



Assessor's guidelines for the SVQ in Providing Financial Services at level 2

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About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ in Providing Financial Services at level 2**. 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. These **Units** describe the activities which employees have to perform, and will require candidates to demonstrate certain skills, behaviours, 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 **behaviours** describes how a candidate should **act** or **conduct** themselves during their performance.

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

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 — 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 Providing Financial Services

The **SVQ in Providing Financial Services at level 2** has been developed by the **Financial Services Skills Council (FSSC)** and is intended for people working in organisations within the Financial Services Sector, eg insurance, banking, investments, etc

These people may be company personnel carrying out front/back office operations in sales, banking, claims, pensions and insurance. They will require to have skills and knowledge of regulatory requirements, codes of practice, company policies and procedures as well as the products and services provided by their organisation.

The SVQ is designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the SVQ is likely to be delivered may include the formation of a partnership between an employer and college/training providers.

Structure of the SVQs

This section lists the Units which form the SVQ in Providing Financial Services at level 2.

Candidates must complete a total of **six** Units which must include **three** mandatory units — at least **two** Units from one of the restricted optional groups 1-8, plus **one** other Unit from optional group nine.

Mandatory Units

SQA Ref	SCQF level	SSC Ref	Title
F88M 04		FCC01	Develop Yourself to Improve Workplace Competence in a Financial Services Environment
F88HD 04		FCC02	Plan and Organise your Work in a Financial Services Environment
F88P 04		FCC04	Ensure You Comply with Regulations in the Financial Services Environment

Optional Units

SQA Ref	SCQF level	SSC Ref	Title
Restricted Optional Group 1			
Bank and Building Society Accounts Options			
F8FL 04		BBS01	Set up Bank or Building Society Accounts for Customers
F8FM 04		BBS03	Authorise Financial Transactions Using Telecommunications
F8FN 04		BBS04	Operate a Sterling Counter Till
F8FP 04		BBS05	Operate a Multi-currency Till
F8FR 04		IO14	Build Effective Relationships with Clients in a Financial Services Environment
F8FT 04		BBS09	Process Documents for Bank or Building Society Accounts
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment
Restricted Optional Group 2			
Customer Payments for Financial Products and Services Options			
F8FV 04		FCP01	Process Customer's Financial Transactions
F8FW 04		FCP02	Assess and Use Financial Information to Reconcile Accounts
F8FX 04		FCP03	Operate Credit Control Procedures
F8FY 04		FCP04	Prepare and Pursue Statements of Account for Financial Products and Services
F8G0 04		FCP05	Operate Payment by Instalments
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment
Restricted Optional Group 3			
General Insurance Options			
F8G1 04		GIC01	Process Straightforward New Insurance Claims Notifications
F8G2 04		GIC02	Settle Straightforward Insurance Claims
F8G3 04		GIC03	Deal with Straightforward Claims for Insured Losses
F8G4 04		GIC05	Process Straightforward Claims for Uninsured Losses
F8G5 04		GIC09	Agree Settlement of Straightforward Claims for Uninsured Losses
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment
F8G6 04		GII11	Process Straightforward Insurance Business as an Intermediary
F8G7 04		GII12	Process Straightforward Insurance Renewals as an Intermediary
F8G8 04		GII13	Process Straightforward Mid-term Insurance Amendments
F8G9 04		GIU18	Underwrite Straightforward New Risks
F8GA 04		GIU19	Process Insurance Policy Documentation
F8GC 04		GIU20	Process Straightforward Insurance Renewals

F8GD 04		GIU26	Underwrite Straight Policy Alterations
Restricted Optional Group 4 General Takaful Options			
F8GF 04		GTC01	Process Straightforward New Takaful Claims Notifications
F8GG 04		GTC02	Settle Straightforward Takaful Claims
F8GH 04		GTC03	Deal with Straightforward Claims for Takaful Losses
F8GJ 04		GTC05	Process Straightforward Claims for Losses not Covered by Takaful Contract
F8GK 04		GTC09	Agree Settlement of Straightforward Claims for Losses not Covered by the Takaful Contract
F8GL 04		GTI11	Process Straightforward Takaful Business as an Intermediary
F8GM 04		GTI12	Process Straightforward Takaful Contract Renewals as an Intermediary
F8GN 04		GTI13	Process Straightforward Mid-term Takaful Contract Amendments
F8GP 04		GTU18	Underwrite Straightforward New Takaful Business
F8GR 04		GTU19	Process Takaful Contract Documentation
F8GT 04		GTU20	Process Straightforward Takaful Contract Renewals
F8GV 04		GTU26	Underwrite Straightforward Takaful Contract Alterations
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment
F8GE 04		GFS02	Deal with Requests to Cancel Financial Services Products or Services
Restricted Optional Group 5 Investment Operations Options			
F8GW 04		IO10	Assess and Use Financial Information to Reconcile Stakeholder Investment Accounts
F8GX 04		IO12	Process Payments Relating to Stakeholder Investment Transactions or Accounts
F8FR 04		IO14	Build Effective Relationships with Clients in a Financial Services Environment
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment
Restricted Optional Group 6 Life, Pensions and Investments Options			
F8GY 04		LPI01	Process Straightforward New Life, Pensions and Investment Business Quotations
F8H0 04		LPI02	Underwrite Straightforward Alterations to Life, Pensions and Investment Contracts
F8H1 04		LPI03	Process Straightforward Requests for Payment Against Life, Pensions and Investment Contracts
F8H2 04		LPI07	Process Documentation for Straightforward Life, Pensions and Investment Contracts
F8FR 04		IO14	Build Effective Relationships with Clients in a Financial Services Environment
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment

Restricted Optional Group 7 Financing and Credit Options			
F8H3 04		FC09	Process Applications for Financing and Credit Facilities
F8H4 04		FC10	Process Documentation for Financing and Credit Facilities
F8FR 04		IO14	Build Effective Relationships with Clients in a Financial Services Environment
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment
Restricted Optional Group 8 Administration for Mortgage and/or Financial Planning Intermediaries Options			
F8H5 04		MFP01	Provide an Administrative Service for Mortgage and/or Financial Planning Clients
F8H7 04		MFP02	Process Instructions for Straightforward Mortgage and Financial Business Planning
F8H8 04		MFP03	Contribute to Reports for Mortgage and/or Financial Planning Clients
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment
Optional Group 9			
F8FL 04		BBS01	Set up Bank or Building Society Accounts for Customers
F8FM 04		BBS03	Authorise Financial Transactions Using Telecommunications
F8FN 04		BBS04	Operate a Sterling Counter Till
F8FP 04		BBS05	Operate a Multi-currency Till
F8FR 04		GFS01	Build effective Relationships with Clients in a Financial Services Environment
F8FT 04		BBS09	Process Documents for Bank or Building Society Accounts
F890 04		GFS01	Provide Information to Customers in a Financial Services Environment
F8FV 04		FCP01	Process Customers' Financial Transactions
F8FW 04		FCP02	Assess and Use Financial Information to Reconcile Accounts
F8FX 04		FCP03	Operate Credit Control Procedures
F8FY 04		FCP04	Prepare and Pursue Statements of Account for Financial Products and Services
F8G0 04		FCP05	Operate Payment by Instalments
F8G1 04		GIC01	Process Straightforward New Insurance Claims Notifications
F8G2 04		GIC02	Settle Straightforward Insurance Claims
F8G3 04		GIC03	Deal with Straightforward Insurance Claims for Insured Losses
F8G4 04		GIC05	Process Straightforward Claims for Uninsured Losses
F8G5 04		GIC09	Agree Settlement of Straightforward Claims for Uninsured Losses
F8G6 04		GII11	Process Straightforward Insurance Business as an Intermediary
F8G8 04		GII13	Process Straightforward Mid-term Insurance Amendments

F8G9 04		GIU18	Underwrite Straightforward New Risks
F8GA 04		GIU19	Process Insurance Policy Documentation
F8GC 04		GIU20	Process Straightforward Insurance Renewals
F8GD 04		GIU26	Underwrite Straightforward Policy Alterations
F8GE 04		GFS02	Deal with Requests to Cancel Financial Services Products or Services
F8GF 04		GTC01	Process Straightforward New Takaful Claims Notifications
F8GG 04		GTC02	Settle Straightforward Takaful Claims
F8GH 04		GTC03	Deal with Straightforward Claims for Takaful Losses
F8GJ 04		GTC05	Process Straightforward Claims for Losses not Covered by Takaful Contract
F8GK 04		GTC09	Agree Settlement of Straightforward Claims for Losses not Covered by the Takaful Contract
F8GL 04		GTI11	Process Straightforward Takaful Business as an Intermediary
F8GM 04		GTI12	Process Straightforward Takaful Contract Renewals as an Intermediary
F8GN 04		GTI13	Process Straightforward Mid-term Takaful Contract Amendments
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F8GR 04		GTU19	Process Takaful Contract Documentation
F8GT 04		GTU20	Process Straightforward Takaful Contract Renewals
F8GV 04		GTU26	Underwrite Straightforward Takaful Contract Alterations
F8GW 04		IO10	Assess and Use Financial Information to Reconcile Stakeholder Investment Accounts
F8GX 04		IO12	Process Payments Relating to Stakeholder Investment Transactions or Accounts
F8GY 04		LPI01	Process Straightforward New Life, Pensions and Investment Business Quotations
F8H0 04		LPI02	Underwrite Straightforward Alterations to Life, Pensions and Investment Contracts
F8H1 04		LPI03	Process Straightforward Requests for Payment Against Life, Pensions and Investment Contracts
F8H2 04		LPI07	Process Documentation for Straightforward Life, Pensions and Investment Contracts
F8H3 04		FC09	Process Applications for Financing and Credit Facilities
F8H4 04		FC10	Process Documentation for Financing and Credit Facilities
F8H5 04		MFP01	Provide an Administrative Service for Mortgage and/or Financial Planning Clients
F8H7 04		MFP02	Process Instructions for Straightforward Mortgage and Financial Business Planning
F8H8 04		MFP03	Contribute to Reports for Mortgage and/or Financial Planning Clients
F03Y 04		ICS 21	Deliver Reliable Customer Service

F05P 04		ICS 31	Resolve Customer Service Problems
F8H9 04		FCS02	Deal with Customers by Telephone in a Financial Services Environment
DR4L 04		MSC A3	Develop Your Personal Networks
BA4W 04		MSSSB 7.1	Generate and Follow-up Sales Leads
F4A6 04		MSSSB 7.3	Sell Products or Services Over the Telephone
F4A7 04		MSSSB 7.2	Sell Products or Services Face-to-Face
F4A8 04		MSSSB 2.8	Develop, Implement and Monitor Sales Call Plans
F8HA 04		FSP01	Promote the organisation's Additional Financial Services Products and/Services

An assessment strategy for the SVQ

As part of its review of the SVQ, the standards-setting body **Financial Services Skills Council (FSSC)** 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

Julie has worked in a bank for two years but does not have any qualifications. To date she has had some on-the-job training within the various departments in the bank and has attended several in-house staff training courses. She feels that she is now ready to gain a more formal qualification that would record her competence and recognise the skills and knowledge she already has.

Arrangements were made for Julie to attend a meeting with the Training and Development Officer to discuss the options available to meet her needs. During this meeting a matching process was carried out to identify Julie's skills and experience as well as her current job role. At the end of this process it was agreed that, as her job entailed working directly with the bank's customers, the SVQ in Providing Financial Services at level 2 would be the most appropriate qualification for her to undertake, as she could easily generate sufficient evidence to prove her competence in this area.

After some discussion it was apparent that the Banking and Building Society Accounts Option would be the most suitable route for Julie to take, therefore it was agreed that she would undertake three units from within this group:

- 1 Set up Bank or Building Society Accounts for Customers
- 2 Process Documentation for Bank or Building Society Accounts
- 3 Build Effective Relationships with Clients in a Financial Services Environment

As the bank are unable to carry out the assessment function themselves the Training and Development Officer made arrangements with an approved training centre to assist Julie. The training centre will provide Julie with an assessor who will guide her through the qualification and assist her to gather and present valid, reliable and sufficient evidence in the form of a portfolio.

Julie has been advised to keep attending all in-house courses and to work shadow her supervisor, as this would assist her to further her knowledge and gain more skills.

The Training and Development Officer has decided to formalise the meeting by producing a written development plan for Julie. She will make arrangements to follow this up in three months time to find out about any progress or difficulties that have been encountered.

2 Preparing to assess the SVQ

This section offers practical advice on how to begin to go about assessing your candidates for the SVQ. 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 candidates' 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 integrated assessment plan which covers the following Units:

- ◆ Set up Bank or Building Society Accounts for Customers
- ◆ Build Effective Relationships in a Financial Services Environment

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

Units: BBS01 (F8FL 04) Set up Bank or Building Society Accounts for Customers IO14 (F8FR 04) Build Effective Relationships with Clients in a Financial Services Environment					
Activities	Performance	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (Performance and behaviours)
Candidate to arrange a meeting with a customer where she can be observed interacting face-to-face with the customer.	BBS01 (F8FL 04) 1–10	Direct observation in the workplace	07/11/09		FCC02 (F8HD 04) 1, 2, 4 and 6
Candidate to collate information gathered and submit any relevant documentation.	IO14 (F8FR 04) 1–9	Products			FCC04 (F88P 04)
Supervisor has given a witness testimony in support of candidate's competence in this area.				Witness testimony	1, 2 and 5
Candidate to provide a personal statement on how she carries out this role.		Personal statement			
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review					

Assessor's signature: *Frances Black*

1st review due: *17/11/09*

Candidate's signature: *Julie Watt*

2nd review due: *01/12/09*

Date of agreement: *27/10/09*

Date of completion: *05/02/10*

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:

- ◆ candidates can be assessed in the workplace — cost and time minimised
- ◆ good rapport/relationship can be built between assessor and candidates
- ◆ assessment can progress at the candidates' own pace
- ◆ flexibility of planning assessment to fit the needs of those involved in the process
- ◆ no formal assessment necessary as credit is given on performance
- ◆ familiarity of work environment and tasks to be carried out
- ◆ support of other experienced staff
- ◆ promotes confidence and loyalty
- ◆ useful part of job training and development

The challenges might be:

- ◆ pressures of work
- ◆ confidentiality issues
- ◆ interference/disruptions from surroundings
- ◆ lack of opportunities to gather evidence in the workplace

- ◆ lack of privacy
- ◆ time constraints
- ◆ sufficiency of access for assessors
- ◆ organising assistance of others involved in the assessment process

Example

You might agree with a candidate working in a bank who has to demonstrate how they identify suspicious or irregular transactions and take the appropriate action, this can be carried out by **observation** as and when the situation arises. In-house assessors will be well placed to observe this situation and to record the candidate's performance, perhaps using a prepared checklist, and to question the candidate about the situation afterwards.

Methods of assessment

Assessment can 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.

Example 1

Observation can be used to demonstrate the candidate's competence in dealing face-to-face with a customer. They can show that they are able to communicate effectively, ask appropriate questions, gather sufficient information and provide clear and concise information to the customer.

Example 2

Observation can be used to demonstrate the candidate's competence in identifying and using the correct equipment to locate and access customer records, update information and produce appropriate documentation.

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:

- ◆ Accurate customer documentation completed by the candidate
- ◆ Records of information gathered from the client by the candidate, notes, completed forms, etc
- ◆ Written communication sent to the customer or other interested parties

Questioning

Candidates have to show that they can meet the knowledge specifications for the SVQs. For this SVQ, knowledge and understanding is specified for each Unit. 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.

Note

Due to the practical nature of the Financial Services Qualification, it is suggested that **oral** (as opposed to written) questions should be used to test candidates' knowledge and understanding.

- Q** Give some examples of the details you need from a customer before you set up an account.
- A** Basic personal details: name, address, date of birth, telephone number and then depending on type of account what they require the account to do for them, eg do they want the account to earn interest for them, make payments from the account, have wages paid in the account, internet access, etc
- Q** Give some examples of the type of identification documents that you need from a customer.
- A** One form must be photographic ID, passport, driving licence and one can be a utility bill with the customer's name and address on it.

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.

Example

Personal statements are useful in supporting other evidence presented such as product evidence. The candidate can write about why a document needs to be produced in a particular way, any timescales which must be met and the importance of ensuring the information is complete and accurate.

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.

Given that assessors are responsible for judging and signing off all evidence, they must ensure that any witness testimony comes from a reliable and credible source. The ideal witness will be:

- ◆ experienced in the area of work carried out by the candidate
- ◆ familiar with the standards to be met, and
- ◆ in possession of relevant qualification(s)

However, where no one in the workplace meets all the above criteria the assessor must make a judgement on a person's suitability based on other equivalent factors (position in organisation, length of service, proven ability to meet standards, etc).

	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.
		Someone who may be a colleague of the candidate, but with no knowledge of the standards.
	Weakest	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.

Example

In a situation where the candidate is required to produce documentation for customers a witness testimony could be used to verify that the candidate consistently produces accurate documents in line with company policies and procedures.

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.

The Financial Services Skills Council has defined in their Assessment Strategy, Providing Financial Services at levels 2 and 3 when/where it considers simulation to be an acceptable form of evidence.

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

Simulation can be used as an acceptable method of assessment in cases where infrequent occurrences are identified as these occurrences might never happen during the course of the SVQ. Examples might include:

- ◆ Identify suspicious or irregular transactions and take the appropriate action
- ◆ Take appropriate action where fraud or potential fraud is suspected

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 judgment on how the activity was carried out and what it demonstrates.

Observation record

Unit BBS01 (F8FL 04) Set up Bank or Building Society Accounts for Customers
IO14 (F8FR 04) Build Effective Relationships with Customers in a Financial Services Environment

Candidate: Julie Watt **Date of observation:** 07/11/09

Evidence index number: 01

Skills/activities observed:	Performances covered:
<p>On my arrival I noted that the candidate was well prepared for the interview with her client. She had the room organised and set up with the equipment and information she needed.</p> <p>She greeted the client and introduced herself, invited the client to sit and then explained the process that she would follow during their meeting.</p> <p>Julie gathered information from the client. Then asked the client if he could provide her with some form of identity. He asked Julie why this was necessary and she explained the law dictates that the bank must establish the identity of all customers.</p> <p>She then went on to explain the terms and conditions as well as the features of some accounts. She then asked the client if he understood or did he have any questions at this point.</p> <p>The customer selected a bank account to suit his needs and this was agreed. A discussion took place regarding, security arrangements and whether the customer required any payments to be made from the account — none were required at this point.</p> <p>Julie thanked the customer and advised him what would happen next. She collated the information and passed it on to her supervisor for checking and approval.</p> <p>During this meeting Julie had no need to refer to another member of staff as she was able to handle the situation herself. She carried out this role in a professional manner, she explained everything in a clear, precise and straightforward way and ensured that the customer was satisfied with the arrangements.</p>	<p>BBS01 (F8FL 04) 1, 2, 3, 5, 6, 7, 8 and 10</p> <p>IO14 (F8FR 04) 1, 2, 3, 4, 7, 8 and 9</p>

Knowledge and understanding apparent from this observation:

BBS01 (F8FL 04) — 1, 2, 5, 6, 8, 10,
IO14 (F8FR 04) — 2, 6

Other Units to which this evidence may contribute:

FCC02 (F8HD 04) — 1, 2, 6
FCC04 (F88P 04) — 2, 5

Assessor's comments and feedback to candidate:

The above evidence was generated during your normal working routine and on this occasion you have demonstrated competence in dealing with your customer. However, you are required to demonstrate that you do this consistently over a period of time, therefore, we shall arrange to observe you dealing with another customer and ask your supervisor to provide a witness testimony.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *Frances Black*

Date: *07/11/09*

Candidate's signature: *Julie Watt*

Date: *07/11/09*

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:	BBS01 (F8FL 04) Set up Bank or Building Society Accounts for Customers IO14 (F8FR 04) Build Effective Relationships with Clients in a Financial Services Environment
Evidence index number: 05	
Circumstances of assessment: To gather evidence where not apparent through performance evidence.	
List of questions and candidate's responses: Q: Give examples of the different types of products and services offered by your organisation. A: We offer bank accounts, financial advice, savings and investments, pensions, insurance, etc Q: What are your organisation's procedures and systems for checking service delivery? A: Customers are asked to complete a customer feedback form which goes to head office. All data collected is put on the system, a report is produced showing the overall results of the analysis.	
Assessor's signature: <i>Frances Black</i>	Date: 12/12/09
Candidate's signature: <i>Julie Watt</i>	Date: 12/12/09

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, Performance behaviours covered
8/11/09	03	<p>Part of my duties include setting up bank accounts for customers. In order to make this process simple and easy for the client it is important that I am well organised and prepared for my meetings. Resources sometimes need to be shared therefore I need to book rooms and equipment in advance so that I can have everything at hand for the meeting.</p> <p>I am aware of the information to be gathered from the customer so that I can meet their needs and comply with legal and company regulations. Information includes, personal details, identity checks and what they require from the account.</p> <p>I keep up-to-date with all products and services in order to explain their terms and conditions as well as their different features to the customer so they can make an informed decision about the most suitable account for them.</p> <p>When I have all the information I need from the customer I confirm the arrangements, make sure they are satisfied with them and tell them what will happen next.</p> <p>I pass the documentation as quickly as possible to my supervisor who will then make arrangements for the account to be opened.</p> <p>Sometimes customers ask about accounts I do not deal with in which case I pass them on to a more senior member of staff.</p>	01	<p>BBS01 (F8FL 04)</p> <p>1, 2, 4, 5, 6, 7, 8 and 10</p> <p>IO14 (F8FR 04)</p> <p>1, 2, 3, 4, 7 and 9</p> <p>FCC02 (F8HD 04)</p> <p>1, 2, 4 and 6</p> <p>FCC04 (F88P 04)</p> <p>2 and 5</p>

Signed (candidate): *Julie Watt*

Date *8/11/09*

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:	Providing Financial Services level 2
Candidate's name:	Julie Watt
Evidence index no:	02
Index no of other evidence which this testimony relates to (if any):	03
Units:	BSS01 (F8FL 04) Set up Bank or Building Society Accounts for Customers IO14 (F8FR 04) Build Effective Relationship with Customers in a Financial Services Environments
Date of evidence:	31/10/09
Name of witness:	Sam Brown
Designation/relationship to candidate:	Supervisor
<p>Details of testimony:</p> <p>As Julie's supervisor it is my duty to ensure that she meets with all company and regulatory requirements when setting up bank accounts for customers. She arranges meetings and obtains all the resources and information she needs prior to the meeting.</p> <p>In order to monitor Julie's progress it is necessary for me to occasionally sit in on a meeting with her customers. On these occasions Julie demonstrated that she was very competent in this area and possessed a good knowledge of the products and services she is authorised to deal with. She explains the features and terms and conditions of the products clearly and concisely and ensures that the customer understands them.</p> <p>Julie is aware of the information that she needs to collect from the customer before setting up a bank account and records this information as per company policy and legal requirements.</p> <p>On occasion she has:</p> <ul style="list-style-type: none"> ◆ contacted another member of staff for guidance and support ◆ answered customer's questions ◆ made arrangements for payments to be set up (Direct Debits and/or Standing Orders) ◆ discussed Data Protection Act regarding disclosure ◆ carried out the necessary checks required by law <p>Julie is becoming a very effective member of staff who meets deadlines and commitments to others whenever possible. She takes pride in her work and understands why it is important to produce accurate and complete information ready to be further processed by more senior members of staff.</p> <p>I can confirm the candidate's evidence is authentic and accurate. Signed by witness: <i>Sam Brown</i> Date: <i>31/10/09</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

- ◆ Identifying and reporting suspicious fraudulent activity to appropriate authority
- ◆ Resolve any ambiguities or discrepancies
- ◆ Identify unresolved queries and pass on to the person responsible

You may be able to overcome these by using:

- ◆ Simulation — to demonstrate competence
- ◆ Storyboards — to confirm knowledge and understanding of how they would deal with the situation if it arose
- ◆ Questioning

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

You are not sure that the candidate has produced a document that they have presented as evidence. In order to satisfy yourself that the document is the candidate's own work you must find a way to authenticate this evidence. You could do this by:

- ◆ Holding a discussion with the candidate on how and why they produced the document
- ◆ Question them on their skills and knowledge of this area
- ◆ Ask the candidate to produce a personal statement on how and why they produced the documentation
- ◆ Request a witness testimony if someone else was present at the time the document was produced.

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.

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 in Providing Financial Services at level 2

Candidate: Julie Watt

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

Unit Checklist

Mandatory	F88M 04	F8HD 04	F88P 04					
Optional	F8FL 04	F8FR04	F8FT 04					

Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
F88M 04	Develop Yourself to Improve and Maintain Workplace Competence in a Financial Services		
F8HD 04	Plan and Organise your Work in a Financial Services Environment		
F8PP 04	Ensure you Comply with Regulations in the Financial Services Environment		

Optional Units achieved

F8FL 04	Set up Bank or Building Society Accounts for Customers	<i>Frances Black</i>	<i>05/02/10</i>
F8FR 04	Build Effective Relationships with Customers in a Financial Services Environment		
F8FT 04	Produce Documentation for Bank or Building Society Customers	<i>Frances Black</i>	<i>05/02/10</i>

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: Providing Financial Services level 2

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
01	Observation record	Yes	MS 14/11/09
02	Witness testimony	Yes	
03	Personal statement	Yes	
04	Products — Notes and records of customer details	Retained in company records (confidential)	MS 14/11/09
05	Questions	Yes	

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 Unit. 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)
- ◆ ticking the relevant boxes for the Behaviours
- ◆ 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: IO14 (F8FR 04) Build Effective Relationships with Clients in a Financial Services Environment

Evidence Index No	Description of Evidence	Performance									Behaviours					
		1	2	3	4	5	6	7	8	9	1	2	3	4	5	6
01	Observation	✓	✓	✓	✓			✓		✓	✓	✓	✓		✓	✓
02	Witness testimony	✓	✓	✓	✓			✓		✓	✓	✓	✓		✓	✓

Evidence Index No	Description of Evidence	Knowledge and Understanding						
		1	2	3	4	5	6	7
01	Observation		✓				✓	
02	Witness testimony		✓					
05	Questions					✓	✓	

Unit: IO14 (F8FR 04) Build Effective Relationships with Clients in a Financial Services Environment

Notes/Comments

All evidence is contained in the candidate's portfolio except in cases where the evidence is of a confidential nature. The location of any confidential evidence is referenced on the Index of Evidence Record in the candidate's portfolio.

Having held a discussion with the witness who supplied the testimony, I am satisfied that the evidence presented is reliable and gives an accurate account of the candidate's competence and knowledge.

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: *Julie Watt*

Date: *05/02/10*

Assessor: *Frances Black*

Date: *05/02/10*

Internal Verifier: *Molly Stevens*

Date: *24/02/10*

Element achievement record

Unit: BBS01 (F8FL 04) Set up Bank or Building Society Accounts for Customers

Evidence Index No	Description of Evidence	Performance										Behaviours							
		1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8
01	Observation	✓	✓	✓		✓	✓	✓	✓		✓		✓	✓	✓	✓	✓		✓
02	Witness testimony	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓		✓
05	Questions																		

Evidence Index No	Description of Evidence	Knowledge and Understanding													
		1	2	3	4	5	6	7	8	9	10	11	12	13	14
01	Observation	✓	✓			✓	✓		✓		✓				
02	Witness testimony	✓	✓		✓	✓	✓		✓		✓	✓			
05	Questions			✓	✓										

Unit: BBS01 (F8FL 04) Set up Bank or Building Society Accounts for Customers

Notes/Comments

All evidence is contained in the candidate's portfolio except in cases where the evidence is of a confidential nature. The location of any confidential evidence is referenced on the Index of Evidence Record in the candidate's portfolio.

Having held a discussion with the witness who supplied the testimony, I am satisfied that the evidence presented is reliable and gives an accurate account of the candidate's competence and knowledge.

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: *Julie Watt*

Date: *05/02/10*

Assessor: *Frances Black*

Date: *05/02/10*

Internal Verifier: *Molly Stevens*

Date: *24/02/10*

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 on-line 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: