



Assessor's Guidelines for the SVQ2 and 3 Contact Centre Operations SCQF levels 5 and 6

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

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About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ2 and 3 Contact Centre Operations SCQF levels 5 and 6**. 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 and the SCQF

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy and are usually delivered in the workplace or in partnership with a college or other training provider. 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.

There are SVQs for nearly all occupations in Scotland and they are available at SVQ levels 1–5. SVQs are currently notionally placed in the SCQF as the individual SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ. SVQs are a means of recognising the skills and knowledge people need in employment, ie job competence. Successful completion of an SVQ provides clear evidence that the learner works to nationally recognised occupational standards.

Each Unit defines one aspect of a job or work-role, and says what it is to be competent in that aspect of the job. To be awarded a full SVQ, learners must achieve each of the SVQ Units which make it up by demonstrating that they are competent in that aspect of the job. The Units which make up the SVQ can also be taken as freestanding awards. Some SVQs or SVQ Units are incorporated into other awards or programmes including HNCs and Modern Apprenticeships.

Explanation of levels

SVQ1 (SCQF level 4)	Competence involves the application of knowledge and skills in the performance of a range of varied work activities, most of which may be routine or predictable.
SVQ2 (SCQF level 5)	Competence involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. At this level, there will be activities, which are complex or non-routine and there is some individual responsibility and autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.
SVQ3 (either SCQF level 6 or 7)	Competence involves the application of knowledge and skills in a broad range of varied work activities, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often present.
SVQ4 (either SCQF level 8 or 9)	Competence involves the application of knowledge and skills in a broad range of complex technical or professional work activities, performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.
SVQ5 (SCQF level 11)	Competence involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal accountability.

For further information on SCQF go to **www.scqf.org.uk**.

How are standards defined in SVQs?

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

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

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

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

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

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

Who is involved in SVQs?

There are several roles:

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

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

Assessors and verifiers are also expected to obtain an appropriate qualification in assessment and verification — this can be the Learning and Development 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 achieve 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 SVQ2 and 3 Contact Centre Operations SCQF levels 5 and 6

The SVQs in Contact Centre Operations have been developed by the Council for Administration Business Skills @ Work (CFA) and are intended for people working in a wide variety of job roles within a contact centre.

These people may be working as contact centre operators, contact centre agents, team leaders, etc. The skills and knowledge required for these occupations can be grouped into two sets:

- ◆ customer service skills covering the way in which operators/agents and team leaders relate to people and understand the organisation's preferred approach to customers
- ◆ specific product and service knowledge and skills relating to what the organisation offers and how its delivery systems work

The SVQs are designed to be assessed in the workplace. The types of workplace can be varied and while they can also vary in size, it is generally accepted that a contact centre will have a minimum of ten staff directly involved in the customer contact process. Examples of organisations with contact centres include, BT, John Lewis, BskyB, Standard Life, ASDA, First Direct, HSBC, emergency services, etc.

Structure of the SVQs

This section lists the Units which form the SVQ2 and 3 in Contact Centre Operations.

SVQ2 Contact Centre Operations SCQF level 5 (GF05 22)

Candidates are required to complete two mandatory Units and six optional Units although there are restrictions on the optional Units that can be selected — see below for details.

Qualification Structure

To achieve the SVQ2 in Contact Centre Operations at SCQF level 5, candidates must complete **eight Units**, of which:

- 1 **Two Units** must be completed from **Group A: Mandatory Units**
- 2 **Three Units** must be completed from **Group B: Contact Centre Units**
- 3 A further **three Units** must be completed from either **Group B: Contact Centre Units and/or Group C: Optional Units**
- 4 At least **five Units** must be at **SCQF level 5 or above**

- 5 **No more than two IT Units** may be taken from Units (ESKEML1 or ESKEML2), (ESKUCT1 or ESKUCT2), (ESKICF:FS1 or ESKICF:FS2), (ESKINT1 or ESKINT2)
- 6 The candidate may take one or other Unit from CFACSB7 and ESKBS2 but not both.

Group A — Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSB ref	Title
H12P 04	4	2	CFACC4	Comply With Relevant Health and Safety Procedures in a Contact Centre
H12S 04	5	4	CFACC1	Improve Your Personal Effectiveness at Work in a Contact Centre

Group B — Contact Centre Optional Units

SQA ref	SCQF level	SCQF credit points	SSB ref	Title
H11S 04	5	4	CFACC9	Use Systems and Technology During Customer Contact in a Contact Centre
H11T 04	5	5	CFACC14	Deliver Customer Service Through a Contact Centre
H11V 04	5	5	CFACC19	Carry Out Direct Sales Activities in a Contact Centre
H11W 04	4	4	CFACC23	Communicate Information in Customer Contact Through a Contact Centre
H11X 04	5	4	CFACC31	Provide Support Through a Contact Centre for Specified Services and/or Products
H11Y 04	5	7	CFACC38	Deal With Incidents Through a Contact Centre
H120 04	6	5	CFACC32	Support Customers and Colleagues When Providing Contact Centre Services

Group C — Optional Units

SQA ref	SCQF level	SCQF credit points	SSB ref	Title
F9A3 04	4	2	ESKEML1	Using E-mail 1
F9A6 04	4	3	ESKUCT1	Using Collaborative Technologies 1
F99W 04	4	2	ESKICF:FS1	IT Communication Fundamentals 1
F99Y 04	4	3	ESKINT1	Using the Internet 1
FE2N 04	5	6	CFACSD6	Develop Your Own Customer Service Skills Through Self-Study
H121 04	5	4	CFAS7.3	Sell Products or Services Over the Telephone
F9D7 04	5	4	ESKWP2	Word Processing Software 2
FE20 04	5	5	CFACSB7	Deal With Customers Using Bespoke Software
FE2A 04	5	5	CFACSA11	Deal With Incoming Telephone Calls From Customers
F942 04	5	6	CFACSA5	Promote Additional Services or Products to Customers
F944 04	5	4	CFACSB8	Maintain Customer Service Through Effective Handover
F941 04	5	6	CFACSC3	Resolve Customer Service Problems
FE25 04	5	5	CFACSAA6	Process Information About Customers
FE2D 04	5	6	CFACSC4	Deliver Customer Service to Difficult Customers
FE2M 04	5	5	CFACSD5	Buddy a Colleague to Develop Their Customer Service Skills
F940 04	5	5	CFACSA4	Give Customers a Positive Impression of Yourself and Your Organisation
FE2L 04	5	5	CFACSD4	Support Customers Using On-line Customer Services
FE1N 04	5	4	CFACSF2	Follow the Rules to Deliver Customer Service
FD3H 04	6	9	CFAMLD1	Develop Productive Working Relationships With Colleagues
F9A4 04	5	3	ESKEML2	Using E-mail 2
F9A7 04	5	4	ESKUCT2	Using Collaborative Technologies 2
F9AP 04	5	3	ESKBS2	Bespoke Software 2
F9A0 04	5	4	ESKINT2	Using the Internet 2
F99X 04	5	2	ESKICS:FS2	IT Communication Fundamentals 2
H122 04	6	4	CFAS7.6	Handle Objections and Close Sales
H123 04	8	5	CFAS2.1	Prioritise Information for Sales Planning
H124 04	5	2	CFAS8.1	Input and Access Sales Data in Your Organisation's Information System
FE2G 04	7	6	CFACSC7	Process Customer Service Complaints
FE36 04	6	8	CFACSD8	Work With Others to Improve Customer Service

SVQ3 Contact Centre Operations SCQF level 6 (GF06 23)

Qualification Structure

To achieve the SVQ3 in Contact Centre Operations at SCQF level 6, candidates must complete **nine Units**, of which:

- 1 **Two Units** must be completed from **Group A: Mandatory Units**
- 2 **Four Units** must be completed from **Group B: Contact Centre Units**
- 3 A further **three Units** must be completed from either **Group B: Contact Centre Units and/or Group C: Optional Units**
- 4 At least **six Units** must be at **SCQF level 6 or above**
- 5 The candidate may take one or other Units from CFACSB7 and ESKBS3 but not both.

Group A — Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSB ref	Title
H12P 04	4	2	CFACC4	Comply With Relevant Health and Safety Procedures in a Contact Centre
H125 04	6	5	CFACC2	Seek Opportunities to Develop Your Own Personal Effectiveness at Work in a Contact Centre

Group B — Contact Centre Optional Units

SQA ref	SCQF level	SCQF credit points	SSB ref	Title
H11V 04	5	5	CFACC19	Carry Out Direct Sales Activities in a Contact Centre
H11Y 04	5	7	CFACC38	Deal With Incidents Through a Contact Centre
H120 04	6	5	CFACC32	Support Customers and Colleagues When Providing Contact Centre Services
H126 04	7	5	CFACC5	Monitor Health and Safety Procedures in a Contact Centre
H127 04	6	6	CFACC10	Support Team Use of Contact Centre Systems and Technology
H128 04	6	4	CFACC15	Supervise Customer Service Activities in a Contact Centre Team
H129 04	6	4	CFACC20	Lead Direct Sales Activities in a Contact Centre Team
H12A 04	5	4	CFACC24	Communicate Information to Customers in Different but Familiar Contexts Through a Contact Centre
H12B 04	7	5	CFACC27	Contribute to Performance Management in a Contact Centre
H12C 04	7	7	CFACC35	Contribute to Resource Plan Development in Contact Centre Operations
H12D 04	7	6	CFACC39	Manage Incidents Referred to a Contact Centre
H12E 04	8	6	CFACC16	Manage Customer Service Delivery in a Contact Centre
H12F 04	8	6	CFACC21	Monitor and Oversee Direct Sales Activities in a Contact Centre
H12G 04	8	6	CFACC26	Co-ordinate Customer Communication Processes in a Contact Centre
H12H 04	8	5	CFACC33	Review and Maintain Customer Support Operations in a Contact Centre

Group C — Optional Units

SQA ref	SCQF level	SCQF credit points	SSB ref	Title
FE2N 04	5	6	CFACSD6	Develop Your Own Customer Service Skills Through Self-Study
FE20 04	5	5	CFACSB7	Deal With Customers Using Bespoke Software
F944 04	5	4	CFACSB8	Maintain Customer Service Through Effective Handover
FE2M 04	5	5	CFACSD5	Buddy a Colleague to Develop Their Customer Service Skills
FE2L 04	5	5	CFACSD4	Support Customers Using On-line Customer Services
FD3H 04	6	9	CFAMLD1	Develop Productive Working Relationships With Colleagues
F9A4 04	5	3	ESKEML2	Using E-mail 2
F9A7 04	5	4	ESKUCT2	Using Collaborative Technologies 2
F9A0 04	5	4	ESKINT2	Using the Internet 2
F99W 04	4	2	ESKICF:FS1	IT Communication Fundamentals 1
FE2G 04	7	6	CFACSC7	Process Customer Service Complaints
FE36 04	6	8	CFACSD8	Work With Others to Improve Customer Service
F9AR 04	6	4	ESKBS3	Bespoke Software 3
H12J 04	7	5	CFAS4.1	Lead a Sales Team
H122 04	6	4	CFAS7.6	Handle Objections and Close Sales
H12K 04	6	5	CFAS2.9	Contribute to the Development of New Products and Services
DR67 04	7	8	CFAMLA2	Manage Your Own Resources and Professional Development
FM4N 04	6	11	CFAMLC1	Encourage Innovation in Your Team
FM52 04	5	12	CFAMLD5	Allocate and Check Work in Your Team
FM62 04	6	9	CFAMLF17	Manage the Delivery of Customer Service in Your Area of Responsibility
FM4L 04	8	10	CFAMLB11	Promote Equality of Opportunity, Diversity and Inclusion in Your Area of Responsibility
FM55 04	7	5	CFAMLD10	Reduce and Manage Conflict in Your Team
F2H2 04	7	4	CFAMLD11	Lead Meetings
FY7H 04	6	6	CFACSB10	Organise the Delivery of Reliable Customer Service
FE3A 04	7	7	CFACSD11	Lead a Team to Improve Customer Service
FE3C 04	7	10	CFACSD12	Gather, Analyse and Interpret Customer Feedback

SQA ref	SCQF level	SCQF credit points	SSB ref	Title
FE3D 04	6	7	CFACSD13	Monitor the Quality of Customer Service Transactions
FE2Y 04	7	7	CFACSA16	Build a Customer Service Knowledge Set
FE3P 04	8	10	CFACSC8	Handle Referred Customer Complaints
FE3G 04	8	10	CFACSA17	Champion Customer Service
FM63 04	5	4	CFAMLF18	Prepare Sales Proposals and Deliver Sales Presentations
FM64 04	5	4	CFAMLF19	Sell Products/Services to Customers
FM4J 04	7	9	CFAMLB5	Provide Leadership for Your Team

An Assessment Strategy for the SVQ

As part of its review of the SVQ(s), the standards-setting body CFA 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.

Within the SVQs in Contact Centre Operations at levels 5 and 6 there are a number of Units from other qualifications, eg e-skills. Where these Units are used, the Assessment Strategy of the qualification they are from must be applied. The strategy(s) can be obtained from the relevant standard-setting body or sector skills body or SQA's website (www.sqa.org.uk).

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 1 — SVQ2 Contact Centre Operations SCQF level 5

Nicola joined the customer service helpdesk section of a contact centre over a year ago. She works with others and her duties include handling all incoming calls, retrieving and maintaining customer details while ensuring compliance with the organisational and regulatory procedures. She is also required to maintain her knowledge of the organisation's products and services.

To meet the service level agreement set by the customer, Nicola has to ensure she is aware of all the requirements and meet the Key Performance Indicators (KPIs) she has been set. She has certain responsibilities and is aware of when she needs to refer to others. She has though increasingly been allowed to expand the work she does and is taking on dealing with more complex calls when filling in for others at a higher level when they are absent.

At her last appraisal she raised the fact she was enjoying her new responsibilities and was keen to look at a promoted post. Her line manager discussed the additional duties she was taking on, and the training and development she could have. Nicola is keen to get qualifications as she wants to develop her skills and feels they would help her move on within the company. Her line manager made suggestions about possible development opportunities, one of which is to work towards the Contact Centre SVQ, and has discussed the fact that there are various levels of this qualification. Nicola likes the idea of this qualification because she can develop her skills in the workplace as her learning style is to learn by doing rather than classroom learning.

Nicola's line manager arranged that she meet the company's Training Officer to discuss the Contact Centre Operations SVQ. The Training Officer then explained to Nicola that the qualification has been developed by CFA with the assistance of the contact centre industry, and is intended for people in a wide variety of job roles within a contact centre environment. She also explained that SVQs are designed to be assessed in the workplace, or in conditions of the workplace, against nationally recognised industry standards.

They discussed the qualification and its levels and, using Nicola's job description and development needs, it was agreed that a good match could be found, at SVQ2, against the following Units:

Unit title	SCQF level
Comply With Relevant Health and Safety Procedures in a Contact Centre	4
Improve Your Personal Effectiveness at Work in a Contact Centre	5
Deliver Customer Service Through a Contact Centre	5
Communicate Information in Customer Contact Through a Contact Centre	4
Provide Support Through a Contact Centre for Specified Services and/or Products	5
Support Customers and Colleagues When Providing Contact Centre Services	6
Process Information About Customers	5
Deal With Incoming Calls from Customers	5

Together these Units would make up the requisite Units for a Contact Centre Operations SVQ2.

This was then agreed with Nicola's line manager and, as the company did not have SQA approval to deliver the qualification, the services of a local college were enlisted. An assessor from the college visited Nicola at the contact centre and confirmed that the choice of Units was admissible under the rules of combination of the SVQ. The Unit 'Support Customers and Colleagues When Providing Contact Centre Services' at SCQF level 6 was agreed on, since Nicola is now taking on more complex calls when colleagues are absent.

The assessor arranged a time for Nicola to receive an induction to the SVQ. Nicola would then be provided with guidance on how to generate a portfolio of evidence, which would be saved in an electronic portfolio, often called an e-portfolio. The likely evidence would be discussed, as would the assessment process.

Following the induction, plans were made to assess Nicola using a variety of evidence. Because of the type of work Nicola carried out it was agreed that observation would be the most efficient and appropriate method of assessment, with the assessor agreeing to visit the company's premises at set times, according to Nicola's shift pattern. This assessment would be supplemented by assessment of recorded calls, recorded professional discussions, and by witness testimonies from Nicola's line manager, her own team colleagues and staff from other departments with whom she deals with regularly.

Audio evidence of questioning — to cover the Knowledge and Understanding requirements of the SVQ — was also seen as being appropriate. Areas of potential weakness were identified in some knowledge requirements, especially in regulatory requirements, and the co-operation of Nicola's line manager was requested to ensure that training was given where necessary. It was also agreed that Nicola would receive the development and experience required to achieve the 'Support Customers and Colleagues When Providing Contact Centre Services' Unit.

These arrangements were agreed by everyone involved and were written up as an individual assessment plan for Nicola.

Example 2 — SVQ3 Contact Centre Operations SCQF level 6

Peter has recently been promoted to team leader in a technical helpdesk department of a contact centre. He has a team of four staff. His duties include monitoring calls, reviewing staff on an ongoing basis, and ensuring compliance with the organisational and regulatory procedures. He is also required to complete the staff rota and generally deal with all staffing issues within his team.

To meet the service level agreement set by the customer, Peter has to ensure all his staff are trained and are given updates on the equipment they support immediately these are available. He also needs to deal with issues that are outside the responsibility of his team, and that are escalated to him. Peter has worked for the company for five years and is a very experienced and knowledgeable member of staff. Before being promoted, he worked temporarily as team leader, filling in when other team leaders were absent.

Although Peter is newly promoted, he has found his new role interesting, but not as challenging as he thought. He raised this with his line manager when he had his appraisal. His line manager discussed additional duties he could take on, and the training and development he could have. Peter is very keen to get qualifications, as he wants to develop his skills and move on again within the company. His line manager has made suggestions about possible development opportunities, one of which is to work towards the Contact Centre SVQ, and has discussed the fact that there are various levels of this qualification. Peter likes the idea of this qualification because he can develop his skills in the workplace.

Peter's line manager arranged that he meet the company's Training Officer to discuss the Contact Centre Operations SVQ. The Training Officer then explained to Peter that the qualification has been developed by CFA with the assistance of the contact centre industry, and is intended for people in a wide variety of job roles within a contact centre environment. He also explained that SVQs are designed to be assessed in the workplace, or in conditions of the workplace, against nationally recognised industry standards.

They discussed the qualification and its levels and, using Peter's job description and development needs, it was agreed that a good match could be found, at SVQ3, against the following Units:

Unit title	SCQF level
Comply With Relevant Health and Safety Procedures in a Contact Centre	4
Seek Opportunities to Develop Your Own Personal Effectiveness at Work in a Contact Centre	6
Support Customers and Colleagues When Providing Contact Centre Services	6
Monitor Health and Safety Procedures in a Contact Centre	7
Communicate Information to Customers in Different but Familiar Contexts Through a Contact Centre	5
Support Team Use of Contact Centre Systems and Technology	6
Organise the Delivery of Reliable Customer Service	6
Work With Others to Improve Customer Service	6
Contribute to Resource Plan Development in Contact Centre Operations	7

Together these Units would make up the requisite Units for a Contact Centre Operations SVQ3.

This was then agreed with Peter's line manager and, as the company did not have SQA approval to deliver the qualification, the services of a local college were enlisted. An assessor from the college visited Peter at the contact centre and confirmed that the choice of Units was admissible under the rules of combination of the SVQ. The 'Monitor Health and Safety Procedures in a Contact Centre' Unit was agreed on, since one of the development opportunities to be given to Peter was to be a Health and Safety 'educator'. This meant he would need to attend health and safety training and then be responsible for carrying out departmental audits and generally educating staff on health and safety issues. As he also undertakes rota planning it was also felt that the Unit 'Contribute to Resource Plan Development in Contact Centre Operations' would be appropriate. He also is part of a team handling a new prestigious contract and Units encouraging improved customer service were chosen for this reason to help him not only develop himself but also the team.

The assessor arranged a time for Peter to receive an induction to the SVQ. Peter would then be provided with guidance on how to generate a portfolio of evidence, which would be saved in an electronic portfolio, often called an e-portfolio. The likely evidence would be discussed, as would the assessment process.

Following the induction, plans were made to assess Peter using a variety of evidence. Because of the type of work Peter carried out it was agreed that observation would be the most efficient and appropriate method of assessment, with the assessor agreeing to visit the company's premises at set times, according to Peter's shift pattern. This assessment would be supplemented by recorded professional discussions, recorded calls, product evidence and by witness testimonies from Peter's line manager, his own staff and staff from other departments with whom he dealt with regularly.

Audio evidence of questioning — to cover the Knowledge and Understanding requirements of the SVQ — was also seen as being appropriate. Areas of potential weakness were identified in some knowledge requirements, and the co-operation of Peter's line manager was requested to ensure that training was given where necessary. It was also agreed that Peter would receive the development required to achieve the Health and Safety Unit at SCQF level 7.

These arrangements were agreed by everyone involved and were written up as an individual assessment plan for Peter.

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 candidate's own work
- ◆ question candidates and record results
- ◆ help candidates to present evidence
- ◆ authenticate the evidence candidates provide
- ◆ judge evidence and make assessment decisions
- ◆ identify gaps or shortfalls in candidates' competence
- ◆ provide feedback to candidates throughout the assessment process
- ◆ record achievement

Candidate's 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 Learning and Development Units (the national standards in assessment and verification) you will need copies of completed assessment plans as part of your evidence.

To help you plan for assessment, we have produced an assessment plan which covers Unit CFACC14 Deliver Customer Service Through a Contact Centre.

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	CFACC14 Deliver Customer Service Through a Contact Centre				
Elements	All				
Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
Handling incoming calls Recording customer data	1/2/3/4/5/6/7 8/9/10/11/12 13/14/15/16	Observation Questioning	1/12/XX	N/A	Likely to link to: Process Information About Customers (CFACSA6 Element 2) Deal With Incoming Calls From Customers (CFACSA11 all PC) Comply With Relevant Health and Safety Procedures in a Contact Centre (CFACC4 PC 2/3/9) Provide Support Through a Contact Centre for Specified Services and/or Products (CFACC31 all PC) Communicate Information in Customer Contact Through a Contact Centre (CFACC23 PC 1-5)

Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review					
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Assessor's signature Susan Jones 1st review due 1/12/XX

Candidate's signature Nicola Smith 2nd review due 15/12/XX

Date of agreement 27/11/XX Date of completion _____

Selecting methods of assessment

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

- ◆ By *valid* we mean that the assessment method should be appropriate to the standards.
- ◆ By *reliable* we mean that the assessment method should ensure consistent results when used with different candidates, different assessors and on different occasions.
- ◆ By *practicable* we mean that the method ensures that the assessment makes best use of available resources, equipment and time.

Before you assess a candidate, you must make sure that the methods of assessment you have chosen to use, along with any assessment materials (such as questions and sample answers) have been agreed within your centre through its system of internal quality assurance. This system is often called *internal verification* — its purpose is to help to ensure that assessment methods are valid, reliable and practicable.

There are both benefits and challenges when you are assessing SVQs in the workplace, or in conditions of 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:

- ◆ evidence arises naturally from the candidate's normal work
- ◆ much of the evidence is based on product outcomes both in hard and soft copy
- ◆ evidence from colleagues is in the form of 'expert witnesses'
- ◆ there are opportunities for observation (could also constitute a challenge)
- ◆ familiarity between the candidate and the assessor (this could also constitute a challenge)

The challenges might be:

- ◆ confidentiality of evidence content
- ◆ pressure of work
- ◆ shift working
- ◆ difficulties in arranging assessment of Knowledge and Understanding
- ◆ arranging for observation of infrequent activities
- ◆ meeting the needs of clients/customers

Example

You may arrange to visit a candidate at their workplace to observe how she/he handles incoming calls — ie ensuring that authorisation accords to organisational procedures and that all calls meet the service level requirements. The candidate works night shifts only, so you would have to arrange your visit when the candidate is working to ensure equality of access to assessment. You could use a pre-prepared checklist to carry out the observation or record the detail of what you observed on an observation report. You could also use a list of questions to cover the knowledge and understanding requirements of the Unit component and the candidate's response might be recorded as oral evidence.

You may also need to take into account the confidentiality of some evidence content, and have to note this as a reason why the evidence is not in the portfolio (though you can say that it can be accessed in the workplace, noting where it is kept).

You could also arrange witness testimony to confirm the candidate's competence in these areas.

Methods of assessment

Assessment may involve a range of assessment methods. For SVQs, some of the most commonly used methods are observation, product evidence, and questioning.

Observation

Observation by an assessor is considered to be the most valid and reliable method of assessment. It can be organised in a variety of ways:

- ◆ working alongside the candidate
- ◆ arranging to visit when naturally-occurring activities are carried out by the candidate
- ◆ arranging for activities to take place

Observation by the assessor can often be supplemented by other types of assessment methods such as questioning. For example, it may be appropriate to ask oral questions of candidates as they carry out naturally-occurring activities.

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:

- ◆ reports
- ◆ recordings of calls
- ◆ call reviews
- ◆ data entries
- ◆ appraisals

For the Unit CFACC1 Improve Your Personal Effectiveness at Work in a Contact Centre or Seek Opportunities to Develop Your Own Personal Effectiveness at Work in a Contact Centre, documents presented by the candidate could be:

- ◆ Minutes of meetings, certificates of attendance at training events providing evidence towards participating in specified development activities
- ◆ self-assessment documents used for appraisals, appraisals, learning and development plans
- ◆ call reviews/monitoring by line manager or peers — these could be presented as evidence for using feedback to develop own effectiveness.

Questioning

Candidates have to show that they can meet the knowledge specifications for the SVQs. For these SVQs, Knowledge and Understanding is specified for each 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. Oral questions can be recorded using electronic recording equipment, telephones, etc but again the candidate's may be uncomfortable with the answers being recorded.

Examples

In the knowledge and understanding 'The key health and safety hazards associated with your job' for the Unit CFACC4 'Comply With Relevant Health and Safety Procedures in a Contact Centre', the candidate needs to know and understand what a hazard is and what the hazards are that are particular to their job. They will also be required to show understanding of what the risks are and their 'duties and responsibilities for minimising health and safety risks in their job'.

You could be observing the candidate in the workplace carrying out an activity, and ask them the following questions:

- ◆ What are the likely hazards within your work area?
- ◆ What are the possible risks from the hazard?
- ◆ What are your responsibilities for minimising the health and safety risks in your job?

Suitable responses could be that a hazard is trailing wires (identified by the candidate) and that the possible risk would be that they could cause someone to trip. They would then explain their responsibility would be to ensure they checked wires and any trailing wires immediately made safe to stop the possibility of someone tripping.

In the Unit CFACC14 'Deliver Customer Service Through a Contact Centre', the candidate needs to know and understand 'Who you can refer to if your personal authority is exceeded during customer contact'. You could be carrying out an observation of the candidate handling calls and the following questions could be asked after the observation:

- ◆ I note you referred one of your callers to another department, can you tell me why you did this?
- ◆ In what other circumstances would you refer callers and who would you refer them to?

Suitable responses would be that the caller referred was asking for financial advice which the candidate was not trained or authorised to do and the other circumstances would be where a customer had lost a credit card and this required to be referred to the relevant department, or where a caller was complaining and the complaint could not be resolved and they would then be referred to the team leader.

Other methods of assessment

These methods, like questioning, are often used for authentication. See Section 3 for more about authenticating candidates' evidence.

Personal statements

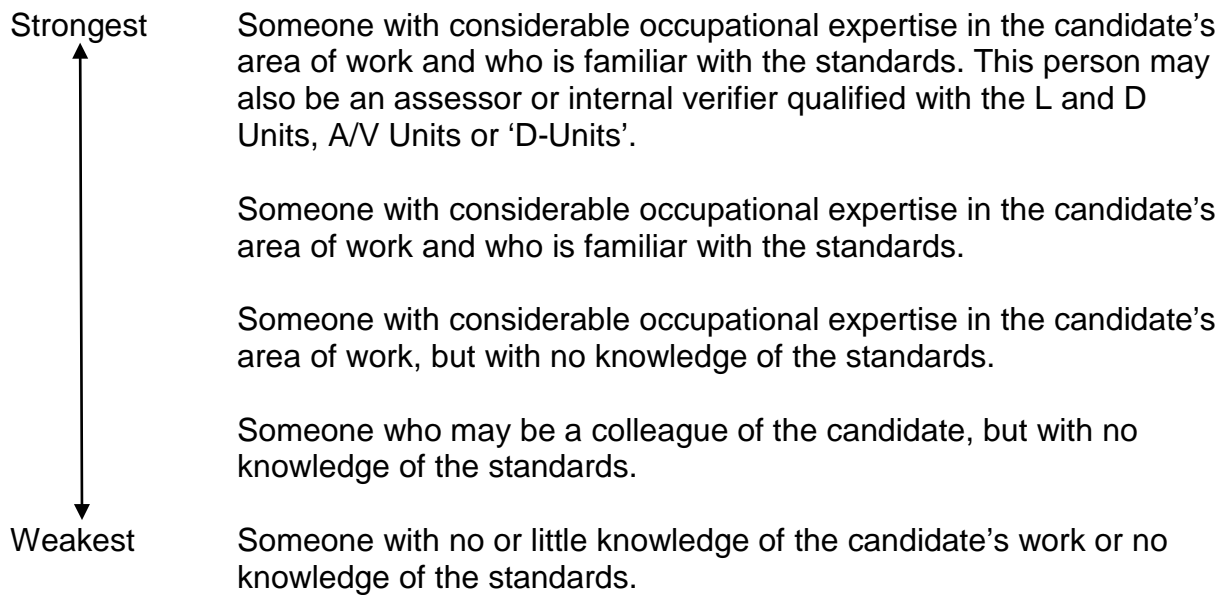
You might sometimes find it helpful to ask a candidate to give an account of why they did an activity in a certain way or how they produced a product of their work. This is often referred to as a *personal statement*. You should take care to ensure that by asking candidates to produce such statements, 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.

A personal statement describing the procedure for handling customer complaints, and the way in which the candidate handled a particular complaint, could provide a useful source of evidence of knowledge and understanding and evidence of authenticity. A personal statement should not be used as a substitute for skills and techniques evidence.

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.



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.

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.

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

For more details on simulation and what constitutes performance in the workplace, look at the Assessment Strategy on SQA's website: www.sqa.org.uk.

Other sources of evidence

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

SQA's *Guide to Assessment and Quality Assurance* (see section 5) have more advice on methods of assessment and how to ensure that your assessment is valid, reliable and practicable.

3 Generating evidence

The methods of assessment you use should generate sufficient evidence to demonstrate the candidate's competence.

We described earlier the circumstances in which you might choose to use different methods of assessment. Starting on the next page, this section gives you examples of forms which you can use to record and present evidence of:

- ◆ observation (by the assessor)
- ◆ questions and candidate responses
- ◆ personal statement (produced by the candidate)
- ◆ witness testimony

There are blank forms which you can copy and use in assessment in Appendix 1.

Observation

For observation, note that the form asks you to record the skills and activities observed. This helps you to make a judgement on how the activity was carried out and what it demonstrates.

Observation record

Unit/Element(s) CFACC14 Deliver Customer Service Through a Contact Centre

Candidate Nicola Smith

Evidence index number 1

Date of observation 1/12/XX

Skills/activities observed	Performance Criteria covered
<p>I observed Nicola at her desk taking incoming calls. She indicated it was a busy morning as there had been an article on the news about branch closures and many customers were calling regarding that. She answered a call introducing the organisation and her name following the organisational script for greeting customers. The customer (call no TC24067) started by telling her she had broken her credit card and didn't know what to do. She asked the caller her name and address and then was able to find her details on the system. Nicola explained she had some security questions to ask first of all and then could help. The caller answered them all correctly and then Nicola explained she would arrange for a new one to be sent out and when she could expect to receive it. She asked if there was anything else she could help with and as the caller said no she closed the call and completed her notes, sending the card request on. The next call (TC24075) came in and she continued as before. This caller was calling for more information on the branch closures and Nicola had on her system information on the closures that she was able to use. The caller said he wanted his displeasure noted and she took his name and address and again asked security questions which he answered. Once she had these confirmed she noted why he had called and assured him his comments had been noted.</p> <p>Nicola continued answering calls as they came in. Her calls included one from a caller (TC24096) who started the call complaining about being on hold for so long waiting to get through. She apologised for that and worked well at calming the customer. She had a call on a lost card (TC24100) which she passed to the relevant department and another call regarding the branch closures. She had a variety of other calls — one from a customer (TC24106) who was going abroad and wanted to use his cards when he was away which she dealt with, one from a caller who had gone over his overdraft limit and wanted financial advice (TC24112) which she passed to another department as she does not have the authority to deal with this and one from a caller who wanted information on internet banking (TC24118) which she arranged to send out. She dealt with all calls clearly following organisational procedures and handling the customers in a calm and professional manner. She entered the details on the system promptly and in a way that gave the relevant correct information. Nicola operated in a safe and tidy manner and was conscious of the need to deal with all calls in a timely manner.</p>	<p>1/2/4/5/6/7/8/9/10/11/13/14/15/16</p>

Knowledge and Understanding apparent from this observation

CFACC14 — Deliver Customer Service Through a Contact Centre
KU — a/b/c/d/e/g/i

Other Units/Elements to which this evidence may contribute

The observation also covered

CFACC4 — Comply With Relevant Health and Safety Procedures in a Contact Centre

PC 2/4/5/9

CFACC23 — Communicate Information in Customer Contact Through a Contact Centre

PC 1/2/3/4/5

CFACC31 — Provide Support Through a Contact Centre for Specified Services and/or Products

PC 1/3/4/5/6/8/9/10/14/15

CFACC32 — Support Customers and Colleagues When Providing Contact Centre Services PC 1

CFACSAA6 — Process Information About Customers

PC 1a/1b/1c/2b/3a/3b/3c

CFACSA11 — Deal With Incoming Telephone Calls From Customers

PC 1a/1b/1c/1d/1e/2a/2b/2c/2d/3c/3d/3g/3h/3i

Assessor's comments and feedback to candidate

You handled all the calls very professionally and your manner clearly indicated you were knowledgeable and confident. In all the calls I listened into the callers were satisfied with the service/advice given by you and the records/notes you updated were accurate.

The observation covered a lot of the Unit and you should now record the call numbers of any difficult calls, calls where you had to give a lot of advice, calls where there was an issue with authentication. I can then listen to them remotely and assess them. I have noted the numbers of the main calls today and noted the data relating to them can be accessed through these numbers.

Well done Nicola.

I can confirm the candidate's performance was satisfactory.

Assessor's signature Susan Jones **Date** 1/12/XX

Candidate's signature Nicola Smith **Date** 1/12/XX

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	CFACC14 Deliver Customer Service Through a Contact Centre
Element(s)	3 — Obtain and use information from customers to support customer service delivery through a contact centre
Evidence index number	3
Circumstances of assessment	
Questions were asked orally and recorded. They related to an observation carried out that day.	
List of questions and candidate's responses	
Q	PC14 Give me an example of active listening you used today to identify precisely your customer's queries or requests.
A	I made sure I acknowledged what they were saying. I said yes, no when appropriate so they would know I was listening. I also repeated things to make sure I had heard correctly and they understood.
Q	Questioning to cover KU Give me an example of how you questioned callers ensuring you established a rapport.
A	I always make sure the caller has my name and I only ask relevant questions so that I do not annoy them by questioning them too much. I show interest and only ask closed question when I need to confirm something. I make sure I always check their understanding and give them the chance to ask me questions and time to answer.
Q	Why is it important to check the customer understands what you are saying?
A	To make sure there are no mistakes and they leave the call clearly knowing what is being done and has been agreed.
Q	What are the issues you are able to deal with?
A	I am able to deal with a number of queries, eg getting pin nos sent out, changing customer details, referring calls to lost or stolen cards dept. I can't deal with anything where financial advice is needed.
Q	Why is it important to close the call in a professional way?
A	It means the customer leaves satisfied that their needs or expectations have been met or where they haven't that they understand why. A happy caller will return but an unhappy one will complain or not use us again. Our customers expect us to be professional and that means that they call off feeling we have done everything we can for them.

Q	Where do you get information that updates your knowledge?
A	From the Intranet and through company training. We also get daily updates.
Q	What is the company procedure on how to record customer contacts and feedback?
A	All contact and feedback needs to be recorded and all records are kept according to the data protection requirements and are confidential. Feedback is sent to the team leader who records it in a particular area of the system and analyses it.

Assessor's signature Susan Jones **Date** 1/12/XX

Candidate's signature Nicola Smith **Date** 1/12/XX

Candidate's personal statement

If a personal statement is being used as evidence, it should be completed by the candidate. The statement should record what they did, how and why they chose to carry out an activity or produce work in a certain way. Where other people may have been present during an activity and they may be able to provide witness testimony, the candidate should record how the statement links to other evidence in the column provided.

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
30/1/XX	8	<p>I received an appraisal when I was with the company at the 3 month stage and one of my areas for improvement was on the length of time I took on calls and wrap up. I attended a training course on 'Time Control' and learnt a lot about how to control the call and be organised during the call allowing me to be able to do my notes while speaking. I found this hard but the techniques I was taught helped and I some saw my time KPIs being met.</p> <p>I also have become more confident as I have received positive feedback from customers a number of times and at my last appraisal I was congratulated on the improvements made and on my level of customer service. This has allowed me to feel confident to buddy and help my colleagues and to move into team leader roles when there is an absence or holiday to be filled.</p>	6/7/9 and appraisal 8	Deliver Customer Service Through a Contact Centre (CFACC14 — PC 17) Improve Your Personal Effectiveness at Work in a Contact Centre (CFACC1 PC 1/2/3/4/5/9/12)

Candidate's signature Nicola Smith

Date 30/1/XX

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	SVQ2 Contact Centre Operations SCQF level 5
Candidate's name	Nicola Smith
Evidence index no	9
Index no of other evidence which this testimony relates to (if any)	1/2/7/8/9/10
Element(s)	CFACC14 — Deliver Customer Service Through a Contact Centre Elements 1, 2 and 3 CFACC23 — Communicate Information in Customer Contact Through a Contact Centre Element 1 CFACC31 — Provide Support Through a Contact Centre for Specified Services and/or Products Elements 1, 2 and 3
Date of evidence	5/2/XX
Name of witness	James McIntosh
Designation/relationship to candidate	Team Leader Customer Service Help Desk
Details of testimony	
<p>I have worked with Nicola over the last year. She has very efficiently handled a variety of calls as they have come into her and has met her required KPIs. She recently handled a call about a customer who could not access their account and could not give any details regarding authentication. I listened to the call remotely and was very pleased that she complied with all organisational requirements regarding this and did not give in to the customer. She was able to calm the customer and have her query escalated to the relevant department. She recorded all the details of the call accurately. The feedback from the other department was that the customer wanted to apologise for her bad temper and thank her for her patience. Feedback on Nicola has always been positive but we have had to work on the length of time she spends with customers. This she has been working on and her last appraisal showed reports detailing an improvement in the time spent on each call.</p> <p>I also have listened to other calls and she also handled a call from a customer whose husband had died and who was very upset. She required information regarding his account but had little detail. Nicola explained the information that would be required but suggested she be put through to the relevant department to speak to someone who could possibly help with some things immediately. She handled the call in a supportive but competent manner.</p> <p>Nicola reads the organisation's Intranet regularly and often comes up with suggestions. She is a good team member and is supportive of colleagues.</p>	

I can confirm the candidate's performance was satisfactory.

Witness's signature James McIntosh **Date** 5/2/XX

Witness (please select the appropriate box):

- Holds L&D9, A1 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.

Guidance and support to candidates

At all times during the assessment process — from planning through to making your assessment decision — feedback should be ongoing, 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 holding a professional discussion or 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

In the Unit 'Supervise Customer Service Activities in a Contact Centre Team', it is possible that the observation of complaint handling would be difficult — there is no guarantee that a customer would complain during the assessment or that a call dealing with a complaint has been recorded. This means that suitable evidence for the assessment of complaint handling would be a record of the complaint showing the actions the candidate took to deal with it at their own level of responsibility. This record, depending on the culture of the organisation, could be very formal and would be automatically authenticated by the member of the management to whom the complaint was escalated (and who was ultimately responsible for dealing with it). Alternatively, in a less formal organisation, the candidate might, for the purposes of the SVQ, produce a series of personal statements describing their handling of a particular complaint and the outcome. In such a situation, it would be essential to produce supporting evidence to ensure authenticity such as witness testimony and/or discussion with or questioning by the assessor.

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 SVQ2 Contact Centre Operations SCQF level 5

Candidate Nicola Smith

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

Unit checklist

Mandatory	CFACC1	CFACC4				
Optional	CFACSA11	CFACC23	CFACC31	CFACC32	CFACAA6	CFACC14

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
CFACC1	Improve Your Personal Effectiveness at Work in a Contact Centre		
CFACC4	Comply With Relevant Health and Safety Procedures in a Contact Centre		

Optional Units achieved

Unit number	Title	Assessor's signature	Date
CFACSA11	Deal With Incoming Telephone Calls From Customers	<i>Susan Jones</i>	8/2/XX
CFACC14	Deliver Customer Service Through a Contact Centre	<i>Susan Jones</i>	8/2/XX
CFACC23	Communicate Information in Customer Contact Through a Contact Centre		
CFACC31	Provide Support Through a Contact Centre for Specified Services and/or Products		
CFACC32	Support Customers and Colleagues When Providing Contact Centre Services		
CFACAA6	Process Information About Customers		

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		SVQ2 Contact Centre Operations SCQF level 5	
Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	Observation of the call handling process	Yes	GW 4/12/XX
2	Product evidence	No, held in CRM system as data entries and notes relating to the relevant call numbers noted in the observation.	GW 4/12/XX
3	Questioning related to the observation	Yes, recorded and held on computer.	GW 4/2/XX
4	Health and safety checklist	Yes	
5	Assessment of a number of calls recorded over a period of time for training purposes	No, but held on system under call numbers noted on assessment records.	
6	Professional discussion on the handling of a variety of calls including two difficult customers who had to be referred. Witness testimony in evidence 9 backs this. Product evidence to back this held on CRM system re evidence 7.	Yes, recorded and held on computer.	GW 11/2/XX
7	Customer feedback forms over a period of time directly related to Nicola's performance and that of her team.	No, held by team leader under KPIs.	
8	Copy of appraisal/personal development plan, with personal statement on how developed and improved own performance based on feedback.	Yes	GW 11/2/XX
9	Witness testimony from line manager on daily performance covering achievement of KPIs, feedback on performance and personal improvements made. Specific reference to certain calls discussed.	Yes, witness testimony recorded and held on computer.	

Completing the Element achievement record

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

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

If integrated assessment is used (linking PC 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 CFACC14 Deliver Customer Service Through a Contact Centre

Element 3 — Obtain and use information from customers to support customer service delivery through a contact centre

Evidence index no	Description of evidence	PC/performance statements					Areas of Knowledge and Understanding/scope												
		13	14	15	16	17	a	b	c	d	e	f	g	h	i	j	k	l	
1	Observation	✓	✓	✓	✓		✓	✓	✓	✓	✓		✓		✓				
2	Product evidence — data entries				✓														
3	Questioning		✓								✓	✓	✓	✓	✓	✓			
5	Assessment of recorded calls	✓	✓	✓	✓		✓	✓	✓	✓	✓		✓						
6	Professional discussion	✓	✓	✓	✓	✓		✓	✓	✓			✓	✓	✓			✓	
7	Customer feedback forms					✓												✓	
8	Appraisal and personal development plan with personal statement					✓												✓	
9	Witness testimony	✓		✓	✓	✓												✓	

Unit CFACC14 Deliver Customer Service Through a Contact Centre

Element Obtain and use information from customers to support customer service delivery through a contact centre

Notes/comments

Nicola has obtained her evidence while working on the customer help desk. I observed her while handling calls on what was a busy morning following a new advertising campaign. I was also able to access her calls recorded for training purposes and through assessment of a number of those was able to confirm her competence over a period of time handling a number of different callers and their differing queries/requests. She followed all regulatory requirements and all organisational policies and procedures as she carried out her work.

Nicola always showed knowledge of the products and services.

The evidence here is used in other Units/Elements of the qualification.

Well done Nicola.

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

Candidate's signature	<u>Nicola Smith</u>	Date	<u>8/2/XX</u>
Assessor's signature	<u>Susan Jones</u>	Date	<u>8/2/XX</u>
Internal verifier's signature	<u>Graeme Watson</u>	Date	<u>11/2/XX</u>

5 Further information

What else should I read?

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

Assessor/Verifier Units: assessment guidance

External Verification: A Guide for Centres

Guide to Assessment

Introduction to Assessment Arrangements for Schools and Colleges

SQA's Quality Framework: a guide for centres

Operational Help Centre

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

Appendix 1: Blank recording forms

Unit progress record

Qualification and level _____

Candidate _____

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

Unit checklist

Mandatory									
Optional									

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date

Optional Units achieved

Unit number	Title	Assessor's signature	Date

Unit

Element

Notes/comments

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

Candidate's signature _____

Date _____

Assessor's signature _____

Date _____

Internal verifier's signature _____

Date _____

Assessment plan

Units					
Elements					
Activities	Performance Criteria (PC)	Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (Performance Criteria 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, Performance Criteria, Performance statements, scope covered

Candidate's signature _____ **Date** _____

Observation record

Unit/Element(s) _____

Candidate _____

Evidence index number _____

Date of observation _____

Skills/activities observed	Performance Criteria 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** _____

Record of questions and candidate's answers

Unit	
Element(s)	
Evidence index number	
Circumstances of assessment	
List of questions and candidate's responses	
Q	
A	
Q	
A	
Q	
A	
Q	
A	
Q	
A	

Assessor's signature _____ **Date** _____

Candidate's signature _____ **Date** _____