



# **Assessor's guidelines for the SVQs in Warehousing and Storage at levels 1 and 2 (G8W9 21 and G8WA 22) and Logistics Operations Management at level 3 (G8WC 23)**

Publication date: June 2008

Publication code: DB4516

Published by the Scottish Qualifications Authority  
The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ, and Ironmills Road,  
Dalkeith, Midlothian, EH22 1LE

*The information in this publication may be reproduced in support of SQA qualifications. If it is reproduced, SQA should be clearly acknowledged as the source. If it is to be used for any other purpose, then written permission must be obtained from the Support Materials Development Officer at SQA. It must not be reproduced for trade or commercial purposes.*

© Scottish Qualifications Authority 2008

# Contents

<b>About this guide</b>	<b>1</b>
<b>Introduction</b>	<b>2</b>
About SVQs	2
How are standards defined in SVQs?	3
Who is involved in SVQs?	3
The steps involved in assessing a candidate for an SVQ	4
<b>1 The SVQs in Warehousing and Storage and Logistics Operations</b>	
<b>Management</b>	<b>5</b>
Structure of the SVQs	7
How do candidates begin?	10
<b>2 Preparing to assess the SVQ</b>	<b>12</b>
Your role and your candidate's role	12
Planning	13
Selecting methods of assessment	16
Methods of assessment	17
Observation	17
Product evidence	17
Questioning	18
Other methods of assessment	18
Other sources of evidence	21
<b>3 Generating evidence</b>	<b>22</b>
Observation	23
Questions and candidate responses	26
Professional discussion	28
Outline of Professional Discussion	29
Candidate's personal statement	30
Witness testimony	32
Filling the gaps	34
Guidance and support to candidates	35
Judging candidate evidence and making an assessment decision	35
Insufficient evidence	35
Authenticating candidates' evidence	36
<b>4 Recording achievement</b>	<b>37</b>
Completing the Unit progress record	38
Using the index of evidence	41
Completing the Element achievement record	43
<b>5 Further information</b>	<b>46</b>
<b>Appendix 1: Blank recording forms</b>	<b>47</b>

# About this guide

This guide provides some practical examples of how to assess your candidates for the SVQs in:

<b>Warehousing and Storage at level 1</b>	<b>G8W9 21</b>
<b>Warehousing and Storage at level 2</b>	<b>G8WA 22</b>
<b>Logistics Operations Management at level 3</b>	<b>G8WC 23</b>

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

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

# Introduction

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

## About SVQs

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy. The qualifications have been designed by standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

Each standards-setting body is responsible for developing national standards which define *what* employees (or potential employees) must be able to do, *how well*, and *in what circumstances*, to show that they are competent in their work.

Each SVQ which a standards-setting body develops has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared. SVQs are specified at five levels which reflect the various technical and supervisory skills knowledge and experience, which employees should have as they progress in their industry.

### Explanation of levels

- Level 1** Defines competent performance in a range of activities which are largely routine and predictable.
- Level 2** Specifies that competent performance must be shown in a broader range of work activities which are less routine and predictable. The employee will have more autonomy and responsibility, and may have to work as part of a team.
- Level 3** Specifies that competent performance must involve the employee in carrying out a broad range of varied work activities, most of which are complex and non-routine. There is considerable autonomy and responsibility, including the possibility of controlling or guiding others.
- Level 4** Specifies competence as complex technical or professional work activities which require a substantial degree of personal autonomy or responsibility. Managing staff and other resources is often involved.
- Level 5** Specifies competent performance as involving the employee in carrying out a significant range of activities in a wide variety of situations which are often unpredictable. Substantial responsibility and autonomy is involved in the work, which requires decision-making in the allocation of resources and the work of others. This will require complex skills such as analysis, design and evaluation.

## How are standards defined in SVQs?

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

**Units** define the broad functions carried out in the sector, 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 these SVQs — see SQA's website and the Logistics and Supply Chain subject-specific page.

Assessors and verifiers are also expected to obtain an appropriate qualification in assessment and verification — this can be the Assessor/Verifier Units (the national standards for assessment and verification), or an alternative qualification which SQA also recognises.

## **The steps involved in assessing a candidate for an SVQ**

In deciding whether a candidate should get an SVQ, you will go through these stages:

- ◆ planning for assessment
- ◆ generating and collecting evidence of the candidate's competence in the Units
- ◆ judging the evidence of the candidate's ability and making an assessment decision based on the evidence
- ◆ recording the assessment decision and the candidate's achievement

# 1 The SVQs in Warehousing and Storage and Logistics Operations Management

The SVQs in Warehousing and Storage at levels 1 and 2 and Logistics Management at level 3 have been developed by Skills for Logistics.

Skills for Logistics has stated:

*“It is the nature of logistics that it underpins virtually all sectors of industry — any organisation that moves, handles or stores goods or materials makes direct use of the function. The following is a list of Supply Chains that are supported by Logistics:*

- ◆ *Food & Drink*
- ◆ *Chemicals & Petroleum*
- ◆ *Automotive*
- ◆ *Construction*
- ◆ *Electronics & Electrical*
- ◆ *Pharmaceuticals & Healthcare*
- ◆ *Paper & Printing*
- ◆ *Clothing & Footwear*
- ◆ *Furniture & Furnishings*
- ◆ *Utilities”*

The SVQs are intended for people who are not just involved in the above mentioned industries, but any business where moving, handling and storing goods is a function.

These people may be working as any of the following:

## **Level 2 Warehousing and Storage**

- ◆ Warehouse assistants — Retail and Wholesale
- ◆ Stockroom assistants — Retail and Wholesale
- ◆ Stock Receivers
- ◆ Stock Dispatchers
- ◆ Stock Pickers

### **Level 3 Logistics Operations Management**

- ◆ Managers
- ◆ Team Leaders
- ◆ Supervisors
- ◆ Shift Leaders
- ◆ Transport Managers
- ◆ Procurement Managers

They will require skills and knowledge in warehousing and storage operations, moving, handling and storing goods, and a general understanding of the relevance of their role to maintaining the supply chain.

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:

- ◆ Distribution centres
- ◆ Warehouses
- ◆ Stock rooms
- ◆ Transport depots
- ◆ Any business which moves, handles or stores goods or materials

## Structure of the SVQs

This section lists the Units which form the SVQs in Warehousing and Storage and Logistics Operations Management.

### **Warehousing and Storage at level 1      G8W9 21**

The way the SVQ is made up is shown below.

Candidates have to complete six Units comprising two mandatory Units and four optional Units.

#### **Mandatory Units**

Candidates must complete all of these Units:

- F34N 04    Maintain Health, Safety, and Security in Logistics Operations (LOG1)
- F34B 04    Contribute to Effective Working Relationships with Colleagues in Logistics Operations (LOG3)

#### **Optional Units**

Candidates must also complete four of the following Units, in addition to the mandatory Units:

- F34K 04    Keep Equipment in Good Working Order (WS1)
- F34L 04    Keep Stock at Required Levels (WS2)
- F34M 04    Keep Work Areas Clean (WS3)
- F34G 04    Handle Goods Manually in Logistics Facilities (WS4)
- F352 04    Pick Goods to Assemble Orders for Dispatch (WS5)
- F35H 04    Wrap and Pack Goods (WS6)

### **Warehousing and Storage at level 2 G8WA 22**

The way the SVQ is made up is shown below.

Candidates have to complete eight Units comprising two mandatory Units and six optional Units.

#### **Mandatory Units**

Candidates must complete all of these Units:

- F34N 04    Maintain Health, Safety, and Security in Logistics Operations (LOG1)
- F34D 04    Develop Effective Working Relationships with Colleagues in Logistics Operations (LOG4)

### **Optional Units**

Candidates must also complete six of the following Units, in addition to the mandatory Units:

- F35B 04 Provide Customers with Information and Advice on Goods and Services (WS7)
- F34X 04 Operate Equipment to Perform Work Requirements (WS8)
- F34W 04 Move Goods in Logistics Facilities (WS9)
- F35C 04 Receive Good from Deliveries (WS10)
- F353 04 Place Goods in Storage (WS11)
- F34R 04 Maintain the Safety and Quality of Goods (WS12)
- F34S 04 Maintain the Safety of Hazardous Goods and Materials (WS13)
- F34P 04 Maintain Hygiene Standards in Handling and Storing Goods (WS14)
- F354 04 Process Orders for Dispatch to Customers (WS15)
- F349 04 Assemble Orders for Dispatch (WS16)
- F34F 04 Dispatch Goods for Delivery (WS17)
- F355 04 Process Returned Goods (WS18)
- F35F 04 Sort Goods and Materials for Recycling (WS19)
- F34T 04 Manage Receipt, Storage, or Dispatch of Goods (WS20)
- F34A 04 Audit Stock Levels and Stock Records (WS21)

### **Logistics Operations Management at level 3 G8WC 23**

The way the SVQ is made up is shown below.

Candidates have to complete eight Units comprising three mandatory Units and five optional Units.

### **Mandatory Units**

Candidates must complete all of these Units:

- F34H 04 Identify the Logistics Requirements of a Supply Chain (LOM1)
- F358 04 Promote and Maintain Health, Safety and Security in Logistics Operations (LOG 2)
- F35A 04 Promote Compliance of Logistics Operations with Legislation, Regulations and Organisational Procedures (LOM2)

### **Optional Units**

Candidates must take a minimum of one Unit from Group A and Group B. Three other Units to be taken from Group A, B and C. A maximum of three Units from each Group can be taken.

### **Group A**

- F35E 04 Schedule Logistics Operations to Meet Customer Requirements (LOM3)
- F350 04 Optimise the Use of Logistics Resources (LOM4)
- F34C 04 Develop Contingency Plans for Logistics Operations (LOM5)

- F35G 04 Utilise Transport Modes in Logistics Operations (LOM 6)
- F347 04 Apply Technology in Logistics Operations (LOM 7)

### **Group B**

- F34E 04 Develop Relationships with Logistics Customers (LOM8)
- F34J 04 Improve the Quality of Logistics Operations (LOM 9)
- F35D 04 Respond to Contingencies During Logistics Operations (LOM10)
- F34V 04 Monitor the Environmental Impact of Logistics Operations (LOM11)

### **Group C**

- F34T 04 Manage the Receipt, Storage or Dispatch of Goods (WS20)
- F34A 04 Audit Stock Levels and Stock Records (WS21)
- DR73 04 Provide Leadership for Your Team (MSC B5)
- DR3W 04 Allocate and Check Work in Your Team (MSC D5)
- F348 04 Arrange the Transportation of Goods Using Multiple Transport Modes (ITLO 11)
- F351 04 Organise the Preparation of Documentation for the Transportation of Goods (ITLO 12)

## **An assessment strategy for the SVQ**

As part of its review of the SVQs, the Sector Skills Council, Skills for Logistics, 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](http://www.sqa.org.uk)), and both SQA and centres must comply with these requirements. Centres should refer to the Assessment Strategy at all times.

## **Why would people be interested in the SVQ?**

People will take SVQs for a variety of reasons: to gain promotion, to prove their job competence, or for personal development. There will be other reasons too. One of the first things to do is to find out why your candidates want to do the SVQ, and to advise them of the appropriateness of the qualification. If anyone is acting as a coach or mentor to your candidates, they might help you to do this.

## **How do candidates begin?**

### **Choosing the SVQ**

You should make sure that candidates get guidance before starting out on an SVQ — they need advice to ensure that their existing job remit, skills, experience, and their plans for progression, are matched to the SVQ selected. It does not have to be you as the assessor, who carried out the matching process, but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

### **Example 1**

Paul has been employed at W & M Distribution since leaving school four years ago. Paul joined the company as a warehouse assistant and was involved initially in the despatch department of the organisation. As W & M Distribution developed and grew, Paul's responsibilities increased and a need for training was identified.

Paul discussed his training needs with his supervisor during a regular performance review. Paul's supervisor stated that Paul would benefit from an industry-specific training programme and suggested an SVQ in Warehousing and Storage at level 2. Paul expressed enthusiasm for this development route because he would be able to develop existing skills, learn new skills, and receive a nationally-recognised qualification. Paul also learned that his qualification would include two Units from a higher level of SVQ, (level 3). This would allow him to learn skills which would enable him to eventually progress to management within the business. Paul saw a clear career path as a result of his learning programme.

Paul agreed an assessment plan with his assessor which included the following Units:

- ◆ Maintain Health, Safety, and Security in Logistics Operations — Mandatory
- ◆ Develop Effective Working Relationships with Colleagues in Logistic Operations — Mandatory
- ◆ Provide Customers with Information and Advice on Goods and Services — Optional

- ◆ Operate Equipment to Perform Work Requirements — Optional
- ◆ Move Goods in Logistic Facilities — Optional
- ◆ Receive Goods from Deliveries — Optional
- ◆ Manage the Receipt, Storage or Dispatch of Goods — Optional level 2 & 3
- ◆ Audit Stock Levels and Stock Records — Optional level 2 & 3

The assessment plan gave Paul the opportunity to demonstrate existing skills and also to learn and perform new skills to a national standard, ie SVQ in Warehousing and Storage at level 2.

Paul completed his qualification and was given additional responsibility for receipt of goods. Paul agreed a Personal Development Plan with his supervisor for the following year. The plan included training on managing some aspects of W & M Distribution's operations in preparation for achievement of the SVQ in Logistics Operations Management at level 3.

### **Example 2**

Angela has been working at Healthy Life Pharmaceuticals distribution centre for three years as an administrator. Angela has gained a good working knowledge of the operational aspects of the business in her dealings with all departments. An opportunity arose for a team leader in the warehouse with responsibility for dispatching goods and Angela decided to apply for the post.

Angela was successful in her application for the post and it was agreed as part of her contract that she would complete an SVQ in Logistics Operations Management at level 3. Achievement of the qualification would be used to develop Angela in her new role. Healthy Life Pharmaceuticals were keen to improve their customer service image and Angela's new role was seen to be key in achieving that goal.

Angela agreed to undertake the following Units with her assessor:

- ◆ Identify the Logistic Requirements of a Supply Chain — Mandatory
- ◆ Promote and Maintain Health, Safety and Security in Logistics Operations — Mandatory
- ◆ Promote Compliance of Logistics Operations with Legislation, Regulations and Organisational Procedures — Mandatory
- ◆ Schedule Logistic Operations to Meet Customer Requirements — Optional
- ◆ Utilise Transport Modes in Logistics Operations — Optional

- ◆ Develop Relationships with Logistics Customers — Optional
- ◆ Improve the Quality of Logistic Operations — Optional
- ◆ Provide Leadership for Your Team — Optional

Angela worked with her assessor and used a combination of assignments, observation of performance, product evidence and professional discussions as sources of evidence. Angela and her assessor also agreed to use technology as much as possible and much of Angela's product evidence was taken from electronic records of her performance and stored electronically.

Angela achieved the SVQ in Logistics Operations Management at level 3 and is now managing a successful and efficient dispatch operation at Healthy Life Pharmaceuticals.

## 2 Preparing to assess the SVQ

This section offers practical advice on how to begin to go about assessing you 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 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 assessment plans which cover Warehousing and Storage level 2 Unit LOG 1 (F34N 04), *Maintain Health, Safety, and Security in Logistics Operations*, and Logistics Operations Management level 3 Unit LOM 1 (F34H 04), *Identify the Logistic Requirements of a Supply Chain*. 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

### Warehousing and Storage level 2

Unit 1 Maintain health, safety, and security in logistics operations (F34N 04)					
Activities	PCs	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PCs and range)
<ul style="list-style-type: none"> <li>◆ identification of health and safety equipment available in the workplace and of potential H&amp;S and security hazards in the workplace</li> <li>◆ dealing with health and safety and security matters</li> <li>◆ professional discussion in the workplace (digitally recorded)</li> </ul>	<p>1, 3, 4, 6, 7, 8</p> <p>1, 2, 3, 4, 5, 6, 7, 8</p> <p>1, 2, 3, 4, 5, 6, 7, 8</p>	<p>Digitally recorded professional discussion of evacuation procedures and use of safety equipment</p> <p>Witness statement for warehouse supervisor</p>	<p>30 March</p> <p>11 April</p> <p>12 April</p>		<p>Unit 11, PCs 1, 2, 3, 4, 5, 6, 8</p> <p>K&amp;U e, l, j, k, l m, n</p> <p>Unit 2, PCs 1, 2, 8</p> <p>K&amp;U a, e, h, l, j</p>
<b>Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review</b>	a, b, c, d, e, f, g, h, l, j, k, l, m, n, o, p	Professional discussion	12 April		

Assessor's signature: *John Aitken*

Candidate's signature: *Paul Grey*

Date of agreement: 23 March

1st review due:

2nd review due:

Date of completion: 12 April

## Assessment plan

### Logistic Operations Management level 3

Unit 1 Identify the Logistic Requirements of a Supply Chain (F34H 04)

Activities	PCs	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PCs and range)
<ul style="list-style-type: none"> <li>◆ Assignment — research the requirements of the dispatch department and complete a report on your findings. Include any relevant product evidence, eg minutes from meetings, statistics on dept performance.</li> <li>◆ Discussion with assessor on Angela's assignment</li> </ul>	<p>1, 2, 3, 4, 5, 6, 7, 8, 9, 10</p> <p>1, 2, 3, 4, 5, 6, 7, 8, 9, 10</p>	<p>Assessment of Angela's report. Assessment of product evidence</p> <p>Professional discussion — digitally recorded</p>	<p>12 March</p> <p>14 April</p>	<p>Unit 21 Team objectives for meeting organisation's logistic requirements. Minutes from team meetings. Data on department performance.</p>	<p>Unit 9 Improve the Quality of Logistic Operations</p>
<p><b>Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review</b></p>	<p>a, b, c, d, e, f, g, h, i, j, k, l, m</p>	<p>Professional discussion digitally recorded</p>	<p>14 April</p>		

Assessor's signature: *John Aitken*  
 Candidate's signature: *Angela Schofield*  
 Date of agreement: 1/3/07

1st review due:  
 2nd review due:  
 Date of completion: 14/04/07

## 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:

- ◆ Cost effectiveness of assessment methods to the organisation, eg the candidate is assessed in a realistic working environment and no need to take candidate off the job.
- ◆ Observation of candidate's performance ensures evidence is reliable, valid and practicable.
- ◆ Candidate progresses at his/her own pace.
- ◆ Opportunity for the candidate to perform in a familiar environment.
- ◆ Development of a positive working relationship between the assessor, the candidate and the candidate's organisation.

The challenges might be:

- ◆ Having to change assessment plans to take account of the needs of the business, eg candidate may not be able to be assessed due to shortage of staff.
- ◆ Conditions in the workplace may not lend themselves to observation, ie too quiet or too busy.

- ◆ Shift work may mean that assessors have to be available at various times throughout the day and night.
- ◆ There may be issues of confidentiality with some evidence, particularly at level 3.

### **Example**

You might agree to assess a candidate moving goods using observation. By planning the assessment to take place in a realistic working environment, you can observe your candidate whilst he/she is working under normal conditions. This method of assessment will also allow you to collect evidence for other Units if it arises, eg health and safety, and security. This method makes the best use of both assessor and candidate's time and will accelerate the candidate's progress through the qualification.

## **Methods of assessment**

Assessment may involve a range of assessment methods. For SVQs, some of the most commonly used methods are observation, product evaluation, 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 of naturally-occurring evidence would be an ideal assessment method for Unit WS2, Keep Stock at Required Levels and Unit WS4, Handle Goods Manually in Logistics Facilities. In both of these Units, candidates will be able to demonstrate their competence through performance of task(s) in the workplace, eg label and position stock (Unit WS2), use correct handling methods (Unit WS4).

### **Product evidence**

As candidates work towards achieving the SVQ, they will produce evidence in the form of products of their work. The nature of this evidence can vary widely depending on what the candidate's job entails, but examples of product evidence include:

- ◆ goods received note
- ◆ dispatch documents
- ◆ warehouse layout plans
- ◆ e-mails
- ◆ picking notes
- ◆ stock holding records

### **Example**

Product evidence for Unit WS5, Pick Goods to Assemble Orders for Dispatch, might include a picking note with details of stock to be assembled. A picking note with your candidate's signature, counter signed by their supervisor, showing successful completion of the order would be evidence of your candidate's performance. Product evidence should support any other method of assessment, eg observation, candidate report, assignment.

NB: Further explanation or annotation of any product evidence greatly increases its value. Encourage candidates to explain how their product evidence meets evidence requirements.

### **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**

Earlier in this section we gave examples of where observation might be used as an assessment method. One of the Units selected as an example was Unit WS2, Keep Stock at Required Levels. Although much of this task will be able to be observed, additional questions will cover and confirm the candidate's knowledge and understanding.

### **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**

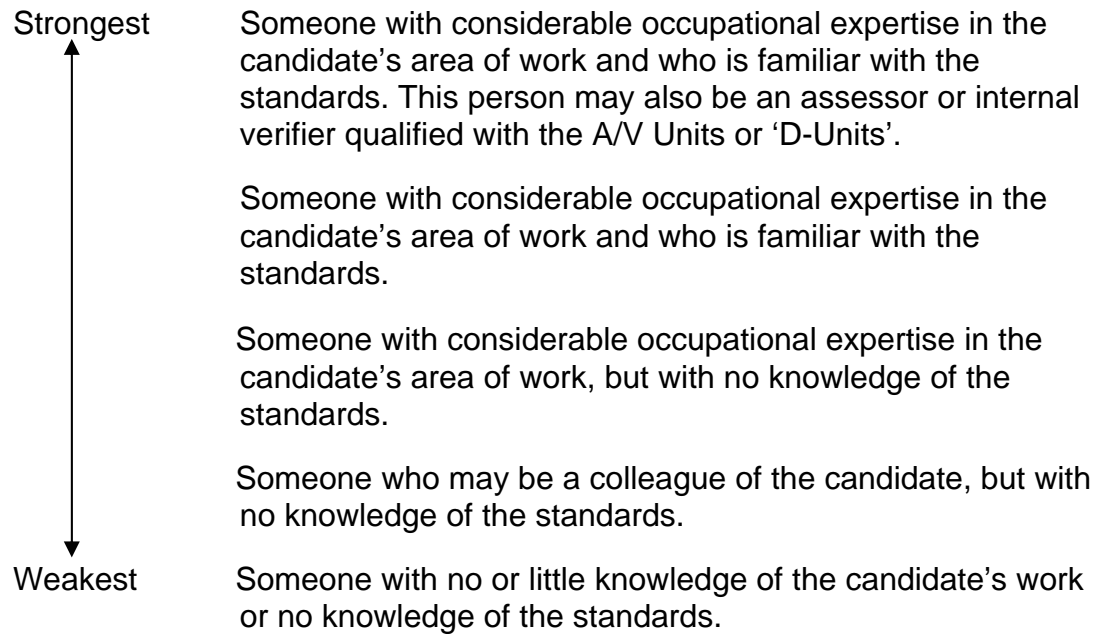
Unit WS7 (F35B 04), Provide Customers with Information and Advice on Goods and Services requires candidates to provide evidence of dealing with customer complaints. It will be difficult to plan observation to include dealing with customer complaints and therefore a personal statement from your candidate explaining how they have dealt with a customer complaint would be acceptable evidence.

Authentication of personal statements should be confirmed by a witness testimony or by further questioning of your candidate.

### **Witness testimony**

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

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



Witness testimony is unlikely to be sufficient in itself for a decision about the candidate's competence, and would normally be supplemented by questioning candidates.

Most Units require that performance be demonstrated on more than one occasion, and over a period of time, to establish competence. Sources of evidence such as observation and/or product evidence might not always cover all of the Evidence Requirements. This is particularly the case at level 3 where candidate input in the form of reports and professional discussions are required, or where candidate personal statements are used. It is useful to include a witness statement in which another person can confirm your candidate's performance. The value and reliability of the witness statement will depend very much on the knowledge and expertise of the witness (see above), and you must bear this in mind when making your assessment decision.

In situations where specialist skills and knowledge are being assessed, testimony from an expert witness will be necessary.

**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.

Skills for Logistics has defined what it regards as simulation (see below), 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.

### **Workplace Assessment/Simulation**

Skills for Logistics National Occupational Standards are work-competency based and therefore candidates must be assessed under normal workplace conditions.

However, it is recognised that there are situations where the workplace may not be appropriate or waiting for naturally-occurring evidence is impractical. Skills for Logistics therefore allows centres to set up or devise assessment situations, with the prior agreement of the external verifier that the simulation is valid before assessment is undertaken. We suggest that centres seek written confirmation before proceeding with assessment. The need for simulation may result from consideration of:

- ◆ Safety
- ◆ Legislation
- ◆ Regulation
- ◆ Contingency
- ◆ Cost

In addition, Skills for Logistics recognises that candidates using these NOS in the context of a Level 1 award may be in a learning environment and not in a workplace. In these situations, centres may set up or devise assessment situations as required, with prior agreement of the external verifier.

Skills for Logistics re-iterates that its NOS have been designed to be capable of assessment in the normal workplace and that subject to the arrangements for simulation described above this should be the case. Skills for Logistics will indicate RWE requirements within specific NOS.

For more details on simulation and what constitutes performance in the workplace, see the assessment strategy on SQA's website ([www.sqa.org.uk](http://www.sqa.org.uk)).

### **Other sources of evidence**

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

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

### 3 **Generating evidence**

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

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

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

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

## **Observation**

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

# Observation record

**Unit** 1 LOG1 Maintain Health, Safety and Security in Logistics Operations (F34N 04)

**Candidate:** Paul Grey

**Date of observation:** 30 March

**Evidence index number:**

<b>Skills/activities observed:</b>	<b>PCs covered:</b>
<p>I observed Paul in the workplace checking goods which had just been received against the delivery note. Paul checked the storage area to ensure that space had been made for storing the new stock. Paul checked that the area was dry and clean before placing goods in storage, using the correct handling techniques. Paul explained that if storage conditions were not dry, the stock being stored would deteriorate quickly.</p> <p>I asked Paul to identify safety equipment. Paul explained how the emergency doors were operated and also identified and correctly explained the use of different fire extinguishers. Paul highlighted a safety hazard — a fork lift truck parked close to an emergency exit. Paul told me that other safety hazards might include wet floors (could cause slips), and boxes left in dispatch area (could cause trips).</p> <p>Paul demonstrated how he would react in the event of an emergency evacuation. Paul showed me how he would activate the fire alarm in the event of discovering a fire. Paul explained that this action would also alert the emergency services. Paul checked the immediate area in a simulated exercise before directing me to the nearest emergency exit. Paul explained again how the door operated and then took me to the rendezvous point for staff and customers, which is located in the car park.</p> <p>Paul identified several security measures in place within the distribution centre. These included close circuit television, electronic doors, and security tags which are used to protect high value items in storage. Paul told me that open doors and un-guarded stock would present a security issue.</p> <p>Finally, Paul told me that it is his responsibility to ensure that the workplace is kept safe and</p>	<p>Unit 1 PCs 1, 3, 4, 6, 7, 8</p> <p>Unit 11 PCs 1, 2, 3, 4, 5, 6, 8</p>

secure and to this end he always takes immediate action to resolve the issue or reports any hazards and security risks to a supervisor.	
---	--

**Knowledge and understanding apparent from this observation:**

Unit 1 K&U e, l, j, k, l m, n  
Unit 11 K&U c, e, f, g, i, j, n

**Other Units/Elements to which this evidence may contribute:**

All Units which have health, safety and security requirements.

**Assessor's comments and feedback to candidate:**

Paul demonstrated his ability to handle and move stock.

Paul also explained health, safety and security procedures in place within W & M Distribution, during my observation.

Further questions will address all K&U requirements during our Professional discussion which is planned to take place on 12 April.

Excellent performance observed.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *John Aitken*

Date: *30 March 2007*

Candidate's signature: *Paul Grey*

Date: *30 March 2007*

## **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

<b>Unit:</b> WS2 (F34L 04) Keep Stock at Required Levels	<b>Element(s):</b>
<b>Evidence index number:</b> 13	
<b>Circumstances of assessment:</b> Questions asked during observation of performance in the workplace	
<b>List of questions and candidate's responses:</b>  <p><b>Q What are your organisation's standards for your conduct and appearance? (PC 11)</b>          A: I must conduct myself in a professional manner at all times, respect my workplace and colleagues and adhere to health and safety regulations. I must wear my company uniform and name badge at all times when in the workplace.</p> <p><b>Q What problems might you encounter with keeping stock at the required levels? (PC 9)</b>          A: I have to check sell by dates on stock to ensure it is fit for use, and if not discard it. If stock is not used by required dates its value is lost and company profits are affected.</p> <p><b>Q: Why is stock rotation important?</b>          A: To ensure that older stock is used first and that stock remains within its sell by date whilst in storage.</p> <p><b>Q: How do you recognise damaged, faulty or out-of-date stock and how do you deal with it?</b>          A: I would recognise damaged stock from torn packaging, leaking boxes or from any unusual sounds when moving stock. Faulty goods are usually returned by customers and are stored in our returned goods area. Out-of-date stock is identified when stock is stored beyond its sell by date.</p> <p>I deal with damaged stock by recording the damage on the system and arranging for stock to be returned to supplier. Likewise, faulty goods are logged on the system and returned to suppliers. Out-of-date stock is also logged and disposed of. Out-of-date stock is logged to enable it be accounted for, and then it is written off as a loss. This is why stock control is important as the company can lose a lot of money through lost sales of out-of-date stock.</p>	
Assessor's signature: <i>John Aitken</i>	Date: <i>2 May 2007</i>
Candidate's signature: <i>Paul Grey</i>	Date: <i>2 May 2007</i>

## **Professional discussion**

Professional discussion is now recognised as a safe, valid and reliable source of evidence in the assessment process. However, as with any assessment method it has to be planned and both candidate and assessor properly prepared for the discussion.

The discussion should be planned to ensure that:

- ◆ a quiet location is provided
- ◆ candidate is relaxed and prepared to answer questions
- ◆ assessor is prepared to conduct a discussion which relates to the activity being assessed
- ◆ the discussion is managed and achieves its objectives
- ◆ an audit trail is provided for internal and external verification
- ◆ discussion can be recorded on paper, video or voice recorder

It is recommended that professional discussions be based on knowledge and understanding requirements for a Unit. However, assessors will have the final say in what the professional discussion will cover, and content of the outline will depend on this.

An example of an outline for a discussion on Unit LOG 1 (F34N 04) has been provided below.

# Outline of Professional Discussion

**Unit:** LOG 1 (F34N 04) Maintain Health, Safety and Security in Logistics Operations

**Evidence index number:** 7

**Circumstances of assessment:**

Outline of proposed Professional Discussion on 12 April. The outline is based on the knowledge and understanding requirements for Unit LOG 1 (F34N 04) and will confirm Paul's knowledge and understanding of this Unit.

**List of points to be addressed during discussion:**

- ◆ Tell me about the legislation, regulations and organisational procedures which apply to health and safety at W & M Distribution.
- ◆ What are the responsibilities of all workers for health and safety and security at W & M Distribution?
- ◆ Tell me who has overall responsibility for health and safety and security at W & M Distribution?
- ◆ What personal protective equipment are you provided with and why is it necessary?
- ◆ Please describe the types of health, safety and security incidents that could occur at W & M Distribution.
- ◆ Tell me what safety equipment is provided at W & M Distribution and how you would use it.
- ◆ What are the procedures you follow in the event of an emergency at D & W Distribution?
- ◆ Please point out the escape routes within the workplace.
- ◆ What are the legal responsibilities for reporting accidents and emergencies?
- ◆ Tell me where you would find the following information:
  1. Information on legislation and regulations
  2. Legal requirements for the storage and distribution of specific goods and materials, eg perishable items, substances hazardous to health
- ◆ Describe the reporting and information systems that are used at W & M Distribution.
- ◆ Which working practices, operating procedures and guidelines do you adhere to when working at W & M Distribution?

Candidate's signature: *Paul Grey*

Date: *2 May 2007*

## **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.

Unit WS7 (F45B 04), *Provide Customers with Information and Advice on Goods and Services*, requires candidates to provide evidence of dealing with customer complaints. It will be difficult to plan an observation to include dealing with customer complaints and therefore a personal statement from your candidate explaining how they have dealt with a customer complaint would be acceptable evidence.

## Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered
6/6/07		<p>“I was working on the service desk last Tuesday when a customer telephoned to say he had received a damaged item in his order. The customer told me that he had unpacked his order of glassware to find a broken glass in the box. The customer was angry because he had been waiting several days for this order which was a special request for one of his customers. The customer demanded to know what I was going to do about the problem. I said that I would do my best to resolve the problem, took the customer’s details and said I would call them back.</p> <p>I checked availability of the glassware and we had one box left in stock. I checked with my manger first to ensure that I was following correct procedures. I planned to send out another box of glasses and have the damaged box uplifted. My manager agreed.</p> <p>I telephoned my customer and explained what I proposed to do. I said that I would have the new glasses to him by the following day. The customer was delighted with my solution and thanked me for my help. He promised to return.”</p>		WS 7 PCs 1, 2, 4, 5, 6, 7, 8, 9

Signed (candidate): *Paul Grey*

Date: *6 June 2007*

## **Witness testimony**

Remember when you 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.



## 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:

- ◆ health and safety Units, for example evacuation procedures, dealing with emergencies
- ◆ security Units, for example security risks beyond your candidate's authority
- ◆ procedures for personal safety
- ◆ supply of goods and services Units, for example reporting shortages in storage space to the right person, reporting faulty equipment when it is not your candidate's responsibility to fix it
- ◆ customer service Units, for example referring a customer complaint to the right person when it is not your candidate's responsibility to sort out
- ◆ dealing with difficult customers

**NB:** Wherever possible, evidence should be generated in realistic working environments which reflect your candidate's ability to perform to the national standard.

You may be able to overcome these by using the following methods:

- ◆ questioning to confirm your candidate's knowledge of performance
- ◆ witness testimony to confirm your candidate's performance
- ◆ photographic evidence which shows your candidate's progress towards completing an activity, for example demonstrating correct lifting and handling techniques, using equipment correctly
- ◆ opportunity to work in other departments/parts of the business to enable evidence to be generated
- ◆ online learning materials
- ◆ online test
- ◆ contributions to online forums
- ◆ simulation to cover some aspects of health and safety and security

**NB:** Skills for Logistics recognises that simulation is a practical tool for establishing skills and understanding where naturally occurring evidence of competence is unavailable or infrequent. However, Skills for Logistics feels there is very little that can be assessed by simulation, particularly at levels 1 and 2, with the exception of some aspects of Health and Safety and Security.

See assessment strategy on SQA's website for full details.

## **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**

- ◆ If your candidate is submitting evidence obtained via the internet, you should consider asking them to e-mail the evidence to their manager/supervisor who can confirm that the work is indeed that of your candidate.
- ◆ If your candidate is submitting written questions, authentication can be proved by asking some additional questions and/or checking that hand writing is consistent with other pieces of evidence.
- ◆ Sources of peer reports and witness statements should be checked to confirm the status and reliability of the witness — see section on witness testimonies.

## 4 Recording achievement

You should retain all evidence — clearly referenced — for internal and external verification.

The candidate's evidence is normally kept in a file, often called a *portfolio*. These documents help you and your candidates to collect, present and cross-reference the evidence to the national standards. They are also a means of recording your assessment decisions, and they tell an external verifier what stage a candidate has reached in achieving the SVQ.

Recording documents do not need to be paper-based — it is possible to use an electronic format for collecting and structuring the evidence. Whatever format you and your candidates choose to use, the documents must show what evidence was generated, the assessment decisions you made, how the evidence meets the standards, and where the evidence can be located. You should avoid photocopying items simply to put them in a portfolio — a clear explanation of where the evidence can be found (for example, in a filing cabinet) may be sufficient for the external verifier to follow it up and include it in the visit.

There are various reasons why record-keeping is so important:

- ◆ it provides a way of tracking a candidate's progress in achieving an SVQ
- ◆ it helps candidates to make claims for certification of their competence
- ◆ internal verifiers and external verifiers use the records to sample assessment decisions
- ◆ it helps us to monitor the quality assurance of our qualifications

If your candidates' evidence is incomplete, or cannot be located, or if there is inaccurate cross-referencing to the standards, there is a risk that an internal verifier or external verifier will be unable to confirm your assessment decisions.

To help you and your candidate present evidence and record your assessment decision, we have provided examples of the forms which you and your candidate might use to compile the portfolio.

- ◆ Completing the Unit progress record
- ◆ Using the evidence index
- ◆ Completing the Element achievement record

These forms are also used in SQA's portfolio.

## **Completing the Unit progress record**

You should complete this form each time your candidate achieves a Unit from the SVQ by adding your signature and the date next to the relevant Unit.

At this stage, candidates should make sure they have completed the recording documents correctly and that their evidence can be easily located. Only then should they circle the relevant Unit number at the top of the form. This enables both of you to see at a glance what stage the candidate is at in their SVQ.

# Unit progress record

Qualification and level: Warehousing and Storage at level 2

Candidate: Paul Grey

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

## Unit Checklist

<b>Mandatory</b>	<b>LOG1</b>	<b>LOG4</b>										
<b>Optional</b>	<b>WS 7</b>	<b>WS 8</b>	<b>WS9</b>	<b>WS10</b>	<b>WS20</b>	<b>WS21</b>						

## Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
<b>LOG 1</b>	Maintain Health, Safety and Security in Logistics Operations	<i>John Aitken</i>	<i>12 April 2007</i>
<b>LOG 4</b>	Develop Effective Working Relationships With Colleagues in Logistics Operations	<i>John Aitken</i>	<i>6 June 2007</i>

## Optional Units achieved

<b>WS 7</b>	Provide Customers with Information and Advice on Goods and Services		
<b>WS 8</b>	Operate Equipment to Perform Work Requirements	<i>John Aitken</i>	<i>30 March 2007</i>
<b>WS 9</b>	Move Goods in Logistics Facilities	<i>John Aitken</i>	<i>30 March 2007</i>
<b>WS 10</b>	Receive Goods from Deliveries	<i>John Aitken</i>	<i>30 March 2007</i>
<b>WS 20</b>	Manage the Receipt, Storage Or Dispatch of Goods (Level 3 Unit)		
<b>WS 21</b>	Audit Stock Levels and Stock Records (Level 3 Unit)		

# Unit progress record

**Qualification and level:** Logistics Operations Management at level 3

**Candidate:** Angela Schofield

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

## Unit Checklist

<b>Mandatory</b>	<b>LOM1</b>	<b>LOG2</b>	<b>LOM2</b>									
<b>Optional</b>	<b>LOM3</b>	<b>LOM6</b>	<b>LOM8</b>	<b>LOM9</b>	<b>MSCB5</b>							

## Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
<b>LOM 1</b>	Identify The Logistics Requirements Of A Supply Chain	<i>John Aitken</i>	<i>14 April 2007</i>
<b>LOG 2</b>	Promote And Maintain Health, Safety And Security In Logistics Operations	<i>John Aitken</i>	<i>6 March 2007</i>
<b>LOM 2</b>	Promote Compliance Of Logistics Operations With Legislation, Regulations And Organisational Procedures		

## Optional Units achieved

<b>LOM 3</b>	Schedule Logistics Operations To Meet Customer Requirements	<i>John Aitken</i>	<i>30 June 2007</i>
<b>LOM 6</b>	Utilise Transport Modes In Logistics Operations	<i>John Aitken</i>	<i>30 June 2007</i>
<b>LOM 8</b>	Develop Relationships With Logistics Customers	<i>John Aitken</i>	<i>30 March 2007</i>
<b>LOM 9</b>	Improve The Quality Of Logistics Operations		
<b>MSC B5</b>	Provide Leadership For Your Team		

## Using the index of evidence

The purpose of the index of evidence is to help you locate and work through the candidate's evidence. It should give you a summary of what evidence the candidate has collected, and where (eg in a portfolio) it can be found.

The index of evidence should be completed by entering:

- ◆ the index number for each piece of evidence
- ◆ a description of each piece of evidence
- ◆ the place or location where it can be found
- ◆ the initials of the internal verifier and the date (if they have sampled the candidate's evidence)

Ideally, it should be candidates themselves (with your support and encouragement) who complete the index.

You must make sure that the information in the evidence index is accurate when your candidates' portfolios are presented for assessment and verification — particularly the information about where the evidence can be located. This is important because we suggest that anything which has been produced as day-to-day work is kept in its normal location, but anything which has been produced through assessment for the SVQ, eg observation checklists, is filed in the candidate's portfolio. In this way, your candidate can avoid having to photocopy work products just for the sake of including them in a portfolio. It also means that evidence produced as a result of assessment is kept safely in a central file.

If the index of evidence is not completed with an accurate description and location of the evidence, there is a risk that an internal verifier or external verifier might be unable to confirm your assessment decisions.

## Index of evidence

SVQ title and level: Warehousing and Storage level 2			
Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	CV	Yes	
2	Personal Development Plan	No. Located in my file in HR	
3	Performance Review 2007	Yes	
4	One to one review with my supervisor	No. Located in my file in HR	IV CW 30 March
5	Observation report	Yes	IV CW 30 March
6	Witness testimony	Yes	
7	Professional discussion for Unit LOG 1	Yes on CD	IV CW 30 March
8	Answers to questions for Unit WS 7	Yes	
9	Goods received note with explanation of relevance to Unit WS 10	Yes	
10	E-mails between me and suppliers	No. Held on computer hard drive in folder named Paul	
11	Observation Report WS 7	Yes	IV CW 12 August
12	Witness statement Unit WS 7	Yes	
13	Answers to questions Unit LOG 4	Yes	
14	Professional Discussion Unit LOG 4	Yes. On CD	IV CW 12 August

## **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.



**Unit: LOG 1 (F34N 04) Maintain health, safety and security in logistic operations.**

**Notes/Comments**

Observation of performance has been confirmed on one further occasion — ev 6. Professional discussion was conducted against outline contained in ev & and covers all PCs and knowledge and understanding requirements.

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

Candidate: *Paul Grey*

Date: *12 April 2007*

Assessor: *John Aitken*

Date: *12 April 2007*

Internal Verifier: *Carol Walker*

Date: *12 April 2007*

## 5 Further information

What else should I read?

The publications listed here provide additional information on how to implement SVQs. Details of these and other SQA publications are available on our website at [www.sqa.org.uk](http://www.sqa.org.uk) on the 'Publications, Sales and Downloads' section. They can be ordered from SQA's Customer Contact Centre — telephone 0845 279 1000. Please note that there may be a charge for some of these publications.

*Assessor/Verifier Units: assessment guidance*

*External Assessment Moderation in National Qualifications and Higher National Qualifications: a guide for centres*

*Guide to Assessment and Quality Assurance for Colleges of Further Education*

*Guide to Assessment and Quality Assurance for Employers and Training Providers*

*Arrangements for Candidates with Disabilities and/or Additional Support Needs in Examinations and Assessments*

*Quality Assurance Principles, Elements and Criteria*

*Operational Help Centre*

The Operational Guide for Centres has been replaced by the online Operational Help Centre on [www.sqa.org.uk](http://www.sqa.org.uk)

# Appendix 1: Blank recording forms







**Unit:**

**Element:**

**Notes/Comments**

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

Candidate:

Date:

Assessor:

Date:

Internal Verifier:

Date:

# Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered

**Signed by candidate:**

**Date:**

# Observation record

Unit/Element(s):

Candidate:

Date of observation:

Evidence index number:

<b>Skills/activities observed:</b>	<b>PCs covered:</b>

**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

<b>SVQ title and level:</b>	
<b>Candidate's name:</b>	
<b>Evidence index no:</b>	
<b>Index no of other evidence which this testimony relates to (if any):</b>	
<b>Element(s):</b>	
<b>Date of evidence:</b>	
<b>Name of witness:</b>	
<b>Designation/relationship to candidate:</b>	
<b>Details of testimony:</b>	
I can confirm the candidate's evidence is authentic and accurate. Signed by witness: _____ Date: _____	

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

- Holds A1 or D32/D33 qualifications
- Is familiar with the SVQ standards to which the candidate is working

## Record of questions and candidate's answers

<b>Unit:</b>	<b>Element(s):</b>
<b>Evidence index number:</b>	
<b>Circumstances of assessment:</b>	
<b>List of questions and candidate's responses:</b>	
<b>Assessor's signature:</b>	<b>Date:</b>
<b>Candidate's signature:</b>	<b>Date</b>