- staff co-operation to complete required documentation or to provide information
- time commitments

Example

You could agree with a candidate working in an engineering firm who has to ensure that relevant information and advice on health and safety is provided in a timely way, that this will be carried out by observation when situations arise. If you are an assessor who is working alongside the candidate you should be well placed to observe the candidate’s performance, perhaps using a prepared checklist, and to question the candidate about the situation afterwards.

Methods of assessment

Assessment may involve a range of assessment methods. For this qualification, some of the most commonly used methods are observation, product evidence, and questioning.

Observation

Observation by an assessor is considered to be the most valid and reliable method of assessment. It can be organised in a variety of ways:

- working alongside the candidate
- arranging to visit when naturally-occurring activities are carried out by the candidate
- arranging for activities to take place

Observation by the assessor can often be supplemented by other methods of assessment such as questioning. For example, it may be appropriate to ask oral questions of candidates as they carry out naturally-occurring activities.

If it is not possible to conduct an observation in person, it may be acceptable do so remotely, as long as the assessment strategy for the qualification permits this. This must take place in real time, in a way that allows the assessor to verify the candidate's identity, to have an uninterrupted view of the candidate, and to ask questions through live audio. The same principles of assessment apply to recorded evidence as they would to any other. Assessors must also gain consent from the candidate to make the recording, and may also need consent from the employer.

Example

Observation could be used for assessment of this unit in a variety of ways such as:

- The assessor could observe the candidate undertaking a review of the work environment. The candidate is undertaking this review to identify how information on health and safety instructions and regulations are currently communicated. The assessor can note if the candidate 'misses' any key factors to support this assessment criterion and can also use question and answer techniques alongside this observation to see what the candidate did or did not notice.
- The assessor could observe the candidate presenting the resulting plan to the responsible people. The structure and the clarity of this presentation would be important for the assessor to observe.

Product evidence

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

Examples

- The plan to promote a health and safety culture.
- A questionnaire for all staff to identify how information on health and safety instructions and regulations are currently communicated.
- Report on performance measures comparison (past and present performance) to review the effectiveness of the plan.

Questioning

Candidates have to show that they can meet the knowledge specifications for the qualifications. Much of a candidate's knowledge and understanding will be apparent from what they do or produce as part of their work, but this will not always be the case, and questioning can be a useful way of confirming what candidates know and understand.

Questions can be asked in a variety of forms, such as oral questions in person or via video call, short answer written questions and multiple-choice.

You should be careful that the method of questioning does not go beyond the competence required for the qualification and become a barrier to fair assessment. For example, some candidates will feel more comfortable with oral questions than written questions.

Example

Oral questioning examples for this unit:

Q While observing you undertaking your review of the workplace, I noticed you referenced a trip hazard as a potential problem. Could you explain how you would provide support or information to promote a culture of health and safety so that such a hazard is removed?

A I would talk to the staff about both short-term and long-term solutions to the problem, asking them why the trip hazard is there in the first place. If it needs to stay there, then in the short-term they need to look at adequate signage, but in the long-term there needs to be a solution that removes the trip hazard. This may involve moving equipment, adding extra electrical sockets, etc.

Q Having completed your review, how would you rate the way health and safety information is currently communicated to the workforce within your organisation?

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.

Other methods of assessment

These methods, like questioning, are often used for authentication. See Section 3 for more about authenticating candidates' evidence.

Personal statements

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

Example

A personal statement could be used as part of the assessment methodology for this unit to provide an opportunity for the candidate to 'write up'/evaluate their attendance at the health and safety meeting. The candidate could be asked to include this in their personal statement showing how the meeting contributed to the plan. Similarly, following the focus groups a personal statement could provide evidence of findings and why the candidate then suggested particular activities within the plan.

Witness testimony

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

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

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

Strength of witness testimony (in decreasing order from strongest to weakest)
Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the units. This person may also be an appropriately qualified assessor and internal verifier.
Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the units.
Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the units.
Someone who may be a colleague of the candidate, but with no knowledge of the units.
Someone with no or little knowledge of the candidate's work or no knowledge of the units.

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

Simulation

Simulation is any structured assessment exercise involving a specific task which reproduces real-life situations.

On some occasions, it may not be practical to assess a candidate in real work. Examples might be where the standards require candidates to carry out emergency or contingency procedures, or where client confidentiality is an issue, or where a candidate's job role does not cover all aspects of the qualification.

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 the candidate's identity, to have an uninterrupted view of the candidate, 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 the candidate's consent if making a recording, and may also need the employer's authorisation if the recording is taking place in the workplace. There is more information on remote assessment on our website.

Other sources of evidence

Other sources of evidence can be previous experience or learning, case studies or assignments.

Qualifications Scotland's Guide to Assessment (see Section 5) has more advice on methods of assessment and how to ensure that your assessment is valid, reliable and practicable.

2: Generating evidence

The methods of assessment you use should generate sufficient evidence to demonstrate the candidate's competence.

We described earlier the circumstances in which you might choose to use different methods of assessment. This section gives you examples of forms which you can use to record and present evidence of:

- observation (by the assessor)
- questions and candidate responses
- personal statement (produced by the candidate)
- witness testimony

There is a link to blank forms that you can copy and use in Appendix 1.

Observation

For observation, note that the form asks you to record the skills and activities observed. This helps you to make a judgement on how the activity was carried out and what it demonstrates.

Observation record

Unit/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

Questions and candidate responses

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

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

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

Record of questions and candidate's answers

Unit	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

Candidate's personal statement

If a personal statement is being used as evidence, it should be completed by the candidate. The statement should record what they did, how and why they chose to carry out an activity or produce work in a certain way. Where other people may have been present during an activity and they may be able to provide witness testimony, the candidate should record how the statement links to other evidence in the column provided.

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, 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

Witness testimony

Remember when you begin to use witness testimony that it must be capable of being authenticated, even if the testimony itself is being used to authenticate a candidate's claim to competence. To make sure the witness testimony is genuine, you must ensure that you have a record of who is acting as a witness, their relationship to the candidate (for example, supervisor, client) address, telephone number and the date. There is space for this information in the form.

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

Filling the gaps

There may come a time when your candidate has provided evidence for most of the unit (or qualification), but there are some gaps. For example, you may find that certain situations, such as handling contingencies, have not arisen during assessment. Often these will relate to dealing with health and safety issues, or unexpected problems with workflow like delays in receiving information from another part of the organisation.

You may be able to overcome these through ‘what if’ questions — either by questioning or professional discussion. You might also want to consider extending the time period for the overall completion of the unit, so that the candidate has adequate time to provide relevant information and advice when it is needed. If acceptable, evidence may be gathered through simulation or undertaking different or new opportunities or responsibilities within the organisation.

Guidance and support to candidates

At all times during the assessment process — from planning through to making your assessment decision — feedback should be on-going, clear and constructive. Feedback should be given against the units relating it to the evidence provided.

Where there are any shortfalls in a candidate’s competence, you should discuss these with your candidate and make plans for re-assessment. In some instances, you may be required to provide some feedback to the candidate’s employer.

Judging candidate evidence and making an assessment decision

In judging candidate evidence, you must be satisfied that your candidates can work consistently to the required standard, and that the evidence they have produced is their own. You must consider whether your candidate understands and applies the knowledge evidence and how this links to assessment evidence.

Evidence must:

- be relevant to qualification
- be current, valid, authentic and sufficient.

Assessments must be:

- valid, reliable, practicable, equitable and fair
- safe
- measured against specified criteria
- relevant to the qualification
- sufficient to help you form a decision about the candidate’s current competence.

Insufficient evidence

You have to judge whether the candidate has produced enough evidence required by the units for you to reach a decision about their evidence.

Where there is insufficient evidence, you should say this to your candidate. You should tell them that it is not that they are not yet competent — there is simply not enough evidence on which to make a decision.

In this situation, your feedback to your candidates must help them produce more evidence and/or plan for further assessment.

Authenticating candidates' evidence

Authentication is required where you have not observed candidates' performance at first hand.

You can check whether a candidate has produced evidence which they claim shows their competence by questioning them or, if this is appropriate, asking them to produce a personal statement, using witness testimony, or seeking peer reports from other colleagues of the candidate.

Example

For this unit, the 'responsible people' in the organisation are in the best position to make observations regarding the content and suitability of the health and safety plan produced by the candidate. Questioning the candidate about approaches to developing the plan would also help to authenticate the evidence produced.

3: Recording achievement

You should retain all evidence — clearly referenced — for internal and external verification.

The candidate's evidence is normally kept in a file, often called a portfolio. These documents help you and your candidates to collect, present and cross-reference the evidence to the units. They are also a means of recording your assessment decisions, and they tell an external verifier what stage a candidate has reached in achieving the qualification.

Evidence may be physical or paper-based, or it may be electronic. Physical or paper-based evidence may be stored in a traditional portfolio. Electronic evidence may be stored in any appropriate and secure manner. You may wish to use e-portfolio software to help manage the storage of electronic evidence.

Whatever format you and your candidates choose to use, the documents must show what evidence was generated, the assessment decisions you made, how the evidence meets the units, and where the evidence can be located.

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 for an external verifier.

There are various reasons why record-keeping is so important:

- it provides a way of tracking a candidate's progress in achieving a qualification
- it helps candidates to make claims for certification of their competence
- internal verifiers and external verifiers use the records to sample assessment decisions
- it helps with monitoring the quality assurance of Qualifications Scotland qualifications

If your candidates' evidence is incomplete, or cannot be located, or if there is inaccurate cross-referencing to the units, there is a risk that an internal verifier or external verifier will be unable to confirm your assessment decisions.

To help you and your candidate present evidence and record your assessment decision, we have provided examples of the forms which you and your candidate might use to compile the portfolio.

- Using the index of evidence
- Completing the unit progress record

Using the index of evidence

The purpose of the index of evidence is to help you locate and work through the candidate's evidence. It should give you a summary of what evidence the candidate has collected, and where it can be found.

The index of evidence should be completed by entering:

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

Ideally, it should be candidates themselves (with your support and encouragement) who complete the index.

You must make sure that the information in the evidence index is accurate when your candidates' portfolios are presented for assessment and verification — particularly the information about where the evidence can be located. This is important because we suggest that anything which has been produced as day-to-day work is kept in its normal location, but anything which has been produced through assessment for the qualification, for example observation checklists, is filed in the candidate's portfolio. In this way, your candidate can avoid having to replicate work products just for the sake of including them in a portfolio. It also means that evidence produced as a result of assessment is kept safely in a central file.

If the index of evidence is not completed with an accurate description and location of the evidence, there is a risk that an internal verifier or external verifier might be unable to confirm your assessment decisions.

Index of evidence

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

Completing the unit progress record

You should complete this form each time your candidate achieves a unit from the qualification by adding your signature and the date next to the relevant unit.

At this stage, candidates should make sure they have completed the recording documents correctly and that their evidence can be easily located. Only then should they circle the relevant unit number at the top of the form. This enables both of you to see at a glance what stage the candidate is at in their qualification.

Unit progress record

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	00/00/0000

Optional units achieved

Unit number	Title	Assessor's signature	Date

4: Further information

What else should I read?

Qualifications Scotland has developed a wide range of generic guidance on assessment, verification, quality assurance, etc. The following publications provide additional information which would be beneficial in implementing the qualifications. Details of these and other Qualifications Scotland publications are available on our website:

Assessor/Verifier Units

Quality Assurance Guidance

Assessment: A guide for centres offering externally regulated qualifications

Assessment Arrangements Resources

HNVQ Internal Verification Toolkit

Appendix 1: Blank recording forms

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 Award, Certificate or Diploma, within the Candidate Guidance and Portfolio section. This includes blank versions of the following forms:

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