Assessor's Guidelines for the SVQ Facilities Services Level 2 and the SVQ Facilities Management Level 3

Contents

About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ in Facilities Services level 2** and the **SVQ Facilities Management level 3**.

You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

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

Introduction

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

About SVQs 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 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 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

The SVQ Facilities Services Level 2 and Facilities Management Level 3

The SVQs in Facilities Services level 2 and Facilities Management level 3 have been developed by Asset Skills (the Sector Skills Council for facilities management, housing, property, planning, cleaning and parking), industry representatives, the British Institute of Facilities Management and SQA and are intended for people who are employed to provide 'non core' soft and hard facilities services, ie the services which support and maintain the primary function of client premises/properties/buildings in the private, public and third sectors.

The client may be the candidates own organisation when the services are 'internally managed' or an external client when the services are 'outsourced' and the candidate is employed by the service provider/supplier/contractor.

Services can be either a 'single/stand alone' service or 'integrated' when a number of services are provided.

♦ Grounds Maintenance

♦ Car Park Services

♦ Security

♦ Stores

♦ Maintenance and Engineering

♦ Front of House Services

♦ Reception

♦ Help Desk

♦ Mail Room

♦ Catering

♦ Cleaning and other related services (Window Cleaning, Feminine Hygiene, Washroom Services, IT Cleaning, etc)

♦ Accommodation Services

♦ Waste removal — routine

♦ Waste removal — non routine

♦ Handyman duties

♦ Caretaking services

♦ Janitorial services

♦ Indoor Plants

♦ Swimming Pool Maintenance

♦ Pest Control

♦ Domestic Services

Candidates may work in any line of the following occupational areas:

♦ Schools, Further and Higher Education establishments and halls of residence
♦ Sheltered/supervised accommodation wardens
♦ Local Authority Housing Departments and Housing Associations
♦ Hospital Trusts
♦ Local and Central Government premises departments
♦ Social Services
♦ Local Authority Leisure and Amenity Departments
♦ Ministry of Defence and Home Office prisons and secure establishments
♦ National hotel groups and Airports
♦ National facilities management companies — Business and Industry, Education, Healthcare and Defence
♦ National commercial/residential property management companies.

Part A — SVQ Facilities Services Level 2

A1 SVQ Facilities Services Level 2

These people will be working at operative level and could be in any one of the following roles:

- groundsman
- cleaner
- room attendant
- catering assistant/food service assistant
- porter
- handyman
- maintenance person
- waste operative
- janitor
- stores operative
- caretaker
- mailroom assistant
- leisure assistant/pool attendant

Skills and knowledge

They will require skills and knowledge in all the tasks that they are required to perform in their specific roles; areas of legislation, eg health and safety, company policies and procedures and customer service. There is also a requirement for knowledge of Core Skills such as team building and communicating with colleagues and customers.

Structure of the SVQ

This section lists the Units which form the SVQ Facilities Services Level 2.

To attain the qualification candidates must complete six Units in total. They must complete the three mandatory Units plus three from the 12 optional Units.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
F47004	5	8	PC201	Make Sure Your Own Actions Reduce the Risks to Health and Safety
FG7T04	5	4	PC202	Promote and Maintain Services Delivery in a Facilities Services Environment
FE2104	4	5	PC217	Recognise and Deal with Customer Queries, Requests and Problems

Optional Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FG7V 04	5	3	PC02 04	Support the Work of a Team and Develop Yourself
FG7W 04	6	5	PC0203	Contribute to the Effectiveness and Efficiency of Premises
FG7X 04	5	5	PC0206	Control the Use of Equipment and Materials in Facilities Services Environment
FG7Y 04	6	4	PC0207	Maintain Grounds
FG80 04	5	3	PC0208	Maintain Site Security and Safety
FG81 04	6	4	PC0209	Control the Use of Premises by Customers and Contractors
FG82 04	N/A	N/A	PC0210	Work Safely at Heights
F4R1 04	5	3	PC0212	Carry Out Maintenance and Minor Repairs
FG83 04	5	4	PC0213	Operate Plant to Maintain the Quality of Pool Water
F4PL 04	5	2	PC02 18	Clean and Maintain Internal Surfaces and Areas
F4PN 04	4	2	PC02 14	*Deal with Routine Waste
F4RO 04	5	3	PC02 15	*Deal with Non-routine Waste

* If Unit F4PL 04 'Deal with Non-routine Waste' is selected, then Unit F4R0 04 'Deal with Routine Waste' must also be selected.

An Assessment Strategy for the SVQ

As part of its review of the SVQ(s), the standards-setting body Asset Skills 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

Gavin has worked as the Grounds and Waste Operative on a large manufacturing site for four years. His duties cover — keeping the car parks free from litter, dirt and debris and maintaining the small flower beds and shrubberies. Gavin also has responsibility for taking all routine and non routine waste from the building(s) to the site waste disposal area and disposing of it in the correct manner, ie ensuring compliance with the various waste streams, along with keeping the site waste disposal area clean, tidy and safe. Gavin is responsible for requesting replacement skips when required and recording of all waste which is removed from the site by the waste contractor.

During his time as Grounds and Waste Operative, Gavin has been given no formal training and has not achieved any relevant qualifications. He is keen to undertake a qualification which would recognise and certificate his considerable knowledge and skills. The Facilities Manager had recently agreed with the client, that Gavin would take on the additional responsibility for the non routine waste; as the current waste operative is due to retire.

The Facilities Manager advised Gavin to consider undertaking the SVQ Facilities Services level 2.

When the Facilities Manager matched Gavin's job remit and skills and experience to the SVQ it was indentified that Gavin should be able to generate most of the evidence to meet the requirements of two of the mandatory Units and two of the optional Units as follows:

♦ Unit PC02 07 Maintain Grounds of Premises and Facilities Unit
♦ Unit PC02 01 Make Sure Your Actions Reduce the Risks to Health and Safety
♦ Unit PC2 02 Promote and Maintain Service Delivery in a Facilities Services Environment
♦ Unit PC02 14 Deal with Routine Waste

The Facilities Manager arranged for the assessor to provide Gavin with guidance on how to collect evidence and construct a portfolio.

It is agreed that any evidence not available for the first four Units could be gained whilst observing and questioning Gavin on the remaining two Units — as detailed below.

As Gavin's remit did not cover **all** areas of **Unit PC2 17 Recognise and deal with Customer Queries, Requests and Problems** and the fact he had only recently undertaken the Non Routine Waste (**Unit PC2 Dealing with Non routine Waste**) training it was felt necessary to provide Gavin with the opportunity to demonstrate his competence.

Arrangements were made for the assessor to accompany Gavin in his workplace to observe and assess him for these two Units. A combination of observation, questioning and assessment of work product would be used.

All the above arrangements were agreed by everyone involved and then written up in an assessment plan.

A2 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 A/V Units (the national standards in assessment and verification) you will need copies of completed assessment plans as part of your evidence.

To help you plan for assessment, we have produced an assessment plan which covers Units:

- Unit PC2 14 Deal with Routine Waste
- Unit PC2 15 Deal with Non–routine Waste
- Unit PC2 17 Recognise and deal with Customer Queries, Requests and Problems

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	Unit PC2 14 Deal with Routine Waste Unit PC2 15 Deal with Non-routine Waste Unit PC2 17 Recognise and deal with Customer Queries, Requests and Problems Related Units — PC2 01, PC2 02, PC2 14, PC2 07					
Elements						
Activities	**Performance Criteria (PC)**	**Method of assessment/ Sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units (PC and range)**
Gavin will be removing and transferring Routine Waste Gavin will be dealing with Waste Containers Gavin will be removing and transferring Non-routine Waste Gavin will be dealing with Waste Containers	Unit PC02 14 Element 14.1 Handle Routine Waste. PCs 1,2,5,6 and7 Unit PC02 14 Element 14.1 Deal with Waste Containers PCs 1,3,4.5,6,8, and 9 Unit PC2 15. Element 15.1 PCs 1–12 Unit PC2 15. Element 15.2 PCs 1–10	Observation checklist and oral questions Observation checklist and oral questions Observation checklist and oral questions	11/07/11	Waste procedures All staff must wear PPE Quality Audits – Grounds Waste Area and Car Parks Supervisors Check Lists Help Desk data on Waste Incidents Accident Reports	Unit PC2 07 Maintain Grounds of Premises and Facilities. PCs 3,6,7,8,10 and11 Unit PC2 01. Make sure your own actions reduce risks to health and safety. PCs 1,2,3,5,8,9,11,14 and 15 Unit PC2 02 Promote and Maintain service delivery in a Facilities Environment PCs 1, 2, 3, 4, 9, 10 and12

Activities	Performance Criteria (PC)	Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
Gavin will be dealing with customer requests and queries	Unit PC2 17. C1.1 Recognise and deal with customer queries and requests. C1.1.1–C1.1.4	Observation checklist and oral questions			Unit PC2 02 Promote and Maintain service delivery in a Facilities Environment PC 's 5,7 and 11
Gavin will be recognising and dealing with customer problems	Unit PC2 17. C1.2 Recognise and deal with customer problems. C1.2.1-C1.2.6	Observation checklist and oral questions			Unit PC2 01. Make sure your own actions reduce risks to health and safety. PCs 1-5, 8, 9,14 and 15
During the observation of these activities notes will be taken of any other relevant integrated activities to include, for example –working safely and using appropriate PPE; identifying hazards and reducing risks to health and safety; indentifying opportunities for improvements	Unit PC2 01Make sure your own actions reduce risks to health and safety. PCs 1, 2, 3, 5, 8, 9, 11, 14 and 15

PC2 Promote and maintain service delivery in a facilities services environment PCs 5, 11 and 12 | Observation checklist and oral questions | | | |

Questioning for knowledge and understanding which was not apparent from evidence/performance so far. This will take place during the 2nd review.	PC14.1KU's (a), (b), (c), (f) and (g) PC14.1(b), (c), (d), (e) and (f) PC15.1 KU's a., b., c., e., f. and h. PC15.2 KU's a. b. d. and e. PC17 C1.2 (1.2.4.) (1.2.5) PC2 17 KU's a-k PC 01. PCs 2, 3, 4 and 6	Oral Questions			

Assessor's signature *Michelle Dickinson*   **1st review due** *11/07/11*

Candidate's signature *Gavin Collins*   **2nd review due** *10/08/11*

Date of agreement *10/06/11*   **Date of completion** *10/08/11*

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 will be familiar with their own working environment and equipment and will feel more comfortable
♦ performance can be authenticated on site
♦ evidence will be generated and validated in the work place
♦ candidates will be able to progress at his/her own pace
♦ working times which may make assessment difficult – can be avoided

The challenges might be:

♦ time constraints and pressures of work which could take priority over planned assessments
♦ timing visits for specific assessments
♦ customer needs
♦ peer pressure by colleagues affecting candidates performance
♦ candidates working in different departments on large sites, may be difficult to locate
♦ candidates changing employers

Example

If you are an assessor working alongside a candidate in the Facilities Department, you may agree with a candidate who has to demonstrate how 'to recognise and deal with customer problems', that this will be carried out by observation as and when such a situation arises. You should be well placed to observe the candidates performance, perhaps using a prepared checklist, and to question the candidate about the situation afterwards.

Methods of assessment

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

Observation could be used to assess candidates undertaking Unit PC02 1 Make sure your own actions reduce risks to health and safety and Unit PC2 02 Promote and Maintain Service Delivery in a Facilities Services Environment. Observation of a candidate providing a facilities service/undertaking related tasks, would provide the assessor the opportunity to assess if the candidate meets employers standards of appearance, ie correct PPE, selects and uses the correct equipment, materials and follows work methods/schedules and instructions and that the quality of the work meets organisational standards. Observation would be supplemented by questioning regarding PPE, Health and Safety implications, equipment, methods used and the environmental impact.

Observation by the assessor can be used to generate evidence for several Units and provides the opportunity to integrate evidence

Product or Service evidence

As candidates work towards achieving the SVQ, they will produce evidence in the form of products/end results 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:

♦ Documents completed by the candidate in the workplace, eg help desk records, reports, completed record forms, eg labelling and recording waste movement, order and requisition forms, receipt of goods, minutes of meetings, e-mails, guest check-in and departure along with the bill, accident reports, and incident reports.

♦ Completion of work in line with the service specification and task performance standards eg an area left clean as per the specification.

♦ Quality audit results.

♦ Supervisors checklists.

♦ Photographic or video evidence of a candidate carrying out a task or a product produced by the candidate. (This would require authentication).

♦ Written evidence in the form of an 'on site' customer survey results.

♦ A meal or individual dish produced by the candidate.

Example

Gavin may provide Waste Records as documented evidence.

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.

For the Facilities Services level 2 SVQ it is considered that oral or multi-choice questions would be suitable, where as for the Facilities Management level 3 written questions would be more suitable due to the type of candidate and the nature of the evidence required.

Examples of oral questions SVQ level 2 candidates may be asked

Question   What is a 'hazard'?

Answer   (a) Something my supervisor deals with.
               (b) A spillage.
               (c) Anything with the potential to cause harm.
               (d) A broken chair.

The candidate is required to indicate (c) as the correct answer in order to demonstrate knowledge and understanding of what a 'hazard' constitutes.

Question   Do you know where to find your company's Mission Statement?

Answer   In my induction book (or location relevant to situation).

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

Unit PC2 15. Dealing with Non-routine Waste.

The candidate is asked to provide a personal statement giving an account of how he/she would go about disposing of sharps.

The statement should include details on their site specific procedures:

♦   Uniform and PPE

♦   Reasons for sharps requiring special handing

♦   The equipment to be used

♦   The disposal container

Witness testimony

For practical reasons, you may not be able to observe all the activities carried out by your candidates, but might feel that other people may be able to provide a statement on what your candidates have been doing or producing as part of their work. Statements of this kind are called *witness testimony*, and are often used to support other evidence produced by candidates. If witness testimony is used, you should, ideally, identify witnesses and opportunities for using their testimony as part of assessment planning.

You should bear in mind that the weight of the evidence will vary, depending on the knowledge and expertise of the person providing the witness testimony. You will have to take these factors into account as you make your judgement.

Strongest   Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards. This person may also be an assessor or internal verifier qualified with the A/V Units or 'D-Units'.

Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.

Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.

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 Unit PC2 14 Deal with Routine Waste candidates are required, whilst maintaining personal hygiene, to segregate waste, transfer it safely in secure bags or receptacles without spillage or causing damage to surfaces to the collection point whilst securing their own safety and that of building users. The waste collection and holding area must be kept clean and safe.

Witness testimony from the clients on site Quality Manager (has an NVQ in Quality)

'I am responsible for conducting site audits which include looking at the way we are handling the site waste. We had a number of incidents with spillages and pest infestation. Since Gavin took on the role of Grounds and Waste operative we note that all waste is being segregated correctly and there have been no incidents of accidents or damage to the premises. The waste area is free from litter and debris and there have been no reports of pest infestation. The skips are being replaced on a regular and controlled basis and the all the small waste containers are in a clean and hygienic state. His efficient management of the waste has also created cost savings.

Signed.
Tom Notch
Quality Manager

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.

Asset Skills 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**.

Example

In **Unit PC2 15. Dealing with Non-routine Waste**

A large amount of dangerous contaminated waste has been spilt in a main corridor.

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.

A3 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 the Appendix.

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.

Example

A customer has logged a request through the help desk for some Routine and Non-routine waste be collected and transferred to the waste collection point.

This naturally occurring example can be used to generate evidence relating to:

♦ Unit PC 14. Dealing with Routine Waste
♦ Unit PC2 15. Dealing with Non-routine Waste
♦ Unit PC 2 17 Recognise and deal with customer queries, requests and problems

And also generated evidence relating to:

♦ Unit PC2 Promote and maintain service delivery in a facilities services environment
♦ Unit PC2 01 Make sure your actions reduce risks to health and safety

Observation record

Unit/element(s)   Unit PC2 17. Unit PC 2 14 and 15. Unit PC2 01

Candidate   Gavin Collins

Evidence index number PC2.05   **Date of observation** 11/07/11

Skills/activities observed	Performance Criteria covered
Unit PC 2 17 **C1.1 Recognising and dealing with a customer request and query** Gavin received an urgent request from the help desk to remove routine and non-routine waste from an area of manufacturing where there had been a problem with one of the production lines. Gavin checked with one of his colleagues to find out if he had had to deal with a situation like this before and asked for his advice. Gavin then went to see the customer to check out what was required and inform the customer when the work could be carried out. There was a large volume of non-routine and routine waste to be removed, some types of which Gavin had not dealt with before and the client explained that some of the waste was contaminated with chemicals from tests which had been carried out. Gavin informed the customer that he would need to follow procedures for the non-routine waste and needed to confirm with his supervisor that he was OK with Gavin dealing with all this waste. This could mean that the waste may not be removed for another hour. **C1.2 Recognise and deal with customer problems** Gavin immediately recognised that the customer was not happy. He asked the customer to give him five minutes to contact his supervisor and he would get back to him. Gavin contacted his supervisor and explained that the customer was unhappy and asked if it was possible for the supervisor to meet him with the customer in the next 10 minutes. His supervisor agreed to go along to where Gavin was located. Gavin then went back to the customer to let him know that his supervisor was on his way and that once his supervisor had checked the waste and confirm that Gavin was going to segregate and deal with it correctly it would be removed immediately.	**Unit PC 2 17** PCs C1.1.1; C1.1.2; **Unit PC 2 17** PCs C1.1.4 **Unit PC 2 17** PCs C1.1.3 **Unit PC02 01** PC 7 **Unit PC 2 17** PC C1.2.1 – C1.2.6

Skills/activities observed	Performance Criteria covered
Unit PC2 14 Element 14.1 Handle Routine Waste Element 14.2 Deal with Waste Containers **Unit PC2 15** Element 15.1 Handle and Label non-routine waste Element 15.2 Transfer non-routine waste and deal with containers Element 14.1 Handle Routine Waste Element 14.2 Deal with Waste Containers Gavin confirmed with the help of his supervisor the exact details of the waste which was to be removed and followed procedures including categorising, recording and labelling the waste. The waste was secured ready for transfer. The bins were cleaned out and Gavin removed spillages from the floor and the holding area was left clean and the bins left free from waste. The waste was secured and transferred without damage or contamination to surfaces on route. Gavin then ensured the waste was placed in the correct containers and the area was left clean and all equipment was returned and PPE which had been used disposed of. Gavin recorded the waste in the waste records in the facilities office. Gavin presented a positive image throughout the activities carried out and communicated effectively with colleagues, his supervisor and the customer and recorded information accurately and stored it correctly. He wore the PPE in line with the company standards and work instructions. All waste was removed, labelled and disposed of appropriately. Health and Safety and organisational requirements and legal requirements were complied with at all times.	**Unit PC 2 14** 14.1 PCs 1-9 **Unit PC2 14** 14.2 PCs 1-9 **Unit PC2 15** 15.1 PCs 1-12 **Unit PC2 15** 15.2 PCs 1-10 **Unit PC2 02** PCs 1, 2, 3, 4, 5, 7, 8, 9, 10, 11, 12 and 13 **UnitPC2 01** PCs 1-5

Knowledge and understanding apparent from this observation

The candidate demonstrated that he was aware of the importance of and reasons for wearing PPE, and also demonstrated his knowledge and understanding of all the methods and procedures in the segregation, marking, labelling, recording and transfer of waste. From observation it was clear that the candidate knew the importance of leaving the waste collection area clean and free from risks.

Other Units/elements to which this evidence may contribute

Unit PC2 01 Make sure your own actions reduce the risks to health and safety
Unit PC2 02 Promote and maintain service delivery in a facilities services environment

Assessor's comments and feedback to candidate

The candidate carried out all the tasks in a correct and safe manner and demonstrated competence in dealing with all aspects of Routine and Non-routine Waste and customer service. Gavin communicated well and recognised problems when they arose and dealt with everything appropriately. He portrayed a very professional image.

I can confirm the candidate's performance was satisfactory.

Assessor's signature _Michelle Dickinson_   **Date** _11/07/11_

Candidate's signature _Gavin Collins_   **Date** _11/07/11_

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	Unit PC2 15 Dealing with Non-routine Waste Unit PC 14 Deal with Routine Waste
Element(s)	Element 15.1 KU's a, b, c, d, e, f and h Element 15.2 KU's a, b, d and e Element 14.1 KU's (a), (b), (c), (d), (f) and (g) Element 14.2 (a), (b) and (c)
Evidence index number	PC2.06
Circumstances of assessment	
Following observation of the candidates performance in Dealing with Routine and Non-routine Waste the following questions were asked to cover the underpinning knowledge and understanding not gleaned from the observation	
List of questions and candidate's responses	
Element 15.1 Knowledge and Understanding. Element 14.1 Knowledge and Understanding (candidates will describe local procedures/site specifics in answer to a number of these questions. The answers given here are for guidance only)	
Q	**a (a)** Please explain/confirm the procedures for preparing yourself and the work area and the methods for doing this.
A	**a** Candidate to refer to local procedures – to cover uniform, PPE, equipment etc.
Q	**b (b)** What PPE do you need to wear to undertake removal and transfer of waste, and why is it important that you wear it?
A	**b** Uniform, safety shoes and gloves. For clinical or hazardous waste — apron. To protect myself and to prevent cross contamination.
Q	**e** Please explain the procedure and equipment for handling and disposing of the different types of waste and how would you deal with sharps.
A	**e** Put on PPE, ie uniform gloves and apron. Black bags for general waste. Yellow for clinical. For sharps. Using pick up kit pick up item and place in sealed sharps bin. Dispose of pick up kit gloves and apron.
Q	**(c)** Describe the approved methods of transferring waste.
A	**(c)** Placing waste on trolleys and wheeling it to the waste area.
Q	**(d)** Can you explain the site recycling arrangements?
A	**(d)** Site specific answer to cover waste stream and how they are dealt with.
Q	**f** What is clinical waste and what are the correct methods for handling and disposing of clinical waste?
A	Clinical waste is any waste that might be contaminated with bodily substances, eg medical gloves, aprons, dressings, catheter bags or may be body parts. Clinical waste bags (colour coded) must always be marked and tagged. Bags must be placed in locked containers. Clinical waste from infected sources must be double bagged.
Q	**h. (f)** What is the procedure for dealing with suspicious packages
A	**h. (f)** If you are in any doubt as to the content of a package – report it to your line manager
Q	**(g)** Why is it important to maintain personal hygiene when handling waste?
A	**(g)** Protect myself from infections and prevent the spread of odors and waste products.

Element 15.2 Knowledge and understanding. Element 14.2 Knowledge and Understanding	
Q	**a** How do you correctly identify and dispose of sanitation bins?
A	These are provided by a contractor. The contractor takes the bins away and replaces with empty ones every two weeks.
Q	**b (a)** Why is the location and cleaning of the waste areas important in preventing and controlling pests?
A	Pests need water and food to survive. Waste areas should be located away from water sources and must be kept free from waste which would attract pests
Q	**d** Why is it important to repackage waste containers that have dangerous residue adhering to their outsides
A	To prevent contamination of surrounding surfaces and reduce potential health and safety hazards
Q	**e (c)** What are the procedures for reporting and handling waste spillages?
A	Waste spillages are reported through the help desk and dealt with by the cleaning staff. Non routine/hazardous waste in public areas is dealt with by the Cleaning Supervisor only following the company procedures. Waste spillages related to the clients business is dealt with following client waste procedures. A copy of this can be found in the manual in the Supervisors office.
Q.	**(d)** If any of the waste equipment, ie bins, trolleys etc were broken or damaged or you found signs of pests — who would you report it to? Why is important to report damaged containers?
A.	My supervisor — verbally and he fills in a form They could cause harm and harbour germs
Q	**(g)** Can you tell me where all the holding areas are and how people take waste to them?
A	In bags (colour coded) in cages or on trolleys.

Assessor's signature _Michelle Dickinson_   **Date** _10/08/11_

Candidate's signature _Gavin Collins_   **Date** _10/08/11_

Record of questions and candidate's answers

Unit	Unit PC2 17 Recognise and Deal with Customer Queries, Requests and Problems
Element(s)	C1.2 Recognise and Deal with Customer Problems Knowledge and Understanding (a)–(k)
Evidence index number	PC2.07
Circumstances of assessment	
Following observation of the candidates performance in Unit PC2 **Recognise and deal with customer queries, requests and problems** the following questions were asked to cover two of the PCs and the underpinning knowledge and understanding not gleaned from the observation.	
List of questions and candidate's responses	
Q	**C1.2.4 and C1.2.5** Can you describe a situation when you would pass a problem to a colleague and why is it important to ensure the colleague is given the appropriate information.
A	So that the problem can be sorted out as quickly and efficiently as possible. The person tasked with trying to sort out the problem cannot do so without all the relevant information
Q	**C1a** Who in the organisation is able to give help and information?
A	My line manager /supervisor.
Q	**C1b** Would your supervisor simply agree to all requests from customers?
A	No. They have to be reasonable and within the contract or agreed service.
Q	**C1c** What do you think we mean by 'professional behavior'?
A	Responding quickly and efficiently when asked to do something and doing it well and safely.
Q	**C1d and e** How would you speak to people who are unhappy or dissatisfied with the service? How would you deal with difficult people?
A	I would try to be as polite and calm as I can, and would try to help them if it is within my remit — if it isn't I would ask my supervisor to help.
Q	**C1h** How would you recognize a problem from what a customer says or does?
A	The way he treats me, ignores me or is rude and abrupt
Q	**C1g** What do customers normally expect?
A	Things to be done as quickly and efficiently as possible and in a safe manner.
Q	**C1i and k** What kind of behaviours and actions make situations and problems worse?
A	Being cheeky or appearing to be unhelpful. Making the customer feel stupid.

Assessor's signature *Michelle Dickinson*   Date *10/08/11*

Candidate's signature *Gavin Collins*   Date *10/08/11*

Record of questions and candidate's answers

Unit	Unit PC 2 01 Make Sure your Actions Reduce Risks to Health and Safety.
Element(s)	PCs 2, 3, 4 and 6
Evidence index number	PC2.08
Circumstances of assessment	
Following observation of the candidates performance in **Unit PC2 15 Deal with Non-routine Waste** the following questions were asked to cover **Unit PC2 01 Make Sure your Actions Reduce Risks to Health and Safety**.	
List of questions and candidate's responses	
Q	**PC 1** What workplace instructions with regard to health and safety are relevant to your job?
A	Safe Systems of work for dealing with all aspects of waste removal and cleaning
Q	**PC 2** Which working practices that you undertake could harm you and others?
A	All, if I don't carry them out correctly
Q	**PC 3** What aspects of your work could harm others
A	Working in areas when people are in the area. Non displaying hazard signs (candidate would be encouraged to give more examples)
Q	**PC 4** What practices and aspects present the highest risk
A	Dealing with non routine waste of a clinical nature e.g. spill kits which have been used to remove vomit
Q	**PC 6** Who is responsible for health and safety in the workplace
A	Everyone who works in the building and on the site

Assessor's signature *Michelle Dickinson*   **Date** *10/08/11*

Candidate's signature *Gavin Collins*   **Date** *10/08/11*

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
10.8.11	PC2 .09	I received a pager message and contacted the Help Desk. I was asked me to remove a large volume of Routine and Non-routine Waste from a section of manufacturing which I had not dealt with before. The Help Desk operator said it was urgent as chemicals had been spilt and the customer was not in the best of moods. I checked with the other waste operative if he had dealt with this in this area before. He said that he had heard that there had been a problem on one of the production lines and that the there was likely to a lot of routine waste but the chemical spillage didn't happen very often. I made my way to manufacturing to check out the types and volumes of waste and speak to the customer. The customer explained that some of the waste was contaminated with chemicals, but he needed all the waste out of the area as a matter of urgency. I explained that I would need to contact my supervisor to help me with the removal of this waste. This could mean that the waste would not be removed for some time — maybe an hour. This 'went down like a lead balloon!' I told the customer that I would contact my supervisor and see if we could get it moved sooner. I immediately paged my supervisor — 'urgent please meet me in D Block'. My supervisor knows that I only contact him when there is a real problem so he came over immediately. I was able to tell the client we would deal with it in the next ten minutes. I gave thought to the segregation and transport of the waste whilst I was waiting for my supervisor to arrive.	E-mail form the customer. Waste Records. Supervisors testimony	**Unit Pc2 07** PCs 1,2,3,4,5,6,8,11,and12 **Unit PC2 02** PCs 1,2,3,4,5,6,9,and10 **Unit PC2 17** PC C1.1 **Unit PC2 01** PCs 8,9,11,and 12 **Unit PC2 14** Element 14.1 PCs 1,2,3,4,7,and 9

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements
		Once my supervisor arrived I explained what I thought we should do and we removed the waste following all the necessary procedures leaving the area free from any waste. I disposed of the waste correctly and left the waste storage free from any debris or spillages. I recorded the waste and went on to do other jobs. When my supervisor got back to the office there was an e-mail from the customer in Manufacturing Block D to say how pleased he was with the way that I removed the waste from his area and that I had been more than helpful.		

Candidate's signature _Gavin Collins_   **Date** _11/08/11_

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	SVQ Facilities Services level 2
Candidate's name	Gavin Collins
Evidence index no	PC2.10
Index no of other evidence which this testimony relates to (if any)	PC2.09 Personal statement PC2.11 Client e-mail
Element(s)	Unit PC2 17. Unit PC2 02 Unit PC 02 14
Date of evidence	11/08/11
Name of witness	John Brown
Designation/relationship to candidate	Supervisor

Details of testimony

Please see attached e-mail from the customer.

I can confirm that I observed and supervised Gavin carrying out this work. He gave a very positive image to both our company and the client's organisation.

He followed all procedures correctly and worked safely throughout the time he spent doing this work.

He responded very well to the circumstances.

I can confirm the candidate's performance was satisfactory.

Witness's signature *John Brown. Supervisor*   **Date** *11/08/11*

Witness (please select 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:

♦ Unit PC2 17 Recognise and Deal with Customer Queries, Requests and Problems (ICS Unit C1) Knowledge and Understanding C1a – C1K

You may be able to overcome these by:

♦ Questioning in a simulated situation
♦ Witness testimonies from people who work alongside the candidate

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

Unit PC2 Maintain Grounds of Premises and Facilities

Gavin could be questioned on his work detailed in his personal statement.

A4 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.

Blank pro forma recording documents are provided in the Appendix at the end of this Assessor Guildlines document.

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 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 Facilities Services level 2

Candidate   Gavin Collins

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

Unit checklist

Mandatory	Unit PC2 01	Unit PC2 02	Unit PC2 17						
Optional	Unit PC2 14	Unit PC2 15	Unit PC2 07						

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
PC2 01	Make Sure your Actions Reduce the Risks to Health and Safety		
PC2 02	Promote and Maintain Services Delivery in Facilities Services Environment		
PC2 17	Recognise and Deal with Customer Queries, Requests and Problems	*Michelle Dickinson*	*12/08/11*

Optional Units achieved

Unit number	Title	Assessor's signature	Date
PC2 01	Make Sure your Actions Reduce the Risks to Health and Safety		
PC2 02	Promote and Maintain Services Delivery in Facilities Services Environment		
PC2 17	Recognise and Deal with Customer Queries, Requests and Problems	*Michelle Dickinson*	*12/08/11*

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 or External Verifier might be unable to confirm your assessment decisions.

Index of evidence

SVQ title and level — <u>SVQ Facilities Services level 2</u>

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
PC2.01	Copies of Quality Audits carried out on Waste Areas and the Grounds and Car Parks	Yes	
PC2.02	Copies of Supervisors' check lists carried out on Waste Areas and the Grounds and Car Parks	Yes	
PC2.03	Help Desk data — Request for Waste Removal and Response Times	Yes	
PC2.04	Site Accident Date — No Related Waste or Grounds Incidents or Near Misses	Yes	
PC2.05	Observation Record by Michelle Dickinson Assessor	Yes	
PC2.06	Checklist of questions **Unit PC2 15. Dealing with Non Routine Waste Unit PC2 14 Deal with routine waste**	Yes	
PC2.07	Checklist of questions **Unit PC 2 17 Recognise and deal with customer queries, requests and problems**	Yes	
PC2.08	Checklist of questions **Unit PC 2 01 Make sure your actions reduce risks to health and safety**	Yes	
PC2.09	Personal Statement	Yes	
PC2.10	Witness testimony by John Brown Supervisor	Yes	
PC2.11	Copy e-mail from the client	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 Element. The grids should be completed by:

♦ entering the evidence index number in the first column

♦ giving a brief description of the evidence in the second

♦ ticking the relevant boxes for the Performance Criteria (or statements of competence as they are sometimes known)

♦ entering the areas of knowledge and understanding the piece of evidence covers

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

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

Element achievement record

Unit　　　　**PC17. Recognise and Deal with Customer Queries, Requests and Problems**

Elements　 C1.1 Recognise and Deal with Customers Queries and Requests
　　　　　　　C1.2 Recognise and Deal with Customer Problems

Evidence Index No	Description of evidence	PC (Performance statements)												Scope of Knowledge and Understanding										
		1	2	3	4									a	b	c	d	e	f	g	h	i	j	k
3	Help Desk Records	X																						
2	Supervisors Checklists		X																					
5	Observation by Assessor	X	X	X	X												X				X			
6	Checklist of questions													X	X	X	X	X	X	X	X	X	X	X
9	Personal Statement	X																						
10	Witness Testimony	X																						
11	Copy of customer e-mail	X																						

Unit   **PC17. Recognise and Deal with Customer Queries, Requests and Problems**

Element   C1.1 Recognise and Deal with Customers Queries and Requests

Notes/comments
Gavin has demonstrated that he has met the Performance Criteria for this Unit, firstly by a practical observation by an assessor (M Dickinson) the results of which were recorded on an observation checklist. Underpinning knowledge was demonstrated through correctly answering subject related questions. A personal statement and witness testimony were added as additional evidence (integrated with other Units).

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

Assessor's signature   *Michelle Dickinson*   **Date** *10/08/11*

Candidate's signature   *Gavin Collins*   **Date** *10/08/11*

Internal verifiers signature *Mary Jones*   **Date** *10/08/11*

Part B — SVQ Facilities Management level 3

B1 SVQ Facilities Management level 3

The prospective candidates will be working as assistant managers, shift leaders, trainee managers, wardens, team leaders, supervisors, store managers, estates officers or coordinators within the Facilities Management Industry.

Skills and knowledge

They will require skills and knowledge in the professional competencies related to their job roles, areas of legislation, eg health and safety, along with general skills such as communication, customer service, problem solving and team leading

The SVQs are designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the SVQs are likely to be delivered include:

♦ workplace or in conditions of the workplace

♦ colleges and appropriate training centres

This section lists the Units which form SVQ Facilities Management SCQF level 3.

To attain the qualification candidates must complete **eight** Units in total. They must complete the three mandatory Units plus five optional Units — three to be selected from Suite 1(12 Units) and two from Suite 2 (11 Units).

SVQ Facilities Management Level 3 Units

This section lists the Units which form the SVQ Facilities Services SCQF level 3.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FG75 04	7	3	FM301	Establish and Monitor the Facilities Required by a Client
DR4A 04	5	9	FM302	Develop Productive Working Relationships with Colleagues and Stakeholders
DR52 04	7	11	FM310	Ensure Health and Safety Requirements are Met in your Area of Responsibility

Optional Units — Suite 1 (12 Units)

Candidates must choose three Units from Suite 1.

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FG76 04	7	4	FM303	Support Equality, Diversity and Individual Rights in the Workplace
F04M 04	6	7	FM304	Monitor and Solve Customer Service Problems
FG77 04	6	3	FM305	Maintain the Quality of Service Delivery
FG78 04	N/A	N/A	FM306	Contribute to the Management of Incidents and Emergencies
D3RY 04	8	14	FM309	Allocate and Monitor the Progress and Quality of Work in your Area of Responsibility
FG79 04	N/A	N/A	FM311	Contribute to Maintaining Sustainable Development and Environmental Good Practice at Work
FG7A 04	7	3	FM312	Manage Facilities Management Projects
FG7C 04	N/A	N/A	FM313	Monitor and Report on Progress and the Use of Resources
DR75 04	8	9	FM316	Priovide Leadership in Your Area of Responsibility.
FG7D 04	N/A	N/A	FM318	Supplying Information for Management Control
FG7E 04	N/A	N/A	FM319	Contributing to the Management of Performance and the Enhancement of Value
FG7F 04	6	3	FM321	Reassessing Operational Performance

Optional Units — Suite 2 (11 Units)

Candidates must choose two Units from Suite 2.

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FG7G 04	N/A	N/A	FM307	Determine the Effectiveness of Security Measures
FG7H 04	N/A	N/A	FM308	Prioritise and Implement the Maintenance of Property, Systems and Services
FG7J 04	N/A	N/A	FM314	Contribute to the Procurement of Supplies
DR57 04	10	11	FM315	Implement Change
FG7K04	N/A	N/A	FM317	Remote Support for Products or Services
FG7L04	7	3	FM320	Disaster Recovery and Contingency Planning
DR5F 04	7	11	FM332	Manage a Budget
FG7M04	6	4	FM323	Allocate and Manage the Efficient Use of Space
FG7N04	7	5	FM324	Manage and Monitor the Efficient Use of Energy
FG7P 04	9	12		Recruit, Select and Keep Colleagues
FG7R 04	N/A	N/A	FM326	Specify, Commission and Manage External Contracts and Agreements

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

Tom is employed as a Support Services Manager (assistant manager level) in the facilities department of a large head office complex of an insurance company, Insure Ltd, which is located on the outskirts of a major UK city.

The facilities department of Insure Ltd provides all the support/facilities management services, ie hard services — grounds maintenance, security and maintenance and engineering; soft services — reception, mail room, cleaning, porterage, waste management, and catering services.

Most of the services are provided by the facilities department on an internally managed/'in house' basis, the exception being grass cutting, snow clearance, gritting, kitchen deep cleaning, window cleaning and PC cleaning which are outsourced on the basis of the specialist nature of the services, and the capital outlay which would be involved in providing the services on an 'in house' basis.

Washroom services and consumables along with barrier matting are supplied by authorised suppliers.

All the support services staff who work in the Facilities Management Department are employed by Insure Ltd.

After four years as a reception, porterage, cleaning and waste management supervisor, Tom was promoted to Support Service Manager and has responsibility for the provision of all the non food soft services. Tom has been one of the Support Services Managers for two years.

Tom, under the guidance of the Facilities Manager has recently undertaken the outsourcing of the cleaning of all IT Equipment (including telephones, printers, shredders etc). The contract is due to mobilise in a month's time.

During his time with Insure Ltd, Tom has studied and attained an IOSHH certificate but has no other relevant qualifications. Tom is very interested in undertaking a qualification which would recognise and certificate his considerable knowledge and skills.

The Facilities Manager, has advised Tom to consider undertaking the Level 3 SVQ in Facilities Management.

When Tom and his manager matched Tom's job remit, skills and experience to the SVQ, it was indentified that Tom should be able to generate sufficient evidence, along with some questioning, to meet the requirements of the three mandatory units plus three of the optional units.

Mandatory Units are as follows:

♦ Unit FM301 Establish and Monitor the Facilities Required by Clients

♦ Unit FM 310 Ensure Health and Safety Requirements are Met in Your Area of Responsibility

♦ Unit FM 302 Develop Productive Working Relationships with Colleagues and Stakeholders

Optional Units from Suite One are as follows:-

♦ Unit FM306 Contribute to the Management of Incidents and Emergencies

♦ Unit FM 304 Monitor and Solve Customer Service Problems

♦ Unit FM 305 Maintain the Quality of Service Delivery

The Facilities Manager arranged for the assessor to provide Tom with guidance on how to collect evidence and construct a portfolio and agree areas where questioning may be required.

Tom had some experience in relation to two of the optional units from Suite 2; however some planning would be required in order to provide him with the opportunity to demonstrate competence in these areas.

The optional Units from Suite 2 are as follows:

♦ Unit FM 326 Specify, Commission and Manage External Contracts and Agreements

♦ Unit FM 315 Implement Change

Arrangements were made for Tom to gather the evidence already available, and for the assessor to accompany Tom to observe and assess him for these Units. As some of the knowledge and understanding was outside Toms' remit, plans were made for Tom to undertake training in Change Management so that he could demonstrate competence in these particular areas.

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

B2 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

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 assessments, 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 assessments, we have produced an example assessment plan which covers:

♦ Unit FM 326 Specify, Commission and Manage External Contracts and
   Agreements and demonstrates links to other Units.

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	Unit FM 326 Specify, Commission and Manage External Contracts and Agreements with links to Unit FM301, FM 302: FM 304: FM 305; FM 315					
Elements	All					
Activities — FM 326 Specify, Commission and Manage External Contracts and Agreements	Performance Criteria (PC)		Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
	1	Identify the need for outsourcing of products or services and agree with appropriate stakeholders.	Written evidence. End product evidence.	1/9/11	Reports from the Help Desk	FM 301 PCs3,4, 5,8,9 and 14 FM302 PCs 3,5 FM305 PCs 3 FM304 PCS 32.2 32.2.1- 32.2.3
	2	Develop contract /agreement specification and agree with appropriate stakeholders.	Written evidence /end product evidence. Witness Testimony.	1/9/11	Company contract terms and conditions.	FM 302 PCs 1,2,3
	3	Publicise contract specification in appropriate ways and invite tenders/bids.	Written evidence /end product evidence.	1/9/11	ITT Pro Forma	FM302 PCs 4

Activities — FM 326 Specify, Commission and Manage External Contracts and Agreements	Performance Criteria (PC)		Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
	4	Draw up a short list of potential suppliers/service providers using agreed criteria.	Written evidence /end product evidence	1/9/11	Company PQQ (pre qualification questionnaire).	FM302 PCs 4
	5	Select the contractor following agreed national and organisational procedures.	Written evidence/end product evidence.	1/9/11	The company's documented tender evaluation process.	FM305 PCS 1, FM301 PCs 3
	6	Establish a contractual agreement with suppliers/service provider.	Written evidence.	1/9/11	The company's documented Terms and Conditions.	FM302 PCs 4 FM305 PCs 3, FM 301 PCs 3
	7	Agree and review quality control compliance and monitoring procedures.	Written evidence.	1/9/11		FM302 PCs 4 FM305 PCs 3, FM305 PCs 4 FM301PCs 6,7
	8	Keep internal and external stakeholders informed about the contractual process.	Written evidence.	1/9/11		FM302 PCs 6, FM305 PCs 4 FM310 PCs 2 FM315 PCs 4

Activities — FM 326 Specify, Commission and Manage External Contracts and Agreements	Performance Criteria (PC)	Method of assessment/ Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PC and range)
	9 Develop a contract compliance monitoring plan and agree with stakeholders.	Written evidence	1/9/11		FM302 PCs 4 FM305 PCs 4
	10 Agree protocols and procedures for monitoring contract/ agreement compliance with external supplier.	Observation and written evidence	1/9/11		FM305 PCs 1,9 FM315 PCs 2
	11 Implement and manage contract/ agreement compliance monitoring procedures.	Observation and questioning	1/9/11		FM302 PCs 10 FM310 PCs 2 FM315 PCs 1,7
	12 Review and evaluate contract progress and outcomes with suppliers/service providers and agree actions that need to be implemented.	Observation and written evidence.	1/11/11		FM302 PCs 9 FM315 PCs 6

Questioning for knowledge and understanding which was not apparent from evidence/performance to far. This will take place during the 2nd review.	KU's f and g Behaviours 3.7.8				

Assessor's signature _Gill Redpath_   **1st review due** _01/09/11_

Candidate's signature _Tom McBride_   **1st review due** _01/11/11_

Date of agreement _01/08/11_   **Date of completion** _10/08/11_

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 will be familiar with their own working environment and equipment and will feel more comfortable
♦ performance can be authenticated on site
♦ evidence will be generated and validated in the work place
♦ candidates will be able to progress at his/her own pace
♦ working times which may make assessment difficult — can be avoided

The challenges might be:

♦ time constraints and pressures of work which could take priority over planned assessments
♦ timing visits for specific assessments
♦ customer needs
♦ peer pressure by colleagues affecting candidates performance
♦ candidates working in different departments on large sites, may be difficult to locate
♦ candidates changing employers

Example

Unit FM304 Monitor and Solve Customer Service Problems

You may agree, with a candidate who has to deal with customer requests and problems, and in doing so have to deal with difficult customers, that this will be carried out by observation as and when such situations arise. If you are an assessor who is working alongside the candidate you should be well placed to observe the candidates performance.

Unit FM 310 Ensure Health and Safety Requirements Are Met In your Area of Responsibility. PC10 Demonstrate that your actions reinforce the messages in the organisation's health and safety policy statement.

You may agree with the candidate to attend one of his or her tool box talks on a health and safety related topic.

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.

Example

Unit FM 326 Specify, Commission and Manage External Contracts and Agreements

Tom may be asked –

'How did you ensure that the PC cleaning tender was conducted in a fair, transparent manner and followed good practice in terms of equality of opportunity?'

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 could be any of the following which the candidate has produced — e-mails, meeting minutes, risk assessments and safe systems of work, presentations, audit results.

In Toms case he may present:

♦ FM 326. PC 5. A copy of the tender evaluation process conducted in order to select the contractor for cleaning the Insure Ltd IT equipment'.

♦ FM 326 PC 8 Examples of the written communication he produced to ensure he kept the internal and external stakeholders informed about the contractual process'.

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.

Example

For SVQ Facilities Management level 3 it is considered that oral, short answer or essay questions, the use of case studies or the production of business, operational or training plans are all suitable, given the type of candidate and the nature of the evidence required.

FM302 Developing Productive Relationships with Colleagues and Stakeholders

Question

List **three** benefits of developing productive working relationships with colleagues and stakeholders.

Answer

1 Colleagues
   - Make my job easier.
   - Make my work environment pleasant.
   - Achieve objectives through team work.

2 Stakeholders
   - Understand their needs better.
   - Reduce the possibility of complaints and problems arising.
   - More likely to achieve their needs and objectives.

Case Study

FM301 Establish and Monitor the Facilities Required by Clients

A case study could be used to assist a candidate in providing evidence of the required knowledge and understanding for this Unit.

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

Unit FM 326. Specify, Commission and Manage External Contracts and Agreements

The candidate could give a detailed account of the outsourcing process and procedures he or she followed to undertake the outsourcing of the IT cleaning.

Unit FM 304 Monitor and Solve Customer Service Problems

A candidate had handled a customer complaint. By using the personal statement the candidate could give a fuller explanation of the nature of the problem, eg how to judge the customers reaction and adapt their communication accordingly, what options they offered the customer to resolve the complaint and what were their levels of authority.

Witness testimony

For practical reasons, you may not be able to observe all the activities carried out by your candidates, but might feel that other people may be able to provide a statement on what your candidates have been doing or producing as part of their work. Statements of this kind are called *witness testimony*, and are often used to support other evidence produced by candidates. If witness testimony is used, you should, ideally, identify witnesses and opportunities for using their testimony as part of assessment planning.

You should bear in mind that the weight of the evidence will vary, depending on the knowledge and expertise of the person providing the witness testimony. You will have to take these factors into account as you make your judgement.

Strongest   Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards. This person may also be an assessor or internal verifier qualified with the A/V Units or 'D-Units'.

Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.

Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.

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

Unit FM 326 Specify, Commission and Manage External Contracts and Agreements

As the Facilities Manager was familiar with the National Occupancy Standards and was an expert in Tom's area of work he was able to provide a witness statement on the work carried out by Tom on the outsourcing of the IT cleaning.

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.

Asset Skills 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**.

Examples

Unit FM 304 Monitor and Solve Customer Service Problems

A candidate may be asked to explain how they would deal with a situation where it appears there may be an infestation of insects in one of the departments within the client's building. Employees are complaining about having bites and small black insects have been seen on desks and on work papers.

Unit FM302 Develop Productive Working Relationships with Colleagues and Stakeholders

The candidate is required to plan, conduct and evaluate a training session and feedback to the trainee at the end of the session.

Other sources of evidence

Other sources of evidence can be previous experience of 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.

B3 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 the Appendix.

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)   FM 326

Candidate   Tom McBride   **Evidence index number** FM326.03

Dates of observation   11/07/11 and 1/11/11

Skills/activities observed	Performance Criteria covered
1 Observation on 01/09/11 Presentation and explanation of IT cleaning contract, Key Performance Indicators and monitoring procedures and financial penalties, along with the 'rewards' to the external supplier. Tom presented the KPIs, monitoring procedures and contract penalties, answered questions and clarifications and agreed procedures with the supplier.	PC 10, 9, 11
2 Observation on 01/11/11 Contract mobilisation and the implementation of the contract monitoring procedures. (First contract review meeting with the Facilities Manager, Tom and the supplier) Review and evaluation of contract progress — the KPIs were reviewed and the contractor scores presented.	PC 11, 8 PC 12

Knowledge and understanding apparent from this observation

i, h, j, k

Other Units/elements to which this evidence may contribute

FM302 PC 32.3, 32.3.1, 32.3.4
FM301 PCs 5, 8, 11, 4
FM305 PCs 1, 4, 6

Assessor's comments and feedback to candidate

Tom presented information at the meetings in a transparent and professional manner and agreed requirements with the contractor. He followed all procedures and ensured this particular service was cost effective and consistent with legal regulatory requirements.

I can confirm the candidate's performance was satisfactory.

Assessor's signature *Gill Redpath*　　　　　**Date** 01/09/11

Candidate's signature *Tom McBride*　　　　　**Date** 01/11/11

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	FM326
Element(s)	Knowledge and Understanding f and g Behaviours 3, 8.
Evidence index number	FM326.04
Circumstances of assessment	

Before I undertook the observations I wanted to expand on assessing his behaviours. Following observation of Tom, agreeing and implementing the contract monitoring procedures, overseeing the mobilisation and the first contract review, I wanted to expand on his behaviours and knowledge and understanding.

List of questions and candidate's responses	
Q	'How did you ensure that the PC cleaning tender was conducted in a fair, transparent and followed good practice in terms of equality of opportunity?'
A	I pre qualified six companies and asked for three bids. The tender evaluations were transparent and complied with company procedures.
Q	Give one ethical and one legal reason relating to the outsourcing process and why it is important to comply with them
A	Ethical — The tender process must be conducted in an open, honest and fair manner — failure to do so could have a detrimental effect on the company reputation. Legal —TUPE must be complied with if the service is currently being undertaken by staff. Failure to do so could lead to industrial tribunals.
Q	Please list and describe two different types of contractual agreements that may be used when outsourcing a service in the FM sector?
A	(Note there a number of different types of contractual arrangements which the candidate may list and describe — the import thing is that the information provided is factual based on the knowledge and understanding of the assessor) Answer — the candidate may provide information along the following ♦ Fixed Price — When all costs are fixed for the contract term or a period of the term of the contract, eg the first year. ♦ Cost Plus — When the client pays for all costs incurred by the contractor in order to provide the service as agreed with the client. The agreed management fee percentage would increase with the turnover/costs incurred by the contractor. ♦ Cost Plus Fixed Lines — The agreement may state that certain lines in the budget are fixed, eg management fee.

Q	Please explain the difference between 'inputs' and 'outputs' and 'outcomes'.
A	In the case of the IT contract the specification dictates how often the PCs are to be cleaned — this is an input specification The cleaning carried out during the day by the day cleaners/janitors is only carried out when the surface or item no longer meets the performance standard agreed with the department and the client. The outcome is the performance standard, ie the end result.
Q	What actions during the tender process demonstrate that you operated within your boundaries?
A.	I did all the ground work and passed the relative documents to the FM for him along with the heads of department, to make the final decisions i.e. the tender evaluations were presented to the FM and HoD's, presentations by the bidders were organized and attended by the FM and the HoD's and they made the final selection of the contractor.

Assessor's signature *Gill Redpath*   **Date** *01/09/11*

Candidate's signature *Tom McBride*   **Date** *01/09/11*

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
12/01/12	FM326.04	1 From having to deal with a number of complaints regarding cleanliness of the IT equipment in many of the departments, and by reviewing complaints received by the help desk, I was able to indentify that there was a problem with the cleanliness of the IT equipment. There are a large number of 'hot desks' in one particular department where a number of employees had suffered from flu like illnesses. 2 Whilst the day cleaners dusted the hard drives they were not trained to clean keyboards or telephones and because they cleaned during the day it was not possible to gain access to the IT equipment to clean it thoroughly. 3 I e-mailed my line manager, the Facilities Manager and suggested we looked at outsourcing this function. I offered to write a feasibility study. He agreed and I submitted the report within a week. 4 The FM and myself then arranged to meet with department heads to present our ideas and get their agreement to us undertaking a tender process to indentify a suitable contractor who would work with us to achieve the clients business objective	Help Desk Report Copy e-mail to Facilities Manager Feasibility Study on Outscourcing the IT cleaning Meeting Agenda and minutes E-mails	**FM 326** ♦ All elements ♦ PCs 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12 ♦ Behaviours 1, 2, 3, 4, 5, 6, 7, 8 ♦ Knowledge and Understanding b., c., d., e., f., h., i., j., k **Questions KU'a and I**

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
		5 The Tender process(all undertaken with authorisation from the Facilities Manager)		
		♦ Contact with company legal/ contract department for copy of terms and conditions.	Contract document Advertisement PQQ's (pre Qualification Questionnaire)	
		♦ Advertisement was placed in local paper and FM Magazine.	PQQ evaluations ITT	
		♦ Pre-qualification questionnaires were sent to six companies.	Tenders	
		♦ Evaluation and presentation of results to the FM.		
		♦ FM asked me to send ITT (invitations to tender) to four companies. (TUPE did not apply).	Record of arrangements for site visit Tenders (confidential) and	
		♦ We agreed a tender response time of 3 weeks.	tender evaluations Letter of award (signed by FM)	
		♦ Bidders site visit — FM gave presentation.	Contract document including all schedules – T&Cs, SLAs and KPIs	

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
		♦ Evaluated the tenders by FM and myself. Three companies were chosen to present their tender proposals to the FM and the department heads.	Meeting agenda and minutes Copy of presentation	
		♦ The FM and the department heads chose the successful bidder.		
		♦ Company legal department provided the Contractual Terms and Conditions and the FM and myself added the schedules.	Meeting agenda and minutes Mobilisation plan	
		♦ We met with the contractor and agreed the contract T&Cs, SLAs and KPIs.	Review meeting agenda and minutes. Copy og contactor first review report.	
		♦ Requested the FM manager call a meeting of all the heads of department to allow me to present the mobilisation plan and explain how the service would work.		
		♦ I held meetings with the contractor and agreed all procedures.		

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, Performance Criteria, Performance statements, scope covered
		♦ Agreed Mobilisation Plan and managed the mobilisation of the contract with the supplier. ♦ 1st review meeting was held on the 10th January 2012.		

Candidate's signature *Tom McBride*   **Date** *12/01/12*

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	SVQ Facilities Management level 3
Candidate's name	Tom McBride
Evidence index no	FM326.06
Index no of other evidence which this testimony relates to (if any)	FM326.05 Testimony in support of Tom McBride's personal statement on contracting/outsourcing the IT cleaning at Insure Ltd.
Element(s)	All
Date of evidence	10/01/12
Name of witness	Jim Smith
Designation/relationship to candidate	Facilities Manager, Insure Ltd. Line Manager

Details of testimony

Tom e-mailed me to highlight that there had been an high number of complaints about the cleanliness of PCs and telephones and that he was concerned about infections and cross infection, particularly in areas where there were a number of 'hot desks'. Tom volunteered to write a feasibility study on the possibility of outsourcing the cleaning of the IT equipment and the phones.

He produced a very comprehensive report and he and I presented it to the heads of department.

Tom then conducted the whole tender process and followed all company procedures and in doing so, did not overstep his authority at any stage in the process and kept all parties fully informed at all times.

The contract was mobilised successfully under Tom's guidance and there have been no problems to date.

The first review was held today and the contractor is complying with all aspects of the contract and performance is in line with SLAs.

I can confirm the candidate's performance was satisfactory.

Witness's signature   *Jim Smith. Facilities Manager*   **Date**   *10/01/12*

Witness (please select 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:

Unit FM326 Specify, Commission and Manage External Contracts and Agreements, such gaps are likely to occur in generating evidence for handling contingencies, eg in the event that the FM Department have to terminate the contract due to the contractor failing to meet the terms of the contract

You may be able to overcome these by:

♦   asking questions
♦   through simulation

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 (currency of evidence does not have a specific timescale but it must be decided on a case by case basis depending on the evidence, for example evidence of being able to use an IT system in 2000 is unlikely to be current now as IT changes so quickly. Evidence of an activity achieved a few years ago and of an activity which essentially hasn't changed in that time would be acceptable)
♦ 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

Unit FM 326. Specify, Commission and Manage External Contracts and Agreements

Authentication was required to ensure that Tom had conducted the whole tender process and had produced all the necessary documents. This was authenticated by the Facilities Manager's testimony and Tom's personal statement.

Other ways this could have been done would have been to ask others involved in the process eg one or two of the heads of department, the contractors business development manager.

B4 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.

Assessors are advised to use the nationally devised recording documents to ensure standardisation. Should you choose to use your own recording material, this has to be approved by SQA or Asset Skills.

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 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 Facilities Management level 3

Candidate   Tom McBride

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

Unit checklist

Mandatory	FM 301	FM 302	FM 310						
Optional	FM 304	FM 305	FM 306	FM 315	FM 326				

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
FM 301	Establish and Monitor the Facilities Required by Clients		
FM 302	Develop Productive Working Relationships with Colleagues and Stakeholders		
FM310	Ensure Health and Safety Requirements are Met in Your Area of Responsibility		

Optional Units achieved from Suite 1

Unit number	Title	Assessor's signature	Date
FM 304	Monitor and Solve Customer Service Problems		
FM 305	Maintain Standards and Quality of Service Delivery		
FM306	Contribute to the Management of Incidents and Emergencies		

Optional Units achieved from Suite 2

Unit number	Title	Assessor's signature	Date
FM 326	Specify, Commission and Manage External Contracts and Agreements	*Gill Redpath*	*1.1.12*
FM 315	Implement Change		

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 or External Verifier might be unable to confirm your assessment decisions.

Index of evidence

SQA title and level — <u>SVQ Facilities Management level 3</u>

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
FM326.01. (All documents have been given FM326 as a prefix and then the individual document number, eg FM326.01 is the help Desk report.	- Help Desk Report - Copy e-mail to Facilities Manager - Feasibility Study on - Outsourcing the IT cleaning - Meeting Agenda and Minutes - E-mails - Contract document - Advertisement - PQQ's - PQQ evaluations - ITT - Tenders - Record of arrangements for site visit - Tenders (confidential) and tender evaluations - Letter of award (signed by FM) - Contract document including all schedules-T&Cs, SLAs and KPIs - Meeting agenda and minutes - Copy of presentation - Meeting agenda and minutes - Mobilisation Plan - Review meeting agenda and minutes. - Copy of contractors first review report	No (available from the Help Desk) All other evidence is in Tom's portfolio.	
FM326.02	Product Evidence (as per list on Personal Statement)	Yes	
FM326.03.	Observation Record	Yes	
FM326.04	Candidate Questions and Answers	Yes	

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
FM 326.05.	Personal Statement	Yes	
FM326.0 6.	Witness Testimony	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 Element. The grids should be completed by:

♦ entering the evidence index number in the first column

♦ giving a brief description of the evidence in the second

♦ ticking the relevant boxes for the Performance Criteria (or statements of competence as they are sometimes known)

♦ entering the areas of knowledge and understanding the piece of evidence covers

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

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

Element achievement record

Unit — FM326. Specify, Commission and Manage External Contracts and Agreements

Element — All

Evidence Index No	Description of Evidence	PC(performance statements)												Behaviours								Scope of Knowledge and Understanding											
		1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	a	b	c	d	e	f	g	h	i	j	k	l
FM326.01	Help Desk Report	X																															
FM326.02.	Work product ♦ Copy of e-mail to FM ♦ Feasibility Study Report ♦ Advert ♦ PQQ ♦ ITT ♦ Evaluation –PQQ and Tenders ♦ Site Visit Arrangements ♦ T&Cs, SLAs, KPIs, ♦ Audit Plan ♦ Presentations ♦ Mobilisation Plan ♦ Contract Review ♦ **All** meeting agendas and minutes	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X					X	X	X	X
FM326.03	Observation Record							X	X	X	X	X																					
FM326.04	Candidate Questions and Answers																					X					X	X				X	
FM326.05	Personal Statement	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X	
FM326.06	Witness Testimony																																

Unit — FM326. Specify, Commission and Manage External Contracts and Agreements

Element — All

<div style="border: 1px solid black; padding: 10px;">

Notes/comments

The candidate provided a significant amount of Work Product evidence — authentication being provided in the form of named/signed and dated documents, a Witness Testimony from his line manager, the Facilities Manager (who has an SVQ in Hospitality Supervision and Leadership and a BIFM qualification)

The candidate was observed whilst working with the contractor and other colleagues on the mobilisation of the contract and communicated clearly and effectively whilst demonstrating a real ability in ensuring 'things happened'. The questions were answered correctly which gave further evidence of the candidate's competence.

His personal statement was detailed and gave evidence of his understanding of the tender process and the importance of following company, legal and ethical procedures.

</div>

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

Assessor's signature _Gill Redpath_   **Date** _01/09/11_

Candidate's signature _Tom McBride_   **Date** _01/09/11_

Internal verifier's signature _____   **Date** _____

Part C — 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 — Blank recording forms

Unit progress record

Qualification and level _____

Candidate's name _____

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

Index of evidence

SVQ title and level — _____

Evidence number and PC number(s)	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)

Element achievement record

Unit

Element(s)

Evidence Index No	Description of evidence	PC (Performance statements)					Scope of Knowledge and Understanding																	

Unit

Element(s)

Notes/comments

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

Assessor's signature _____ **Date** _____

Candidate's signature _____ **Date** _____

Internal verifiers 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 (PC and range)**	
Questioning for knowledge and understanding which was not apparent from evidence/performance to far. This will take place during the 2nd review.						

Assessor's signature _____   **1st review due** _____

Candidate's signature _____   **1st 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** _____

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 performance was satisfactory.

Witness's signature _____   **Date** _____

Witness (please select the appropriate box)**:**

Holds A1/A2 or D32/D33 qualifications ☐

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	
Q	
A	
Q	
A	
Q	
A	
Q	
A	
Q	
A	

Assessor's signature _____   **Date** _____

Candidate's signature _____   **Date** _____