



Assessor's guidelines for the SVQs in Animal Care at levels 2 and 3

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About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQs in Animal Care at levels 2 and 3**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

Using assessments based on these examples does not guarantee successful verification — it is still your responsibility to ensure that internal quality assurance procedures are followed.

Introduction

This introduction provides a brief overview of SVQs and how they are assessed in the workplace. If you are already familiar with the concept of SVQs, you may wish to go to the next section.

About SVQs

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy. The qualifications have been designed by standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

Each standards-setting body is responsible for developing national standards which define *what* employees (or potential employees) must be able to do, *how well*, and *in what circumstances*, to show that they are competent in their work.

Each SVQ which a standards-setting body develops has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared. SVQs are specified at five levels which reflect the various technical and supervisory skills knowledge and experience, which employees should have as they progress in their industry.

Explanation of levels

- level 1** Defines competent performance in a range of activities which are largely routine and predictable.
- level 2** Specifies that competent performance must be shown in a broader range of work activities which are less routine and predictable. The employee will have more autonomy and responsibility, and may have to work as part of a team.
- level 3** Specifies that competent performance must involve the employee in carrying out a broad range of varied work activities, most of which are complex and non-routine. There is considerable autonomy and responsibility, including the possibility of controlling or guiding others.
- level 4** Specifies competence as complex technical or professional work activities which require a substantial degree of personal autonomy or responsibility. Managing staff and other resources is often involved.
- level 5** Specifies competent performance as involving the employee in carrying out a significant range of activities in a wide variety of situations which are often unpredictable. Substantial responsibility and autonomy is involved in the work, which requires decision-making in the allocation of resources and the work of others. This will require complex skills such as analysis, design and evaluation.

How are standards defined in SVQs?

All SVQs consist of standards which can be broken down into various parts.

Units define the broad functions carried out in the sector, and are made up of a number of Elements. These **Elements** describe the activities which employees have to perform, and will require candidates to demonstrate certain skills or knowledge and understanding.

The quality of performance in what people must be able to do — how well they have to perform — is described by **Performance Criteria**. These may also be called **statements of competence** or **what candidates should do**.

The section on **knowledge and understanding** says what candidates must know and understand, and how this knowledge applies to their jobs.

You may also come across standards containing statements on **scope**. These statements could, for example, list the equipment that candidates are expected to be familiar with and use in their occupational area.

Increasingly, you may see changes to this format as standards become more user-friendly and are written in plain English. For example, there may be some standards containing **Range Statements** or **Evidence Requirements**, but over time these should disappear. You may, however, find that information on the context, nature and amount of evidence which is required to prove competence (which used to be given in Range Statements and Evidence Requirements) is now defined in the **assessment guidance** for the qualification. Assessment guidance is drawn up by the awarding body and is packaged along with the standards to form the SVQ.

Who is involved in SVQs?

There are several roles:

- ◆ **the candidate:** the person who wants to achieve the SVQ (eg an employee)
- ◆ **the assessor*:** the person who assesses the candidates and decides if they are competent (eg supervisor)
- ◆ **the internal verifier*:** an individual nominated by the centre (eg a company) who ensures that assessors apply the standards uniformly and consistently (eg supervisor's line manager)
- ◆ **the External Verifier*:** an individual appointed by SQA who ensures that standards are being applied uniformly and consistently across all centres offering the SVQ

*Assessors and verifiers in centres will be asked by SQA to prove they have the appropriate occupational competence to assess and verify the SVQ. Occupational competence has been defined by the standards-setting body in the assessment strategy for this SVQ(s) — see SQA's website: www.sqa.org.uk

Assessors and verifiers are also expected to obtain an appropriate qualification in assessment and verification — this can be the Assessor/Verifier Units (the national standards for assessment and verification), or an alternative qualification which SQA also recognises.

The steps involved in assessing a candidate for an SVQ

In deciding whether a candidate should get an SVQ, 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

1 The SVQ in Animal Care

The SVQs in Animal Care have been developed by Lantra and are intended for people in all animal care related occupations.

These people may be working as: animal technicians, pet shop assistants, veterinary auxiliaries, kennel and cattery assistants, dog groomers, zoo keepers, animal collection attendants, animal welfare workers or animal handlers. They will require skills and knowledge in: working safely, working effectively as individuals or in a team, planning work, performing routine husbandry tasks, handling animals efficiently, recognising normal and abnormal health and behaviour, dealing effectively with clients and customers, handling and storing stock, creating and maintaining records, training animals, assisting with and performing grooming of animals, delivering basic health care of animals, managing the breeding of animals, ensuring safe transportation of animals, and advising others on the care of their animals.

The SVQs are designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the SVQs are likely to be delivered include: pet shops, veterinary surgeries, grooming parlours, boarding and breeding kennels and catteries, pet 'zoos', animal welfare centres and special animal collections. The SVQs might also be delivered through partnerships with local colleges.

Structure of the SVQs

This section lists the Units which form the SVQs in Animal Care.

Animal Care level 2 (12 Units required)

Mandatory Units (6 Units required)

SQA Ref	SCQF level	SSC Ref	Title
F7SP 04	5	CU5	Develop Personal Performance and Maintain Working Relationships
F8J4 04	-	CU32	Maintain the Health and Welfare of Animals
F8JK 04	-	CU34	Promote and Maintain the Health and Well-being of Animals
F8HW 04	-	CU37	Establish and Maintain Animals Within their Accommodation
F8HM 04	-	CU45	Control and Restrain Animals
F8HV 04	-	A	Ensure Your Own Actions Reduce Risks to Health and Safety (ENTO)

Optional Units (6 Units required, 1 from Group 1 and 5 from Group 2)

Group 1

SQA Ref	SCQF level	SSC Ref	Title
F8J3 04	-	AC3	Maintain the Cleanliness of the Working Environment
F8JP 04	-	CU33	Provide Feed and Water to Animals

Group 2

SQA Ref	SCQF level	SSC Ref	Title
F8J3 04	-	AC3	Maintain the Cleanliness of the Working Environment
F8JP 04	-	CU33	Provide Feed and Water to Animals
F8JN 04	-	AC4	Provide Exercise Opportunities for Animals
F8J0 04	-	AC5	Implement Basic Animal Training Programmes
F8HH 04	-	AC6	Care for and Monitor the Behaviour of Visitors to Sites
F8HJ 04	-	AC7	Carry Out Reception Duties
F8JH 04	-	AC9	Prepare and Groom Animals
F8HR 04	-	AC28	Drying and Grooming Dogs
F7VL 04	-	CU7	Receive, Transmit and Store Information Within the Workplace
F8HX 04	5	CU41	Handle and Care for Animals to Enable them to Work Effectively
F8J2 04	-	CU42	Load and Unload Animals for Transport
F8JF 04	-	AC8	Prepare and Bathe Dogs
F8JT 04	-	B3	Receive Goods and Materials in a Retail Environment (Skillsmart Retail)
F09A 04	5	B5	Keep Stock on Sale at Required levels in a Retail Environment (Skillsmart Retail)
F0A1 04	5	B.6	Process Customer Orders for Goods in a Retail Environment (Skillsmart Retail)
F0AC 04	5	C5	Provide Information and Advice to Customers in a Retail Environment (Skillsmart Retail)
F0A7 04	5	C8	Process Payments for Purchases in a Retail Environment (Skillsmart Retail)

Animal Care level 3 (12 Units required)

Mandatory Units (3 Units required)

SQA Ref	SCQF level	SSC Ref	Title
F8JL 04	-	CU3	Promote, Monitor and Maintain Health, Safety and Security
F8HY 04	-	AC10	Implement and Monitor Plans for the Health and Welfare of Animals
F8HN 04	-	CU115	Control, Handle and Restrain Animals

Optional Units (9 Units required, 2 from Group 1 and 7 from Group 2)

Group 1

SQA Ref	SCQF level	SSC Ref	Title
F8J9 04	-	CU39	Plan, Monitor and Evaluate the Accommodation of Animals
F8J8 04	-	CU35	Plan and Monitor Animal Diets and Feeding Regimes
F8J2 04	-	CU42	Load and Unload Animals for Transport

Group 2

SQA Ref	SCQF level	SSC Ref	Title
F8J9 04	-	CU39	Plan, Monitor and Evaluate the Accommodation of Animals
F8J8 04	-	CU35	Plan and Monitor Animal Diets and Feeding Regimes
F8J2 04	-	CU42	Load and Unload Animals for Transport
F8HH 04	-	AC6	Care for and Monitor the Behaviour of Visitors to Sites
F8HE 04	-	AC12	Advise on and Place Stray or Unwanted Animals in New Home Environments
F8JD 04	-	AC13	Plan, Monitor and Evaluate the Establishment and Management of Animal Populations
F8JR 04	-	AC14	Provide Information to Individuals and Groups on How to Promote the Health of Animals and Interpret their Behaviour
F8HL 04	-	AC15	Contribute to Managing the Aggressive and Abusive Behaviour of People
F8HG 04	-	AC17	Assist in the Sale of Medicines and Treatments for the Care of Animals
F8JW 04	-	AC19	Train Animals and People to Work Together as One
F8JV 04	-	AC20	Release Animals
F75H 04	6	CU21	Construct New Structures and Surfaces
F8J4 04	-	CU32	Maintain the Health and Welfare of Animals
F8HT 04	-	CU36	Enable Animals to Reproduce and Care for their Young
F8JX 04	7	CU40	Train Animals to Achieve Specific Objectives
F8HX 04	-	CU41	Handle and Care for Animals to Enable them to Work Effectively
F8J5 04	-	CU43	Maintain the Health and Well-being of Animals During Transportation
F8JE 04	-	CU44	Plan, Monitor and Evaluate the Transportation of Animals
F8HP 04	-	CU51	Determine, Monitor and Evaluate Policies for the Management of Animals
F8J6 04	-	CU89	Motivate and Recognise Voluntary Effort
F8J7 04	-	CU90	Organise and Lead The Work of Volunteers
F8JJ 04	-	EC15	Prepare, Maintain and Operate Work Boats
F8JG 04	-	EC26	Prepare and Deliver Interpretive and Educational Activities
F8JY 04	-	A4	Contribute to Improvements at Work (Management Standards)
F09S 04	7	B14	Organise the Receipt and Storage of Goods in a Retail Environment (Skillsmart Retail)
F090 04	5	C3	Help Customers to Choose Products in a Retail Environment (Skillsmart Retail)
F09D 04	6	C13	Maintain the Availability of Goods for Sale to Customers in a Retail Environment (Skillsmart Retail)
F08T 04	6	C16	Evaluate the Receipt of Payments from Customers (Skillsmart Retail)
F04K 04	6	13	Make Customer Service Personal (ICS)
F7W5 04	-	26	Improve the Customer Relationship (ICS)
F7WE 04	-	39	Work with Others to Improve Customer Service (ICS)

SQA Ref	SCQF level	SSC Ref	Title
F044 04	6	41	Develop Your Own and Others' Customer Service Skills (ICS)
F8HF 04	-	AC16	Assessment and Planning of Dog Grooming
F8HK 04	-	AC29	Carry Out Styling and Finishing for Dogs
F8JI 04	-	AC11	Investigate Reported Nuisance, Abuse or Harm of animals
F8JM 04	-	EC29	Protect the Environment through Legal Enforcement

An assessment strategy for the SVQ

As part of its review of the SVQs in Animal Care levels 2 and 3, the standards-setting body Lantra has developed an assessment strategy which defines a range of requirements:

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

The relevant parts of the assessment strategy are published on SQA's website (www.sqa.org.uk), and both SQA and centres must comply with these requirements.

Why would people be interested in the SVQ?

People will take SVQs for a variety of reasons: to gain promotion, to prove their job competence, 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 SVQ, 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 SVQ

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

Example

Sally had worked for the Scottish Society for the Prevention of Cruelty to Animals (SSPCA) for four years but did not possess any formal qualifications. She wanted to do a qualification which would recognise the skills she already had and offer her a chance to gain a nationally-recognised qualification. As she had a lot of experience in handling animals and helping with administrative duties, her manager asked her to consider an SVQ level 2 in Animal Care.

When her manager matched Sally's job remit and existing skills and experience with the SVQ, it emerged that Sally should be able to generate sufficient evidence to meet the requirements of the following SVQ Units:

- ◆ Maintain the Health and Welfare of Animals
- ◆ Promote and Maintain the Health and Welfare of Animals
- ◆ Maintain the Cleanliness of the Working Environment
- ◆ Control and Restrain Animals
- ◆ Receive, Transmit and Store Information within the Workplace
- ◆ Provide Exercise Opportunities for Animals
- ◆ Care for and Monitor the Behaviour of Visitors to Sites
- ◆ Prepare and Groom Animals

The manager arranged for an assessor from a local college to provide Sally with guidance on how to collect evidence and construct a portfolio to achieve these Units.

Sally also had some experience in relation to four further Units, however, some planning was required in order to provide her with the opportunity to demonstrate competence in these areas. The Units were:

- ◆ Develop Personal Performance and Maintain Working Relationships
- ◆ Assist with the Movement of Animals
- ◆ Ensure Your Own Actions Reduce Risks to Health and Safety
- ◆ Establish and Maintain Animals within their Accommodation

The manager arranged for the assessor to observe Sally during her day's work to assess her for the first of these Units. A plan was made to assess the Health and Safety Unit through a combination of observation and questioning on occupational risks and relevant legislation. A simulation was proposed to allow assessment of part of the Health and Safety Unit. Simulation, observation and questioning was also planned to allow for assessment of Assist with the Movement of Animals Unit.

All these arrangements were agreed by everyone involved and then written up in an assessment plan for Sally.

2 Preparing to assess the SVQ

This section offers practical advice on how to begin to go about assessing your candidates for the SVQ in Animal Care levels 2 and 3. This advice is offered as examples of good practice — you may develop your own approaches to assessing your candidates which also work well.

Your role and your candidate's role

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

Your role

- ◆ ensure candidates understand what is to be assessed and how it is to be assessed
- ◆ ensure the conditions and resources required for assessment are available
- ◆ help candidates to identify and gather evidence
- ◆ observe and record candidates carrying out the activities described in the standards — records should say what has been observed, how it was carried out, and what it demonstrates
- ◆ assess products of the candidate's own work
- ◆ question candidates and record results
- ◆ help candidates to present evidence
- ◆ authenticate the evidence candidates provide
- ◆ judge evidence and make assessment decisions
- ◆ identify gaps or shortfalls in candidates' competence
- ◆ provide feedback to candidates throughout the assessment process
- ◆ record achievement

Candidates' role

- ◆ prepare for assessment — become familiar with the standards, what is to be assessed and how it is to be assessed
- ◆ help to identify sources of evidence and how these could be assessed
- ◆ carry out activities, and/or produce products of own work, and/or answer questions
- ◆ gather and present evidence
- ◆ receive and act on feedback from the assessor

Planning

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.

As you are planning assessment, don't forget to make the most of opportunities to *integrate* assessment. This means planning to assess an activity which draws on the contents of different Units or Elements. It can be a practical and cost-effective way of assessing your candidate's competence.

If you are a new assessor working towards your A/V Units (the national standards in assessment and verification) you will need copies of completed assessment plans as part of your evidence.

To help you plan for assessment, we have produced an assessment plan which covers Unit A *Ensure Your Own Actions Reduce Risks to Health and Safety*.

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.

Assessment plan (example 1)

Units: Elements:					
Activities	Performance Criteria	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (Performance Criteria and range)
Oral questioning and examination of company policies	1 — 6	Questioning and company policies	25/2/2009	Company policies	AC2.1
Simulation of hazard situation	7	Observation and questioning		Knowledge of policies, risks and procedures Evaluation of risks	
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review					

Assessor's signature: *Isa Williams*

1st review due: *01/04/09*

Candidate's signature: *J Donaldson*

2nd review due: *02/06/09*

Date of agreement: *01/02/09*

Date of completion:

Assessment plan (example 2)

Units: Elements:					
Activities	Performance Criteria	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (Performance Criteria and range)
Preparing feed for animals and disposal of stale or unused food	1 — 8	Observation and oral questioning	5/3/2009	Prepared feeding plans Knowledge of manufacturer's recommendations	AC 2.2
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review					

Assessor's signature: *Isa Williams*

1st review due: *01/04/09*

Candidate's signature: *J Donaldson*

2nd review due: *02/06/09*

Date of agreement: *01/02/09*

Date of completion:

Selecting methods of assessment

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

- ◆ by *valid* we mean that the assessment method should be appropriate to the standards
- ◆ 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

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 and practicable.

There are both benefits and challenges when you are assessing SVQs 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 the environment
- ◆ flexible timing
- ◆ familiarity with the equipment
- ◆ good relationship between candidate and assessor may help put candidate at ease
- ◆ good internal company documentation available
- ◆ candidate has more control over pace of assessment

The challenges might be:

- ◆ familiarity with candidate
- ◆ pressure of work
- ◆ interruptions and delays
- ◆ pressure from superiors
- ◆ confidentiality
- ◆ meeting needs of customers/patients/clients

Example

You might agree with a candidate working in a pet shop, who has to demonstrate how to maintain accommodation for animals, that this will be carried out by **observation** as and when such 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 SVQs, 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 types of assessment methods such as questioning. For example, it may be appropriate to ask oral questions of candidates as they carry out naturally-occurring activities.

Observation could be used to demonstrate a candidate's competence in receiving, storing and preparing food for animals. This would give the assessor the opportunity to see how the candidate carries out tasks and performs duties. Additional questioning may be used to include types of food covered by the range but not necessarily handled on the day. Observation could also be used to demonstrate competence in cleaning the work environment, using various methods and equipment as specified in the range. Oral questioning could be used to demonstrate understanding of the three types of problem specified — faulty equipment, low levels of materials or pests — should these not arise during the observation.

Product evidence

As candidates work towards achieving the SVQ, 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, but examples of product evidence include: photographs of a groomed dog or prepared kennel and run.

Product evaluation could be used to demonstrate competence in maintaining, storing and retrieving records. Records maintained and stored by the candidate could be produced.

Questioning

Candidates have to show that they can meet the knowledge specifications for the SVQs. For these SVQs, knowledge and understanding is specified for each Element. 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, 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 SVQ and become a barrier to fair assessment. For example, some candidates will feel more comfortable with oral questions than written.

Questioning could be used in Unit CU37 *Establish and Maintain Animals within their Accommodation* to confirm a candidate's knowledge of the effects of different cleaning methods and materials on the health of animals. For example, you could ask: Why have you chosen this detergent to clean the accommodation? A suitable answer would be: It is non-toxic to the animal but is very effective at eliminating bacteria.

Similarly, you could ask: What would you do if the animal had a condition which meant you had to use a more toxic detergent? Answer: Ensure thorough rinsing and an appropriate time before re-introducing the animal.

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 to a more valid, reliable and practical method of assessment.

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.

	Strongest	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards. This person may also be an assessor or internal verifier qualified with the A/V Units or 'D-Units'.
		Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.
		Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.
	Weakest	Someone who may be a colleague of the candidate, but with no knowledge of the standards.
		Someone with no or little knowledge of the candidate's work or no knowledge of the standards.

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.

Witness testimony may be used where activities or specific operations cannot be easily observed during assessment. For example, you may need to assess the candidate giving a specified treatment to an animal at the correct time and frequency Element CU34.2, *Deliver Basic Treatments to Animals*. The availability of appropriate animals will probably mean that the situation you may need cannot be replicated for assessment. In this case, witness testimony could be sought to ensure that the candidate has been observed carrying out the task competently and accurately, by a qualified observer, on a number of occasions.

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.

Lantra has defined what it regards as simulation, and has specified in the standards when simulation is and is not acceptable. The standards also state when candidates must demonstrate competence in the workplace.

For more details on simulation and what constitutes performance in the workplace, look at the assessment strategy on SQA's website:

www.sqa.org.uk.

An example

A candidate may be asked to provide evidence of administering first aid treatment to an animal Element CU34.2, *Deliver Basic Treatments to Animals*. Simulation could be used to assess the candidate's performance in bandaging a bleeding cut pad for example. Element A1, *Identify the Hazards and Evaluate the Risks in your Workplace* requires the candidate to evaluate risks from accidental breakages and spillages. A simulation could be used to demonstrate dealing with a spillage of a non-toxic substance, for example.

Other sources of evidence

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

SQA'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.

3 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. Starting on the next page, 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 are blank forms which you can copy and use in assessment 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/Element(s): AC 3.1 'Clean the Work Environment'

Candidate: J Donaldson

Date of observation: 03/03/09

Evidence index number:

Skills/activities observed:	Performance Criteria covered:
<p>Clean the floors, public areas, work tables and benches</p> <p>Prepare cleaning solutions and equipment</p> <p>Clean and store equipment after use</p>	<p>1 — 5</p>

Knowledge and understanding apparent from this observation:

The candidate was aware of correct procedures for use of disinfectants and cleaning agents and the risks they presented. Effective cleaning was observed and was carried out in a manner so as to minimise risk to self and others in the workplace. Safe operation of cleaning equipment was observed throughout. Thorough cleaning and efficient storage of equipment after use was evident. The work was carried out with the minimum of disruption to others and clients.

Other Units/Elements to which this evidence may contribute:

Element A2 'Reduce the Risks to Health and Safety in your Workplace'

Assessor's comments and feedback to candidate:

This assessment was carried out very thoroughly and efficiently. All areas of the assessment plan were considered and performed with skill and consideration for others. Well done.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *Isa Williams*

Date: 03/03/09

Candidate's signature: *J Donaldson*

Date: 03/03/09

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: CU33 Provide Feed and Water to Animals	Element(s): CU33.2
Evidence index number:	
<p>Circumstances of assessment:</p> <p>During a routine feeding and watering time for the animals in a city zoo, the candidate had to prepare and provide food and water to a number of species. Some animals were housed individually and some in groups. This gave the opportunity to observe the candidate preparing and providing food and water and to question the underpinning knowledge behind the methods of feeding, normal feeding behaviour and identification of feed and feed quality.</p>	
<p>List of questions and candidate's responses:</p> <p>Q: Why is it company procedure to provide separate buckets of concentrate to each of the ponies but to allow them to feed from a communal hay rack?</p> <p>A: The concentrate will be eaten immediately on presentation, and feeding it in separate buckets ensures that each animal has the chance to have its fair share. The hay is provided ad-hoc and from a wide rack so each pony has an opportunity to browse as much hay as it requires.</p> <p>Q: What would you do if one of the ponies showed no interest in eating its bucket of concentrate?</p> <p>A: I would be concerned as they would normally eat it immediately. I would note the animal's appearance and behaviour and report it to my supervisor.</p> <p>Q: How would you assess the quality of hay being fed to stabled ponies?</p> <p>A: I would open the bale and assess the colour, texture and smell of the hay to ensure it was of good quality and not damp, dusty or mouldy.</p>	
Assessor's signature: <i>Isa Williams</i>	Date: 04/03/09
Candidate's signature: <i>J Donaldson</i>	Date: 04/03/09

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, Elements, PCs, Performance statements, scope covered
5/3/09	9.1	<p>I have in the past been responsible for exercising horses and ponies at a trekking stable during the off-season. I was responsible for riding each of the horses or ponies allocated to me to maintain their fitness levels.</p> <p>I had to first prepare the ponies by applying appropriate tack and ensuring their safety and comfort. In good weather I was able to take the ponies on a designated track outdoors but in poor weather I exercised them in the indoor school. The school had first to be inspected for any sharp objects or items which could cause injury to the animals. After use, I was responsible for cleaning the indoor school.</p> <p>The animals were given an exercise period appropriate to their size, level of fitness and life stage. After exercise I had to groom, feed and water the animals and ensure the tack was cleaned for the next use.</p> <p>I had to record the exercise given and any problems or unusual events on the ponies' individual record sheets.</p>		<p>Unit AC4 Element AC4.1 PCs 1, 2, 3, 4, 5, 6 & 7</p> <p>For animals exercised on a rein</p>

Signed (candidate): *J. Donaldson*

Date: *05/03/09*

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 (eg supervisor, client) address, telephone number and the date. There are spaces for this information in the form.

Witness testimony

SVQ title and level:	Animal Care level 2
Candidate's name:	Jake Donaldson
Evidence index no:	
Index no of other evidence which this testimony relates to (if any):	
Element(s):	CU 34.2
Date of evidence:	04/03/09
Name of witness:	M Hadley
Designation/relationship to candidate:	Supervisor and Veterinary Surgeon
Details of testimony:	
<p>I observed Jake perform all the tasks as defined in the national standard Performance Criteria for Deliver Basic Treatments to Animals, Element CU34.2, Performance Criterion 3 (use the correct technique to give the specified treatment at the correct time).</p> <p>Jake performed the task with accuracy and care. The medication was prepared and checked in accordance with the instructions provided. The treatment was given at the appropriate time and repeated in accordance with instruction. He treated the animals using the correct technique and with the minimum of stress to the animals. The animals were monitored after the administration of the medication. Records were made of the treatment and the (lack of) reactions in the animals and stored in a suitable location for reference.</p>	
<p>I can confirm the candidate's evidence is authentic and accurate. Signed by witness: <i>M Hadley</i> Date: <i>04/03/09</i></p>	

Witness (please tick the appropriate box):

- Holds A1/A2 or D32/D33 qualifications
- Is familiar with the SVQ standards 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 SVQ), 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.

In this SVQ, such gaps are likely to occur in generating evidence for animal health emergencies, unusual reactions to medication and health and safety emergencies.

You may be able to overcome these by use of questioning to demonstrate the underpinning knowledge and understanding and by use of simulations.

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 national standards by relating it to the evidence provided, including the knowledge specifications.

Where there are any shortfalls in a candidate's competence, you should discuss these with your candidate and make plans for re-assessment.

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 performance evidence.

Evidence must:

- ◆ be relevant to the SVQ
- ◆ be authentic
- ◆ show current competence
- ◆ be sufficient to help you form a decision about the candidate's competence

Insufficient evidence

You have to judge whether the candidate has produced enough evidence required by the standards 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

Because the candidate could not be observed providing treatment to an animal at appropriate times and frequency due to the length of time between doses and the availability of animals requiring treatment, witness testimony from an expert (veterinary surgeon) familiar with the SVQ standards was used to verify the candidate could perform the task to a satisfactory standard. To authenticate this evidence, the candidate was questioned orally to confirm the knowledge and understanding of the procedures involved. Records of treatment prepared by the candidate were also inspected.

4 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 national standards. 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 SVQ.

There are a few SVQs where you are strongly recommended to use the nationally-devised recording documents. Should you choose to use your own material, this has to be approved by us or by the awarding partner (where this is a requirement). For all other SVQs, you can use your own recording documents so long as they meet with our quality assurance requirements.

Recording documents do not need to be paper-based — it is possible to use an electronic format for collecting and structuring the 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 standards, and where the evidence can be located. You should avoid photocopying items simply to put them in a portfolio — a clear explanation of where the evidence can be found (for example, in a filing cabinet) may be sufficient for the External Verifier to follow it up and include it in the visit.

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

- ◆ it provides a way of tracking a candidate's progress in achieving an SVQ
- ◆ 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 us to monitor the quality assurance of our qualifications

If your candidates' evidence is incomplete, or cannot be located, or if there is inaccurate cross-referencing to the standards, 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.

- ◆ completing the Unit progress record
- ◆ using the evidence index
- ◆ completing the Element achievement record

These forms are also used in SQA's portfolio.

Completing the Unit progress record

You should complete this form each time your candidate achieves a Unit from the SVQ 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 SVQ.

Unit progress record

Qualification and level: SVQ Animal Care level 2

Candidate: J Donaldson

To achieve the whole qualification, you must prove competence in **six** mandatory Units and **six** optional Units.

Unit Checklist

Mandatory	CU5	CU34	CU37	A	CU32	CU45				
Optional	AC3	AC4	AC5	AC6	AC7	AC8	AC9	CU7	CU41	B3
	C5	C8	CU33	CU42	B5	B6	AC28			

Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
CU34	Promote and Maintain the Health and Well-being of Animals	<i>Isa Williams</i>	04/03/09
CU5	Develop Personal Performance and Maintain Working Relationships	<i>Isa Williams</i>	06/03/09
A	Ensure Your Own Actions Reduce Risks to Health and Safety	<i>Isa Williams</i>	12/03/09

Optional Units achieved

AC7	Carry out Reception Duties	<i>Isa Williams</i>	12/03/09
AC4	Provide Exercise Opportunities for Animals	<i>Isa Williams</i>	19/03/09

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 (eg in a portfolio) 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 SVQ, eg observation checklists, is filed in the candidate's portfolio. In this way, your candidate can avoid having to photocopy 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

SVQ title and level:

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1.1.1	Observation records for promotion of health and well being of animals	Yes	PS 3/3/09
1.1.2	Individual animal records	No, stored in central file in main office	PS 3/3/09
1.1.3	Records of oral questioning	Yes	PS 3/3/09
1.2.1	Observation records for providing medication and providing treatments	Yes	PS 3/3/09
1.2.2	Individual case records	No, stored in central file in main office	PS 3/3/09
1.2.3	Witness statement for administration of medicines at correct time and frequency	Yes	PS 3/3/09
1.2.4	Records of oral questioning	Yes	PS 3/3/09
1.3.1	Observation records for effective animal handling	Yes	PS 3/3/09
1.3.2	Records of oral questioning	Yes	PS 3/3/09

Completing the Element achievement record

To help you and your candidates cross-reference the evidence to the standards of the SVQs, we have provided records similar to those produced in the SQA portfolio. Use one record for each Element. The grids should be completed by:

- ◆ entering the evidence index number in the first column
- ◆ giving a brief description of the evidence in the second
- ◆ ticking the relevant boxes for the Performance Criteria (or statements of competence as they are sometimes known)
- ◆ entering the areas of knowledge and understanding the piece of evidence covers

If integrated assessment is used (linking PCs or Elements across different Units) the evidence should be cross-referenced back to the relevant Units.

We have provided a completed example to show how to use the record.

Element achievement record

Unit: CU7 Receive, Transmit and Store Information Within the Workplace

Element: CU7.1 Receive and Transmit Information Within the Workplace

Evidence Index No	Description of Evidence	Performance Criteria				Areas of Knowledge and Understanding							
		1	2	3	4	a	b	c	d	e	f	g	h
5.1.1	Observation of receiving client telephone requests and providing appointments	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
5.1.2	Observation of receiving instructions as to appropriate advice to give to clients and of passing advice onto clients in the building	✓	✓	✓		✓	✓	✓	✓	✓	✓		
5.1.3	Observation of recording client details on a database from written records	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
5.1.4	Oral questioning to clarify knowledge and understanding	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Unit: CU7 Receive, Transmit and Store Information Within the Workplace

Element: CU7.1 Receive and Transmit Information Within the Workplace

Notes/Comments

The candidate has been observed receiving and transmitting information face-to-face with clients, on the telephone and using written records. In all cases the information was received accurately, recorded where required and transmitted to an appropriate person or document. Client confidentiality was maintained at all times and the candidate showed adequate knowledge of the requirements of the Data Protection Act when questioned. The candidate was able to demonstrate how information could be refused in a polite but firm manner. Clients were spoken to in an appropriate manner to accommodate their level of understanding. Information was dealt with a suitable degree of urgency, depending on the circumstances.

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

Candidate: *J. Donaldson*

Date: 04/03/09

Assessor: *Isa Williams*

Date: 04/03/09

Internal Verifier: *Peter Simpson*

Date: 04/03/09

5 Further information

What else should I read?

The publications listed here provide additional information on how to implement SVQs. Details of these and other SQA publications are available on our website at www.sqa.org.uk on the 'Publications, Sales and Downloads' section. They can be ordered from SQA's Business Development and Customer Support Team — telephone 0303 333 0330. Please note that there may be a charge for some of these publications.

Assessor/Verifier Units: assessment guidance

External Verification: A Guide for Centres

Guide to Assessment

Introduction to Assessment Arrangements for Schools and Colleges

SQA's Quality Framework: a guide for centres

Operational Help Centre

The Operational Guide for Centres has been replaced by the online Operational Help Centre on www.sqa.org.uk

Appendix 1: Blank recording forms

Unit:

Element:

Notes/Comments

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

Candidate:

Date:

Assessor:

Date:

Internal Verifier:

Date:

Assessment plan

Units: Elements:					
Activities	PCs	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PCs and range)
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review					

Assessor's signature:

1st review due:

Candidate's signature:

2nd review due:

Date of agreement:

Date of completion:

Personal statement

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

Signed by candidate:

Date:

Observation record

Unit/Element(s):

Candidate:

Date of
observation:

Evidence index number:

Skills/activities observed:	PCs covered:

Knowledge and understanding apparent from this observation:

Other Units/Elements to which this evidence may contribute:

Assessor's comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

**Assessor's
signature:**

Date:

**Candidate's
signature:**

Date:

Witness testimony

SVQ title and level:	
Candidate's name:	
Evidence index no:	
Index no of other evidence which this testimony relates to (if any):	
Element(s):	
Date of evidence:	
Name of witness:	
Designation/relationship to candidate:	
Details of testimony:	
I can confirm the candidate's evidence is authentic and accurate.	
Signed by witness:	Date:

Witness (please tick the appropriate box):

- Holds A1/A2 Units or D32/D33 Award
- Is familiar with the SVQ standards to which the candidate is working

Record of questions and candidate's answers

Unit:	Element(s):
Evidence index number:	
Circumstances of assessment:	
List of questions and candidate's responses:	
Assessor's signature:	Date:
Candidate's signature:	Date: