



Unit title	Process and Provide Financial Documentation for Customers
SQA code	J5VF 45
SCQF level	5
SCQF credit points	5

History of changes

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Version number	Date	Description

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Unit template: October 2021

SSC code:	CSFSS2			
Learning outcomes	Assessment criteria			
Unit purpose (aims)				
The aim of this unit is for learners to demonstrate they can prepare and issue customer documentation using business systems appropriate to their role and in line with organisational procedures.				
The learner will		The learner can		
1 Prepare customer documentation	1.1	Explain the organisational and regulatory procedures for producing and issuing documentation to customers.		
	1.2	Explain business systems and technology used to produce customer documentation.		
	1.3	Use industry specific and generic business systems and technology to prepare customer documentation.		
	1.4	Use relevant questioning techniques to identify the documents or information being requested by customers.		
	1.5	Identify the documents required to satisfy customer requests.		
	1.6	Know where to source and how to review standard documents relevant to customer requests.		
	1.7	Source and review standard documents to satisfy customer requests.		
	1.8	Explain the importance of planning content and preparing non-standard documents or communications using suitable language and format.		
	1.9	Prepare non-standard documents or bespoke communications using language and format appropriate to the needs of different customers.		
2 Issue customer documentation	2.1	Use industry specific and generic business systems and technology to issue customer documentation.		
	2.2	Explain the importance of verifying customer identity prior to issuing documentation.		
	2.3	Check documents for spelling, punctuation and grammatical errors.		
	2.4	Verify, where necessary, customer identity.		
	2.5	Explain the importance of ensuring commitments with customers are kept in regard to provision of requested documentation are in line with agreed timescales.		
	2.6	Issue customers with required documents in line with organisational procedures and timescales.		
	2.7	Store copies of non-standard documents in line with organisational and regulatory procedures.		
Meta-skills				
Across this unit there are opportunities to develop and apply a range of meta-skills. An indicative range of these skills are highlighted (*) in the following table:				
Self-management	focusing*	integrity*	adapting*	initiative*
Social intelligence	communicating*	feeling*	collaborating*	leading
Innovation	curiosity*	creativity	sense-making*	critical thinking*
Assessment (evidence) requirements				

This unit is designed to recognise competence in aspects of delivery of customer service in the Financial Services sector. It therefore requires that the learner is engaged in a customer service role within the Financial Services sector and that assessment evidence is generated in the workplace.

Simulation may be undertaken only when the learner is unable to provide sufficient evidence of workplace performance to complete the unit and/or where there is a potential risk to the learner or others. This may arise from considerations of safety, legislation, regulation, contingency or cost. Any use of simulation to provide performance evidence (and support assessment) should be agreed in advance by the assessor and learner at the assessment planning stage. Those involved in the assessment process must be satisfied that the use of simulation does not compromise the rigour and integrity of assessment. Where simulation is used to generate evidence of competence, this should not be used as the sole source of evidence for the unit. Other sources and types of evidence will need to be generated to corroborate the evidence derived from simulation. In all cases, simulation must take place in a Realistic Work Environment (RWE) which re-creates the environment, equipment and time pressures found in a typical work environment.

Guidance on instruments of assessment

This unit forms part of the **Customer Service in the Financial Services Sector at SCQF level 6** qualification. It is recommended that learners undertaking this qualification develop a portfolio of work to evidence their competence that includes:

- ◆ direct observation
- ◆ expert witness testimony
- ◆ product evidence
- ◆ regular reflective practice supported by professional discussion

A key aspect of this qualification is the expectation that learners develop meta-skills and that they become aware of the importance of these skills — both in the provision of effective customer service, and for their personal and career development.

To support this, each unit in this qualification signposts meta-skills that are likely to be required or demonstrated in order to meet the outcomes, and each unit also requires that learners reflect on the skills, including meta-skills, that they have developed or demonstrated through achieving the unit.

Holistic approaches to assessment are encouraged so that larger pieces of work are used to evidence a number of learning outcomes rather than a piecemeal process of finding separate evidence for each outcome or assessment criteria. As an example, the “Support Continuous Improvement in the Financial Services Sector” (unit J5VJ 46) is an activity which is often undertaken by cross team project groups and which is likely to provide assessment evidence both for other units (eg unit J5VH 46 — “Develop Professional Relationships Through Collaboration to meet Customer Needs and Business Objectives” and for meta-skills as skills such as collaboration, leadership, communication, sense-making and creativity are all likely to contribute to effective improvement.

It is unlikely however that performance evidence alone will provide complete evidence of competence in this unit. In particular, where the learner’s knowledge and understanding is not apparent from performance evidence, it must be assessed by other methods and be supported by suitable evidence. Knowledge and understanding can be demonstrated in a number of different ways, but it is suggested that the most appropriate methods for this

unit are oral questioning, professional discussion and reflective accounts. Assessors should ask enough questions to be able to determine that the learner has an appropriate level of knowledge and understanding as required by the unit(s).

SQA's Guide to Assessment is designed to provide support for everyone who assesses for SQA qualifications. It looks at the principles of assessment, and brings together information on assessment in general as well as on best practice in assessment. The Guide to Assessment can be downloaded free from SQA's website.

Details of the relationship between the unit and relevant national occupational standards (if appropriate)

This unit is based on the occupation profile developed for the Scottish Apprenticeship in Providing Financial Services at SCQF level 6 and aligns to the NOS INSCS003 developed by Instructus.