



Learner Information and Portfolio for Externally Regulated Qualifications in England and Wales

Learner's name:

Version 2: July 2025
First published: January 2018
Publication code: Z0396

Published by the Scottish Qualifications Authority

The Optima Building, 58 Robertson Street, Glasgow G2 8DQ Lowden, 24 Wester Shawfair,
Dalkeith, Midlothian, EH22 1FD

www.sqa.org.uk

© Scottish Qualifications Authority 2025

Changes in version 2

Document section	Details of updates
Throughout	Terminology updated so that the document refers to 'information' instead of 'guidance'.
Throughout	Updated links and names of resources.
Throughout	Text updated for clarity and plain language.
Title	Changed from 'guidance on' to 'information for'.
1 About this information	Title changed from 'guide' to 'information' Content updated for relevance.
2 About externally regulated qualifications in England and Wales	Content added to explain competence-based qualifications. Level descriptors table removed and replaced with links.
3 Who is involved in the qualification?	Content about centres added.
4 Preparing to assess the qualification	Content updated for relevance and clarity. Additional explanation added about assessment plans. Content added on remote assessment. Tables updated for accessibility.
5 Generating evidence	Tables updated for accessibility.
7 Recording achievement	Content on electronic portfolios updated. Tables updated for accessibility.
8 Further information	Document titles updated.
Appendix 1	Forms removed and replaced with information on how to download from the website.

Contents

Section 1 — General information about the qualification	1
Introducing qualification frameworks	1
Competence-based qualifications	2
Who offers these qualifications?	2
How are units defined in this qualification?	3
How are these qualifications achieved?	4
How are these qualifications assessed?	4
What is evidence?	6
Demonstrating knowledge, understanding and skills	7
When can simulation be used?	8
Integration of assessment	9
Section 2 — How to compile your portfolio	10
General information	10
Evidence collection process	11
Planning your portfolio	12
Starting your portfolio	13
Contents checklist	14
Collecting your evidence	17
Presenting your evidence	20
Referencing your evidence	20
Worked examples	20
Glossary of terms	31

Section 1 — General information about the qualification

Introducing qualification frameworks

Regulated qualifications are contained in frameworks which provide a single, simple system for cataloguing all qualifications that are externally regulated in England and Wales.

In England this is the Regulated Qualifications Framework (RQF) regulated by Ofqual.

In Wales this is the Regulated Pillar of the Credit and Qualifications Framework in Wales (CQFW) regulated by Qualifications Wales.

When we use the term ‘externally regulated’ what we mean is that these qualifications are regulated by Ofqual and Qualifications Wales respectively, and that each SQA qualification on these frameworks must adhere to a set of Conditions set out by the respective regulator.

In this document, we will use the term ‘regulated’ to refer to qualifications that are externally regulated by Ofqual or Qualifications Wales.

How does it work?

All regulated qualifications have a Total Qualification Time (TQT) value that tells you roughly how long it takes to complete. Each unit and qualification also have their own level, between entry level and level 8, to show how difficult it is.

Guided Learning Hours (GLH) is a component of TQT and shows how much learning time will normally be undertaken under direct guidance or supervision, including supervised assessment.

Qualifications may also be given a credit value. Where credit has been applied, one credit point represents 10 TQT hours.

The names of all the qualifications are set out the same and tell you three things — how difficult it is, how long it takes and what it’s about.

The level shows how difficult the qualification is. There is an entry level, split into three sub levels and eight full levels in these frameworks. A level between entry level and level 8 is assigned to all qualifications which indicates the degree of challenge or difficulty.

Next is the size — that’s how long the qualification takes to complete and is expressed as Total Qualification Time. Every regulated qualification comes in one of three sizes:

- ◆ Awards (up to 120 hours)
- ◆ Certificates (121–369 hours)
- ◆ Diplomas (370+ hours)

Each size of qualification can be offered at any level of the framework(s).

Finally, **the title**, which says what the qualification is about. This could be retail, or leadership, or maybe sport. Here are two examples of qualification titles, showing how the three parts fit together:

Level	Type	Title
Level 1	Certificate	In Sport and Active Leisure
Level 8	Award	In Strategic Direction and Leadership

Competence-based qualifications

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

SQA's main competence-based qualifications are SVQs, which are delivered in Scotland, and regulated Awards, Certificates and Diplomas (collectively termed alternative CBQs) in England and Wales.

Awards, Certificates and Diplomas are regulated qualifications and depending on the country of delivery, will be regulated by SQA 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.

These standards define what employees, or potential employees, must be able to do, how well and in what circumstances to show they are competent in their work.

Access to these qualifications is generally open to all and you can be assessed either against particular unit(s) or against the full qualification. 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.

Who offers these qualifications?

An organisation that offers these qualifications is called a 'centre'. This may be a college, employer, 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.

The Scottish Qualifications Authority (SQA) is your awarding organisation for the qualification you are undertaking. This means that we are an organisation approved by the qualification regulators to design and offer qualifications in England and Wales. SQA checks that a rigorous and effective assessment process has been met before awarding a qualification, so that employers can be sure that someone has the skills and knowledge needed for their job.

How are units defined in this qualification?

Each unit in this qualification has a common format. The main components of the Unit are:

Component	Explanation
Unit title	The unit title describes the content of the learning.
Unit level	All units must identify a single level for the unit that represents the complexity, autonomy and/or range of achievement expressed within the unit.
Credit value	One credit equals TQT divided by 10. Learning time is defined as the time taken by learners at the level of the unit, on average, to complete the learning outcomes of the unit to the standard determined by the assessment criteria.
Guided Learning Hours (GLH)	GLH shows how much of the learning will take place under direct supervision (in real time), including 'invigilated assessment'.
SQA unit code	This is a 4 plus 2 digit code and should be used in all correspondence with SQA.
Regulator code	This is the unit code issued by Ofqual and/or Qualifications Wales.
Unit owner and reference number	In most cases, the 'Unit Owner' will be the organisation which developed the unit. Sometimes this refers to the national occupational or other professional standards from which the unit has been derived.
Learning outcome	All units must contain learning outcomes that set out what a learner is expected to know, understand or be able to do as the result of a process of learning.
Assessment criteria	All units must contain assessment criteria that specify the standard a learner is expected to meet to demonstrate that the learning outcomes of the unit have been achieved.

The unit also provides the following information:

- ◆ Unit purpose and aim(s)
- ◆ Unit start date
- ◆ Details of the relationship between the unit and relevant National Occupational Standards or other professional standards or curricula
- ◆ Requirements about the way a unit might be assessed
- ◆ Support or endorsement for the unit from a sector or other appropriate body
- ◆ Location of the unit within the subject/sector classification system

How are these qualifications achieved?

When you consistently meet the skills, knowledge and understanding described in the learning outcomes and show you have met the assessment criteria, you can then claim that you are competent in each unit. Your centre will register your claim to competence through the awarding organisation. The awarding organisation you are registered with for this qualification is the Scottish Qualifications Authority (SQA).

The process of gaining this qualification is flexible and depends on your needs. At the beginning of the process your assessor will review your existing competence in relation to the standards and identify the most suitable qualification. The level you start at will depend on the type and breadth of your current job role together with your past experience, skills and any relevant prior learning.

To achieve a unit, you must demonstrate that you meet the requirements of the unit by achieving all the learning outcomes and assessment criteria by collecting appropriate evidence to meet all assessment criteria. This evidence is assessed against the requirements of the unit by a qualified assessor. This could be someone who knows you, such as a manager, supervisor or lecturer or by an Assessor assigned to you by your centre.

Evidence may come from:

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

How are these qualifications assessed?

Assessment is based on what you can do and what you know. It involves you, your assessor, an internal verifier and an external verifier.

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

Who does what in these qualifications?

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

	Who are they?	What is their role?
Learners	The person who wants to achieve the qualification — in this case, you.	Need to show they can perform to assessment criteria in order to be awarded a unit(s) or full qualification.
Assessors	An experienced person in the same area of work as the learner, for example, a supervisor.	<p>Judge the evidence of a learner's performance and knowledge and understanding against the units.</p> <p>Decide whether the learner has demonstrated competence.</p> <p>Provide guidance and support to the learner. Assist with planning assessments, giving feedback and recording learner progress.</p>
Internal verifiers	Individuals appointed by an approved centre to ensure the quality of assessment within the centre.	<p>Advise assessors and maintain the quality of assessment in a centre.</p> <p>Systematically sample assessments to confirm the quality and consistency of assessment decisions.</p>
Approved centres	Organisations approved by awarding bodies to co-ordinate assessment arrangements for the qualifications.	<p>Manage assessment on a day-to-day basis.</p> <p>Must have effective assessment practices and internal verification procedures.</p> <p>Must meet criteria laid down by awarding bodies and be able to provide sufficiently competent assessors and internal verifiers.</p>
External verifiers	Individuals appointed by the awarding body to ensure that standards are being applied uniformly and consistently across all centres offering the qualification.	<p>Check the quality and consistency of assessments, both within and between centres, by systematic sampling.</p> <p>Make regular visits to centres to ensure they still meet the criteria to deliver the qualifications.</p>

What is evidence?

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

Evidence can take many forms including:

- ◆ direct observation of your performance by your assessor
- ◆ products of your work
- ◆ authenticated statement — witness testimony
- ◆ personal statement
- ◆ outcomes from questioning
- ◆ outcomes from simulation
- ◆ case studies
- ◆ assignments or project
- ◆ Recognition of Prior Learning (RPL) — evidence from the past

It is important that your evidence is:

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

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

When you first begin your qualification, you and your assessor should identify all the units and learning outcomes and where you can use integration of assessment in order to avoid unnecessary duplication of effort.

Further details about integration of assessment can be found on page 9.

Demonstrating knowledge, understanding and skills

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

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

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

These should be included in your portfolio.

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

For some units, it will be clear to your assessor that you have the required knowledge and understanding from how you carry out your work. This is often referred to as *knowledge and understanding apparent from performance*. There will be other occasions though, when your assessor will be unsure if you know why, for example, it is important to give information to clients in certain situations. This could be because your assessor has not had the opportunity to observe all the assessment criteria 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, but will be recorded in your portfolio as evidence.

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

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

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

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

However, the success of this process depends on you telling your assessor what previous work experience or knowledge and understanding you have and how you think it is relevant to your qualification. The more information you can supply to support your claims, the easier it should be to convince your assessor that you are competent.

There are some instances when previous learning and experience may not be used for Recognition of Prior Learning. These include exemptions outlined in the qualification unit specifications where there are:

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

Your assessor will be able to advise you.

When can simulation be used?

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

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

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

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

Remote assessment

If it is not possible to conduct assessment in-person, it may be acceptable to do so remotely, as long as the assessment guidance for your qualification does not prohibit this. Examples of remote assessment include live video streaming and recorded video. The same principles of assessment apply whether conducting assessment in-person or remotely. Your assessor must have your consent if making a recording and may also need your employer's authorisation if the recording is taking place in the workplace.

Integration of assessment

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

There will be instances when you will be able to use one piece of evidence to prove your competence across different learning outcomes and assessment criteria. You may even find that evidence is relevant for different units — this is called integration of assessment.

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

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

If you are going to integrate assessments, make sure that the evidence is cross-referenced to the relevant units. Details of how to cross-reference your evidence can be found in Section 2 'How to compile your portfolio'.

Section 2 — How to compile your portfolio

General information

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

Evidence may be physical or paper-based, or it may be electronic. Physical or paper-based evidence can be stored in a traditional portfolio. Electronic evidence can be stored in any appropriate and secure manner. You may wish to use specific e-portfolio software to help with storing and managing electronic evidence.

The use of technology could help you be creative with the types of evidence you upload, such as voice notes, videos and graphics.

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

All portfolios should be well organised and methodical. Each piece of evidence should relate to the assessment criteria. 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 in which materials can be added or taken away. This section gives suggestions on how to lay out and present your evidence, whether you are compiling a paper-based portfolio or compiling a portfolio electronically. There are also forms, records and indexes that will help you to chart your progress through the award.

You don't have to lay out your evidence in the way suggested, but you may find it helpful to do so. Each portfolio will be different in content but all should include information about you (the learner), the organisation where you are undertaking your qualification, the assessor and so on.

Evidence collection process

What?	Who?
Assessment plan	You and your assessor
Collect evidence	You and your assessor if observation/questioning 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
Store evidence in portfolio	You

Planning your portfolio

Start by carefully reading through the units that make 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, therefore 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 which covers a typical Health and Safety unit. It's included as guidance only.

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

We'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 easily be located. 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 qualification.

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 recommend that you compile your portfolio in the following order:

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

You can download the blank forms you will need to complete your portfolio on the SQA website. Alternatively, 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 of the various forms to give you a clearer picture of how to compile your portfolio. You should ask your assessor for further advice and support if you are still unsure about how to use the forms and who should complete them. Some of these forms — for example observation records and the record of questions and answers — will be completed by your assessor. Other forms (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 the following checklist as you work your way through your portfolio. This will help you to see if you have included all the relevant items.

Title page for the portfolio	
-------------------------------------	--

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

Unit assessment plans	Completed
Refers to each unit	

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

Index of evidence (with cross-referencing information completed)	Completed
Evidence (with reference numbers)	

Observation records	
Details of witnesses (witness testimony sheets)	
Personal statements	
Products of performance	

Learner declaration



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

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

Learner's signature _____

Learner's name (print) _____

Date _____

Assessor's signature _____

Assessor's name (print) _____

Date _____

Collecting your evidence

All of the evidence which you collect and present for assessment must be relevant to your qualification. Your assessor will help you choose which pieces of evidence you should include.

You can use the forms referenced in Section 3 to help you record and present your evidence, or your centre's own recording documents or e-portfolios.

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

Assessment plan

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

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

How to complete the index of evidence

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

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

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

Personal statement

There will be times when you need to put a piece of your evidence in context for your assessor so that they can decide if it is relevant to your qualification. You can complete

personal statements to help you do this — these can relate either to the pieces of evidence or to each learning outcome or unit. In some sectors you may find that Personal Statements are called Reflective Accounts.

For example, you may refer to paperwork which is often used in your organisation to help you pass on information to a colleague. It may not be clear to an assessor why you are communicating to your colleague in this way and 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. This can be documented in your personal statement and should be a description of what you did, how you did it and why you did it. It will also allow you to include the people who were present and either assisted you or witnessed your actions. This, in turn, might identify who you should approach for 'witness testimony'. In your personal statement you could also refer to product evidence that you have produced, for example, reports, notes, 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 learner's answers

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

Unit progress record

The unit progress record is used by your assessor; 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 a supervisor, line manager or possibly a client/customer
- ◆ contain comments which specifically relate your performance to the standards
- ◆ be authenticated by the inclusion of the witness's signature, role, address, telephone number or email address, and the date

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

Presenting your evidence

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

It is not necessary to produce all of your evidence in typewritten format — some hand-written pieces of evidence, such as notes, will be perfectly acceptable. This type of evidence could also be uploaded to an e-portfolio.

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

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

Referencing your evidence

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

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

Worked examples

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

Assessment plan – Example 1

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

Outcomes:

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

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

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

Assessor's signature	<u>Peter Hoskins</u>	1st review due	00/00/0000
Learner's signature	<u>Paul Lee</u>	2nd review due	00/00/0000
Date of agreement	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/outcome(s) Promote a Culture of Health and Safety in the Workplace

Learner'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 learner
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 learner's performance was satisfactory.

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

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

Personal statement — Example 4

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, learning outcomes, and assessment criteria covered
00/00/0000	5	<p>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.</p> <p>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.</p>	4 and 6	1.2

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

Record of questions and learner's answers — Example 5

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

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

List of questions and learner's responses
<p>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?</p>
<p>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.</p>
<p>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?</p>
<p>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.</p>

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

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

Unit progress record – Example 6

Qualification and level: Click or tap here to enter text.

Learner name: Click or tap here to enter text.

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

Unit checklist

Mandatory units	Optional units
Name of unit	Name of unit
Name of unit	Name of unit
Name of unit	Name of unit
Name of unit	Name of unit
Name of unit	Name of unit
Name of unit	Name of unit
Name of unit	Name of unit
Name of unit	Name of unit

Mandatory units achieved

SQA code	Unit title	Assessor's signature	Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date

Optional units achieved

SQA code	Unit title	Assessor's signature	Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date
SQA code	Unit title		Date

Witness testimony — Example 7

Witness testimony

Qualification title and level	Promote a Culture of Health and Safety in the Workplace
Learner'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 learner	Senior manager responsible for health and safety, line manager of Paul Lee

Details of testimony
<p>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 learner's performance was satisfactory.</p>

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 learner is working

3 Blank recording documents for your qualification

On the SQA website there are downloadable versions of blank recording forms that you can use to complete your portfolio. These are generic forms that can be found on the page for your qualification, within the Learner Guidance and Portfolio section. This includes blank versions of the following forms:

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

Glossary of terms

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

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

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

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

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

Evidence: Materials the learner has to provide as proof of his or her competence against specified assessment criteria.

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

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

Learner: The person enrolling for an SQA qualification.

Learning outcomes: Statements which defines the products of learning. They describe the activities the learner has to perform to achieve the unit, and contain assessment criteria.

Observation: A means of assessment in which the learner is observed carrying out tasks that reflect the performance criteria and knowledge and understanding statements.

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 learner to be evaluated, rather than the process of producing it.