

# **Tutor Guide to Assessment and Implementation Work Role Effectiveness**

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## TUTOR GUIDE — INTRODUCTION

The Work Role Effectiveness Unit is designed to assess whether a candidate is effective in a work role. Work roles need to be matched against those broadly defined by National Occupational Standards either at SVQ level 3 or SVQ level 4. Candidates should also be executing these roles at levels of autonomy described at SCQF level 7 or SCQF level 8. So, those in work roles matched broadly to SVQ level 3 should be demonstrating autonomous working as described at SCQF level 7 and those work roles matched broadly to SVQ level 4 should be demonstrating autonomous working as described at SCQF level 8. The work role should be mapped against SVQ Unit **titles** and **summaries** — an *example* is given at the end of the Unit specification.

The assessment process for this Unit draws upon performance management and staff development processes already in use in the world of work. There is no **direct** assessment of occupational skills in this Unit. If a candidate is not part of a formal appraisal/performance management system in their employment, then they can be taken through this process by the tutor — an example of best practice in Performance Appraisal is included at the end of this guide.

As well as claiming for effectiveness in a work role, candidates will also have to demonstrate that they have put in place strategies and plans to encourage their future personal development and the growth of their professional knowledge and skills.

To assist tutors/assessors through this process, this guide gives information on:

- ◆ The Work Role Effectiveness Unit (also part of the candidate guide)
- ◆ Tutor guide (specific to this guide)
- ◆ General guidelines to assessment (also part of the candidate guide)
- ◆ Specific guidelines to assessment (also part of the candidate guide)
- ◆ Performance Appraisal (also part of the candidate guide)

## INTRODUCTION TO THE WORK ROLE EFFECTIVENESS UNIT

The Work Role Effectiveness Unit is designed to enable candidates to claim credit for carrying out a work role effectively, broadly defined by national occupational standards used in SVQ level 3 or level 4, and to plan for future personal and professional development.

The assessment process for this Unit draws upon performance management and staff development processes already in use in the world of work. An example of best practice in performance appraisal can be found at the end of this guide.

A candidate's work role effectiveness will be mapped against the Unit titles and summaries of an SVQ at level 3 or level 4, eg SVQ in Management level 3 or level 4. Candidates will be expected to be carrying out that role at levels of autonomy described at SCQF level 7 or SCQF level 8 (see Unit descriptor for which level is applicable).

Successful candidates will be awarded the Work Role Effectiveness Unit, worth 24 SCQF credit points, at either SCQF level 7 or SCQF level 8. Candidates will also have strategies and plans in place to encourage their future personal development and the growth of their professional knowledge and skills.

### Roles and responsibilities

#### *Candidate*

The role of the candidate is to:

- ◆ produce evidence of their knowledge and skills in a work role using the HN Unit Work Role Effectiveness at SCQF level 7 or SCQF level 8
- ◆ identify their knowledge and skills through self-appraisal of their work role against the three parts (Outcomes) of the Unit
- ◆ work in partnership with their manager/employer or tutor/assessor to ensure positive Outcomes to the performance appraisal process
- ◆ produce evidence of their effectiveness in a work role that satisfies at least three quarters of the mandatory aspects and half of the optional aspects of the relevant SVQ Unit titles or summaries at level 3 or level 4

#### *Manager/employer*

The role of the manager/employer is to:

- ◆ follow the processes of a sound model of performance appraisal (see end of this section)
- ◆ review and confirm the candidate's personal appraisal reports
- ◆ give and receive feedback on performance since the last appraisal meeting
- ◆ agree a learning and development plan with the candidate and how it will be resourced and put into action

### *Tutor/assessor*

The role of the tutor is in fact two roles which may be fulfilled by one person or by two. There is the responsibility for guiding and supporting the candidate as they gather their evidence as well as the responsibility for assessing/judging the candidate's claim for Work Role Effectiveness. In the cause of simplicity the term tutor/assessor is used throughout.

#### **The role of the tutor/assessor is to:**

- ◆ facilitate the generation of evidence for the candidate
- ◆ brief the candidate in how to produce and present their evidence
- ◆ assess the evidence against the criteria set out in the three parts (Outcomes) of the Unit
- ◆ conduct a professional interview with the candidate to establish the candidate's claim
- ◆ judge the authenticity and sufficiency of the candidate's evidence
- ◆ confirm the outcome of their assessment or modify the claim
- ◆ record the mutually agreed conclusions of the interview
- ◆ brief the candidate on the next steps
- ◆ report their recommendation for awarding the unit in an agreed timescale
- ◆ report on any outstanding issues

#### **Notes**

- ◆ If candidates do not have access to a performance management process then they should be briefed on the process and taken through a similar process by the tutor/assessor. Guidance on this process is given at the end of this guide.
- ◆ Detailed guidance on the content of the Work Role Effectiveness Unit, evidence requirements and assessment guidance are given in the subsequent sections of this guide.
- ◆ Useful pro forma documents for both candidates and tutor/assessors can be found at the end of this guide.

#### **Benefits of undertaking the Work Role Effectiveness Unit**

##### *To the organisation:*

- ◆ employees with a nationally recognised qualification
- ◆ better trained, qualified and motivated staff who can contribute to, and help fulfil, the organisation's mission and vision
- ◆ employee development and retention
- ◆ improved skills base

##### *To the candidate:*

- ◆ ability to identify the levels of knowledge and/or skills gained through work-based experience and previous learning and qualifications
- ◆ formal recognition of existing knowledge and skills through a rigorous assessment process
- ◆ receives 24 SCQF credit points and a nationally recognised qualification
- ◆ encouraged to reflect on own knowledge, skills, personal attributes and experience giving greater self-awareness, self-esteem and self-confidence to manage self, own learning and development in the future

## TUTOR GUIDE TO IMPLEMENTATION AND ASSESSMENT

### The role of the tutor/assessor

The **tutor** is responsible for facilitating the generation of evidence by the candidate. The objective is to help candidates meet the requirements of the Work Role Effectiveness Unit.

The **assessor** is responsible for judging the authenticity and sufficiency of the candidate's evidence.

These two roles may be carried out by two individuals or by the same person who, from now on, will be called the **tutor/assessor** for simplicity.

The tutor/assessor provides the following services for the candidate:

- ◆ information and advice on the requirements of the Unit
- ◆ guidance on planning and preparing a claim for work role effectiveness
- ◆ assessment of the candidate's evidence
- ◆ a professional interview with the candidate
- ◆ recommendation for achievement of Unit

### All about evidence

Candidates need help in the selection of good evidence and in overcoming the temptation to include everything that *might* be of value. The best piece of advice to give candidates is that they continually pose the question, 'What does this prove?'

Candidates often find it difficult to identify good pieces of evidence of their knowledge and/or skills in the workplace. They are greatly helped by being encouraged to describe the work, tasks or projects they do as though to someone who does not know their workplace. The most important question to pose here is, 'How do you do it?' This will help the candidate to tell clearly **how** they perform an activity or task rather than give a general description.

In their personal appraisal report candidates must express themselves simply, clearly and be concise. Their objective is to lead the tutor/assessor through their evidence. Clear, short personal reports can minimise the need for time-consuming and extensive questioning during the professional interview.

**Tip:** *It can be helpful if a candidate approaches the generation of evidence as if they were completing a job application.*

Evidence must 'speak for itself' or stand alone. This can be helped by the inclusion of a glossary of terms and abbreviations used in the candidate's organisation or industry.

Candidates need to be shown how to use indirect evidence that can be authenticated by a third party such as a team member or manager. A list of contributors could also be useful here.

It is also helpful if the tutor/assessor ensures that the candidate's evidence is well-organised, ie, clearly labelled and indexed for easy reference.

## **Good evidence is *authentic* and *sufficient***

### *Authenticity*

The tutor/assessor has to ensure that candidates have generated the evidence themselves. To overcome the problems of evidence generated by team working or where the candidate is responsible for an activity but not directly involved, candidates should point out their own contribution and have it authenticated by someone who is eligible to do so, a colleague, team member or manager.

**Note:** All endorsements should be ‘signed off’ and dated by the provider.

### *Sufficiency*

The candidate’s portfolio must contain evidence for each part of the three Outcomes (referred to as ‘parts’ in the candidate’s guide) of the Work Role Effectiveness Unit at SVQ level 3 or SVQ level 4.

There should be enough evidence to support a positive claim — the best presentations/portfolios are not the heaviest.

## **Confidentiality need not be an issue**

We must respect the fact that candidates or organisations may well prefer to guard the confidentiality of original evidence. Sensitive information such as names or numbers can easily be ‘blacked out’ without affecting the value of the document as evidence. It is the candidate’s activity/report that is important rather than the confidential details.

## **The professional interview**

The purpose of the professional interview is for the tutor/assessor to establish the candidate’s evidence of achievement.

Either the candidate’s claim matches the requirements of the Unit or does not yet do so. If the candidate does not yet meet all the requirements the tutor/assessor will provide guidance on how the candidate could fill the gaps and a date for re-submission of the claim will be agreed.

## **Checklist — assessment meeting or professional interview**

The role of the tutor/assessor is to help candidates show that they meet the requirements of the Unit in their current/recent a work role.

- ◆ Give the candidate plenty of notice of the time, date and place of the meeting.
- ◆ Prepare yourself thoroughly beforehand. Study the candidate’s evidence carefully, decide on the areas you wish to explore, prepare the questions you want to ask and plan the meeting.
- ◆ Check that the candidate has prepared properly and is ready for their assessment. Be prepared to re-arrange the meeting if necessary.
- ◆ Arrive early to ensure that everything is in order: quiet, comfortable place to meet where there will be no interruptions or distractions.
- ◆ Before the formal meeting begins ensure that the candidate understands the purpose of the meeting and the ground rules, explain your plan and the outcomes you expect to achieve.
- ◆ Balance the need for thoroughness with the constraints of the time available for the meeting.

- ◆ Conduct the meeting in a positive, encouraging manner. Encourage the candidate to ask questions. Listen and respond in a fair and supportive manner.
- ◆ Be sensitive to the fears, anxieties and personal circumstances of the candidate.
- ◆ Give the candidate feedback throughout the meeting that is clear, constructive and encouraging.
- ◆ Finally, ensure that the candidate fully understands the outcome of the meeting and what happens next.

The role of the tutor/assessor is to encourage candidates to demonstrate their knowledge, skills and personal attributes. Therefore, the tutor/assessor's skills of listening, responding and questioning are of prime importance.

### **Active listening**

**First**, arrange for the meeting to be held in a quiet location without disturbances or distractions for you or the candidate.

**Next**, behave in a way that ensures that the candidate feels comfortable and relaxed.

- ◆ Be polite but informal.
- ◆ Use the candidate's first name.
- ◆ Smile, look interested and maintain good eye contact with the candidate but do not appear to stare.
- ◆ Be patient, giving the candidate time to express themselves fully, as long as it is to the point.

**Finally**, demonstrate that you are really paying attention to the candidate.

- ◆ Ask questions, seek clarification, re-phrase or repeat the candidate's statements and summarise what you have heard to check your understanding.
- ◆ Use positive body language and non-verbal signals to demonstrate your openness and undivided attention — nod, lean forward, smile, put your head on one side, make 'listening' noises, eg 'yes, mmm, or I see'.
- ◆ Confirm your understanding through observation and interpretation of the candidate's non-verbal signals (body language, facial expression, tone of voice).
- ◆ Let your intuition pick up on the candidate's underlying emotions and motivation.
- ◆ Make appropriate use of pauses to show that you are thinking about what has been said and use silence to allow the candidate to offer further thoughts or information without interruption.
- ◆ Make notes, having explained why you are doing so.

### **The art of good questions**

There are two main types of question: open and closed.

- ◆ Open questions are used to elicit an extended response and most usually start with what, why, when, how, where, or who.
- ◆ Closed questions elicit a 'yes' or 'no' reply, eg '*have you?*', '*do you?*', '*are you?*'. They are useful to simply confirm or deny something, verify facts, or to get agreement. Over use will turn a conversation into an uncomfortable interrogation.

- ◆ **Example:** If you ask, ‘*Do you like your job*’? the answer will be ‘Yes’ or ‘No’. However, if you ask, ‘*What is it that you like about your job*’? the candidate is likely to tell you enthusiastically about an enjoyable of their work role.

### Questions to check understanding

By asking something like, ‘*So what you mean is.....*’? or ‘*Could you put it another way, please, to help me understand*’? you can check your understanding of what is being said and give the candidate the opportunity to say more or give you a clearer explanation. It is useful to keep six areas in mind — what, why, when, how, where and who.

### The professional interview — some useful questions

- ◆ Tell me something about yourself.
- ◆ Tell me about the organisation/company you work for.
- ◆ What is your job at XYZ company?
- ◆ Which aspect of your job would you like to do more/less of?
- ◆ Which aspect do you like best/least?
- ◆ Tell me about..... (point(s) made in the personal appraisal report)
- ◆ Could you tell me a bit more about that point?
- ◆ What part did you play?
- ◆ What was your role in that project/activity?
- ◆ Tell me about the skills you need to do that part of your job?
- ◆ What do you think you are really good at?

### Checklist — questioning to elicit a *positive* response

- ◆ **Golden Rule 1:** Always prepare your questions in advance. You will be to the point and miss nothing out.
- ◆ Explain the purpose of the questions clearly at the outset.
- ◆ Make every effort to put a candidate at ease and build rapport with them.
- ◆ Ask questions that are specific, clear and concise.
- ◆ Acknowledge answers in a positive, encouraging manner.
- ◆ Pause to consider answers before replying.
- ◆ Use silence when appropriate as it can encourage the candidate to offer more thoughts or information. (However, be careful, over use may make the candidate feel threatened.)
- ◆ Probe for additional information if you feel there could be more.
- ◆ **Golden Rule 2:** Always check your understanding — summarise and use open questions to check understanding.

### To be avoided — questions that will elicit a *negative* response

- ◆ Asking long rambling questions. They lead to confusion and misunderstanding.
- ◆ Asking multiple questions. Candidates answer the easiest ones first and ignore the important but difficult ones.
- ◆ Asking leading questions. They are used by people wishing to show off their own knowledge or opinions.
- ◆ Ask loaded questions. You are insulting the candidate’s intelligence.
- ◆ Asking trick questions causes resentment.
- ◆ Use complex language or jargon. This demotivates candidates.
- ◆ Jump to conclusions.

- ◆ Interrupt.
- ◆ Fail to keep to the point and let the conversation wander.

**And finally — a checklist of essentials**

- ◆ A formal record of each candidate who is preparing a claim, including a plan and timelines.
- ◆ Unit titles and summaries of the relevant SVQ level 3 or level 4 against which the candidate is claiming work role effectiveness.
- ◆ Candidates' personal appraisal reports emphasise their knowledge and/or skills rather than describes the work experience itself.
- ◆ Assessment of the Unit must be documented by the tutor/assessor, following the professional interview, and countersigned by the candidate.
- ◆ The assessor's report must record that the evidence submitted and the outcomes of the interview fulfil the following criteria:
  - Valid. All evidence matches the level of knowledge, skill, experience and personal attributes required by the Work Role Effectiveness Unit.
  - Sufficient. There is enough evidence to satisfy the requirements, but not too much.
  - Authentic. The personal report is the work of the candidate and records their own experience.
  - The candidate's work experience has taken place within the previous six months and in a work role held for at least twelve months.

## GENERAL ASSESSMENT GUIDELINES

Your tutor/assessor wants to have a clear, brief snapshot of who you are, what you do in your work role, how you contribute to your organisation and how you plan to develop your knowledge, skills and your future career.

This guide is divided into three parts, which correspond to the Outcomes of the Unit. As you work through the three parts of the Unit and produce both parts of your personal appraisal report you are, in fact, carrying out a self appraisal against a job description that corresponds broadly to a work role profile as detailed in SVQ Unit titles and summaries at level 3 or level 4.

Your tutor/assessor also wants you to provide enough (but not too much) well-presented and well-organised evidence to back up and authenticate your claim for the Work Role Effectiveness Unit.

*TIP: Collecting excessive quantities of evidence materials is counter-productive as it will be disregarded and does not enhance your claim. All you need is enough evidence of the right kind to support your claim.*

You will notice that the three parts of the Unit interlock to draw out all the evidence you need to provide a complete picture of you and your effectiveness in a work role now and for the future.

The Work Role Effectiveness Unit is modelled on best practice in performance management and staff development programmes already in use in organisations.

If your organisation does not have a fully developed performance management or appraisal system your tutor/assessor will brief you and take you through the process.

### Presenting your evidence

Your tutor/assessor will discuss ways of presenting your evidence but often this is done through a portfolio. This is the name given to the file or folder in which you collect, arrange, display and explain all the materials you collect together to show your tutor/assessor that you can fully back up your claim for accreditation in the Work Role Effectiveness Unit.

*Evidence can be presented through:*

- ◆ the written word
- ◆ photographs
- ◆ video recordings
- ◆ audio recordings
- ◆ printed materials

*Tips on how to present your evidence:*

- ◆ each item of evidence could have a unique number
- ◆ complete a cover sheet to describe each item (example given at the end of this guide)
- ◆ the evidence and its cover sheet should be placed, in order, in your portfolio
- ◆ each piece of evidence could be recorded on a summary sheet
- ◆ check if each piece evidence could be used again in other parts of the Unit

*Checklist — your definitive list of evidence:*

- ◆ your personal appraisal report
- ◆ the record of your performance appraisal interview and action plan
- ◆ your additional evidence, with cover sheets
- ◆ your professional interview report
- ◆ your name and contact details
- ◆ a glossary of abbreviations or technical terms that would not be recognised outside your workplace
- ◆ a list of contributors to your portfolio, eg team leader, manager, colleague
- ◆ a summary of evidence sheet

### **The professional interview**

The professional interview is the final stage in the assessment of the Work Role Effectiveness Unit. The interview will be conducted by your tutor/assessor at your place of work or at a centre approved by SQA. The interview will last between one and two hours.

The role of the tutor/assessor is to ensure that your claim for accreditation satisfies all the requirements of the Unit.

Your tutor/assessor will prepare for the interview by looking at all the materials you have presented to ensure that your collection of evidence passes four tests:

- ◆ Is the evidence all your own work?
- ◆ Have you demonstrated that you are effective in your work role for the minimum requirement of the SVQ outline you have chosen?
- ◆ Have you provided enough evidence of the right kind to support your claim?
- ◆ Have you been in your job within the last six months and did you do that job for at least twelve months?

The tutor/assessor will do this by asking you questions designed to do the following:

- ◆ Confirm and clarify your self appraisal.
- ◆ Draw out evidence of your knowledge, skills and personal attributes which are not described clearly enough in your personal report.
- ◆ Help you to fill any apparent gaps in your evidence or correct discrepancies.
- ◆ Check that the evidence is all your own work.

### **Professional interview report**

The report is the record of the interview. It shows the tutor/assessor's notes of the questions asked, your answers, any recommendations and the tutor/assessor's decision.

The report forms the final part of your evidence once it has been agreed and 'signed off' by both parties. An example of a blank report is given at the end of this guide.

The following sections take you through each part of the assessment of the Unit.

## CANDIDATE GUIDE TO ASSESSMENT FOR PART 1 (OUTCOME 1)

### Part 1

Part 1 of the Unit asks you to do two things:

- 1 Give a brief general description of the organisation in which you work.
- 2 Give an outline of the job that you do and how it fits into your organisation.

### Knowledge and/or skills

Set out below is a list of the areas of knowledge and skills you must demonstrate to complete Part 1 of the Unit. You are being asked to provide evidence that you have all the knowledge you need about your organisation and your job to perform your duties to the standard required.

#### 1 The organisation in which you work

What is the name and location of your employing organisation? In your own words, give a short general description of the activities of the organisation in which you work or in which you were most recently employed.

*Suggested additional evidence: an official leaflet about the company or its website address.*

#### 2 Your job

What is your job title? Give a brief list of your duties and responsibilities.

*Suggested additional evidence: a job advertisement for your work role.*

#### 3 Essential knowledge and skills

Produce a brief list of the technical or professional knowledge and skills that you must have to do the job you have described.

*Suggested additional evidence: your job specification or the advertisement for your job.*

#### 4 Your particular knowledge and skills

Describe briefly the particular knowledge and skills you possess and use that allow you to do your job successfully.

Also think about and list the things that you do over and above the official description of your work role to improve your level of performance.

*Suggested additional evidence: eg evidence of good communication skills, knowing how to work well with others, or perhaps skill in the use of a particular computer application.*

**5 What part do you play in your organisation?**

Describe the working relationship you have with others in your place of work. Perhaps you are a team leader or a supervisor, an administrator or support staff, a provider of professional or technical skills or services, for example. With which individuals or groups of people do you work regularly?

*Suggested additional evidence: an organisation chart for your organisation, department or section.*

**6 How does your job help the organisation to fulfil its overall goal?**

Does your organisation have a mission statement? What is it? Explain how your job fits into your section, department or branch and how you see it making a contribution to the attainment of the overall mission of your employer.

*Suggested additional evidence: the organisation's mission statement.*

**7 Where would you find information about the organisation's mission?**

To fully appreciate how your job fits into your organisation, it would be helpful to present some official documents, eg a corporate plan, an annual report, the address and home page of the official website, an organisation chart, your job profile, person specification or your contract of employment.

*Suggested additional evidence: list the places where this information is available and present a good example.*

**8 Describe performance management and staff development in your organisation.**

Give a brief description of the policies and procedures for performance management and staff development in your organisation. Please describe briefly your own experience of how this happens in your organisation.

*Suggested additional evidence: Present sample policy statements and the forms used, eg for staff appraisal or training and development. These could be found in the employee's handbook.*

## Summary of the evidence required to achieve Part 1

### Mandatory

#### *Personal appraisal report — Part 1*

- ◆ It should be no more than the equivalent of **two** pages long (approximately 850 words).
- ◆ It will be made up of the statements and descriptions about your organisation and your job that you have produced in answer to the **eight** items listed above.

#### *Employer's Authentication*

- ◆ This first part of your report will be authenticated ('signed off' and dated) by your employer/manager.
- ◆ The authentication could be simply a note from your line manager or employer confirming that you have given an accurate account of your role in the organisation.

You may prefer to use the pro forma given at the end of this guide or an employer's reference.

### Optional

- ◆ Relevant official documents or *Suggested additional evidence* that would strengthen your case.  
Remember! All your additional evidence should be carefully indexed and explained so that your tutor/assessor can understand it and use it with ease.

### Assessment

- ◆ Your tutor/assessor will assess your Work Role Effectiveness Unit as a whole and at one time.
- ◆ The assessment of the evidence you present will be followed by an interview.  
(See professional interview section in the general assessment guidelines.)

## CANDIDATE GUIDE TO ASSESSMENT FOR PART 2 (OUTCOME 2)

### Part 2

Part 2 of the Unit tests your knowledge of two areas:

- 1 National Occupational Standards at SVQ level 3 *or* level 4.
- 2 The performance appraisal or performance management process used in your organisation.

**Note:** *If you do not have access to this information or process in your organisation, your tutor/assessor will brief you on the purposes of national occupational standards and then take you through the full performance appraisal process to enable you to complete this part of the Unit.*

### Knowledge and/or skills

Set out below is a list of the areas of knowledge you must demonstrate to complete part 2 of the Unit. You are being asked to provide evidence that you have all the necessary knowledge about your chosen set of national occupational standards and that you have completed a performance appraisal.

With this knowledge you will be able to compare your current or recent work activities and achievements with outlines of national occupational standards at level SVQ 3 *or* level 4.

#### 1 What are National Occupational Standards?

Explain briefly what we mean by National Occupational Standards. What is their structure? Explain why the standards are important and how we use them to manage and improve the performance of people at work.

*Suggested additional evidence: a copy of an SVQ information sheet at level 3 or 4 or an SQA/SVQ leaflet.*

#### 2 List the Unit titles and summaries of an SVQ at level 3 *or* level 4.

It will have a number of mandatory Units and your choice of optional ones so that the chosen SVQ will be broadly similar to your current or recent work role.

#### 3 Level description of autonomous working described at SCQF level 7 or SCQF level 8

Explain briefly the level of autonomy/responsibility/supervision you have in your work role.

*Suggested additional evidence: a copy of the SCQF level descriptor for the relevant SCQF level (available on the SCQF website — [www.scqf.ac.uk](http://www.scqf.ac.uk))*

#### 4 **Planning work activities**

Describe how work activities are planned and recorded in your organisation. Who is involved in the process? How do the planned activities contribute to the broader mission and aims of your organisation?

*Suggested additional evidence: personal, team or departmental work plans.*

#### 5 **How does your performance measure up to the plan?**

Give brief comments on how your performance at work matches up to the plans made at your last appraisal meeting.

*For example: What has gone well? What has been achieved? What has not gone well? What is still to be achieved?*

#### 6 **How do you get critical feedback on your performance?**

Describe briefly how you are given feedback on both the good and less good aspects of your work performance.

*Suggested additional evidence: a personal report might be useful here.*

#### 7 **How do your achievements compare with expectations?**

How are your achievements recorded against the expectations agreed in your most recent performance appraisal report or action plan?

*Suggested additional evidence: a personal report might be useful here.*

**Note:** *Suggested evidence for items 4–7 above may be found in the record of your most recent performance appraisal or could be an account of your most recent appraisal in your own words (see the section on performance appraisal — an example of best practice, in this guide).*

#### 8 **How does your performance at work match up to the SVQ Unit titles and summaries you have chosen?**

Using your chosen SVQ titles and summaries as a checklist, write a brief account for each Unit of how your skills, knowledge, qualifications, experience and personal qualities match or have the potential to match the requirements of the national standard.

*Suggestion: The pro forma 'Claim for credit — personal appraisal' included at the end of this guide might be useful.*

## Summary of the evidence required for Part 2

### Mandatory

#### *Personal appraisal report — Part 2*

- ◆ It should be the equivalent of between **two** and **four** pages long (approximately 850–1,700 words).
- ◆ It will be about your current work role, or one that you have occupied recently, and will include your response to all eight of the items listed above.

#### **NOTE:**

- ◆ The work role should be broadly similar to the one described in the SVQ Unit titles and summaries.
- ◆ You should have had the work role for a minimum of **twelve** consecutive months.

#### *Employer's confirmation*

- ◆ This second part of your report should include evidence that confirms your personal appraisal report. It can be either the record of a recent performance appraisal meeting or in the form of a reference from your employer.

**NOTE:** *To satisfy the requirements of the Work Role Effectiveness Unit, the candidate must be operating satisfactorily in a work role matched against at least three quarters of the mandatory parts of the chosen national occupational standards and at least half of the optional parts.*

### Optional

- ◆ Any relevant official documents or *Suggested additional evidence* that would strengthen your case.

Remember! Any additional evidence should be carefully indexed and explained so that your tutor/assessor can understand it and use it with ease.

## CANDIDATE GUIDE TO ASSESSMENT FOR PART 3 (OUTCOME 3)

### Part 3

Part 3 asks you to do **two** things:

- 1 Present the personal development aims that were identified at your most recent performance appraisal meeting.
- 2 Present the short, outline plan that will allow you to achieve those aims.

### Knowledge and/or skills

Set out below is a checklist of the subject matter that will be addressed in a good quality performance appraisal meeting. All of the aspects listed must be covered in order to fulfil the requirements of part 3 of the Unit.

**Note:** *A full description of a performance appraisal process is given in the 'Performance appraisal — an example of best practice' section of this guide.*

- ◆ You will have the opportunity to think about all the aspects to be discussed before the appraisal meeting takes place.
- ◆ Also, you are being asked to show that you have identified your personal development aims and an action plan that will allow you to achieve them. This is the main outcome of a performance appraisal process.

#### 1 Technical skills, knowledge and personal attributes

- ◆ Do you have the right levels of technical skills, knowledge and understanding and personal attributes to do your job well, in the current circumstances, within your organisation?
- ◆ Do you have all the skills and knowledge you need to be able to communicate and work well with others in the work place?
- ◆ Are your levels of knowledge and skills in the use of numbers and information technology of a high enough standard to do your job well?
- ◆ Do you have the ability to work unsupervised in the key aspects of your own work role?

*Suggested additional evidence: personal reports.*

#### 2 Personal achievement

- ◆ What are your areas of personal achievement?
- ◆ On which of these areas would you like to build for career purposes?
- ◆ In which areas of personal achievement did you not come up to your own expectations?
- ◆ What were the reasons for this?

### 3 Opportunities for further learning and development

- ◆ What opportunities are available to you for further development in your current work role or in the organisation?
- ◆ Where can you get advice and support to gain access to further training and development?
- ◆ Where can you get access to learning opportunities?

**Note:** *Information on the three areas above can be provided by your manager or personnel department.*

#### Summary of the evidence required for Part 3 (Outcome 3)

##### Mandatory

###### *Performance appraisal interview summary*

- ◆ A summary of the outcomes of the performance appraisal interview that have been agreed with you and ‘signed off’ by you and the interviewer.
- ◆ The summary should be no more than the equivalent of **two** pages long (about 850 words).

###### *Action plan*

- ◆ It should identify at least **one** of your work achievements on which you would like to build to further your career and a realistic action plan.
- ◆ It should also identify **one** area of personal achievement which did **not** come up to your own expectations and include a realistic suggestion of how this is going to be addressed.

##### Optional

- ◆ Any relevant official documents or *Suggested additional evidence* that would strengthen your case.

Remember! Any additional evidence should be carefully indexed and explained so that your tutor/assessor can understand it and use it with ease.

## PERFORMANCE APPRAISAL — AN EXAMPLE OF BEST PRACTICE

### The process

An effective formal performance appraisal process is designed to:

*Assess an individual's:*

- ◆ past and current performance
- ◆ future potential
- ◆ existing knowledge and skills
- ◆ training and development needs

*Develop an individual through:*

- ◆ identifying areas of strength and weakness
- ◆ agreeing an individual training and development plan
- ◆ enabling an individual to make the most of their abilities

*Problem solve by:*

- ◆ highlighting problem areas and help find solutions

*Motivate an individual through:*

- ◆ the recognition of good performance
- ◆ encouragement to further develop their knowledge and skills

### Features of an appraisal meeting

- ◆ a private, face-to-face discussion between the job holder and their manager
- ◆ the discussion reviews the whole of the job, not just a single aspect
- ◆ the meeting is structured, not a casual chat
- ◆ the discussion covers the past, present and future, both short-term (up to three months) and long-term
- ◆ the results of the meeting are recorded formally
- ◆ although most of the discussion is about the job holder, the manager will invite the job holder to make constructive comments on their method of managing, and the two parties will take stock of the effectiveness of their working relationship
- ◆ the discussion produces specific action points with deadline dates
- ◆ at the end of the discussion, a date is agreed for the next meeting and this is recorded in the notes
- ◆ both parties retain a copy of the record of the appraisal meeting

### Benefits

*Employees* benefit from having regular planned contact with their manager/employer to consider progress, identify training and development needs and acknowledge an individual's contribution to the work of the organisation.

*The organisation* benefits from reviewing the performance of employees in a systematic way to enable better co-ordination of the review of jobs and development activities to fulfil the organisation's objectives.

## NOTES FOR THE GUIDANCE OF JOB HOLDERS AND MANAGERS

### Preparing for a performance appraisal

- ◆ the job holder will receive a blank appraisal form in advance of the appraisal meeting to allow time for self appraisal and preparation
- ◆ self appraisal: review the whole period since the last appraisal
- ◆ before the meeting make notes of points for discussion

### During the meeting

- ◆ record any specific plans for personal development or for career progression. (These are more likely to be about improving effectiveness or job satisfaction than about promotion)
- ◆ record any short-term targets that are agreed

### Review

- ◆ after the appraisal discussion the job holder has the opportunity to review the manager's/reviewer's comments and add any further notes of their own before finally 'signing off' the record form
- ◆ both parties keep a copy of the form

### The appraisal form

The appraisal form is a confidential record of past performance and future plans. It should include the following features:

#### *Basic information*

- ◆ name, job title, department, date, name of appraiser
- ◆ current job description and key result areas or targets

#### *Past performance*

- ◆ the job holder's review of their own performance since the last appraisal, noting key result areas, the job holder's comments and the manager's comments.

#### *Future performance*

- ◆ updated key result areas and comments
- ◆ individual development needs
- ◆ action points and target dates
- ◆ manager's comments
- ◆ job holder's comments
- ◆ votes on the working relationship
- ◆ date of next meeting
- ◆ signatures of both parties and the date

### Informal review meetings

The annual appraisal may be supplemented by informal review meetings at regular intervals, eg every three months. The purpose of these meeting is to focus on current job priorities and monitor performance.

# **WORK ROLE EFFECTIVENESS**

## **SHELL PRO FORMAS**



## INTERVIEW FORM

<b>Unit title:</b> _____		<b>Unit code:</b> _____	
<b>Candidate name:</b> _____		<b>Tutor/assessor</b> _____	
<b>Candidate No:</b> _____		<b>Page:</b> ____ of ____	
<b>Parts:</b>	<b>1</b>	<b>2</b>	<b>3</b>
<b>Question:</b>		<b>Response:</b>	
<b>Award Y/N:</b>		<b>Comments:</b>	
<b>Signed:</b>		<b>Date:</b>	

## CHECKLIST OF EVIDENCE SUBMITTED

### Name and contact details:

Personal appraisal report

Part 1

Part 2

Recent performance appraisal report or summary

Employer's confirmation or reference

Personal action plan

Additional supporting evidence

Professional interview report

List of people who have contributed

Glossary of terms and abbreviations

## **Glossary of terms and abbreviations**

Evidence No \_\_\_\_\_

**Evidence cover sheet**

*[Give this information for every item of evidence you use]*

**This piece of evidence is:**

**What does it prove?**

**Which part/parts of the Unit does it support?**

Part 1

Part 2

Part 3

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

