Assessor's guidelines for the SVQs in Port Operations at level 2 and Supervision of Port Operations at level 3

Contents

About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQs for Port Operations at level 2 and Supervision of Port Operations at 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

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 Sector Skills Councils (SSC) or standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

Each SSC or 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 an SSC or 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 this SVQ(s) — see Section 6.

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 for Port Operations and Supervision of Port Operations

The SVQs for Port Operations and Supervision of Port Operations have been developed by Port Skills and Safety Limited (PSSL) and are intended for people in the port industry.

These people may be working as port operators/operatives, general, marine, passenger or leisure port operatives, chargehands, team leaders or supervisors. They will require plant skills, for example use of fork lift trucks, cranes, mechanical shovels and be competent in utilising a range of lifting equipment, eg slings, shackles, or skills relating to the safe handling of vessels in and out of the port, or the ability to handle passenger movements or general supervisory skills when managing people and resources within a hazardous industrial environment. Knowledge of the port environment, relevant health and safety regulations, security requirements and the ability to apply their knowledge of company policy and procedure is also necessary.

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: ports handling cargo or passenger/leisure traffic at the quayside, within the hold of a vessel, at the lock gates or within a shed/warehouse/storage type environment.

Port Operations

To achieve each pathway of the SVQ in Port Operations at level 2 candidates must complete nine Units in total.

Two Units are mandatory for all pathways within the structure with a further two Units mandatory for the Team Leading pathway only.

The remaining seven Units (five Units for Team Leading) must be made up from:

♦ at least two optional Units from Group A, but no more than three (with these addressing health, safety and the environment)

♦ at least one optional Unit from Group B, but no more than two (with these addressing managing yourself and your working relationships with others)

♦ at least two optional Units from Group C, but no more than four

Although nine Units must be completed to complete the qualification, additional Units can be completed by choice.

The Sector Skills Council Unit reference is given in brackets after the Unit title.

Structure of the SVQ in Port Operations

Port Operations (General Operations) level 2 (G8A9 22)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
F0C5 04	Maintain Security in Ports (5.1.1)

Optional Units

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

Group A (Health, safety and the environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0DW 04	Work Safely with Dangerous Cargo (4.1.2)
F0DT 04	Work Safely near Water (4.1.3)
F0DB 04	Survive in the Water (4.1.4)
F0DV 04	Work Safely when Alone (4.1.5)
F0DN 04	Work Safely at Heights (4.1.6)
F0DP 04	Work Safely in Confined Spaces (4.1.7)
F0DL 04	Undertake Safety Inspections (4.1.8)
F0D8 04	Respond to Shore-based Emergency Situations (4.2.1)
F0D5 04	Respond to a Pollution Incident (4.2.2)
F0AR 04	Administer First Aid (4.2.3)
F0D7 04	Respond to Emergency Situations aboard Vessels (4.2.4)
F0C1 04	Maintain Environmental Good Practice within Ports (8.5.1)

Group B (Managing yourself and your working relationships) (at least one Unit from the following group but no more than two)

SQA Ref	Title
D3XB 04	Give Customers a Positive Impression of Yourself and Your Organisation (3.1.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.2.1)
F0BW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.2.2)
DR64 04	Manage Your Own Resources (8.1.1)

Group C (Port-specific activities) (at least two Units from this group but no more than four)

SQA Ref	Title
F0AV 04	Check and Mark Cargo (1.1.1)
F0D9 04	Secure Cargo (1.1.2)
F0DD 04	Transfer Loads through Slinging and Signaling (1.1.3)
F0BY 04	Load and Unload Cargo Transport Units (1.1.4)
F0D4 04	Receive, Store and Despatch Cargo (1.1.5)
F0BS 04	Handle Loads Manually (1.1.6)
F0DA 04	Support Cargo Handling Operations Associated With Ro/Ro Vessels (1.1.7)
F0CE 04	Move Loads Using Lift Trucks (1.2.1)
F0CD 04	Move Containers Using Shore-based Lifting Equipment (1.2.2)
F0BX 04	Lift and Position Loads by Crane (1.2.3)
F0CP 04	Plan and Implement a Lifting Plan (1.2.4)
F0DF 04	Transfer Loads Using Ship's Gear (1.2.5)
F0BR 04	Handle Dry Bulk Cargo Using Automated Equipment (1.2.6)

SQA Ref	Title
F0BG 04	Drive Shore-based Tractor Units (1.3.1)
F0BH 04	Drive Tractor Units with Ro/Ro Vessels (1.3.2)
F0BF 04	Drive Light Vehicles On and Off Ro/Ro Vessels (1.3.3)
FOBE 04	Drive Heavy Vehicles On and Off Ro/Ro Vessels (1.3.4)
F0DH 04	Trim and Clean Out Dry Bulk Cargo (1.3.5)
F0CH 04	Operate Equipment for Moving Bulk Liquids (1.4.1)
F0BT 04	Handle Port Craft (2.1.1)
F0CF 04	Navigate Port Craft (2.1.2)
FOBV 04	Handle Unpowered Craft (2.1.3)
F0AT 04	Berth Vessels (2.2.1)
F0CV 04	Position Access Equipment on Vessels (2.2.2)
F0BN 04	Fuel Vessels (2.2.3)
F0CW 04	Position Moorings and Lay Buoys (2.3.1)
F0C0 04	Maintain Clear Channels and Water Areas (2.3.2)
F0BM 04	Establish Water Depths (2.3.3)
F0CJ 04	Operate Lock Systems (2.4.1)
F0CG 04	Operate Bridges (2.4.2)
F0B7 04	Control Vehicle Movements (3.1.2)
D3XE 04	Resolve Customer Service Problems (3.1.3)
F0DG 04	Transfer Passengers To/From Small Vessels (3.1.4)
F0CY 04	Process Travel Documents (3.2.1)
F0CX 04	Process Baggage (3.2.2)
F0CN 04	Plan and Coordinate the Routine Maintenance of Port Plant and Equipment (6.1.1)
F0DJ 04	Undertake Basic Maintenance and Servicing Of Vehicles (6.1.2)
F0C2 04	Maintain Marine Equipment (6.1.3)
F0AW 04	Clean and Maintain Port Craft (6.1.4)
F0DK 04	Undertake Minor Repairs to Port Infrastructure (6.1.5)
F0CM 04	Operate Radio Equipment (8.2.1)
F0CL 04	Operate Marine Radar Equipment (8.2.2)
F0C4 04	Maintain Records Regarding the Movement of Cargo (8.3.1)
F0C3 04	Maintain Records of Vessel Movements (8.3.2)
DJ54 04	Use IT Systems (8.4.1)

Port Operations (Marine Operations) level 2 (G8AA 22)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
F0C5 04	Maintain Security in Ports (5.1.1)

Optional Units

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

Group A (Health, safety and the environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0DW 04	Work Safely with Dangerous Cargo (4.1.2)
F0DT 04	Work Safely near Water (4.1.3)
F0DB 04	Survive in the Water (4.1.4)

SQA Ref	Title
F0DV 04	Work Safely when Alone (4.1.5)
F0DN 04	Work Safely at Heights (4.1.6)
F0DP 04	Work Safely in Confined Spaces (4.1.7)
F0DL 04	Undertake Safety Inspections (4.1.8)
F0D8 04	Respond to Shore-based Emergency Situations (4.2.1)
F0D5 04	Respond to a Pollution Incident (4.2.2)
F0AR 04	Administer First Aid (4.2.3)
F0D7 04	Respond to Emergency Situations aboard Vessels (4.2.4)
F0C1 04	Maintain Environmental Good Practice within Ports (8.5.1)

Group B (Managing yourself and your working relationships) (at least one Unit from the following group but no more than two)

SQA Ref	Title
D3XB 04	Give Customers a Positive Impression of Yourself and Your Organisation (3.1.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.2.1)
F0BW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.2.2)
DR64 04	Manage Your Own Resources (8.1.1)

Group C (Port-specific activities) (at least two Units from this group but no more than four)

SQA Ref	Title
F0BT 04	Handle Port Craft (2.1.1)
F0CF 04	Navigate Port Craft (2.1.2)
F0BV 04	Handle Unpowered Craft (2.1.3)
F0AT 04	Berth Vessels (2.2.1)
F0CV 04	Position Access Equipment on Vessels (2.2.2)
F0BN 04	Fuel Vessels (2.2.3)
F0CW 04	Position Moorings and Lay Buoys (2.3.1)
F0C0 04	Maintain Clear Channels and Water Areas (2.3.2)
F0BM 04	Establish Water Depths (2.3.3)
F0CJ 04	Operate Lock Systems (2.4.1)
F0CG 04	Operate Bridges (2.4.2)
F0DG 04	Transfer Passengers to/from Small Vessels (3.1.4)
F0CN 04	Plan and Coordinate the Routine Maintenance of Port Plant and Equipment (6.1.1)
F0DJ 04	Undertake Basic Maintenance and Servicing of Vehicles (6.1.2)
F0C2 04	Maintain Marine Equipment (6.1.3)
F0AW 04	Clean and Maintain Port Craft (6.1.4)
F0DK 04	Undertake Minor Repairs to Port Infrastructure (6.1.5)
F0CM 04	Operate Radio Equipment (8.2.1)
F0CL 04	Operate Marine Radar Equipment (8.2.2)
F0C3 04	Maintain Records of Vessel Movements (8.3.3)
DJ54 04	Use IT Systems (8.4.1)

Port Operations (Passenger Operations) level 2 (G8AC 22)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
F0C5 04	Maintain Security in Ports (5.1.1)

Optional Units

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

Group A (Health, safety and the environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0DW 04	Work Safely with Dangerous Cargo (4.1.2)
F0DT 04	Work Safely near Water (4.1.3)
F0DB 04	Survive in the Water (4.1.4)
F0DV 04	Work Safely when Alone (4.1.5)
F0DN 04	Work Safely at Heights (4.1.6)
F0DP 04	Work Safely in Confined Spaces (4.1.7)
F0DL 04	Undertake Safety Inspections (4.1.8)
F0D8 04	Respond to Shore-based Emergency Situations (4.2.1)
F0D5 04	Respond to a Pollution Incident (4.2.2)
F0AR 04	Administer First Aid (4.2.3)
F0D7 04	Respond to Emergency Situations aboard Vessels (4.2.4)
F0C1 04	Maintain Environmental Good Practice within Ports (8.5.1)

Group B (Managing yourself and your working relationships) (at least one Unit from the following group but no more than two)

SQA Ref	Title
D3XB 04	Give Customers a Positive Impression of Yourself and Your Organisation (3.1.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.2.1)
F0BW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.2.2)
DR64 04	Manage Your Own Resources (8.1.1)

Group C (Port-specific activities) (at least two Units from this group but no more than four)

SQA Ref	Title
F0CV 04	Position Access Equipment on Vessels (2.2.2)
F0B7 04	Control Vehicle Movements (3.1.2)
D3XE 04	Resolve Customer Service Problems (3.1.3)
F0DG 04	Transfer Passengers to/from Small Vessels (3.1.4)
F0CY 04	Process Travel Documents (3.2.1)
F0CX 04	Process Baggage (3.3.1)
F0CM 04	Operate Radio Equipment (8.2.1)
DJ54 04	Use IT Systems (8.4.1)

Port Operations (Stevedoring) level 2 (G8AD 22)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
FOC5 04	Maintain Security in Ports (5.1.1)

Optional Units

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

Group A (Health, safety and the environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0DW 04	Work Safely With Dangerous Cargo (4.1.2)
F0DT 04	Work Safely near Water (4.1.3)
F0DB 04	Survive in the Water (4.1.4)
F0DV 04	Work Safely When Alone (4.1.5)
F0DN 04	Work Safely at Heights (4.1.6)
F0DP 04	Work Safely In Confined Spaces (4.1.7)
F0DL 04	Undertake Safety Inspections (4.1.8)
F0D8 04	Respond To Shore-based Emergency Situations (4.2.1)
F0D5 04	Respond To a Pollution Incident (4.2.2)
F0AR 04	Administer First Aid (4.2.3)
F0D7 04	Respond To Emergency Situations aboard Vessels (4.2.4)
F0C1 04	Maintain Environmental Good Practice within Ports (8.5.1)

Group B (Managing yourself and your working relationships) (at least one Unit from the following group but no more than two)

SQA Ref	Title
D3XB 04	Give Customers a Positive Impression of Yourself and Your Organisation (3.1.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.2.1)
F0BW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.2.2)
DR64 04	Manage Your Own Resources (8.1.1)

Group C (Port-specific activities) (at least two Units from this group but no more than four)

SQA Ref	Title
F0AV 04	Check and Mark Cargo (1.1.1)
F0D9 04	Secure Cargo (1.1.2)
F0DD 04	Transfer Loads through Slinging and Signaling (1.1.3)
F0BY 04	Load and Unload Cargo Transport Units (1.1.4)
F0D4 04	Receive, Store and Despatch Cargo (1.1.5)
F0BS 04	Handle Loads Manually (1.1.6)
F0DA 04	Support Cargo Handling Operations Associated With Ro/Ro Vessels (1.1.7)
F0CE 04	Move Loads Using Lift Trucks (1.2.1)
F0CD 04	Move Containers Using Shore-based Lifting Equipment (1.2.2)
F0BX 04	Lift and Position Loads by Crane (1.2.3)
F0CP 04	Plan and Implement a Lifting Plan (1.2.4)
F0DF 04	Transfer Loads Using Ship's Gear (1.2.5)
F0BR 04	Handle Dry Bulk Cargo Using Automated Equipment (1.2.6)
F0BG 04	Drive Shore-based Tractor Units (1.3.1)
F0BH 04	Drive Tractor Units with Ro/Ro Vessels (1.3.2)
F0BF 04	Drive Light Vehicles On and Off Ro/Ro Vessels (1.3.3
F0BE 04	Drive Heavy Vehicles On and Off Ro/Ro Vessels (1.3.4)
F0DH 04	Trim and Clean Out Dry Bulk Cargo (1.3.5)
F0CH 04	Operate Equipment for Moving Bulk Liquids (1.4.1)
F0AT 04	Berth Vessels (2.1.1)
F0CV 04	Position Access Equipment on Vessels (2.2.2)
F0CN 04	Plan and Coordinate Routine Maintenance of Port Plant and Equipment (6.1.1)
F0DJ 04	Undertake Basic Maintenance and Servicing Of Vehicles (6.1.2)
F0DK 04	Undertake Minor Repairs to Port Infrastructure (6.1.5)

SQA Ref	Title
F0CM 04	Operate Radio Equipment (8.2.1)
F0C4 04	Maintain Records Regarding the Movement of Cargo (8.3.1)
DJ54 04	Use IT Systems (8.4.1)

Structure of the SVQ

The way the SVQ is made up is shown below.

Port Operations (Team Leading) level 2 (G8AE 22)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
FOC5 04	Maintain Security in Ports (5.1.1)
DR73 04	Provide Leadership for Your Team (7.1.1)
DR3W 04	Allocate and Check Work in Your Team (7.1.2)

Optional Units

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

Group A (Health, safety and the environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0DW 04	Work Safely With Dangerous Cargo (4.1.2)
F0DT 04	Work Safely near Water (4.1.3)
F0DB 04	Survive In the Water (4.1.4)
F0DV 04	Work Safely When Alone (4.1.5)
F0DN 04	Work Safely At Heights (4.1.6)
F0DP 04	Work Safely In Confined Spaces (4.1.7)
F0DL 04	Undertake Safety Inspections (4.1.8)
F0D8 04	Respond To Shore-based Emergency Situations (4.2.1)
F0D5 04	Respond To a Pollution Incident (4.2.2)
F0AR 04	Administer First Aid (4.2.3)
F0D7 04	Respond To Emergency Situations aboard Vessels (4.2.4)
F0C1 04	Maintain Environmental Good Practice within Ports (8.5.1)

Group B (Managing yourself and your working relationships) (at least one Unit from the following group but no more than two)

SQA Ref	Title
D3XB 04	Give Customers a Positive Impression of Yourself and Your Organisation (3.1.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.2.1)
F0BW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.2.2)
DR64 04	Manage Your Own Resources (8.1.1)

Group C (Port-specific activities) (at least two Units from this group but no more than four)

SQA Ref	Title
F0AV 04	Check and Mark Cargo (1.1.1)
F0D9 04	Secure Cargo (1.1.2)
F0DD 04	Transfer Loads through Slinging and Signaling (1.1.3)
F0BY 04	Load and Unload Cargo Transport Units (1.1.4)

SQA Ref	Title
F0D4 04	Receive, Store and Despatch Cargo (1.1.5)
F0BS 04	Handle Loads Manually (1.1.6)
F0DA 04	Support Cargo Handling Operations Associated With Ro/Ro Vessels (1.1.7)
F0CE 04	Move Loads Using Lift Trucks (1.2.1)
F0CD 04	Move Containers Using Shore-based Lifting Equipment (1.2.2)
F0BX 04	Lift and Position Loads by Crane (1.2.3)
F0CP 04	Plan and Implement a Lifting Plan (1.2.4)
F0DF 04	Transfer Loads Using Ship's Gear (1.2.5)
F0BR 04	Handle Dry Bulk Cargo Using Automated Equipment (1.2.6)
F0BG 04	Drive Shore-based Tractor Units (1.3.1)
F0BH 04	Drive Tractor Units with Ro/Ro Vessels (1.3.2)
F0BF 04	Drive Light Vehicles On and Off Ro/Ro Vessels (1.3.3)
F0BE 04	Drive Heavy Vehicles On and Off Ro/Ro Vessels (1.3.4)
F0DH 04	Trim and Clean Out Dry Bulk Cargo (1.3.5)
F0CH 04	Operate Equipment for Moving Bulk Liquids (1.4.1)
F0BT 04	Handle Port Craft (2.1.1)
F0CF 04	Navigate Port Craft (2.1.2)
F0BV 04	Handle Unpowered Craft (2.1.3)
F0AT 04	Berth Vessels (2.2.1)
F0CV 04	Position Access Equipment on Vessels (2.2.2)
F0BN 04	Fuel Vessels (2.2.3)
F0CW 04	Position Moorings and Lay Buoys (2.3.1)
F0C0 04	Maintain Clear Channels and Water Areas (2.3.2)
F0BM 04	Establish Water Depths (2.3.3)
F0CJ 04	Operate Lock Systems (2.4.1)
F0CG 04	Operate Bridges (2.4.2)
F0B7 04	Control Vehicle Movements (3.1.2)
D3XE 04	Resolve Customer Service Problems (3.1.3)
F0DG 04	Transfer Passengers To/From Small Vessels (3.1.4)
F0CY 04	Process Travel Documents (3.2.1)
F0CX 04	Process Baggage (3.3.1)
F0CN 04	Plan and Coordinate the Routine Maintenance of Port Plant and Equipment (6.1.1)
F0DJ 04	Undertake Basic Maintenance and Servicing Of Vehicles (6.1.2)
F0C2 04	Maintain Marine Equipment (6.1.3)
F0AW 04	Clean and Maintain Port Craft (6.1.4)
F0DK 04	Undertake Minor Repairs to Port Infrastructure (6.1.5)
F0CM 04	Operate Radio Equipment (8.2.1)
F0CL 04	Operate Marine Radar Equipment (8.2.2)
F0C4 04	Maintain Records Regarding the Movement of Cargo (8.3.1)
F0C3 04	Maintain Records of Vessel Movements (8.3.2)
DJ54 04	Use IT Systems (8.4.1)

Supervision of Port Operations

Each pathway of the SVQ for the Supervision of Port Operations at level 3 is comprised of ten Units in total.

Three Units are mandatory for all pathways within the structure.

The remaining seven Units must be made up from:

♦ at least two optional Units from Group A, but no more than three (with these addressing health, safety and the environment)
♦ at least one optional Unit from group B, but no more than three (with these addressing general supervision and people development)
♦ at least one optional Unit from Group C, but no more than four (with these addressing port specific operations)

Although ten Units must be completed to complete the qualification additional Units can be completed by choice.

The Sector Skills Council Unit reference is given in brackets after the Unit title.

Structure of the SVQ in Supervision of Port Operations

The way the SVQ is made up is shown below.

Supervision of Port Operations (General Supervision) level 3 (G8AF 23)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
DR73 04	Provide Leadership for Your Team (1.1.1)
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
F0D1 04	Promote and Maintain Security in Ports (5.1.1)

Optional Units

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

Group A (Health, safety and environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0D2 04	Promote Health and Safety in Ports (4.2.1)
F0DL 04	Undertake Safety Inspections (4.2.2)
F0CC 04	Monitor Procedures to Control Risk to Health and Safety (4.2.3)

SQA Ref	Title
F0B2 04	Contribute To the Development of Health and Safety Procedures in Ports (4.2.4)
F0B0 04	Conduct an Assessment of Risks in the Workplace (4.2.5)
F0BK 04	Ensure Your Team's Actions Aim to Protect the Port Environment (4.3.1)
F0C6 04	Make Initial Investigations into Incidents in Ports (4.4.1)
F0C7 04	Manage Port Users in an Emergency (4.4.2)
F0D6 04	Respond to an Incident within a Port Environment (4.4.3)
F0AR 04	Administer First Aid (4.4.4)

Group B (Generic supervision and people development) (at least one Unit from this group but no more than three)

SQA Ref	Title
DR4T 04	Encourage Innovation in Your Team (1.2.1)
DR6J 04	Plan Change (1.2.2)
DR57 04	Implement Change (1.2.3)
DR6P 04	Promote Equality of Opportunity and Diversity in Your Area of Responsibility (1.3.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.1.1)
FOBW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.1.2)
DR7C 04	Provide Learning Opportunities for Colleagues (8.1.1)
D9RH 04	Enable Individual Learning through Coaching (8.1.2)
D94L 04	Assess Candidates Using a Range Of Methods (8.1.3)
DR67 04	Manage Your Own Resources and Professional Development (8.2.1)

Group C (Port-specific Operations) (at least one Unit from this group but no more than four)

SQA Ref	Title
F0B4 04	Control and Monitor Loading and Discharge Operations within a Port (2.1.1)
F0B6 04	Control Load Storage Operations within a Port (2.1.2)
F0B5 04	Control and Navigate Port Craft (2.2.1)
F0B9 04	Coordinate and Control Lock and Lock Gate Operations (2.2.2)
F0B8 04	Coordinate and Control Bridge Operations (2.2.3)
F0BD 04	Coordinate and Control Vessel Berthing Operations (2.2.4)
F0BA 04	Coordinate and Control the Use of Weighbridges (2.2.5)
F0BJ 04	Ensure the Operational Readiness of the Port Terminal (2.3.1)
F0C8 04	Manage the Movement of Passengers within a Port Terminal (2.3.2)
F0C9 04	Manage the Movement of Passengers' Baggage between Vessels and Terminals (2.3.3)
F0CP 04	Plan and Implement a Lifting Plan (3.1.1)
F0B1 04	Confirm Load Characteristics within a Port (3.1.2)
F0CT 04	Plan Vessel Loading and Discharge within a Port Environment (3.1.3)
F0CS 04	Plan Load Storage within a Port Environment (3.1.4)
F0B3 04	Contribute to the Provision and Control of Moorings (3.2.1)
F0D3 04	Provide Information to Facilitate Vessel Movements (3.2.2)
F0AS 04	Assist with Planning Vessels Movements within the Port Area (3.2.3)
F0CN 04	Plan and Coordinate Routine Maintenance of Port Plant and Equipment (3.3.1)
D3XK 04	Organise, Deliver And Maintain Reliable Customer Service (6.1.1)
D3XL 04	Improve the Customer Relationship (6.1.2)
D3XM 04	Work with Others to Improve Customer Service (6.1.3)
D3XN 04	Monitor and Solve Customer Service Problems (6.1.4)

Supervision of Port Operations (Stevedoring) level 3 (G8AJ 23)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
DR73 04	Provide Leadership for Your Team (1.1.1)
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
F0D1 04	Promote and Maintain Security in Ports (5.1.1)

Optional Units

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

Group A (Health, safety and environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0D2 04	Promote Health and Safety in Ports (4.2.1)
F0DL 04	Undertake Safety Inspections (4.2.2)
F0CC 04	Monitor Procedures to Control Risk to Health and Safety (4.2.3)
F0B2 04	Contribute To the Development of Health and Safety Procedures in Ports (4.2.4)
F0B0 04	Conduct an Assessment of Risks in the Workplace (4.2.5)
F0BK 04	Ensure Your Team's Actions Aim to Protect the Port Environment (4.3.1)
F0C6 04	Make Initial Investigations into Incidents in Ports (4.4.1)
F0C7 04	Manage Port Users in an Emergency (4.4.2)
F0D6 04	Respond to an Incident within a Port Environment (4.4.3)
F0AR 04	Administer First Aid (4.4.4)

Group B (Generic supervision and people development) (at least one Unit from this group but no more than three)

SQA Ref	Title
DR4T 04	Encourage Innovation in Your Team (1.2.1)
DR6J 04	Plan Change (1.2.2)
DR57 04	Implement Change (1.2.3)
DR6P 04	Promote Equality of Opportunity and Diversity in Your Area of Responsibility (1.3.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.1.1)
FOBW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.1.2)
DR7C 04	Provide Learning Opportunities for Colleagues (8.1.1)
D9RH 04	Enable Individual Learning through Coaching (8.1.2)
D94L 04	Assess Candidates Using a Range Of Methods (8.1.3)
DR67 04	Manage Your Own Resources and Professional Development (8.2.1)

Group C (Port-specific Operations) (at least one Unit from this group but no more than four)

SQA Ref	Title
F0B4 04	Control and Monitor Loading and Discharge Operations within a Port (2.1.1)
F0B6 04	Control Load Storage Operations within a Port (2.1.2)
F0BD 04	Coordinate and Control Vessel Berthing Operations (2.2.4)
F0BJ 04	Ensure the Operational Readiness of the Port Terminal (2.3.1)
F0CP 04	Plan and Implement a Lifting Plan (3.3.1)
F0B1 04	Confirm Load Characteristics within a Port (3.1.2)
F0CT 04	Plan Vessel Loading and Discharge within a Port Environment (3.1.3)
F0CS 04	Plan Load Storage within a Port Environment (3.1.4)
F0B3 04	Contribute to the Provision and Control of Moorings (3.2.1)
F0CN 04	Plan and Coordinate Routine Maintenance of Port Plant and Equipment (3.3.1)

SQA Ref	Title
D3XK 04	Organise, Deliver And Maintain Reliable Customer Service (6.1.1)
D3XL 04	Improve the Customer Relationship (6.1.2)
D3XM 04	Work with Others to Improve Customer Service (6.1.3)
D3XN 04	Monitor and Solve Customer Service Problems (6.1.4)

Supervision of Port Operations (Marine Supervision) level 3 (G8AG 23)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
DR73 04	Provide Leadership for Your Team (1.1.1)
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
F0D1 04	Promote and Maintain Security in Ports (5.1.1)

Optional Units

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

Group A (Health, safety and environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0D2 04	Promote Health and Safety in Ports (4.2.1)
F0DL 04	Undertake Safety Inspections (4.2.2)
F0CC 04	Monitor Procedures to Control Risk to Health and Safety (4.2.3)
F0B2 04	Contribute To the Development of Health and Safety Procedures in Ports (4.2.4)
F0B0 04	Conduct an Assessment of Risks in the Workplace (4.2.5)
F0BK 04	Ensure Your Team's Actions Aim to Protect the Port Environment (4.3.1)
F0C6 04	Make Initial Investigations into Incidents in Ports (4.4.1)
F0C7 04	Manage Port Users in an Emergency (4.4.2)
F0D6 04	Respond to an Incident within a Port Environment (4.4.3)
F0AR 04	Administer First Aid (4.4.4)

Group B (Generic supervision and people development) (at least one Unit from this group but no more than three)

SQA Ref	Title
DR4T 04	Encourage Innovation in Your Team (1.2.1)
DR6J 04	Plan Change (1.2.2)
DR57 04	Implement Change (1.2.3)
DR6P 04	Promote Equality of Opportunity and Diversity in Your Area of Responsibility (1.3.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.1.1)
FOBW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.1.2)
DR7C 04	Provide Learning Opportunities for Colleagues (8.1.1)
D9RH 04	Enable Individual Learning through Coaching (8.1.2)
D94L 04	Assess Candidates Using a Range Of Methods (8.1.3)
DR67 04	Manage Your Own Resources and Professional Development (8.2.1)

Group C (Port-specific Operations) (at least one Unit from this group but no more than four)

SQA Ref	Title
F0B5 04	Control and Navigate Port Craft (2.2.1)
F0B9 04	Coordinate and Control Lock and Lock Gate Operations (2.2.2)
F0B8 04	Coordinate and Control Bridge Operations (2.2.3)
F0BD 04	Coordinate and Control Vessel Berthing Operations (2.2.4)

SQA Ref	Title
F0BA 04	Coordinate and Control the Use of Weighbridges (2.2.5)
F0CP 04	Plan and Implement a Lifting Plan (3.3.1)
F0CT 04	Plan Vessel Loading and Discharge within a Port Environment (3.1.3)
F0B3 04	Contribute To the Provision and Control of Moorings (3.2.1)
F0D3 04	Provide Information to Facilitate Vessel Movements (3.2.2)
F0AS 04	Assist with Planning Vessels Movements within the Port Area (3.2.3)
F0CN 04	Plan and Coordinate Routine Maintenance of Port Plant and Equipment (3.3.1)
D3XK 04	Organise, Deliver And Maintain Reliable Customer Service (6.1.1)
D3XL 04	Improve the Customer Relationship (6.1.2)
D3XM 04	Work with Others to Improve Customer Service (6.1.3)
D3XN 04	Monitor and Solve Customer Service Problems (6.1.4)

Supervision of Port Operations (Passenger Supervision) level 3 (G8AH 23)

Mandatory Units

Candidates must complete all of these Units:

SQA Ref	Title
DR73 04	Provide Leadership for Your Team (1.1.1)
F0DC 04	Take Action to Reduce Risks to Health and Safety within a Port Environment (4.1.1)
F0D1 04	Promote and Maintain Security in Ports (5.1.1)

Optional Units

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

Group A (Health, safety and environment) (at least two Units from this group but no more than three)

SQA Ref	Title
F0D2 04	Promote Health and Safety in Ports (4.2.1)
F0DL 04	Undertake Safety Inspections (4.2.2)
F0CC 04	Monitor Procedures to Control Risk to Health and Safety (4.2.3)
F0B2 04	Contribute To the Development of Health and Safety Procedures in Ports (4.2.4)
F0B0 04	Conduct an Assessment of Risks in the Workplace (4.2.5)
F0BK 04	Ensure Your Team's Actions Aim to Protect the Port Environment (4.3.1)
F0C6 04	Make Initial Investigations into Incidents in Ports (4.4.1)
F0C7 04	Manage Port Users in an Emergency (4.4.2)
F0D6 04	Respond to an Incident within a Port Environment (4.4.3)
F0AR 04	Administer First Aid (4.4.4)

Group B (Generic supervision and people development) (at least one Unit from this group but no more than three)

SQA Ref	Title
DR4T 04	Encourage Innovation in Your Team (1.2.1)
DR6J 04	Plan Change (1.2.2)
DR57 04	Implement Change (1.2.3)
DR6P 04	Promote Equality of Opportunity and Diversity in Your Area of Responsibility (1.3.1)
DR4A 04	Develop Productive Working Relationships with Colleagues (7.1.1)
F0BW 04	Liaise and Develop Professional Working Relationships with Third Parties (7.1.2)
DR7C 04	Provide Learning Opportunities for Colleagues (8.1.1)
D9RH 04	Enable Individual Learning through Coaching (8.1.2)
D94L 04	Assess Candidates Using a Range Of Methods (8.1.3)
DR67 04	Manage Your Own Resources and Professional Development (8.2.1)

Group C (Port-specific Operations) (at least one Unit from this group but no more than four)

F0BA 04	Coordinate and Control the Use of Weighbridges (2.2.5)
F0BJ 04	Ensure the Operations Readiness of the Port Terminal (2.3.1)
F0C8 04	Manage the Movement of Passengers within a Port Terminal (2.3.2)
F0C9 04	Manage the Movement of Passengers' Baggage between Vessels and Terminals (2.3.3)
D3XK 04	Organise, Deliver And Maintain Reliable Customer Service (6.1.1)
D3XL 04	Improve the Customer Relationship (6.1.2)
D3XM 04	Work with Others to Improve Customer Service (6.1.3)
D3XN 04	Monitor and Solve Customer Service Problems (6.1.4)

An assessment strategy for the SVQ

As part of its review of the SVQs, the standards-setting body Port Skills and Safety Limited (PSSL), 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 requirements of the assessment strategy are given in Section 6, 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 carries out the matching process but whoever has responsibility for this should ensure that the assessment opportunities available to the candidate are also considered.

An example

Gary had worked as a port operator for five years but did not possess any formal qualifications. He wanted to do a qualification which would give him national recognition of the skills he already had. As he had detailed knowledge of the port; was a competent port operator with a range of plant skills; worked as the responsible person in a gang; and was often involved in planning the shift and in team briefings; the Training and Development Manager in his company advised him to consider a level 3 SVQ in Supervision of Port Operations.

When the T&D Manager matched Gary's job remit and existing skills and experience with the SVQ, it emerged that Gary should be able to generate sufficient evidence to meet the requirements of the following SVQ Units:

♦ 1.1.1 Provide Leadership for Your Team (MSC B5)
♦ 7.1.1 Develop Productive Working Relationships with Colleagues (MSC D1)
♦ 2.1.1 Control and Monitor Loading and Discharge Operations within a Port
♦ 3.1.3 Plan Vessel Loading and Discharge within a Port Environment
♦ 2.3.1 Ensure the Operational Readiness of the Port Terminal

The T&D Manager arranged for an assessor within the company to provide Gary with guidance on how to collect evidence and construct a portfolio to achieve these Units.

Gary also had some experience in relation to three further Units. However some planning was required in order to provide him with the opportunity to demonstrate competence in these areas.

The Units were:

♦ 4.1.1 Take Action to Reduce Risks to Health and Safety within a Port Environment
♦ 4.4.1 Make Initial Investigations into Incidents in Ports
♦ 4.2.2 Undertake Safety Inspections

The T&D Manager arranged for Gary to spend some time with the health and safety department and to make some visits to other ports to compare risk management practices. A simulated emergency situation was set up for the assessment of the second Unit and plans were made to assess the third Unit through a combination of observation, questioning and assessment of work products.

Gary had no experience of the areas covered by the final two Units, which were:

♦ 5.1.1 Promote and Maintain Security in Ports
♦ 8.1.1 Provide Learning Opportunities for Colleagues (MSC D7)

Since Gary's job remit would not cover all these areas of the SVQ, the T&D Manager arranged for him to be allocated to the security department of the port and he received all relevant policy documents and written procedures. In relation to the second Unit, it was organised for him to work shadow the senior training instructor for observation and for an explanation of good practice in relation to how to assess learning needs and support other port operators.

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

2 Preparing to assess the SVQ

This section offers practical advice on how to begin to go about assessing your candidates for the SVQ. This advice is offered as examples of good practice — you may develop your own approaches to assessing your candidates which also work well.

Your role and your candidate's role

Assessing the SVQ will involve several stages. Both you and the candidate should be clear on your roles in the assessment process before you begin.

Your role

♦ ensure candidates understand what is to be assessed and how it is to be assessed

♦ ensure the conditions and resources required for assessment are available

♦ help candidates to identify and gather evidence

♦ observe and record candidates carrying out the activities described in the standards — records should say what has been observed, how it was carried out, and what it demonstrates

♦ assess products of the candidate's own work

♦ question candidates and record results

♦ help candidates to present evidence

♦ authenticate the evidence candidates provide

♦ judge evidence and make assessment decisions

♦ identify gaps or shortfalls in candidates' competence

♦ provide feedback to candidates throughout the assessment process

♦ record achievement

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 or 'D-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 1.1.1 *Provide Leadership for Your Team* and 4.1.1 *Take Action to Reduce Risks to Heath and Safety within a Port Environment.*

Assessment plan

Unit:1.1.1 Provide Leadership for Your Team (MSC B5)					
Activities	**Outcomes**	**Method of assessment/Sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units**
Tool Box Talk at beginning of two shifts — Container Terminal Grid Team Briefing Meeting Need to arrange to observe a team briefing, chaired by Gary Must discuss whether more innovative and conflict evidence can be gathered from other activities	1,3,7,9,10	Direct Observation Witness Testimony from superintendent	02.05.06 and 09.05.06 15.05.06	One previous tool box talk observed on 9.03.06	4.1.1 Outcomes 1,2,3,5
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review	To identify the outcome of any action points allocated by Gary at the team meeting to ensure SMART objectives are achieved.	To check with candidate the shift achievements and the necessary documentation to look at how well it performed and with the benefit of hindsight what changes/improvements could be made in the future.	Question candidate about evidence relating to how he deals with difficulties when they arise. To give examples	Question candidate re standards of work expected	Arrange an evaluation of one of his meetings to check the views of his staff, ie their trust and views of his motivation/leadership skills

Assessor's signature:	*Douglas Brown*	1st review due:	*1 July 2006*
Candidate's signature:	*Gary Simpson*	2nd review due:	*1 August 2006*
Date of agreement:	*1 May 2006*	Date of completion:	*N/A*

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: more realistic to job role, familiarity with conducting everyday operational activity, easier and more interesting compared to a classroom environment, more confident as accustomed to the location and no restriction to a specific date, assessed when candidate believes they are ready.

The challenges might be: candidate operates on shiftwork however assessor only works days, pressures of work mean that assessments may need to be re-arranged at the last minute, equipment breakdown, dangers/distractions of others working alongside, noise/unpredictable environmental changes, poor visibility for photographic evidence requirement, unavoidable delays to ongoing operations, assessor unexpectedly needing to re-arrange observations planned, different part of the Unit having to be assessed in different locations and at various points of the day rather than the full operation being witnessed over a short timeframe, health and safety precautions/security constraints making assessment difficult/more time consuming

An example

You might agree with a candidate working in the port industry, who has to demonstrate how to provide leadership for the team, that this will be carried out by **observation** as and when such situations arise. If you are an assessor at the same work location who can attend any tool box talk the candidate delivers prior to a shift, you should be well placed to observe the candidate's 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 evaluation, and questioning.

Observation

Observation by an assessor is often 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.

Tool box talk

A regular feature within the port environment is to conduct or attend tool box talks. Similar to 'buzz meetings' the objective is to explain the working requirements of a particular shift, the PPE necessary, and any particular hazards to watch out for or safety issues to consider. If anyone has other suggestions, for example methods of working, this can be discussed during this informal forum. It tends to take place on the quayside immediately before the shift commences and is unlikely to take more than 10 to 15 minutes, depending upon the circumstances/complexity of the job at hand.

You may decide to observe the candidate deliver up to three tool box talks which, as mentioned above, would normally take place at the beginning of a shift. This would provide useful evidence for a number of the Units including *providing leadership for your team* and show their ability to set objectives, communicate their knowledge in relation to a particular vessel effectively, steer the team and involve team members in the operational requirements. At the end of the tool box talk the assessor would need to supplement this evidence with oral questions in relation to how the candidate will monitor progress throughout the shift, more information about their management style and how they respond to difficulties/conflicts that may arise and how they manage the different motivations of their team.

Product evaluation

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 those on the following pages.

The product may be a job allocation sheet which shows the candidate's attendance at a particular vessel, stating the plant the candidate operated that day and signed by the supervisor. It may be documentation from a customer receiving a delivery of goods in a satisfactory condition.

If a candidate was a witness to an accident they would need to complete the relevant Company Accident Notification Form and comply with the company procedures. They would complete a personal statement to describe why it was relevant and the assessor would supplement with additional questions. This form could be useful evidence for the candidate's portfolio in relation to how they deal with difficulties and could be cross referenced over a number of Units.

Questioning

Candidates have to show that they can meet the knowledge specifications for the SVQs. For the Ports 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.

The assessor may want to ask specific oral questions in relation to how the shift progressed following their attendance at the initial tool box talk to identify whether everything went according to plan and if not, how the candidate dealt with any difficulties that arose. The answer may be that it was discovered that one of the pre-slung packs of timber that was being discharged had been damaged. This was reported to the candidate and they contacted the engineering department to provide the necessary lifting tackle. The team were informed not to move this set of timber until an alternative sling was set up.

The assessor may want to check the candidate's knowledge of HSE legislation and the procedure to be followed when planning a job that has not been carried out before. The answer would be the need to complete a risk assessment. This may be followed up by a simulation exercise.

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 carried out 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.

Personal statements may be added to the individuals' diary of evidence when they have carried out an operational activity which forms useful evidence for his portfolio, in the absence of the assessor. When, during quiet periods a candidate is transferred to another port, there may be opportunities to gather useful evidence of other work for their portfolio. The candidate would complete their diary of evidence indicating the date, time, supervisor on duty (who will also provide a witness testimony), a summary of the activity undertaken and the relevant Unit/Outcome the evidence of competence is applicable to.

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.
	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.

Witness testimony is a useful back-up piece of evidence when a candidate has been transferred to a different port and allows them to provide useful evidence of competence for their SVQ. The candidate would complete their diary of evidence (personal statement) and ask the supervisor in charge of the operations to complete a witness testimony to confirm the candidate's abilities and duties undertaken, and plant operated during the transfer. **The supervisor would complete the relevant form and would need to be able to demonstrate their knowledge of the port environment and the SVQ being completed. The assessor may check the details completed with the candidate and the supervisor to ensure authenticity.**

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 performing a task 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.

Port Skills and Safety Limited 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 refer to the assessment strategy in Section 6.

Sometimes the performance evidence cannot be derived from the candidate's normal working activities, eg the Unit requires the candidate to operate a piece of plant machinery in the hold of the vessel. This type of requirement is rarely needed in the stevedoring function at the candidate's base port, so the assessor could set up a simulation as close as possible to a real situation in a warehouse and restrict the use of space accordingly. A realistic simulation could then be undertaken.

The Unit may require the candidate to deal with waste materials and spillage however this is a situation that the port would not want to encourage and therefore will expect a simulation to be set up. The assessor would observe how the spillage may be dealt with and supplement with questioning.

Other sources of evidence

Other sources of evidence can be previous experience or learning, case studies or assignments. The port may use evidence of competence gained from successful completion of the induction or training programmes. This would be used as APL and added to their portfolio, if proven to be authentic and relevant to the Units undertaken by the candidate and completed within a reasonable timescale.

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

There are blank forms which you can copy and use in assessment in Section 8.

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):	1.1.1		
Candidate:	Gary Marshall	**Date of observation:**	2 May 2006
Evidence index number: 10			

Skills/activities observed:	Outcomes covered:
Delivery of a Tool box talk to an allocated gang of 10 port operators in the container terminal. Saw the candidate obtain acceptance of the purpose of the discussion and agreed SMART objectives allocated. He asked open questions to ensure understanding of his explanations and listened to any ideas for alternative methods of working that were offered by Kenny. One idea in particular led him to re-arrange his plans to benefit the smooth running of the operation. As one of the team members kept very quiet, he asked him a question and agreed his assistance/obtaining his engagement.	1, 3, 7, 9 and 10

Knowledge and understanding apparent from this observation:
It was obvious that he understood the operation to be undertaken and had demonstrated this during his explanation of the purpose of the shift. He understood the importance of compliance with Health and Safety requirements and pointed out any risk assessments that had been completed and the control of hazards.

Other Units Unit 4.1.1 Outcomes 1, 2, 3, 5

Assessor's comments and feedback to candidate:
I gave positive feedback to the candidate and explained I would need to ask him some questions at the end of the tool box talk to follow up other areas not observed directly. I also explained that I would want to observe at least two further tool box talks before I would be satisfied that sufficient evidence of competence had been gathered

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *Douglas Brown*   Date: *2 May 2006*

Candidate's signature: Gary Marshall   Date: 2 May 2006

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: 1.1.1	Outcomes: 7 and 9

Evidence index number: 11

Circumstances of assessment:

A tool box talk was observed on 2 May 2006 which covered Outcomes 1, 3, 7, 9 and 10. I wanted to follow up the talk with some additional oral questions to ensure that sufficient evidence within this Unit was gathered and I was able to judge his underpinning industry specific knowledge and understanding.

List of questions and candidate's responses:

Q: How did you monitor progress relating to the objectives set at the tool box talk?

A: I spoke to each of the members of the gang at regular intervals and ensured they knew to contact me if they had any difficulties. One member did report a damaged sling and I was able to inform engineering and then communicate requirements to the team.

Q How did you deal with the disruption to work flow when gang members had to have break periods?

A: I ensured that only two members had a break at the same time to allow the ongoing smooth running of the job.

Q: Why did you explain the completion of risk assessments and check their protective equipment?

A: It is a health and safety requirement to have risk assessments carried out on any method of work. Port operators need to be aware of these and understand any safety precautions they need to take. Not only should the necessary protective equipment be worn at designated locations but it needs to be fit for purpose and in a reasonable condition.

Assessor's signature: *Douglas Brown*	Date: *2 May 2006*

Candidate's signature: Gary Marshall	Date: 2 May 2006

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 covered
15 May 2006	20	I was transferred to Rosyth and the port was quiet and was asked to chair a team briefing. As I had previously worked at Rosyth and knew the different personalities and their motivations, I was able to chair this discussion on a new piece of equipment that had already been implemented at Grangemouth. I prepared how I was going to undertake the briefing beforehand and took some useful handouts to distribute. I considered the specific hazards in relation to the port location and anticipated any areas of conflict in relation to resistance to change that may arise. I enclose a copy of the minutes from the meeting. (Evidence Index 19)	18 — See Witness Testimony from Andrew Maclean, the superintendent 19 — See minutes from Team Briefing	1.1.1 and 4.1.1

Signed (candidate):   Gary Marshall

Date: 15 May 2006

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.

Witness testimony

SVQ title and level:	Supervision of Port Operations
Candidate's name:	Gary Marshall
Evidence index no:	18
Index no of other evidence which this testimony relates to (if any):	19 and 20
Unit (s):	1.1.1, 4.1.1
Date of evidence:	15 May 2006
Name of witness:	Andrew Maclean
Designation/relationship to candidate:	Superintendent whilst working at Rosyth

Details of testimony:

Because of Gary's extensive experience of using this piece of equipment at Grangemouth and its recent introduction to Rosyth I asked him to chair a team briefing to my staff. The purpose of this meeting was to explain its uses, alleviate any fears and respond to any questions and concerns raised.

Gary chaired the meeting on 15 May 2006 and the meeting achieved its purpose. He discussed the hazards associated with the equipment and how to take reasonable precautionary measures.He set out a meeting plan and had prepared helpful handouts to distribute. He responded to questions asked about difficulties with the piece of equipment and the importance of its ongoing maintenance to ensure it doesn't cut out.

He accepted an idea from the team in relation to how to use the gears more smoothly and agreed to stay for an hour after the meeting and monitor the plant's use on the quayside.

He produced an agreed set of minutes after the meeting. These are displayed on the noticeboard. To assist him with his SVQ I allowed him to circulate a meeting evaluation form following the team briefing asking all staff their views of his style, their motivations and general feedback on his performance. These were collated and analysed.

I can confirm the candidate's evidence is authentic and accurate.
Signed by witness:*Andrew Maclean*   Date:*15 May 2006*

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

☐   Holds A/V Award

☑   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 these SVQs such gaps are likely to occur in generating evidence for performance in an area of work rarely required at that port location.

You may be able to overcome these by transferring to another port or department where this kind of activity is undertaken (where practicable) or simulate as realistically as possible and supplement with oral questions.

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.

An example

When the candidate is transferred to another port location, the assessor is unable to directly observe competence. This is when you need the candidate to show proof of the work activity carried out, which they consider to be relevant for their portfolio. This proof may include the completed job allocation sheet signed by the supervisor which details the tasks they performed, the candidate's diary of evidence explaining what they were driving, the cargo type and operation. It may also be supplemented by a photograph of the candidate performing the activity and a witness testimony from the superintendent confirming their performance and achievements.

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.

- ◆ Unit progress record.
- ◆ Index of evidence.
- ◆ 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: Supervision of Port Operations at level 3

Candidate: Gary Marshall

To achieve the whole qualification, you must prove competence in 3 **mandatory** Units and 7 **optional** Units.

Unit Checklist (those completed highlighted in bold)

Mandatory	1.1.1	4.1.1	5.1.1									
Optional	4.2.2	4.4.1	2.1.1	2.3.1	3.1.3	7.1.1	8.1.1					

Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date
1.1.1	Provide Leadership for Your Team MSC B5	Douglas Brown	20.05.06
4.1.1	Take Action to Reduce Risks to Health and Safety within a Port Environment	Douglas Brown	31.05.06

Optional Units achieved

7.1.1	Develop Productive Working Relationships with Colleagues (MSC D1)	Douglas Brown	18.05.06
2.1.1	Control and Monitor Loading and Discharge Operations within a Port	Douglas Brown	9.05.06
2.3.1	Ensure the Operational Readiness of the Port Terminal	Douglas Brown	9.05.06

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: Supervision of Port Operations at level 3

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
10	Observation Record by Douglas Brown on 2 May 2006	Yes — See page 10	*KW 7/7/06*
11	Oral Questions and answers by D Brown on 2 May 2006	Yes — See page 11	*KW 7/7/06*
18	Witness Testimony by Andrew Maclean on 15 May 2006	Yes — See page 18	
19	Minutes of Meeting, agreed by A Mclean on 15 May 2006	No — see noticeboard	
20	Personal Statement by Gary Marshall re Team Briefing at Rosyth 15/5	No — see diary of evidence	

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.

Outcome achievement record

SVQ: Supervision of Port Operations at level 3
Unit: Provide Leadership for Your Team (MSC B5)

Evidence Index No	Description of Evidence	Outcomes										
		1	2	3	4	5	6	7	8	9	10	11
10	Tool box talk	✓		✓				✓		✓	✓	
11	Oral Questions				✓			✓		✓		
18	Witness testimony		✓	✓			✓	✓		✓		✓
19	Minutes of Meeting					✓		✓	✓		✓	
20	Personal Statement	✓		✓		✓	✓	✓				

Unit:1.1.1 Provide leadership for your team (MSC B5)

Notes/Comments

Gary commenced assessment of this Unit on 9 March and completed satisfactorily on 20 May 2006. Over this period he was assessed by observation carrying out three tool box talks on 9 March, 2 May and 9 May. He also provided useful evidence of leadership from a team briefing which he chaired in Rosyth on 15 May. This evidence was obtained from his personal statement, product evidence, minutes of meetings, an evaluation of the meeting and a witness testimony completed by the superintendent Andrew Maclean. Some of the evidence indexed will also be useful for other Units particularly 4.1.1, 7.1.1, 2.1.1, 3.1.3 and 2.3.1.

He responded well to additional questions asked by the assessor to ensure sufficient evidence of underpinning knowledge and understanding. The photographic evidence gathered continue to add authenticity to the portfolio.

He remains a motivated candidate and is progressing well towards his SVQ.

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

Candidate: Gary Marshall   Date: 24/5/06
Assessor: Douglas Brown   Date: 20/5/06
Internal Verifier: Kenny Wotheringham   Date: 20/5/06

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5   Further information

What else should I read?

The publications listed here provide additional information on how to implement SVQs. Details of these and other SQA publications are available on our website at **www.sqa.org.uk** on the 'Publications, Sales and Downloads' section. They can be ordered from SQA's 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**

NB The complete set of National Qualificational Standards for the Port Operations and Supervision of Port Operations SVQs can be found on SQA's website **www.sqa.org.uk** under the Transport Services SVQ subject-specific section.

6   Ports Skills and Safety Limited Assessment Strategy Requirements

Port Operations level 2 and Supervision of Port Operations level 3

Assessment Strategy for SVQs in Port Operations and Supervision of Ports Operations

Introduction

Port Skills and Safety Limited (PSSL), is the Government approved national body tasked with setting standards of best practice for port operations.

Working with key stakeholders in this industry, including employers, the HSE, unions and education bodies, PSSL has developed a suite of standards covering the activities undertaken by port operatives and their supervisors.

Purpose of the assessment strategy

This assessment strategy sets out the overarching principles for the assessment of SVQs in Port Operations. These principles complement the associated requirements of the regulatory bodies for SVQs.

Assessment should be effective without being overly burdensome, and suitably qualified and experienced assessors, internal verifiers and external verifiers must be allowed to apply their professional judgement, whilst ensuring that they comply with the assessment guidance and requirements regarding evidence in a consistent manner.

As above, prospective, or approved centres offering SVQs in Port Operations, need to be aware of the requirements of the strategy.

The strategy applies to all Units of the SVQs in Port Operations with the exception of those listed below, where the relevant ENTO Health & Safety and Learning & Develop Assessment Strategies will apply:

♦ Monitor Procedures to Control Risk to Health and Safety (ENTO B)
♦ Conduct an Assessment of Risk in the Workplace (ENTO G)
♦ Enable Individual Learning through Coaching (L12)
♦ Assess Candidates using a Range of Methods (A1)

Assessment in the workplace

PSSL considers it essential to the validity of the SVQs that performance be assessed in the workplace. All of the units of competence within the Port Operations standards are designed to reflect best practice by practitioners in real workplace settings. The standards have been tested to ensure that performance evidence can be collected in a reasonable time and cost. There are no circumstances where performance cannot be assessed by the use of one or more of the established assessment methods including, observation, the scrutiny of documentary evidence and reports, and the use of witness testimony.

Assessment of SVQs in Port Operations must include observation of the candidate's performance. However, observation by either the assessor and/or an expert witness need not be the only form of assessment. As above, there are several further established methods of assessment, and all are acceptable for use when assessing these SVQs.

Where a candidate is not in a position to provide evidence across a particular Unit(s) due to their current assignment or position, they will need to agree upon suitable opportunities to generate evidence, such as through work placement or simulation. This must be planned and agreed with the assessment centre and, if necessary, with the employer at the start of the qualification.

The evidence provided, together with information gained from discussion with, and questioning by, the assessor, should enable candidates to show that they:

♦ Have achieved all of the stated outcomes of effective performance.
♦ Have demonstrated all of the behaviours which underpin effective performance.
♦ Possess, and are capable of applying, all of the required aspects of knowledge and understanding.

Use of expert witness testimony

Observation of the candidate's performance will include some observation by the assessor and it is also anticipated that observation may also be undertaken by a relevant 'subject matter' expert(s). A subject matter expert, or 'expert-witness', must:

♦ Be occupationally competent in the activity which they witness and would be considered to be a 'good role model' for the candidate.
♦ Understand the national occupational standards covering the activity about which they are providing witness testimony.

Use of simulation

Simulation should not be viewed as the main source of performance evidence of SVQs. PSSL believes that the most reliable evidence is generated through work activities occurring naturally in the workplace.

There are some particular Units and isolated requirements within the standards for Port Operations for which candidates may not always be able to produce evidence

from the workplace within an acceptable timeframe and for which simulation will therefore be an acceptable form of assessment. Indeed, within some aspects of health and safety, and in dealing with emergencies, there are sophisticated simulation procedures available which may offer an appropriate alternative for the assessment of competence.

It is recognised, therefore, that there will be situations where individual candidates may find it difficult to provide performance evidence derived from their normal working activities. In these situations simulation can be considered as an option. Particular Units where simulation may be appropriate are identified below.

If simulation is required, then this must be agreed with the external verifier, who will decide whether the circumstances warrant its use. Simulation should be allowed only when other sources of performance evidence cannot be assessed effectively without undue burden upon the candidate. External verifiers should discuss these situations with the assessor and candidate, and be able to establish a rationale for the decision. The awarding body is responsible for the parameters under which simulation should operate in order to avoid the use of invalid and unacceptable practice.

Units where simulation ***must not*** be used include:

Standards for port operations (level 2 SVQ)

Unit 7.1.1	Provide Leadership for Your Team
Unit 7.1.2	Allocate and Check Work in Your Team
Unit 7.2.1	Develop Productive Working Relationships with Colleagues
Unit 8.1.1	Manage Your Own Resources

Standards For The Supervision Of Port Operations (Level 3 SVQ)

Unit 4.2.3	Monitor Procedures to Control Risk to Health and Safety
Unit 4.2.5	Conduct an Assessment of Risk in the Workplace
Unit 8.1.2	Enable Individual Learning through Coaching
Unit 8.1.3	Assess Candidates using a Range of Methods
Unit 6.1.1	Organise Deliver and Maintain Reliable Customer Service
Unit 6.1.2	Improve the Customer Relationship
Unit 6.1.3	Work with Others to Improve Customer Service
Unit 6.1.4	Monitor and Solve Customer Service Problems
Unit 1.1.1	Provide Leadership for Your Team
Unit 1.2.1	Encourage Innovation in Your Team
Unit 1.2.2	Plan Change
Unit 1.2.3	Implement Change
Unit 1.3.1	Promote Equality of Opportunity and Diversity in Your Area of Responsibility
Unit 7.1.1	Develop Productive Working Relationships with Colleagues
Unit 8.1.1	Provide Learning Opportunities for Colleagues
Unit 8.2.1	Manage Your Own Resources and Professional Development

Examples of Units where simulation may be appropriate include:

Standards for port operations (level 2 SVQ)

Unit 4.1.4   Survive in the Water
Unit 4.2.1   Respond to Shore-based Emergency Situations
Unit 4.2.2   Respond to a Pollution Incident
Unit 4.2.3   Administer First Aid
Unit 4.2.4   Respond to Emergency Situations aboard Vessels

Standards for the supervision of port operations (level 3 SVQ)

Unit 4.4.2   Manage Port Users in an Emergency
Unit 4.4.3   Respond to an Incident within a Port Environment
Unit 4.4.4   Administer First Aid

Occupational expertise of assessors and verifiers

It is important that assessors, internal verifiers (IVs) and external verifiers (EVs) of SVQs have appropriate occupational expertise to fulfil their roles. This is required in addition to the achievement of the further requirements specified in national codes of practice and encompassed within the quality assurance procedures of the awarding bodies. The assessment process must be credible, and assessors and verifiers perform an essential role in achieving this.

Occupational expertise of assessors

Assessors for the SVQs in Port Operations must:

♦ Have relevant and credible expertise and experience in port operations appropriate to the level of the SVQ that they are seeking to assess, and to the pathway being progressed by the candidate. This will normally include at least two years' experience in the relevant port operations. Therefore, to assess SVQs at:

   — level 3, the assessor must be operating, or have operated, at a supervisory level or above, and/or within a relevant training function with responsibility for training port supervisors

   — level 2, the assessor must be operating, or have operated, at a technical/operational level or above, and/or within a relevant training function with responsibility for training port operatives

♦ Possess, or be working towards, the required qualifications and requirements for assessors as specified at the time and agreed in national codes of practice, and where an assessor is still completing the qualification then their assessment decisions should be countersigned by a qualified assessor.

♦ Keep up to date with developments in relevant port operational practice.

♦ Have a thorough understanding of the national occupational standards making up the SVQs which they are seeking to assess.

Occupational expertise of internal verifiers

Internal Verifiers for the SVQs in Port Operations must:

♦ Have an understanding of the role being verified, based upon some occupational expertise and experience in port operations appropriate to the level of SVQ that they are seeking to internally verify, and to the pathway(s) being progressed.

♦ Possess, or be working towards, the required qualifications and requirements for IVs as specified at the time and agreed in national codes of practice, and where a verifier is still completing the qualification then their verification decisions should be countersigned by a qualified Internal Verifier.

♦ Keep up to date with developments in relevant port operational practice.

♦ Have a thorough understanding of the national occupational standards making up the SVQs which they are seeking to internally verify, and be able to provide advice upon the interpretation of the standards.

7 Generic Assessment Guidance including Mandatory and Optional Units with Assessment Guidance

Generic Assessment Guidance

Port Operations/Supervision of Port Operations

Evidence Requirements

Each Unit of the qualification contains the main headings:

1   Outcomes of effective performance — what you must do
2   Knowledge and Understanding — what you must know

Some of the Units also contain an additional section:

3   Behaviours which underpin effective performance — how you must do it

The amount and type of evidence used to prove competency is very much dependant upon the professional judgement of the assessor. However, due to the technical/hazardous nature of many of the activities required of the qualification, additional guidance on the type and amount of evidence required under each of the above headings is detailed below.

Outcomes of effective performance

Consistent competent performance must be demonstrated for a Unit with a minimum of three different examples of performance of the Unit activity being carried out. Each example of performance must cover all the numbered outcomes, at least one of which must include a direct observation by the assessor or testimony from an expert witness. Where any part of these requirements is not achievable, clarification should be sought from the internal verifier who may consult the external verifier ie where direct observation is not possible, for example a particular function is not covered within their job, other arrangements may contribute if unsure eg the use of simulation (subject to restrictions detailed in the simulation section below).

Wherever possible evidence should be sought covering several Outcomes simultaneously. This will minimise the amount of assessment activity and make the process more efficient.

Behaviours which underpin effective performance

Where required behaviours have been listed, the learner must provide at least one piece of evidence for each behaviour to show how they have been applied to underpin the appropriate performance Outcomes. The most appropriate methods for this are questioning by the assessor, professional discussion or personal statement.

Knowledge and Understanding

Where the candidate's knowledge and understanding (and the handling of contingency situations) is not apparent from the performance evidence, it must be assessed by other means and be supported by suitable evidence. It is suggested that the most appropriate methods are oral questioning and professional

discussion. Assessors should ask enough questions to be able to determine that the candidate has the appropriate level of knowledge and understanding as required by the Unit.

Assessment Methods

To ensure competency is demonstrated for/towards each Unit of the qualification, a variety of evidence can be used, this could include:

♦ Observation
♦ Expert Witness Testimony
♦ Personal Statement
♦ Work Products
♦ Professional Discussion
♦ Question and Answer
♦ Simulation

Observation

Observation of the learner undertaking the required activities is the main method of ensuring competency in the performance Outcome required of each Unit. This can be achieved through a formal observation by the assessor or via expert witness testimony (see below). Observation of certain activities may be conducted under simulated conditions as an exception and this is detailed in the simulation section below.

Expert Witness Testimony

Due to the nature of port operations it is not always practicable for the assessor to undertake all the required observation of learner performance. It is also the case in many ports that formal competency assessments are performed for in-house training or regulatory purposes. Therefore testimony from a working colleague can be a valuable source of evidence. The expert witness would normally be a supervisor or trainer, know the requirements of the Unit, be familiar with the qualification and be prepared to sign the testimony.

The witness testimony must include;

♦ the witness' signature, printed name, contact location (eg department/address/telephone number)
♦ a statement showing the professional relationship with the candidate (eg supervisor, trainer, colleague)
♦ a description of the specific activity witnessed
♦ a description of when and in what context the activity was observed
♦ a clear indication of how the testimony relates to the criteria being witnessed

A witness must be technically competent in the activity that they are providing testimony for, to at least the same level of expertise as that required of the candidate.

Personal Statement

These are statements produced by the candidate, detailing activities they have undertaken and what has been learnt from them. These statements would normally be used as evidence toward the behavioural and knowledge and understanding criteria within the Unit.

Work Products

When undertaking a working activity, the learner may be required to complete forms, enter data into a computer or write reports. Provided such products can be directly attributed to the learner, they can be used as evidence toward relevant Performance Criteria.

Work products could also include a written report prepared by the learner detailing a work place project they have undertaken.

Professional Discussion

A professional discussion is a pre-planned interview with the learner, assessor and expert witnesses. It could be recorded to tape or as a data file on a digital voice recorder and will include the learner explaining what they have done to meet the requirements of the various Unit criteria, the assessor asking questions and the expert witness confirming the candidates performance whilst at work. This could be a useful method in providing evidence for the behavioural criteria within each Unit.

Simulation

Simulation should not be viewed as the main source of performance evidence for SVQs. PSSL believes that the most reliable evidence is generated through activities occurring naturally in the workplace.

There are some particular Units and isolated requirements within the standards for Port Operations for which candidates may not always be able to produce evidence from the workplace within an acceptable timeframe and for which simulation will therefore be an acceptable form of assessment. Indeed, within some aspects of health and safety, and in dealing with emergencies, there are sophisticated simulation procedures available which may offer an appropriate alternative for the assessment of competence.

It is recognised, therefore, that there will be situations where individual candidates may find it difficult to provide performance evidence derived from their normal working activities. In these situations simulation can be considered as an option. Particular Units where simulation may be appropriate are identified below.

If simulation is required, then this must be agreed by the internal verifier with the external verifier, who will decide whether the circumstances warrant its use. Simulation should be allowed only when other sources of performance evidence cannot be assessed effectively without undue burden upon the candidate. External verifiers should discuss these situations with the internal verifier and the decision relayed to the assessor and candidate with an established rationale for the

decision. The awarding body is responsible for the parameters under which simulation should operate in order to avoid the use of invalid and unacceptable practice.

Examples of Units where simulation must not be used include:

Standards for Port Operations (level 2 SVQ)

Unit 7.1.1   Provide Leadership for Your Team
Unit 7.1.2   Allocate And Check Work in Your Team
Unit 7.2.1   Develop Productive Working Relationships with Colleagues
Unit 8.1.1   Manage Your Own Resources

Standards for the Supervision of Port Operations (Level 3 SVQ)

Unit 4.2.3   Monitor Procedures to Control Risk to Health And Safety
Unit 4.2.5   Conduct an Assessment of Risk in the Workplace
Unit 8.1.2   Enable Individual Learning through Coaching
Unit 8.1.3   Assess Candidates using a Range of Methods
Unit 6.1.1   Organise Deliver and Maintain Reliable Customer Service
Unit 6.1.2   Improve the Customer Relationship
Unit 6.1.3   Work with Others to Improve Customer Service
Unit 6.1.4   Monitor and Solve Customer Service Problems
Unit 1.1.1   Provide Leadership for Your Team
Unit 1.2.1   Encourage Innovation in Your Team
Unit 1.2.2   Plan Change
Unit 1.2.3   Implement Change
Unit 1.3.1   Promote Equality of Opportunity and Diversity in Your Area of
             Responsibility
Unit 7.1.1   Develop Productive Working Relationships with Colleagues
Unit 8.1.1   Provide Learning Opportunities for Colleagues
Unit 8.2.1   Manage Your own Resources and Professional Development

Examples of Units where simulation may be appropriate include:

Standards for Port Operations (level 2 SVQ)

Unit 4.1.4   Survive in the Water
Unit 4.2.1   Respond to Shore-based Emergency Situations
Unit 4.2.3   Administer First Aid
Unit 4.2.4   Respond to Emergency Situations Aboard Vessels

Standards for the Supervision of Port Operations (level 3 SVQ)

Unit 4.4.2   Manage Port Users in an Emergency
Unit 4.4.4   Administer First Aid

Question and Answer
This form of assessment will normally be used to test knowledge and understanding criteria within the Unit. However, it can also be used to explore how the learner would react to 'what if' scenarios related to the Outcomes or

behaviours. This is particularly useful where work based evidence is not naturally occurring.

Mandatory Units

Level 2 — Port Operations

Level 3 — Supervision of Port Operations

Unit 4.1.1: Take Action to Reduce Risks to Health and Safety within a Port Environment (F0DC 04)

What this Unit is about

This Unit is about working effectively to maintain the health and safety of yourself and others within your own area of operations in the port environment. It includes:

♦ complying with health and safety systems and procedures
♦ identifying hazards
♦ evaluating the levels of the different risks in your workplace
♦ monitoring activities around you
♦ taking relevant precautions to address the risks identified

Who this Unit is for

This Unit applies to everyone working within a port environment, whether they are working around cargo, within a harbour and with members of the general public.

Health and safety

This Unit is one of several addressing best practice when maintaining health and safety within a port environment. Others address working with dangerous cargo (Unit 4.1.2), working near water (4.1.3), surviving in water (4.1.4), working alone (4.1.5), working at heights (4.1.6), and working in confined spaces (4.1.7).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in taking action to reduce risks to health and safety, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	1	Communication	Intermediate 1
Problem Solving	1	Problem Solving	Intermediate 1
Working with Others	1	Working with Others	Intermediate 1

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1   You identify correctly potential hazards and areas of risk in your working area, and assess and prioritise the levels of risk associated with them.

2   You identify the proper precautionary actions to address potential hazards and areas of risk, and implement them correctly and promptly.

3   You wear, use and maintain the appropriate personal protective equipment at all times.

4   You keep within the designated areas at all times when walking and when operating plant and vehicles.

5   You establish and maintain contact with others involved in, or affected by, your operations, with your communications being clear, precise and unambiguous.

6   You work safely at all times, taking into account any changes to the operational and environmental conditions.

7   You maintain work areas correctly, ensuring that they are kept clean, tidy and free of obstructions.

8   You identify defective equipment and report it correctly and promptly, in line with your organisation's policies and procedures.

9   You deal with any waste materials and spillages promptly and correctly, using specified equipment and materials.

10 You report promptly those hazards representing a significant risk, or which are beyond your responsibility, to the persons responsible for health and safety in your area of operations.

11 You identify any breaches of health and safety regulations and procedures, addressing them immediately and appropriately.

Behaviours which underpin effective performance — how you must do it

1   You monitor all activities and the whereabouts of individuals within the vicinity of your area of operation, being vigilant for possible hazards, and take immediate and appropriate actions to address dangerous situations.

2   Your personal activities and attitude in the workplace are designed to maintain the health and safety of yourself and others around you at all times.

3   You respond quickly to problems with a proposed course of action.

4   You identify the implications or consequences of an action.

5   You take personal responsibility for making things happen.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You understand your own individual responsibility for maintaining health and safety as required by the Health and Safety at Work Act 1974 relevant to your area of operations.

Industry specific knowledge and understanding

2   You understand the requirements upon you of current HSE legislation and guidance relevant to the work being undertaken.

3   You know and understand current PSSL guidance relevant to the work being undertaken.

Organisational specific knowledge and understanding

4   You are aware of the types of hazard and principal areas of risk likely to be found within your area of work, and know the relevant precautions to be taken in addressing them.

5   You know and understand the workplace policies and procedures relating to controlling risks to health and safety within your organisation, including reporting procedures.

6   You know who the relevant persons are to whom you must refer health and safety matters and where they are based.

7   You know and understand workplace procedures for dealing with emergency situations.

Assessment Guidance

Candidates should be assessed mainly through direct observation to take action to reduce risks in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of health and safety regulations and local policies and procedures. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The assessor must be able to reach a fair decision from observing the involvement in the completion of risk assessments over at least three occasions to judge whether repetition of competent performance is achievable.

Evidence should come from watching the candidate take the appropriate and necessary precautions to protect the port from security risks. This should reflect a representative selection of port scenarios/situations/events that a candidate in the port industry is faced with. How the candidate demonstrates their handling of an emergency situation is likely to be assessed through questioning rather than observation of performance for reason of practicality and the fact that emergency situations are exceptional and hopefully unlikely to occur. In addition, simulation or questioning may be required to assess eg spillages to ensure if this should occur, the necessary response is checked without the need to delay assessment.

Evidence of the candidate taking appropriate emergency or responsive action should be gathered. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm the candidate's correct wearing of relevant PPE and safety procedures being complied with. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate.

Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is the crucial compliance with maintaining health and safety of oneself and others in a stevedoring, marine or passenger port environment. Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 5.1.1:   Maintain Security in Ports (F0C5 04)

What this Unit is about

This Unit is about maintaining a constant awareness for potential security risks within a port. It includes checking that only authorised personnel enter restricted and/or controlled areas.

It includes meeting the particular requirements of the International Ship and Port Security (ISPS) Code as it impacts upon everyone working within a port environment.

Who this Unit is for

This Unit applies to anyone whose responsibilities include working within a port.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

In addition, further Units address best practice in ensuring health and safety when dealing with dangerous cargo (Unit 4.1.2), working near water (4.1.3), surviving in water (4.1.4), working alone (4.1.5), working at heights (4.1.6), and in confined spaces (4.1.7).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this unit, in demonstrating competence in maintaining security, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	1	Communication	Intermediate 1
Working with Others	1	Working with Others	Intermediate 1

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You display your ID badge prominently in all restricted areas.
2 You are vigilant and identify those who are not eligible to enter restricted areas.
3 You identify correctly those individuals whose presence in the port area should be challenged.
4 When considered necessary, you challenge individuals within the port to justify their presence and to explain their activities.
5 Where necessary, you refer unauthorised individuals or vehicles promptly to the police or security personnel.
6 You advise security personnel promptly and accurately of potential security risks.
7 You notify security personnel promptly and correctly regarding suspicious items, taking the necessary action to ensure the safety of people in the vicinity.
8 You address security risks promptly and correctly.
9 You maintain accurate records of incidents, where you are required to do so.

Behaviours which underpin effective performance — how you must do it

1 You show respect and treat individuals politely and calmly.
2 You remain calm in difficult or uncertain situations.
3 You relay information to security personnel clearly, concisely and accurately.
4 You make appropriate information available promptly to those who need it.
5 You treat information regarding potential security risks with discretion and confidentiality.

Knowledge and understanding — what you must know

Industry specific knowledge and understanding

1 You know and understand the principal types of security risk within ports.
2 You know and understand the reasons for maintaining confidentiality when dealing with specific types of risk to security.
3 You know and understand the reasons for wearing and displaying a security badge.
4 You are aware of the relevant requirements from the ISPS Code and know and understand its impact for your personal responsibility.

Organisational specific knowledge and understanding

5 You know and understand your personal responsibility for maintaining security.
6 You know and understand the circumstances when it is appropriate to challenge individuals to justify their presence within the port.
7 You know and understand who the Port Facility Security Officer (PFSO) is for your organisation.

8   You know and understand your own responsibilities, and the limit of these responsibilities when addressing security in the port.

9   You know and understand your organisation's procedures for dealing with suspicious items, and for maintaining the safety of people in the vicinity of these items.

10 You know and understand your organisation's procedures for dealing with security risks.

Assessment Guidance

Candidates should be assessed mainly through direct observation to take action to maintain security in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of the legislation in relation to security measures to be taken and local policies and procedures. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The assessor must be able to reach a fair decision from observing the involvement in the security procedures that operate within their port environment.

The candidate needs to demonstrate their handling of a breach of security situation through questioning rather than observation of performance for reason of practicality and the fact that such incidents are exceptional and unlikely to occur. In addition, simulation or questioning may be required to assess eg security risks, incidents and challenging individuals to justify their presence in the port. The necessary response should be assessed without the need to delay assessment. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm that the candidate has consistently over a reasonable period of time demonstrated the correct wearing of ID. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a security nature may be relevant. To develop the candidate's competence in maintaining security, you may wish to consider allocation to the security gates within the port. Assessment of their involvement in dealing with visitors to the port, ensuring the visitors observe the rules surrounding access to restricted areas and completion of the security procedures and relevant recording could then be obtained. This could be supplemented by a witness testimony from the security Unit.

The emphasis of this Unit is the crucial compliance with security measures within a stevedoring, marine or passenger port environment. Assessors need to be satisfied that they have sufficient evidence of the candidate's knowledge and understanding of security legislation, the Company Security Policy and the relevant working practices that need to be adhered to.

Unit 7.1.1: Provide Leadership for Your Team (Man B5) (DR73 04)

What this Unit is about

This Unit is about providing direction to the members of your team, and includes motivating and supporting them to achieve the objectives of the team and their personal work objectives.

Who this Unit is for

This Unit is recommended for team leaders.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

In addition, further Units address best practice in ensuring health and safety when dealing with dangerous cargo (Unit 4.1.2), working near water (4.1.3), surviving in water (4.1.4), working alone (4.1.5), working at heights (4.1.6), and in confined spaces (4.1.7).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in providing leadership for your team, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Working with Others	2	Working with Others	Intermediate 2
Improving Own Learning and Performance	1		

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1   You set out and positively communicate the purpose and objectives of the team to all members.
2   You involve members in planning how the team will achieve its objectives.
3   You ensure that each member of the team has personal work objectives and understands how achieving these will contribute to achievement of the team's objectives.
4   You encourage and support team members to achieve their personal work objectives and those of the team and provide recognition when objectives have been achieved.
5   You win the trust and support of the team for your leadership through your performance.
6   You steer the team successfully through difficulties and challenges, including conflict within the team.
7   You encourage and recognise creativity and innovation within the team.
8   You give team members support and advice when they need it especially during periods of setback and change.
9   You motivate team members to present their own ideas and listen to what they say.
10 You encourage team members to take the lead when they have the knowledge and expertise, and show willingness to follow this lead.
11 You monitor activities and progress across the team without interfering.

Behaviours which underpin effective performance — how you must do it

1   You create a sense of common purpose.
2   You take personal responsibility for making things happen.
3   You encourage and support others to take decisions autonomously.
4   You act within the limits of your authority.
5   You make time available to support others.
6   You show integrity, fairness and consistency in decision-making.
7   You seek to understand people's needs and motivations.
8   You demonstrate behaviour that shows respect, helpfulness and co-operation.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know and understand the principal different ways to communicate effectively with members of a team.
2   You know how to set objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).
3   You know how to plan the achievement of team objectives and the importance of involving team members in the process.
4   You know and understand the importance of and being able to show team members how personal work objectives contribute to achievement of team objectives.

5   You know that different styles of leadership exist.

6   You know how to select and successfully apply a limited range of different methods for motivating, supporting and encouraging team members and recognising their achievement.

7   You know and understand the types of difficulties and challenges that may arise, including conflict within the team, and ways of identifying and overcoming them.

8   You know and understand the importance of encouraging others to take the lead and ways in which this can be achieved.

9   You know and understand the benefits of and how to encourage and recognise creativity and innovation within a team.

Industry specific knowledge and understanding

10 You know and understand the legal, regulatory and ethical requirements in the ports industry.

Organisational specific knowledge and understanding

11 You know the members, purpose, objectives and plans of your team.

12 You know the personal work objectives of members of your team.

13 You know the types of support and advice that team members are likely to need and how to respond to these.

14 You know and understand the standards of performance for the work of your team.

Assessment guidance

Candidates should be assessed mainly through direct observation supplemented by additional questioning as necessary. This evidence should be obtained of their leadership within the team over a period of time within a normal working environment. The assessor should be confident that the Outcomes have been produced by competent performance and the candidate is capable of repeating competent performance. This will need to be supplemented by questioning to confirm knowledge of the importance of recognising individual differences and showing flexibility when dealing with different situations and personalities at the same time as complying with the relevant codes of practice and procedure. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The assessor must be able to reach a fair decision from observing the involvement of the candidate leading a team. Observation of the candidate leading at least three tool box talks and team briefings/meetings will be relevant for this Unit.

The candidate needs to demonstrate their communications with their team, how they support team members and monitor their performance through setting goals and objectives and provision of constructive feedback. How they manage conflict and difficulties can be assessed indirectly through questioning and witness testimony rather than delaying assessment if the assessor has been unable to observe in the working environment. Those providing witness testimonies must be

occupationally competent and reliable to recognise and support the evidence of competence from the candidate.

The emphasis of this Unit is on their leadership skills within a stevedoring, marine or passenger port environment. Assessors need to be satisfied that they have sufficient evidence of the candidate's knowledge and understanding of the needs of the team, how to ensure the best performance from the team, through effective communications, objective setting, monitoring and adhering to standards of performance. The candidate will need to prove he/she can manage conflict and deal with any difficulties when leading the team whilst complying with employment legislation and company procedure.

Unit 7.1.2: Allocate and Check Work in Your Team

(Man D5) (DR3W 04)

What this Unit is about

This Unit is about ensuring that the work required of your team is effectively and fairly allocated amongst team members. It also involves checking on the progress and quality of the work of team members to ensure that the required level or standard or performance is being met.

Who this Unit is for

This Unit is recommended for team leaders.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

In addition, further Units address best practice in ensuring health and safety when dealing with dangerous cargo (Unit 4.1.2), working near water (4.1.3), surviving in water (4.1.4), working alone (4.1.5), working at heights (4.1.6), and in confined spaces (4.1.7).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in allocating and checking work in your team, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Problem Solving	2	Problem Solving	Intermediate 2
Working with Others	2	Working with Others	Intermediate 2

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You confirm the work required of the team with your manager and seek clarification, where necessary, on any outstanding points and issues.

2 You plan how the team will undertake its work, identifying any priorities or critical activities and making best use of the available resources.

3 You allocate work to team members on a fair basis taking account of their skills, knowledge and understanding, experience and workloads and the opportunity for development.

4 You brief team members on the work that they have been allocated and the standard or level of expected performance.

5 You encourage team members to ask questions, make suggestions and seek clarification in relation to the work they have been allocated.

6 You check the progress and quality of the work of team members on a regular and fair basis against the standard or level of expected performance and provide prompt and constructive feedback.

7 You support team members in identifying and dealing with problems and unforeseen events.

8 You motivate team members to complete the work that they have been allocated and provide, where requested and where possible, any additional support and/or resources to help completion.

9 You monitor the team for conflict, identifying the cause(s) when it occurs and deal with it promptly and effectively.

10 You identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with team members.

11 You recognise successful completion of significant pieces work or work activities by team members and the overall team and advise your manager.

12 You use information collected on the performance of team members in any formal appraisal of performance.

Behaviours which underpin effective performance — how you must do it

1 You make time available to support others.

2 You agree clearly what is expected of others and hold them to account.

3 You prioritise objectives and plan work to make best use of time and resources.

4 You state your own position and views clearly and confidently in conflict situations.

5 You show integrity, fairness and consistency in decision-making.

6 You seek to understand people's needs and motivations.

7 You take pride in delivering high quality work.

8 You take personal responsibility for making things happen.

9 You encourage and support others to make the best use of their abilities.

10 You are vigilant for possible risk and hazards.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know and understand the principal different ways of communicating effectively with members of a team.

2   You know and understand the importance of confirming/clarifying the work required of the team with your manager and how to do this effectively.

3   You know how to plan the work of a team, including how to identify any priorities or critical activities and the available resources.

4   You know how to identify and take due account of health and safety issues in the planning, allocation and checking of work.

5   You know and understand why it is important to allocate work across the team on a fair basis and how to do so.

6   You know and understand why it is important to brief team members on the work that they have been allocated and the standard or level of expected performance and how to do so.

7   You know and understand ways of encouraging team members to ask questions and/or seek clarification and make suggestions in relation to the work which they have been allocated.

8   You know effective ways of regularly and fairly checking the progress and quality of the work of team members.

9   You know how to provide prompt and constructive feedback to team members.

10 You know how to select and apply a limited range of different methods of motivating, supporting and encouraging team members to complete the work they have been allocated, improve their performance and for recognising their achievements.

11 You know and understand the additional support and/or resources which team members might require to help them complete their work and how to assist in providing this.

12 You know why it is important to monitor the team for conflict and how to identify the causes of conflict when it occurs and deal with it promptly and effectively.

13 You know why it is important to identify unacceptable or poor performance by members of the team and how to discuss the cause(s) and agree ways of improving performance with team members.

14 You know and understand the type of problems and unforeseen events that may occur and how to support team members in dealing with them.

15 You know how to log information on the ongoing performance of team members and using this information for performance appraisal purposes.

Industry specific knowledge and understanding

16 You know and understand the port specific legislation, regulations, guidelines, and codes of practice relating to carrying out work.

17 You know and understand the port industry requirements for the development or maintenance of knowledge, understanding and skills.

Organisational specific knowledge and understanding

18 You know the members, purpose and objectives of your team.

19 You know the work required of your team.

20 You know the available resources for undertaking the required work.

21 You know your organisation's written health and safety policy statement and associated information and requirements.

22 You know your team's plan for undertaking the required work.

23 You know the skills, knowledge and understanding, experience and workloads of team members.

24 You know your organisation's policy in terms of personal development.

25 You know the reporting lines in your organisation and the limits of your authority.

26 You know organisational standards or levels of expected performance.

27 You know organisational policies and procedures for dealing with poor performance.

28 You know organisational grievance and disciplinary policies and procedures.

29 You know organisational performance appraisal systems.

Assessment Guidance

This Unit is for team leaders. Evidence will mainly be gained from direct observation over at least three occasions at the beginning of a working shift or the beginning of a new piece of work/operation/vessel arriving. The team leader will be observed taking a tool box talk and allocating the tasks to each of the operators available. The assessor should obtain evidence of how the decisions were made when allocating. Photographic evidence of the Outcome may also be useful for this Unit. There should be access to the employees' training/skill records and the assessor should be able to demonstrate their understanding of the standards of work expected. If any task/operation is new to the port, a risk assessment would also need to be completed before commencing work. Where there is an employee who needs to practice a recently acquired skill, this should be taken into consideration and he/she should be allocated alongside a fully competent employee who can support him/her.

The assessor should be able to witness the team leader describing the work required to the team giving them an opportunity to ask questions/seek clarity before commencing their allocated task.

Any concerns or ideas from the team should be taken into consideration and where reasonable, the team leader should demonstrate flexibility and the ability to adapt the operation accordingly.

In addition to observing the allocation of work at the beginning of the shift, further evidence of competence could be gained from the team leader's ongoing monitoring of performance and response to difficulties/queries throughout the shift. Witness testimony from suitable others eg other team leaders working alongside or the superintendent on duty would also be useful.

Unit 5.1.1:   Promote and Maintain Security in Ports (F0D1 04)

What this Unit is about

This Unit is about promoting the importance of security and maintaining security procedures within a port environment.

Who this Unit is for

This Unit is recommended for all supervisors and other first line managers working within a port.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in promoting and maintaining security, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Working with Others	2	Working with Others	Intermediate 2

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1   You ensure that information regarding security procedures is up to date, is communicated clearly and is accessible to all members of your team.

2   You check that team members understand the importance of maintaining security, and their associated responsibilities, addressing any gaps in understanding promptly and correctly.

3   You identify and address correctly any concerns amongst your team members regarding security procedures.

4   You recognise and praise good practice in maintaining security.

5   You display your ID badge correctly and prominently in all required areas, including restricted zones.

6   You identify those individuals whose presence in the port area should be challenged, and where necessary, ask them to justify their presence and to explain their activities.

7   You address security risks promptly and correctly, advising security personnel correctly of potential risks.

8   You maintain accurate records of security incidents, where you are required to do so.

9   You review how security is promoted, and identify opportunities for enhancing security systems and culture within the workplace.

Behaviours which underpin effective performance — how you must do it

1   You express information about, and promote the importance of security clearly.

2   You present information concisely and accurately.

3   You show respect and treat individuals politely and calmly.

4   You remain calm in difficult or uncertain situations.

5   You make appropriate information available promptly to those who need it.

6   You treat information regarding potential security risks with discretion and confidentiality.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know and understand the importance of remaining alert to security risks in the whole workplace.

2   You understand the importance of reporting, or dealing with security risks promptly.

3   You understand the importance of keeping people informed regularly and discussing their involvement in maintaining security.

Industry specific knowledge and understanding

4   You understand the role of the enforcing body, Transec, in maintaining security within ports.

5   You know and understand the principal types of security risk within ports and the potential threat to security which they create.

6   You know and understand the reasons for maintaining confidentiality when dealing with specific types of risk to security.

7   You know and understand the reasons for wearing and displaying a security badge.

8   You are aware of the relevant requirements from the ISPS Code and the AMSA Act, and know and understand their impact for your personal responsibility in maintaining security.

9   You are aware of the reciprocal procedures required in maintaining security when boarding a vessel alongside.

Organisational specific knowledge and understanding

10 You know and understand your personal responsibility for maintaining security.

11 You know and understand the circumstances when it is appropriate to challenge individuals to justify their presence within the port.

12 You know and understand who the Port Facility Security Officer (PFSO) is for your organisation.

13 You know and understand your own responsibilities, and the limit of these responsibilities when addressing security in the port.

14 You know and understand your organisation's procedures for dealing with suspicious items, and for maintaining the safety of people in the vicinity of these items.

15 You know and understand your organisation's procedures for dealing with security risks.

16 You know and understand your workplace procedures for communicating with your team and security officials in your workplace.

17 You know and understand the relevant requirements of your Port Emergency Plan relating to security, including your responsibilities in the event of such an emergency.

Assessment Guidance

Candidates should be assessed by direct observation to promote the importance of security and maintain procedures within a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of the legislation in relation to security measures to be taken and local policies and procedures. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The assessor must be able to reach a fair decision from observing the involvement in promoting the importance of and maintaining the security procedures that operate within their port environment.

The candidate needs to demonstrate they have identified opportunities to enhance security and promote this culture. Assessment of this could be by means of a report completed to be considered by the relevant department responsibility for security within the port. Alternatively their discussions in relation to security at a team briefing may also be a means of gathering this type of evidence. Any encouragement or praise given at this meeting when employees have fully met security procedures including the wearing of the ID badge would also be useful evidence to record. Photographic evidence of the Outcome may also be useful for this Unit.

The assessor may need to set up a simulation of challenging a visitor who may be in a restricted zone without permission. This could be by means of a role play and would avoid the need to delay assessment and waiting for this exceptional security risk to occur. Parts of evidence for this Unit can be obtained from a witness testimony from the operations manager who should be able to confirm that the candidate has consistently over a reasonable period of time demonstrated

their attempts to promote security and maintain the procedures in use. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a security nature may be relevant. To develop the candidate's competence in maintaining security, you may wish to consider allocation to the security gates within the port. Assessment of their involvement in dealing with visitors to the port, ensuring the visitors observe the rules surrounding access to restricted areas and completion of the security procedures and relevant recording could then be obtained. This could be supplemented by a witness testimony from the security Unit.

The emphasis of this Unit is the promotion of a culture stressing the importance of security and maintaining procedures within a stevedoring, marine or passenger port environment. Assessors need to be satisfied that they have sufficient evidence of the candidate's knowledge and understanding of security legislation, the company security policy and the relevant working practices that need to be adhered to.

Sample of Optional Units with Assessment Guidance

Unit 4.1.3: Work Safely Near Water (F0DT 04)

What this Unit is about

This Unit is about working safely near water, particularly where you work near to the quay edge, and also when working in port vessels. It includes assessing the risks involved and taking all possible precautions to prevent falling into the water.

Who this Unit is for

This Unit applies to everyone working near water within a port.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

In addition, further Units address best practice in ensuring health and safety when dealing with dangerous cargo (Unit 4.1.2), surviving in water (4.1.4), working alone (4.1.5), working at heights (4.1.6), and working in confined spaces (4.1.7).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this unit, in demonstrating competence in working safely near water, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	1	Communication	Intermediate 1

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You follow your organisation's procedures and safe working practices at all times when working near water.
2 You maintain work areas correctly, ensuring that these are kept clean, tidy and free of obstructions and tripping hazards, with necessary barriers in place and in good working order.
3 Where required by your organisation, you wear the life jackets and other personal protective equipment provided, correctly at all times.
4 Where necessary, you locate promptly and use correctly the relevant life-saving equipment.
5 You raise the alarm immediately upon becoming aware of anyone in the water, and follow emergency procedures correctly.

6 You report all visible defects in relevant life saving equipment, identifying and reporting any defects correctly and promptly.
7 You ensure that all relevant life saving equipment is positioned correctly.

Behaviours which underpin effective performance — how you must do it

1 Your personal activities and attitude in the workplace are designed to maintain the safety of yourself and others around you at all times.
2 You respond quickly to problems with a proposed course of safe action.

Knowledge and understanding — what you must know

General knowledge and understanding

1 You know and understand your own individual responsibility for maintaining health and safety as required by the Health and Safety at Work Act 1974 relevant to your area of operations.

Industry specific knowledge and understanding

2 You know the purpose of the principal types of life-saving equipment used in ports relevant to rescue and surviving in water.
3 You know and understand current PSSL guidance relevant to working safely near water.

Organisational specific knowledge and understanding

4 You know and understand your organisation's procedures and working practices relevant to working near water.
5 You know and understand your organisation's emergency procedures for raising the alarm where anyone falls into the water.
6 You know and understand your organisation's procedures for rescuing persons from water.

Assessment Guidance

Candidates should be assessed mainly through direct observation to work safely near water, either when working ashore, on the quayside, or on the vessel itself. This assessment can be carried out over three occasions across a range of port locations that represent where the candidate tends to work. Potential hazards associated with each location should be assessed eg particular obstacles to be aware of, areas where stability may be more difficult due to exposure/unsheltered from the wind, areas where they need to be extra vigilant due to pedestrian access/passengers/crowds.

They should be observed using the appropriate method to access/egress the vessel. The access ladders/steps should be secure and free of damage before using. Areas accessed by foot may have painted lines and specific instructions that need to be followed. The candidate needs to be aware of how to use the rescue equipment or follow the ports' procedure should someone fall overboard. This will need to be supplemented by questioning to confirm knowledge of health and safety regulations and local policies and procedures. Questions may also be asked, relating to what they should do should they see any debris, cables, wires, strops lying on the quayside that may cause an obstruction.

When assessing knowledge and understanding, the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. Photographic evidence of the Outcome may also be useful for this Unit. The assessor must be able to reach a fair decision from observing the involvement in the completion of risk assessments over at least three occasions to judge whether repetition of competent performance is achievable.

Evidence should come from watching the candidate working safely near water and could be achieved through cross referencing with a number of other relevant Units. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm the candidate's correct wearing of relevant PPE and safety procedures being complied with. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is working safely near the water in a stevedoring, marine or passenger port environment. Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 4.1.7:   Work Safely in Confined Spaces (F0DP 04)

What this Unit is about

This Unit is about working safely when in a confined space as defined within relevant legislation. Such spaces, for example, can include the hold of a vessel or freight container. This Unit includes assessing the risks involved, and taking all suitable precautions including those relevant to ensuring adequate ventilation and safe access.

It is recognised that working practices in confined spaces are regulated and should be undertaken only where strictly necessary.

Who this Unit is for

This Unit applies to individuals who work, even if only occasionally, within a confined space, including in the hold of a vessel.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 *'Take action to reduce risks to health and safety within a port environment'* is recommended to everyone working within a port environment, and supports this Unit.

In addition, further Units address best practice in ensuring health and safety when dealing with dangerous cargo (Unit 4.1.2), working near water (4.1.3), surviving in water (4.1.4), working alone (4.1.5), and working at heights (4.1.6).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in working safely in confined spaces, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	1	Communication	Intermediate 1
Working with Others	1	Working with Others	Intermediate 1

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1   Before entering, you consider the risks associated with working within the confined space, taking note of all relevant hazard warnings and monitoring equipment, and you refer any concerns promptly and correctly to the relevant person.

2   You address identified risks correctly, implementing relevant precautionary actions before entering the confined space, including where appropriate, confirming that any ventilation equipment is operating correctly.

3   You obtain the relevant permit to work from an authorised person before entering the confined space.

4   Where relevant, you confirm that gas detectors are operating correctly and are suited to the atmosphere suspected to be present.

5   You undertake all appropriate checks correctly, including checking the air quality and the availability of safe access.

6   You wear suitable personal protective equipment, including where appropriate, masks suited for the purpose and in date.

7   You inform a relevant colleague immediately before work is about to commence, informing them that your work in the confined space is to start.

8   You maintain frequent contact with relevant colleagues, including a colleague outside the confined space.

9   You inform relevant people promptly once you have completed the task.

10 Work areas are left clean, tidy and free of obstructions.

Behaviours which underpin effective performance — how you must do it

1   Your personal activities and attitude in the workplace are designed to maintain the health and safety of yourself and others around you at all times.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know and understand your own individual responsibility relating to maintaining health and safety when working in confined spaces, and are aware of their link to Health and Safety legislation.

2   You know and understand the importance of using safe and well maintained equipment, and the dangers of failing to do so.

Industry specific knowledge and understanding

3   You know and understand the principal types of hazard associated with working in a confined space, including those associated with oxygen deficiency, contaminants, noise, sources of energy, temperature, falls, trips and slips, engulfment and entrapment.

4   You know and understand the risks associated with static discharges and how to minimise these.

5   You know and understand the principal factors to be considered when assessing the risks associated with working in a confined space.

6   You know and understand the precautions appropriate for minimising the risks associated with working in confined spaces.

7   You know and understand current PSSL guidance relevant to working in confined spaces.

A list of relevant HSE/PSSL documents will be appended to the NOS and will be updated as required.

Organisational specific knowledge and understanding

8   You know and understand your organisation's policies and procedures relating to working within confined spaces.

9   You know and understand workplace procedures for dealing with emergencies.

10   You know and understand the workplace policies and procedures relating to controlling risks to health and safety within your organisation, including reporting procedures.

11   You know and understand how to operate your organisation's safety and also personal protective equipment, appropriate for operating within confined spaces.

12   You know and understand all designated confined spaces in the port area within which you work.

13   You know and understand your organisation's 'Permit to Work' procedures.

Assessment Guidance

Candidates should be assessed mainly through direct observation to ensure they work safely in confined spaces and take action to reduce risks in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of health and safety regulations in relation to confined spaces and recognised local policies and procedures. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. Photographic evidence of the Outcome may also be useful for this Unit. The assessor must be able to reach a fair decision from observing the candidate taking the necessary precautions, using the mandatory safety equipment/harnesses and wearing the correct PPE. This assessment should be carried out in a work situation that is as realistic as possible, either in the hold of a vessel, in a silo bin or other area designated as a confined space in compliance with the legislation. The assessment should cover all Outcomes and demonstrate consistently the competency required in this important and specialised area. The port will be conducting mandatory training prior to any entry of a candidate into a confined space and the tutor may be asked for a witness testimony to supplement the assessment or, if agreed locally by the internal verifier, if the course is examined both theoretically and practically, it may count as APL.

Evidence should come from watching the candidate take the appropriate and necessary precautions to protect oneself and colleagues from health and safety risks. Obtaining a permit to work before commencement is absolutely necessary and a copy of this will provide useful product evidence in the candidate's portfolio. Communications with their supervisor or allocated other, should be ongoing during entry to the confined space. This may be by radio or mobile. Any concerns should be reported immediately through the necessary channels.

This assessment should reflect a representative selection of port scenarios/situations/events that a candidate in the port industry is faced with. The candidate needs to demonstrate he/she knows, understands and follows organisational procedures and guidelines for safety precautions and the communicating of any hazards identified and reporting of any defects to equipment to their supervisor without delay. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm the candidate's correct wearing of relevant PPE and safety procedures being complied with. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate.

The emphasis of this Unit is the crucial compliance of legislation and company policy whilst working in confined spaces maintaining health and safety of oneself and others. Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 8.1.1. Manage your own resources (Man A1) (DR64 04)

What this Unit is about

This Unit is about making sure you have the personal resources (particularly knowledge, understanding, skills and time) to undertake your work role, and reviewing your performance against agreed objectives. It includes identifying and undertaking activities to develop your knowledge, skills and understanding where gaps have been identified.

Who this Unit is for

This Unit is recommended for anyone with responsibility for managing their own resources and development.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

In addition, further Units address best practice in ensuring health and safety when dealing with dangerous cargo (Unit 4.1.2), working near water (4.1.3), surviving in water (4.1.4), working alone (4.1.5), working at heights (4.1.6), and in confined spaces (4.1.7).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in managing your own resources, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Working with Others	2	Working with Others	Intermediate 2
Improving Own Learning and Performance	2		

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You identify and agree the requirements of your work-role with those to whom you report.

2 You discuss and agree personal work objectives with those to whom you report and agree how you will measure progress.

3 You identify any gaps between the requirements of your work-role and your current knowledge, understanding and skills.

4 You discuss and agree, with those to whom you report, a development plan to address any identified gaps in your current knowledge, understanding and skills.

5 You undertake the activities identified in your development plan and discuss, with those to whom you report, how they have contributed to your performance.

6 You obtain regular and useful feedback on your performance from those who are in a good position to judge it and to provide you with objective and valid feedback.

7 You discuss and agree, with those to whom you report, any changes to your personal work objectives and development plan in the light of performance, feedback received, any development activities undertaken and any wider changes.

8 You check, on a regular basis, how you are using your time at work and identify possible improvements.

9 You ensure that your performance consistently meets or goes beyond agreed requirements.

Behaviours which underpin effective performance — how you must do it

1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.

2 You prioritise objectives and plan work to make best use of time and resources.

3 You take personal responsibility for making things happen.

4 You take pride in delivering high quality, accurate work.

5 You agree achievable objectives for yourself and give a consistent and reliable performance.

6 You find practical ways to overcome barriers.

7 You make best use of available resources and proactively seek new sources of support when necessary.

Knowledge and understanding — what you must know

General knowledge and understanding

1 You know and understand why managing your resources (particularly knowledge, understanding, skills and time) is important.

2 You know how to identify the requirements of a work-role.

3 You know how to set work objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).

4 You know how to measure progress against work objectives.
5 You know how to identify development needs to address any identified gaps between the requirements of your work-role and your current knowledge, understanding and skills.
6 You know and understand what an effective development plan should contain.
7 You know and understand the type of development activities which can be undertaken to address identified gaps your knowledge, understanding and skills.
8 You know how to identify whether/how development activities have contributed to your performance.
9 You know how to obtain and make effective use of feedback on your performance.
10 You know how to update work objectives and development plans in the light of performance, feedback received, any development activities undertaken and any wider changes.
11 You know how to record the use of your time and identify possible improvements.

Industry specific knowledge and understanding
12 You know and understand port industry requirements for the development or maintenance of knowledge, understanding and skills.

Organisational specific knowledge and understanding
13 You know and understand the agreed requirements of your work-role including the limits of your responsibilities.
14 You know and understand your agreed personal work objectives.
15 You know the reporting lines in your organisation.
16 You know your current knowledge, understanding and skills.
17 You know identified gaps in your current knowledge, understanding and skills.
18 You know and understand your personal development plan.
19 You know your organisation's policy and procedures in terms of personal development.
20 You know available development opportunities and resources in your organisation.
21 You know possible sources of feedback in your organisation.

Assessment Guidance

Candidates should be assessed mainly by questioning and some direct observation to manage their own resources. Some of the evidence for this Unit could be gained from the candidate's performance and input at the pre-assessment planning stage where a discussion took place with the candidate to decide upon the most appropriate Units (the priorities) and the skills/knowledge needed. This meeting will lead to the development of a plan and objectives for how gaps will be addressed and what arrangements need to be made to develop the candidate in areas of need. A review of this meeting can then be arranged eg three months later, to review actions and performance against the objectives set. Feedback on progress with other Units will also be provided and feedback should also be received from the candidate. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. Photographic evidence of the Outcome may also be useful for this Unit. The assessor must be able to reach a fair decision from observing the involvement in the completion of risk assessments over at least three occasions to judge whether repetition of competent performance is achievable.

Evidence could also come from product evidence from a record of their appraisal, if applicable, or supervision notes or a development plan which may have been completed with the involvement of the training department. The candidate needs to demonstrate he/she knows, understands and follows organisational procedures and guidelines for managing their resources and how much self responsibility is appropriate within the company culture. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm the candidate's awareness of their job role, acceptance of feedback and time management skills. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate.

The emphasis of this Unit is managing resources which may be limited. Assessors need to be satisfied that they have sufficient evidence of the candidate's self awareness and ability to determine gaps and ways of developing skills and understanding that are tailored to company practices and relevant to the Unit requirements.

Unit 1.2.1.   Move Loads Using Lift Trucks (F0CE 04)

What this Unit is about

This Unit is about using fork lift trucks, and their attachments, to move break-bulk loads safely within a port environment. This can include operating the truck on the quayside, in a shed, or in the hold of a vessel.

Who this Unit is for

This Unit applies to anyone whose responsibilities include moving loads using lift trucks.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 *'Take action to reduce risks to health and safety within a port environment'* is recommended to everyone working within a port environment, and supports this Unit.

In addition, further Units address best practice in ensuring health and safety when dealing with dangerous cargo (Unit 4.1.2), working near water (4.1.3), surviving in water (4.1.4), working alone (4.1.5), working at heights (4.1.6), and in confined spaces (4.1.7).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in moving loads using lift trucks, individuals are unlikely to also have evidence towards achieving any of the Key and Core Skills.

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1   You confirm that loads are suitable, safe and stable for handling by a fork lift before beginning the lift.

2   You check for and remove any obstructions on the route of the lift before beginning operations.

3   Where necessary, you select attachments suitable for the load being handled, and ensure that these are adjusted correctly and fit for use.

4   You ensure that the fork lift and any attachments are operating correctly before beginning the lift and are suitable for the lift.

5   You lift all loads evenly and safely, and where a fork lift is used, you locate the forks correctly in designated slots wherever appropriate.

6   You handle loads safely and securely, taking due care to avoid damaging loads at all times.

7 You manoeuvre the fork lift safely, taking into account the capabilities and limitations of the attachment, and the activities and whereabouts of individuals within the vicinity of the lifting operation.

8 You monitor attachments during lifting operations to confirm that they are operating correctly.

9 You take immediate and appropriate actions to address any difficulties and hazards during fork lift operations.

10 Where you are authorised to do so, you remove attachments safely and properly upon completion of lifting operations, storing them correctly and in good condition.

Knowledge and understanding — what you must know

General knowledge and understanding

1 You know and understand the capabilities and limitations of the main types of fork lifts, their operating capacities, and the implications of using an attachment.

2 You know and understand the manoeuvring characteristics of lift trucks and their implications for working within storage areas.

3 You know and understand the implications of operating a vehicle that is unsafe or that has been serviced poorly.

Industry specific knowledge and understanding

4 You know and understand the operating procedures for the principal types of lift trucks found in ports, including their pre-start maintenance requirements, the correct use of lubricants and other fluids, and the importance of reporting any faults or defects.

5 You know and understand the factors that can affect the stability and security of loads when in transit, including the affects of environmental conditions.

Organisational specific knowledge and understanding

6 You know and understand your organisation's policies and procedures relating to loading operations relevant to your area of operations.

7 You know and understand your organisation's procedures relating to meeting legislative requirements regarding loading operations relevant to your area of responsibility, and are aware of the relevant sections of this legislation.

8 You know and understand your organisation's procedures for reporting and documenting vehicle faults, tests and checks.

Assessment Guidance

Candidates should be assessed mainly through direct observation to move loads using lift trucks in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of health and safety regulations and local policies and procedures. All candidates will need to demonstrate they have satisfactorily completed the ports training courses in the lift trucks being assessed and on an ongoing basis meet the established protocol for re-certification. The candidate will need to have an understanding of the need to keep the load stable, differences depending upon cargo type, weight, the vehicle controls, capabilities and handling, the skills required to optimise its performance and to minimise wear and tear and what to do when it breaks down or how to report difficulties.

The candidate also needs to know the discharge plan and sign this upon completion. Useful product evidence from the completed documentation can be added to the portfolio. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. Photographic evidence of the Outcome may also be useful for this Unit. The assessor must be able to reach a fair decision from observing the involvement in the completion of risk assessments over at least three occasions to judge whether repetition of competent performance is achievable.

Evidence should come from watching the candidate carry out lift truck operations in the largest/heaviest and most complex truck in use within the port. This should be observed using a range of cargo which should cover their skills in the smaller/simpler trucks in use. This should reflect a representative selection of port scenarios/situations/events that a candidate in the port industry is faced with. Ideally you should observe the lift truck operation from the start (ie pre start checks) to the finish (switch off engine and safe and appropriate exit from the vehicle). Assessment should cover shed operations, use in a hold of a vessel, and working on the quayside. The candidate may need to use a barcode scanner as part of identifying the load to be lifted and be assessed in their communications with their supervisor to ensure they are moving the correct loads.

How the candidate demonstrates their handling of an emergency situation is likely to be assessed through questioning rather than observation of performance for reason of practicality and the fact that emergency situations are exceptional and hopefully unlikely to occur. In addition, simulation or questioning may be required to assess eg operations that are infrequent — using a truck in the hold of a vessel to ensure knowledge of requirements, should such difficulties arise, the necessary response is checked without the need to delay assessment. This can be simulated in a warehouse set up in a restricted area to resemble a ships' hold.

Evidence should come from watching the candidate taking necessary safety precautions to protect vehicles and loads. Evidence of the candidate taking appropriate emergency or responsive action should therefore be gathered. The candidate needs to demonstrate he/she knows, understands and follows organisational procedures and guidelines for safety precautions and for communicating any hazards identified and reporting any defects to equipment to

their supervisor without delay. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm the candidate's correct wearing of relevant PPE and safety procedures being complied with. The customer who may be requiring, for example, a load of timber transferred onto his/her trailer may be asked to complete a testimony also. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is moving loads using lift trucks within a port environment. Assessors need to be satisfied that they have the skills required and sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 1.2.2.   Move Containers Using Shore-based Lifting Equipment (F0CD 04)

What this Unit is about

This Unit is about handling containers using shore-based equipment. The equipment may be used to stack containers and/or to move them on and off transport.

It covers the competence of an individual operating such equipment as straddle carriers, rubber tyred or rail mounted gantry cranes, and mobile derrick cranes.

It is recognised that where individuals are competent to operate one of these types of equipment, unless they have been trained, then they are unlikely to be competent to operate others. Therefore, operators seeking to use equipment other than that for which they achieved competence in attaining this Unit, will need to be trained in the use of other equipment before they might be assessed as competent in its use.

Who this Unit is for

This Unit applies to anyone whose responsibilities include operating shore-based equipment to move containers.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

In addition, further Units address best practice in ensuring health and safety when dealing with dangerous cargo (Unit 4.1.2), working near water (4.1.3), surviving in water (4.1.4), working alone (4.1.5), working at heights (4.1.6), and in confined spaces (4.1.7).

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in moving containers using shore-based lifting equipment, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	1	Communication	Intermediate 1
Problem Solving	1	Numeracy	Intermediate 1
Working with Others	1	Problem Solving	Intermediate 1
		Working with Others	Intermediate 1

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You identify correctly the containers to be moved and their destination.

2 You use the correct type of shore-based equipment, and any attachments where applicable, taking into account the type of operation, the dimensions and location of the container, and the planned work area.

3 You check and ensure that all operating functions are working correctly before beginning handling operations.

4 You check for and remove any obstructions on the route of the lift before beginning operations.

5 You establish contact and agree the protocol for the handling operations with all those involved, using appropriate methods and prior to moving the container.

6 All of your communications, by hand and radio, are in line with the protocol and correct procedures agreed.

7 You operate the shore-based equipment correctly, efficiently and safely, ensuring that manoeuvring allows for containers to be moved safely and effectively to required destinations.

8 You ensure that the required number of lock devices are deployed, when loading to road or rail.

9 You lift all loads evenly and safely, and where a fork list is used, you locate the forks correctly in designated slots wherever appropriate.

10 You handle cargo safely and securely, taking due care to avoid damaging cargo at all times.

11 You monitor all activities and the whereabouts of individuals within the vicinity of your operations, and take immediate and appropriate actions to address dangerous situations.

12 When loading to road trailers, you ensure that the driver is standing in a place of safety, and can be seen clearly.

13 You carry out close-down procedures correctly upon completion of the moving operations, in line with the manufacturers' requirements, where you are authorised to do so, removing attachments safely and properly, storing them correctly and in good condition.

14 You address correctly and report immediately any faults or difficulties with the moving operations or the materials used.

15 All equipment is left clean and secure.

Behaviours which underpin effective performance — how you must do it

1 Your communications are clear, precise and unambiguous

Knowledge and understanding — what you must know

General knowledge and understanding

1 You know and understand the operation procedures, capabilities and limitations, of the principal types of shore-based lifting plant found in ports, including their pre-start maintenance requirements, the correct use of lubricants and other fluids, and the importance of reporting any faults and defects.
2 You know and understand the implications of operating a vehicle that is unsafe or that has been serviced poorly.

Industry specific knowledge and understanding

3 You know and understand the factors that can affect the stability and security of cargo when it is in transit, including the affects of environmental conditions.

Organisational specific knowledge and understanding

4 You know and understand your organisation's policies and procedures relating to stevedoring operations relevant to your area of operations.
5 You know and understand your organisation's procedures relating to meeting legislative requirements regarding moving containers, and are aware of the relevant sections of this legislation.
6 You know and understand the speed limits specified for vehicles operating within the work areas of your port environment, and the importance of operating within these limits, and of maximising the safety of pedestrians and other drivers.
7 You know and understand your organisation's procedures for reporting and documenting vehicle faults, tests and checks.

Assessment Guidance

Candidates should be assessed mainly through direct observation to move containers using shore based lifting equipment in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of health and safety regulations and local policies and procedures. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. Photographic evidence of the Outcome may also be useful for this Unit. The assessor must be able to reach a fair decision from observing the involvement in the completion of risk assessments over at least three occasions to judge whether repetition of competent performance is achievable.

Evidence should come from watching the candidate operate either a container crane, sisu operating unit or straddle carrier subsequent to their successful attendance on the ports full training course for this particular piece of plant and at least six months practice using the machinery in port operating conditions,

initially alongside a competent other (if there is a protocol, it needs to be followed). Even once the SVQ Unit is achieved, there will be ongoing re-assessment of competence on the container plant, on an ongoing and regular basis by the supervisor or a training instructor. The candidate will need to have completed training and be fully familiar with the container storage environment in operation eg the port container terminal grid.

Assessment across at least three different periods should reflect a representative selection of port scenarios/situations/events that a candidate in the port industry is faced with. Assessment of handling the different sizes and types of containers (eg refrigerated, open, closed) and types of operation ie whether vessel discharge by crane or uplift by straddle carrier from quayside or to storage area should be covered. Evidence gathered should also cover the type of communications provided/required during the operation to ensure the correct container is handled and the correct location is identified. Access/manual input to a computerised tracking system eg IPOS (integrated port operational system) may be necessary. This may be assessed depending on the system in use eg a hand held terminal or vehicle mounted. Simulation and questioning may be required to assess eg difficulties/breakdowns or if particular cargo type or operation cannot be planned due to customer needs.

Evidence needs to be obtained to ensure knowledge of requirements, should such difficulties arise, the necessary response is checked without the need to delay assessment. The candidate needs to demonstrate he/she knows, understands and follows organisational procedures and guidelines for safety precautions and communicating any hazards identified and reporting any defects to equipment to their supervisor without delay. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm the candidate's handling of containers, speeds reached and whether within acceptable boundaries according to company expectations, their ability to handle pressure, changes to plans and comply with safety procedures. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is the safe movement of containers using shore based equipment within a stevedoring environment. Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 4.2.1: Promote Health and Safety in Ports (F0D2 04)

What this Unit is about

This Unit is about promoting and developing a health and safety culture in ports and includes demonstrating commitment and enthusiasm for improving health and safety in the workplace.

The contents of this Unit have been informed by the generic health and safety standards developed by ENTO, but reflect the particular requirements within a port environment.

Who this Unit is for

This Unit is recommended for supervisors and other first line managers with responsibility for encouraging others to be aware of the importance of supporting health and safety procedures.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 *'Take action to reduce risks to health and safety within a port environment'* is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this unit, in demonstrating competence in promoting health and safety, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Problem Solving	2	Problem Solving	Intermediate 2
Working with Others	2	Working with Others	Intermediate 2

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You ensure that information regarding health and safety procedures is up to date, is communicated clearly and is accessible readily to all members of your team and other relevant colleagues in your workplace.

2 You ensure that the information sets out clearly the benefits derived from supporting health and safety procedures.

3 You check that team members understand the importance of health and safety, and their statutory responsibilities, addressing any gaps in understanding promptly and correctly.

4 You provide practical opportunities for regular communications on health and safety issues, and ways for encouraging ideas regarding good practice.

5 You identify and address correctly any concerns amongst your team members regarding health and safety procedures and the methods by which health and safety is communicated.

6 You recognise and praise good practice in maintaining health and safety.

7 You review how health and safety is promoted, and identify opportunities for enhancing a health and safety culture within the workplace.

Behaviours which underpin effective performance — how you must do it

1 You express and promote the benefits of health and safety clearly.

2 You present information clearly, concisely and accurately.

3 You make appropriate information available promptly to those who need it.

4 You seek opportunities to improve working procedures and practices designed to enhance health and safety.

5 You take personal responsibility for making things happen.

Knowledge and understanding — what you must know

General knowledge and understanding

1 You know and understand employers' and employees' legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974.

2 You understand the importance of remaining alert to the presence of hazards in the whole workplace.

3 You understand the importance of dealing with, or reporting risks promptly.

4 You understand the importance of keeping people regularly informed and discussing their involvement in maintaining health and safety.

Industry specific knowledge and understanding

5 You know and understand statutory and industry requirements relating to the handling of hazardous materials.

6 You are aware of the requirements relating to the ISPS Code and know and understand associated requirements for Port Emergency Plans.

Organisational specific knowledge and understanding

7 You know and understand your organisation's health and safety policy and objectives.

8 You know and understand your organisation's procedures relating to health and safety relevant to your area of operations, which may include, for example, those covering confined space entry, equipment isolation, hot work, management of contractors/temporary workers, manual handling, permit to work, site traffic and parking, scaffold safety, working at heights, working near/over water.

9 You know and understand your responsibilities for health and safety as defined by any specific legislation and codes of practice covering your job role.

10 You know the work areas and people who work there, within your area of operations.

11 You understand the information needs of those people in your workplace, relevant to your area of operations.

12 You know the available information sources on health and safety within your workplace.

13 You understand how to interpret health and safety data kept at your workplace on risk assessment, incidents and complaints, and its importance in gaining an appreciation of the level of understanding of health and safety within the workplace.

14 You know your organisation's structure and lines of communication, relevant to your area of operations.

15 You know and understand your workplace procedures for communicating with your team and others in your workplace.

16 You know what hazards may exist in your workplace.

17 You understand the particular health and safety risks which may be present in your own job role and those of your team.

Assessment Guidance

Candidates should be assessed through direct observation to promote health and safety in the port environment. This Unit in particular will need to be supplemented by questioning to confirm knowledge of health and safety regulations and local policies and procedures. The candidate needs to be able to demonstrate clear interpretation of risk assessment information kept and a knowledge of the organisation structure, its reporting lines and the information needs on employees. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The assessor must be able to reach a fair decision from observing the involvement in the promotion of health and safety over at least three occasions to judge whether repetition of competent performance is achievable. This may require observation of the candidate leading an item on the agenda in relation to health and safety at a team briefing or raising a point/responding to a concern raised at a tool box talk. Photographic evidence of the Outcome may also be useful for this Unit.

Evidence should come from watching the candidate promote health and safety through observing their communications at the tool box talk and team briefings where the subject needs to be of paramount importance. The candidate needs to demonstrate he/she knows, understands and follows organisational procedures. Any changes to health and safety measures to be adhered to needs to be appreciated by the candidate and promoted to their team. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should provide a reference over a period of time where the candidate has proven ability to be able to communicate and keep up to date with health and safety information. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is the promoting of a health and safety culture in a stevedoring, marine or passenger port environment. Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 4.2.3:   Monitor Procedures to Control Risk to Health and Safety (ENTO B)

What this Unit is about

This Unit is about checking that health and safety procedures are followed, and that risks are controlled safely and effectively.

Fundamental to this Unit is an understanding of the terms 'hazard' and 'risk':

♦   hazard — something with the potential to cause harm
♦   risk — the likelihood of the hazard's potential being realised

This Unit is one from the suite of health and safety standards developed by ENTO.

Who this Unit is for

This Unit is recommended for supervisors and other first line managers who have responsibility for checking and coordinating health and safety matters in addition to their normal working role.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 *Take Action to Reduce Risks to Health and Safety within a Port Environment* is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this unit, in demonstrating competence in monitoring procedures to control risk to health and safety, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Problem Solving	2	Problem Solving	Intermediate 2
Working with Others	2	Working with Others	Intermediate 2
Improving Own Learning and Performance	2		

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You ensure that the information available to you regarding statutory health and safety regulations is up to date, and from recognised and reliable sources.

2 You identify and report correctly and accurately the existence of hazards with high risks.

3 You ensure that appropriate precautions to control these risks are agreed with those responsible for health and safety in your workplace.

4 You monitor workplace procedures correctly and at agreed intervals, confirming that relevant precautions to control risks are in place and are in line with legal and workplace procedures.

5 You review the precautions, ensuring that these minimise the risks, and address any ongoing risks correctly.

6 You ensure that all necessary colleagues in your workplace are informed accurately of health and safety hazards and associated risks, and know and understand the actions necessary to reduce and deal with the risks.

7 You confirm that all necessary colleagues have received training relevant to deal with health and safety hazards in your workplace.

8 You address correctly and report promptly and accurately any breaches of health and safety procedures, and any conflicts which remain between workplace and statutory health and safety requirements.

9 When reporting any hazards with high risk, you include all relevant details accurately, and make suitable suggestions to minimise their reoccurrence to the appropriate person(s).

10 You maintain up to date accurate and legible records of all relevant health and safety matters, including those workplace risks identified or reported to you.

Behaviours which underpin effective performance — how you must do it

1 Your communications are clear, precise and unambiguous.

Knowledge and understanding — what you must know

General knowledge and understanding

1 You know and understand employers' and employees' legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974.

2 You know how to keep health and safety records.

3 You know and understand effective communication methods.

4 You know and understand effective methods of monitoring the activities and understanding of other people with respect to health and safety matters.

5 You know and understand the difference between a hazard and a risk.

6 You understand the importance of remaining alert to the presence of hazards in the whole workplace.

7 You understand the importance of dealing promptly with or reporting significant risks in the workplace.

Organisational specific knowledge and understanding

8   You know and understand your job limitations and capabilities including the scope of your job and your own capabilities with respect to health and safety matters.

9   You understand your responsibilities for health and safety as defined by any specific legislation covering your job role.

10 You know and understand the work areas and people for whom you are responsible.

11 You understand the specific organisational health and safety arrangements covering your job role.

12 You understand agreed health and safety policies and their procedures at your workplace.

13 You know the agreed intervals for monitoring health and safety compliance.

14 You know and understand what hazards may exist in your workplace.

15 You understand the particular health and safety risks which may be present in your own job role and the precautions to take.

16 You know your workplace policies relating to resolving hazards.

17 You know your workplace procedures for record keeping.

Assessment Guidance

Candidates should be assessed through direct observation to take action to monitor procedures to control risk to health and safety within a relevant natural workplace environment. This will need to be supplemented, particularly for this Unit, by questioning to confirm knowledge of identified hazards, health and safety regulations (in particular the HASAWA) and local health and safety and specific monitoring policies and procedures, and local policies relating to resolving hazards. Product evidence and witness testimonies will also be useful types of assessment methods for this Unit. Photographic evidence of the Outcome may also be useful for this Unit. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The assessor must be able to reach a fair decision from observing the involvement in monitoring health and safety and reporting any breaches without delay. The candidate needs to demonstrate consistent monitoring on an ongoing basis as the assessor needs to judge whether repetition of competent performance is achievable.

Evidence should come from watching the candidate undertake/check relevant company record keeping procedures. The assessor may need to observe the candidate making contact with the training department to check training records. The candidate needs to demonstrate he/she knows, understands and follows organisational procedures and guidelines for safety precautions and communicating any hazards identified and reporting any defects to equipment to their supervisor without delay. A witness testimony may be obtainable from the local health and safety officer who this candidate will need to work alongside to ensure company procedures and up to date requirements are followed within the operational location. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from

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the candidate. Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is the crucial monitoring of procedures to control risk to health and safety. Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 1.2.1:   Encourage Innovation in Your Team (MSC C1) (DR4T 04)

What this Unit is about

This Unit is about encouraging and supporting the identification and practical implementation of ideas. The initial ideas will primarily come from members of your team, including yourself, and will focus on improvements to existing practices, procedures, systems, ways of working etc within the team or those of the wider organisation.

This Unit is one from the suite of standards developed by the Management Standards Centre (MSC).

Who this Unit is for

This Unit is recommended for supervisors and other first-line managers within ports.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 *'Take action to reduce risks to health and safety within a port environment'* is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in encouraging innovation within your team, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Problem Solving	2	Problem Solving	Intermediate 2
Working with Others	2	Working with Others	Intermediate 2

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1   You motivate members of your team, including yourself, to identify ideas for improvements.
2   You respond enthusiastically to ideas identified by members of your team and provide constructive feedback.

3   You encourage members of your team to share, discuss and work together in developing initial ideas.

4   You identify and pursue opportunities to work with other teams to generate and develop ideas.

5   You discuss and agree with members of your team those ideas which should be developed further, how they should be developed and the required resources.

6   You provide ongoing support, encouragement and resources to members of your team who are developing and testing ideas and help to remove any identified obstacles.

7   You agree the practical implementation of ideas, based on the identified benefits, risks and required resources, when you have the authority to do so.

8   You support members of your team in submitting formal proposals and plans for the practical implementation of ideas to other people for approval.

9   You oversee practical implementation of ideas by your team and monitor and report on progress.

10 You encourage and develop the creativity of members of your team.

11 You encourage members of your team to take acceptable risks in pursuing innovation and to make and learn from mistakes.

12 You ensure that the originators and developers of any ideas which are successfully implemented receive recognition for their achievement.

Behaviours which underpin effective performance — how you must do it

1   You find practical ways to overcome barriers.

2   You encourage and support others to make the best use of their abilities.

3   You make time available to support others.

4   You display a curiosity to learn and try out new things.

5   You balance risks against the benefits that may arise from taking risks.

6   You act within the limits of your authority.

7   You constructively challenge the status quo and seek better alternatives.

8   You recognise the achievements and the success of others.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know and understand the benefits of innovation to your team, the overall organisation and its customers.

2   You know and understand the key differences between creativity and innovation.

3   You know how to make time available for identifying and developing ideas.

4   You know and understand how to motivate people to generate and develop ideas.

5   You know how to provide constructive feedback on ideas to individuals.

6   You understand the importance of communication in innovation and how to encourage communication across your team.

7   You know the potential obstacles to creativity and whether/how they can be removed.

8   You know and understand the reasons for selecting initial ideas for further development.

9   You know and understand how initial ideas might be further developed and tested.

10 You know and understand how to recognise and manage risk in innovation.

11 You know how to develop formal proposals and plans for the practical implementation of an idea and how to support others in doing this.

12 You know how to develop creativity in yourself and others.

13 You know and understand the resources required for creativity and innovation, particularly time.

14 You know how to learn from mistakes.

15 You know how to recognise the achievements of the originators/developers of ideas which have been successfully implemented.

Industry specific knowledge and understanding

16 You know and understand the sector(s) in which your organisation works.

Organisational specific knowledge and understanding

17 You know and understand your organisation's strategy, if it has one, for innovation.

18 You know the limits of your authority.

19 You know your organisational guidelines and procedures for developing and implementing ideas, including to whom formal proposals and plans should be submitted.

20 You know the needs of your customers.

21 You know opportunities to work with other teams in your organisation.

Assessment Guidance

Candidates should be assessed using a range of methods including observation and questioning. The candidate needs to show an understanding of the previous culture of the organisation and be aware of any barriers that have limited the opportunity for creative thinking in the past. Strong management skills are required to persist against any blame culture and stifling of individuality to help the team believe that they can form part of a continuous improvement process and be allowed to learn from their mistakes. The team will need to feel assured/trust the candidate not to be just paying lip service to being innovative. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded.

The assessment could involve observation of approach at a team briefing to identify the candidate dealing with questioning, idea generation and ability to turn innovative thinking into practical application. Their use of creative thinking techniques such as brainstorming, de Bono's six thinking hats and force field analysis during a meeting when thinking has become entrenched would be strong

evidence or perhaps a simulation of introducing such techniques in some sort of forum or project group would be an alternative. Photographic evidence of the Outcome may also be useful for this Unit. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The port may have a suggestion scheme and the candidate could be involved in analysing and feeding back the ideas generated. The assessor must be able to reach a fair decision from observing the involvement in encouraging innovation in a team over at least three occasions to judge whether repetition of competent performance is achievable.

Parts of evidence for this Unit can be obtained from a witness testimony from the operations manager who should be able to support the candidate if able to demonstrate encouragement of innovation. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is embracing creativity and innovation within the port industry and how to encourage this type of culture shift. Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 7.1.1: Develop Productive Working Relationships with Colleagues (MSC D1) (DR4A 04)

What this Unit is about

This Unit is about developing working relationships with colleagues, particularly within your own team and organisation that are productive in terms of supporting and delivering your work and that of the overall organisation.

'Colleagues' are any people that you are expected to work with, whether they are at a similar position to yourself, or in other positions.

This Unit is one from a suite of standards developed by the Management Standards Centre (MSC).

Who this Unit is for

This Unit is recommended for those whose responsibilities require them to work with others, either within their own organisation, or within another organisation.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this unit, in demonstrating competence in developing productive working relationships, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Inermediate 2
Working with Others	2	Working with Others	Intermediate 2
Improving Own Learning and Performance	2		

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the kills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You establish working relationships with all colleagues who are relevant to the work being carried out.

2 You recognise, agree and respect the roles and responsibilities of colleagues.

3 You understand and take account of the priorities, expectations, and authority of colleagues in decisions and actions.

4 You fulfil agreements made with colleagues.

5 You advise colleagues promptly of any difficulties or where it will be impossible to fulfil agreements.

6 You identify and sort out conflicts of interest and disagreements with colleagues in ways that minimise damage to the work being carried out.

7 You exchange information and resources with colleagues to make sure that all parties can work effectively.

8 You provide feedback to colleagues on their performance and seek feedback from colleagues on your own performance in order to identify areas of improvement.

Behaviours which underpin effective performance — how you must do it

1 You present information clearly, concisely, accurately and in ways that promote understanding.

2 You seek to understand people's needs and motivations.

3 You make time available to support others.

4 You agree clearly what is expected of others and hold them to account.

5 You work to develop an atmosphere of professionalism and mutual support.

6 You model behaviour that shows respect, helpfulness and co-operation.

7 You keep promises and honour commitments.

8 You consider the impact of your own actions on others.

9 You say no to unreasonable requests, explaining the reason(s) why.

10 You show respect for the views and actions of others.

Knowledge and understanding — what you must know

General knowledge and understanding

1 You know and understand the benefits of developing productive working relationships with colleagues.

2 You know and understand the principles of effective communication and how to apply them in order to communicate effectively with colleagues.

3 You know how to identify disagreements with colleagues and the techniques for sorting them out.

4 You know how to identify conflicts of interest with colleagues and the measures that can be used to manage or remove them.

5 You know how to take account of diversity issues when developing working relationships with colleagues.

6 You know and understand the importance of exchanging information and resources with colleagues.

7 You know how to get and make use of feedback on your performance from colleagues.

8 You know how to provide colleagues with useful feedback on their performance.

Industry specific knowledge and understanding

9 You know and understand the regulations and codes of practice that apply in the ports industry.

10 You know and understand the standards of behaviour and performance in the ports industry.

11 You know the working culture of the ports industry.

Organisational specific knowledge and understanding

12 You know the current and future work being carried out.

13 You know colleagues who are relevant to the work being carried out, their work roles and responsibilities.

14 You know the processes within the organisation for making decisions.

15 You know line management responsibilities and relationships within the organisation.

16 You know your organisation's values and culture.

17 You know the power, influence and politics within your organisation.

18 You know and understand the standards of behaviour and performance expected in your organisation.

19 You know the information and resources that different colleagues might need.

20 You know the agreements with colleagues.

Assessment Guidance

Candidates should be assessed mainly through direct observation to develop productive working relationships in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm effective ways of working within a team. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment.

Evidence should come from watching the candidate working alongside his/her colleagues and supporting, and checking issues with others. This should reflect a representative selection of port scenarios/situations/events that a candidate in the port industry is faced with. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm the candidate's ability to gain rapport and respect from colleagues. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a personal nature, an observation or area of concern may be relevant.

Working as part of a team is a crucial aspect of working in the port industry. The need therefore to maintain productive working relationships is paramount. Witness testimony over a consistent period of time can be gained from members of the engineering department who may be involved when eg lifting equipment is

being set up at the beginning of the shift/contacted due to difficulties arising. A team may have to work closely for a specific task being performed, for example, if operators are involved in the discharge of timber in the hold of the vessel and are hooking on the lifting tackle before signalling to the crane operator that the load is ready to be lifted.

Evidence could be gathered if the employee had been allocated a new recruit to work alongside. The candidate may be supporting/coaching the new member of staff practicing their newly acquired skill. This may involve provision of feedback on performance and response to questions asked.

If any difficulties arise, the candidate may need to contact their supervisor. A witness testimony could also be obtained from a supervisor who has witnessed their ability to maintain productive working relationships over a period of time.

Unit 8.1.3: Assess Candidates Using a Range of Methods (ENTO A1) (D94L 04)

What this Unit is about

This Unit is about assessing the competence of others. It includes:

♦ developing assessment plans
♦ judging evidence against criteria to make assessment decisions
♦ providing feedback and support
♦ contributing to the internal quality assurance process

This Unit is one from a suite of standards developed by ENTO.

Who this Unit is for

The Unit is recommended for supervisors and other first line managers who are responsible for assessing team members against standards within a port environment.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 *'Take action to reduce risks to health and safety within a port environment'* is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in assessing candidates, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	1	Communication	Intermediate 1
Problem Solving	1	Problem Solving	Intermediate 1
Working with Others	1	Working with Others	Intermediate 1

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You develop plans for assessing competence with individuals through:

- ♦ developing and agreeing an assessment plan with individuals
- ♦ checking that all individuals understand the assessment process involved
- ♦ agreeing fair, safe, valid and reliable assessment methods
- ♦ identifying appropriate and cost-effective opportunities for assessing performance
- ♦ planning for using different types of evidence
- ♦ identifying how the past experience and achievements of individuals will contribute to the assessment process
- ♦ identifying and agreeing any special arrangements needed to make sure that the assessment process is fair
- ♦ identifying how other people will contribute to assessments and what support they may need
- ♦ identifying how to protect confidentiality and agree arrangements to deal with sensitive issues
- ♦ agreeing how you will handle any difficulties or disputes during the assessment
- ♦ agreeing when assessment will take place with individuals and the other people involved
- ♦ agreeing arrangements with individuals for reviewing their progress against the assessment plan
- ♦ reviewing and updating assessment plans to take account of what the individuals have achieved

2 You judge evidence against criteria to make assessment decisions through:

- ♦ using the agreed assessment methods to assess competence in appropriate situations
- ♦ using the past experience and achievements of individuals as part of the assessment of their current competence
- ♦ ensuring that the evidence comes from the individuals' own work
- ♦ making safe, fair, valid and reliable decisions about the competence of individuals', only on the agreed standard
- ♦ collecting evidence from the other people involved in the assessment process
- ♦ applying any agreed special arrangements to make sure that the assessment is fair
- ♦ basing your decisions on all of the relevant evidence of individuals' performance and knowledge
- ♦ taking this evidence from as many places as possible
- ♦ explaining and resolving any inconsistencies in the evidence
- ♦ making a record of the Outcomes of assessments by using the agreed recording system
- ♦ speaking to the appropriate person if you and the individuals cannot agree on your assessment of their performance

3   You provide feedback and support to individuals on assessment decisions through:

    ♦ giving individuals feedback at an appropriate time and place

    ♦ giving individuals feedback in a constructive and encouraging way, which meets their needs and is appropriate to their level of confidence

    ♦ explaining clearly your assessment decisions on whether individuals' evidence of competence is good enough

    ♦ giving individuals advice when they cannot prove their competence and on how they can develop the necessary skills or provide more evidence

    ♦ encouraging individuals to get advice on your assessment decisions

    ♦ identifying and agreeing the next steps in the assessment process and how individuals will achieve these

    ♦ following the agreed complaints and appeals procedures if individuals disagree with your assessment decisions

4   You contribute to the internal quality assurance process through:

    ♦ ensuring that your assessment records are accurate and up to date, and provide an audit trail of evidence

    ♦ contributing to standardisation arrangements so that your assessment decisions are in line with others

    ♦ giving accurate and timely information on assessments

    ♦ contributing to the agreed quality assurance process

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know how to identify and use different types of evidence when carrying out assessments.

2   You know how to identify and compare different types of evidence when making your assessment decisions.

3   You know how to collect evidence in ways that are cost-effective and timely.

4   You know how to collect and use evidence from individuals' prior experience and achievements within the current assessment process.

5   You know how to develop and agree assessment plans with individuals and the other people involved.

6   You know how to assess performance accurately against specific parts of a standard.

7   You know how to take appropriate action and help individuals develop their competence.

8   You know how to change assessment procedures to meet individual needs.

9   You know how to identify the difficulties in making safe, fair, valid and reliable assessments of evidence and who to involve in such cases.

10 You know how to follow standardisation and internal quality assurance procedures.

11 You know how to measure existing levels of competence.

12 You know how to make valid and reliable assessments of individuals' knowledge.

13 You know how to make valid and reliable assessments of individuals' performance.

14 You know how to make sure that you have covered all the agreed criteria during an assessment.

15 You know how to check that evidence is the individuals' own work.

16 You know how to make sure that supporting evidence supplied by other people is reliable.

17 You know how to encourage individuals to consider and use their past experience and achievements.

18 You know how to give constructive feedback on existing levels of competence and what individuals need to do be fully competent.

19 You know how to involve individuals in planning assessments.

20 You know how to keep to the Data Protection Act.

21 You know how to encourage individuals who have different levels of confidence and experience to take an active part in their assessment.

22 You know how to use language and behaviour which does not discriminate against any individual.

23 You know how to meet the different needs of individuals.

24 You know how to give feedback to individuals with different levels of confidence and experience.

25 You know how to encourage individuals to ask questions and to obtain advice.

26 You know how to monitor and review progress with individuals.

27 You know how to identify changes in levels of individuals' competence and assess how this affects your own competence.

28 You know how to use opportunities to update your skills and experience.

29 You know how to identify and use information on current assessment best practice.

30 You know how to use personal development opportunities to improve your assessment skills.

31 You know how to meet individuals' needs for access to safe, fair, valid and reliable assessment, in line with relevant legislation.

32 You know how to recognise and challenge unfair discrimination in assessments.

33 You know from whom to obtain advice about meeting individuals' special assessment requirements.

34 You know how to identify and plan for issues of confidentiality and data protection during the assessment process.

35 You know how to record, store and pass on assessment decisions to other people within an agreed system.

36 You know how to identify and assess things that can influence your own competence.

37 You know how to identify appropriate sources of support for your own development.

Assessment Guidance

Candidates should be assessed mainly through direct observation to assess candidates using a range of methods in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of the range of assessment methods that may be applicable. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment.

This Unit is essential for any potential assessors to obtain, to enable them to assess candidates completing their SVQs within the port industry. It would normally be of interest to a training instructor, team leader or supervisor/superintendent.

Evidence of assessment needs to be gathered across at least three different candidates ideally covering a range of Units.

The assessor needs to consistently utilise the ports local recording material or the standard supplied by SQA. Other qualified assessors may supply witness testimony or operations management who are able to supply evidence of suitability over a period of time.

The candidate needs to be able to assess primarily through direct observation and have a good understanding of the operations/standards being demonstrated by the candidate.

An appreciation of the possibility of assessing more than one Unit at a time ie cross referencing is necessary and the assessor needs to show organisational skills to plan the assessment and use the written material effectively. The assessor needs to make good use of time and assess to a sufficient level rather than requiring evidence beyond what is required for a particular Unit. If the candidate has not yet shown enough competence he/she needs to be able to explain this sensitively to the candidate and be clear when explaining to the candidate any gaps in evidence and how to proceed before ready for re-assessment.

The assessor of this Unit needs to assess the candidate carrying out pre-assessment planning with at least three candidates and use of APL, observation, written questioning, use of the candidate's diary of evidence, photographic evidence supplied/taken, checking witness testimony and exceptional simulation, for example when there is difficulty witnessing an emergency situation. The progress meetings with candidates are also useful evidence of this Unit to demonstrate listening, use of feedback, questioning and completion of documentation requirements. Some candidates will need more administrative support than others and this needs responded to appropriately. Candidates should be encouraged to take as much responsibility as possible for their portfolios. The candidates for this Unit need to adapt their style and approach depending upon the individual they are assessing as a result. Some will need more reminding and their portfolios checked for ongoing progress. The situation within which an assessor candidate may be assessing may provide strong evidence or will need more supplementary evidence depending upon what has taken place/how the work

progressed. The assessor/ candidate needs to be aware of this and either needs to arrange a further assessment day or consider the Unit again to identify other ways of gathering competence and discussing this with the candidate. The assessor/candidate needs to be sensitive to the individual needs of their candidates. For example a candidate may find it difficult to express themselves sufficiently through verbal questioning and it may be better to arrange for the candidate to demonstrate their skill through a type of simulation or 'talking through' a task.

Assessments need to take place according to the needs of the port and assessment situations need to comply with all company policies and procedures, with particular attention being devoted to health and safety.

Unit 2.3.2:   Manage the Movement of Passengers Within a Port Terminal (F0C8 04)

What this Unit is about

This Unit is about planning and organising, and thereby controlling the movement of embarking or disembarking passengers through the terminal, together with the means by which information is passed to them.

Who this Unit is for

This Unit is recommended for supervisors and other first line managers.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 *'Take action to reduce risks to health and safety within a port environment'* is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in managing the movement of passengers, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Application of Number	1	Numeracy	Intermediate 2
Problem Solving	1	Problem Solving	Intermediate 2
Working with Others	2	Working with Others	Intermediate 2

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1   You obtain all relevant information required to plan for the efficient movement of passengers within your area of responsibility.

2   You identify the resources required to manage the movement of passengers.

3   You allocate work to individuals and/or teams fairly and in line with your plan, taking into account skills, knowledge, experience and workloads.

4   You brief individuals and/or teams fully and clearly regarding their responsibilities.

5   You ensure that public and working areas are clean, tidy and free from obstructions and hazards ahead of the vessel's arrival or departure.

6   You monitor and record the progress of operations, identifying and addressing promptly and correctly deviances from your plan and/or causes for delay.

7   You ensure that signage provides accurate, relevant and up to date passenger information, and is positioned clearly.

8   You ensure that support staff are briefed to offer assistance to passengers with relevant and up to date information.

9   You monitor the progress of passengers, offering assistance to those embarking to ensure that they reach the correct vessel on time, and directing disembarking passengers correctly to the relevant control points.

10 You monitor the activities of individuals and/or teams for whom you are responsible against the standards of performance expected, and provide prompt and constructive feedback.

11 You recognise the successful completion of key activities and operations by individuals and/or teams.

12 You maintain a tidy and smart appearance, wearing the appropriate clothing correctly.

Behaviours which underpin effective performance — how you must do it

1   You prioritise work to make the best use of time and resources.

2   You identify people's information needs.

3   You present information clearly, concisely and accurately.

4   You make information available promptly to those who need it.

5   You deal with all queries courteously and promptly.

6   You make time available to support others.

7   You demonstrate behaviour that shows respect, helpfulness and cooperation.

8   You recognise changes in circumstances promptly and adjust plans and activities accordingly.

9   You seek opportunities to improve working procedures and practices.

10 You take personal responsibility for making things happen.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know and understand the role of Customs and Excise/Immigration, and the need to liaise with them.

2   You have an understanding of passenger behaviour and how this can be influenced.

3   You know and understand the implications of working with passengers with special needs.

Industry specific knowledge and understanding

4   You understand the application and implications of relevant sections of legislation.

5   You know and understand the purpose and limitations of personal protective equipment and life saving gear for use on or near water.

6   You know and can apply the principal methods for communicating with vessels.

Organisational specific knowledge and understanding

7   You know and understand your organisation's procedures for berthing vessels.

8   You know and understand your organisation's procedures for transferring passengers.

9   You know how to obtain up-to-date information about the number of passengers embarking or disembarking, and how to deal with difficulties resulting from vessel delays.

10 You know the information that is required by passengers and the methods of communicating it, including the use of equipment such as PA systems and information signs.

11 You know and understand your organisation's procedures for identifying and dealing with safety risks and incidents associated with transferring passengers to/from vessels.

12 You know how to communicate with shipping companies and other terminal operators and the importance of doing so within your area of operations.

13 You know the proper use of radio communications, where these are used within your area of operations.

14 You know the location of, and understand how to use, first-aid, safety and emergency equipment within your port.

15 You know and understand workplace procedures for dealing with emergencies when berthing vessels and transferring passengers.

Assessment Guidance

Candidates should be assessed mainly through direct observation to take action when managing the movement of passengers within a port terminal. This will need to be supplemented by questioning to confirm knowledge of safety risks, communication methods to use, passenger behaviour and organisational procedures. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The assessor must be able to reach a fair decision from observing the involvement in the completion of managing the movement of passengers within a port terminal over at least three occasions to judge whether repetition of competent performance is achievable.

Evidence should come from watching the candidate liaise with Customs and Excise and dealing respectfully with any information needs of passengers. The image portrayed is important here and the candidate needs to wear clean, smart and appropriate clothing at all times when dealing with passengers embarking/disembarking. Photographic evidence of the Outcome may also be useful for this Unit. The candidate needs to demonstrate planning skills prior to the arrival/departure of the passengers, how to prioritise activities that need to be arranged and make adjustments to plans ie to be flexible to conflicting demands and changes in circumstances that may arise.

Parts of evidence for this unit can be obtained from a witness testimony from senior management, the ship's captain or Customs and Excise. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate.

The emphasis of this Unit is to ensure the movement of embarking and disembarking of passengers is planned, organised and controlled effectively.

Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 3.1.1: Plan and Implement a Lifting Plan (F0CP 04)

What this Unit is about

This Unit is about planning for, and then implementing a lifting plan to handle large, awkwardly shaped, or very heavy loads, requiring specialised handling techniques and a particular awareness of load's weight distribution.

Who this Unit is for

This Unit applies to anyone whose responsibilities include planning and supervising the undertaking of complex lifts requiring a lifting plan.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in planning and implementing a lifting plan, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	2	Communication	Intermediate 2
Application of Number	1	Problem Solving	Intermediate 2
Working with Others	1	Working with Others	Intermediate 2

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1   You identify the load to be lifted, and the particular features that planning needs to address.
2   You identify correctly all relevant information, including any restrictions from the labelling and other information provided regarding the load.
3   You identify any gaps in the information required and address these correctly, through seeking advice and information from the relevant person(s).
4   You plan lifts correctly, taking into consideration the nature of the load, safe working practice, the lifting gear required, the destination of the load and timescale.

5   The method, materials and equipment selected for the lift are suitable for the nature of the load, the planned work areas, and the lifting operation.

6   You confirm that all lifting equipment, materials and lifting points are safe and working properly before beginning the lift.

7   You confirm that the load to be lifted is secure and will not shift during the lift.

8   Any difficulties, or where materials and equipment are found to be defective, are reported correctly, accurately and promptly.

9   You brief fully and clearly all those involved in the lift, checking and confirming their understanding.

10 All relevant communications systems are confirmed as working properly.

11 Any obstructions on the route of the lift are cleared in advance of lifting operations.

12 Lifts are undertaken correctly and safely.

Behaviours which underpin effective performance — how you must do it

1   Your communications are clear, accurate and concise.

2   You make appropriate information available promptly to those who need it.

3   You remain calm in difficult or uncertain situations.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know and understand the operating procedures, capabilities and limitations, of the principal types of lifting plant found in ports, procedures for checking lubricants and other fluids, and the importance of reporting any faults and defects.

Industry specific knowledge and understanding

2   You know and understand the principal characteristics of the main types of loads, including their nature and weight, and whether they are hazardous or non-hazardous.

3   You know and understand the factors that can affect the stability and security of loads when being transferred, and how these can be affected by environmental conditions.

4   You know and understand the capabilities, including capacity and strength of the principal types of slinging and lashing materials, and the implications of using defective or faulty materials.

5   You know and understand methods of slinging and unslinging loads, including angles of operations and what constitutes a safe work load.

6   You know and understand signalling procedures and techniques, including the interpretation of hand signals in slinging operations.

Organisational specific knowledge and understanding

7   You know and understand your organisation's policies and procedures relating to lifting operations relevant to your area of operations.

8 You know and understand your organisation's procedures relating to meeting legislative requirements regarding lifting loads, and are aware of the relevant sections of this legislation.

9 You know and understand how to interpret company coding systems, including colour coding where relevant, relating to lifting equipment, and how to interpret the information found on load labels and documentation.

10 You know and understand the limits of your responsibility and to whom to report if these are exceeded.

Assessment Guidance

Candidates should be assessed mainly through direct observation to plan and implement a lifting plan in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of the principles of slinging regulations, an understanding of angles of operation and the local coding system in use and policies and procedures. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. The assessor must be able to reach a fair decision from observing the involvement in the completion of risk assessments over at least three occasions to judge whether repetition of competent performance is achievable.

Evidence should come from watching the candidate plan and implement a lifting plan from start to finish for at least three different types of lift which forms a representative sample of lifts that may be required within a particular port location. This should reflect a representative selection of port scenarios/situations/events that a candidate in the port industry is faced with. Photographic evidence of the Outcome may also be useful for this Unit. How the candidate demonstrates their handling of defects/faults is likely to be assessed through questioning or a simulation rather than observation of performance for reason of practicality and the fact that difficulties are exceptional and hopefully unlikely to occur. To ensure knowledge of requirements, should such difficulties arise, the necessary response is checked without the need to delay assessment.

Evidence of the candidate taking appropriate emergency or responsive action should therefore be gathered. The candidate needs to demonstrate he/she knows, understands and follows organisational procedures and guidelines for safety precautions and communicating any hazards identified and reporting any defects to equipment to their supervisor without delay. Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm their confidence in the candidate's ability to plan and implement a lifting plan from previous examples of this specialist skill. A member of the engineering department may also be able to provide a reference from their perspective in supplying the equipment for the lift. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is the crucial planning and implementing of health and safety of oneself and others in a stevedoring, marine or passenger port

environment. Assessors need to be satisfied that they have sufficient evidence of the candidate's awareness of safe working practices and the relevant legislation.

Unit 3.1.3: Plan Vessel Loading and Discharge Within a Port Environment (F0CT 04)

What this Unit is about

This Unit is about gathering information about the vessel and its resource requirements from various sources, and using this information to assist in developing an operational plan. The plan is then presented in the appropriate format and manner to all of those personnel and/or statutory bodies that must be advised.

Who this Unit is for

This Unit is recommended for supervisors and other first line managers.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 'Take action to reduce risks to health and safety within a port environment' is recommended to everyone working within a port environment, and supports this Unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in planning vessel loading and discharge, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	1	Communication	Intermediate 1
Application of Number	1	Numeracy	Intermediate 1
Problem Solving	1	Problem Solving	Intermediate 1
Working with Others	1	Working with Others	Intermediate 1

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You obtain all relevant information required to establish the characteristics of the vessels to be loaded/discharged, including where applicable, any loading/discharge plans prepared by vessel staff.

2 You identify and assess the requirements for load handling and/or lifting equipment, as well as appropriate safety, anti-pollution and waste disposal equipment.

3   Where you have difficulty in obtaining the information required, you address this promptly and correctly.

4   You establish port and vessel berthing equipment, and relevant methods of loading/discharging the vessel.

5   You assess the load characteristics and determine correctly the nature of any specialist services that may be required.

6   You identify and confirm the availability of all required facilities and resources, referring any difficulties promptly to the relevant person.

7   You prepare vessel loading/discharge plans correctly, identifying potential areas of uncertainty and agreeing contingency plans designed to address these.

8   You agree your plans with all relevant people, including appropriate vessel staff.

9   Your plan sets out the systems for loading and discharging loads, taking into account the characteristics of the vessel and the load, including, where relevant, the presence of any dangerous goods, and the resources available.

10 You communicate the plan to all relevant people, and in sufficient time to meet operational needs, agreeing individual actions and responsibilities with all relevant people.

Behaviours which underpin effective performance — how you must do it

1   You make use of available sources of information, identifying those sources to meet current and foreseeable requirements.

2   You check the validity and reliability of information.

3   You prioritise work to make the best use of time and resources.

4   Your communications are clear, precise and unambiguous.

5   You encourage questions and check understanding.

6   You make information available promptly to those who need it.

7   You take personal responsibility for making things happen.

Knowledge and understanding — what you must know

General knowledge and understanding

1   You know and understand typical cargo problems including those relating to stability.

2   You know and understand load handling methods and principles.

3   You know the different classifications of dangerous goods.

Industry specific knowledge and understanding

4   You know and understand implications and application of all legislation and regulations relevant to safe working in a port environment.

5   You know and understand the implications for port personnel of current legislation affecting the loading and discharging of vessels.

Organisational specific knowledge and understanding

6   You know and understand your organisation's working methods and systems for receiving, handling and despatching cargo.

7   You know and understand your organisation's requirements relating to the loading/discharge of dangerous goods.

8   You know and understand the principal vessel types, terminology and characteristics, relevant to your area of operations.

9   You know the sources of information and assistance relevant to your area of responsibility, and how to interpret and evaluate the information.

10 You know and understand your organisation's policies, procedures and responsibilities for dealing with emergency incidents and security issues.

11 You know and understand communication methods and channels, reporting systems and documentation within your organisation relevant to your area of operations.

Assessment Guidance

Candidates should be assessed through direct observation and questioning to plan vessel loading and discharge within a natural workplace operational environment. Questioning confirms knowledge of load handling requirements, load characteristics, resource requirements, health and safety regulations and local policies and procedures. When assessing knowledge and understanding the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment. Photographic evidence of the Outcome may also be useful for this Unit. The assessor must be able to reach a fair decision from observing the involvement in the completion of planning vessel loading and discharge operations over at least three occasions to judge whether repetition of competent performance is achievable.

Evidence should come from watching the candidate plan the resource requirements to load at least three different types of cargo/vessels, demonstrating how to prioritise and encourage questions from the team at tool box talks. The plan developed needs to be communicated clearly to the team in order that everyone agrees with the loading plan and safety risks are taken into account. This should reflect a representative selection of port scenarios/situations/events that a candidate in the port industry is faced with. How the candidate demonstrates their handling of an emergency situation is likely to be assessed through questioning rather than observation of performance for reason of practicality and the fact that emergency situations are exceptional and hopefully unlikely to occur. In addition, simulation or questioning may be required to assess, for example spillages, to ensure knowledge of requirements, should such difficulties arise, the necessary response is checked without the need to delay assessment. Parts of evidence for

this Unit can be obtained from a witness testimony from the operations manager who should be able to confirm the candidate's ability to plan the vessel operation bearing in mind the type of cargo, type of vessel, timescales, environmental conditions and other characteristics that have an effect on the resource requirements. Those providing witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate.

The emphasis of this Unit is the crucial requirement to plan effectively for a vessel loading or discharge which needs to comply with health and safety requirements and operational policies and procedures.

Unit 3.3.1: Plan and Coordinate the Routine Maintenance of Port Plant and Equipment (F0CN 04)

What this Unit is about

This Unit is about coordinating routine planned maintenance on a range of plant and equipment. It includes monitoring maintenance schedules and coordinating the maintenance of plant and equipment. It also includes checking for basic faults and undertaking basic servicing where required.

Who this Unit is for

This Unit applies to individuals responsible for both planning and coordinating routine maintenance. Such an individual might, for example, be an equipment foreman or coordinator, with responsibility for ensuring that a range of plant/equipment is maintained and fit for use.

This Unit is not intended for maintenance engineers with specialist skills and knowledge relevant to undertaking more advanced maintenance and servicing. Separate standards and associated qualifications address the competence of such engineers.

Health and safety

Maintaining health and safety is of paramount importance at all times when working within a port environment. Unit 4.1.1 *'Take action to reduce risks to health and safety within a port environment'* is recommended to everyone working within a port environment, and supports this unit.

Evidence towards Key and Core Skills

Whilst Key and Core Skills are not part of the standards required for achieving this Unit, in demonstrating competence in planning and coordinating routine maintenance, individuals are likely to also have evidence towards achieving the following Key and Core Skills:

Key Skills	Levels	Core Skills	Intermediate, Higher
Communication	1	Communication	Intermediate 2
Application of Number	2	Numeracy	Intermediate 2
Problem Solving	1	Problem Solving	Intermediate 2

This information is intended to assist those employers and/or individuals seeking to progress Key and/or Core Skills. However, as above, the skills are not part of the standards, and this reference to them is not intended to imply that they are a requirement in achieving this Unit.

Outcomes of effective performance — what you must do

1 You identify the maintenance schedules for all plant used in the port and within your area of responsibility, and coordinate correctly the work to ensure that available personnel, tools and any specialist equipment is available for the work.

2 You identify in discussion with the vehicles' operators any defects that they have observed, and record these correctly.

3 You check vehicles for defects correctly, in line with manufacturers' requirements.

4 You identify correctly any defects that prevent full and effective use of the vehicle.

5 You undertake basic servicing and maintenance procedures correctly, where these are within your level of authority and responsibility.

6 You coordinate routine maintenance according to the agreed schedules, and organise it to minimise disruption to operations.

7 You confirm that the equipment to be maintained is not required for operational purposes.

8 You identify the maintenance period and maintenance requirements of plant to be maintained, including any items to be replaced and to be tested, ahead of the work being started.

9 You liaise and coordinate maintenance requirements with relevant specialists, ensuring that they understand the nature of any defects observed and the desired maintenance schedule.

10 Upon completion, you test the maintained plant and equipment correctly, and where this is satisfactory, you issue a new certificate as required where it is within your authority to do so.

11 Where satisfactory maintenance of plant and equipment cannot be achieved, you inform the relevant persons promptly of the reasons and ensure that the item is immobilised.

12 You return maintained and repaired plant and equipment promptly to operations in a clean and tidy condition, and ensure that your work area is also maintained to the correct standards of cleanliness.

Behaviours which underpin effective performance — how you must do it

1 Your personal activities and attitude in the workplace are designed to maintain the health and safety of yourself and others around you at all times.

Knowledge and understanding — what you must know

Industry specific knowledge and understanding

1 You know and understand the preparation and operational requirements of haulage vehicles.

2 You know and understand the possible consequences of driving a poorly serviced or unsafe vehicle.

3 You know and understand the dangers associated with exhaust fumes, and how to safeguard against their accumulation.

4   You know and understand the possible consequences of operating poorly serviced or unsafe plant and equipment.

Organisational specific knowledge and understanding

5   You know and understand how to operate the principal types of handling equipment and their limitations, as used within your port, and for which you have responsibility.

6   You know and understand the capability and limitations of plant used within your port, and for which you have responsibility, including pre-start maintenance requirements, operating procedures, defects and faults, the correct use of lubricants and other fluids.

7   You know and understand your organisation's requirements for recording the outcomes of routine maintenance.

8   You know and understand your organisation's procedures for stock requisition, and for recording and replacing parts used for routine maintenance, relevant to your area of operations.

9   You know and understand your organisation's procedures for disposing safely of hazardous items relevant to your area of operations.

10 You know and understand your levels of responsibility for the care and maintenance of plant and equipment, and to whom to refer if these levels are exceeded.

Assessment Guidance

Candidates should be assessed mainly through direct observation to plan and coordinate the routine maintenance of port plant equipmenmt to reduce risks in a relevant natural workplace environment. This will need to be supplemented by questioning to confirm knowledge of health and safety regulations and local policies and procedures and monitoring schedules that need to be adhered to. When assessing knowledge and understanding eg in relation to the consequences of poorly serviced vehicles or the hazards associated with exhaust fumes, the questions asked and the answers given will need to be recorded. Where the candidate does not demonstrate this underpinning knowledge and understanding, he/she will be expected to gather this information and confirm understanding at a further assessment.

The assessor must be able to reach a fair decision from observing the involvement in the maintenance of a representative sample of plant and equipment in use within the port. This should include routine maintenance planned and also response to unexpected damage and defects of a routine nature that may arise throughout a working shift. Photographic evidence of the Outcome may also be useful for this Unit. Repetition of competent performance needs to be assessed over time before the assessor can confidently judge the candidate as fully competent.

Evidence should come from reporting any equipment that cannot be fixed locally but needs to be forwarded to the engineering department. This has to be communicated fully and clearly and timeously using the port's required communication method. This evidence could be gained from the product evidence or the candidate's completion of planned schedule forms. The candidate needs to

be sensitive to the operational needs of the shift and ensure any servicing is planned to minimise disruption to port working. Co-ordination and effective ongoing communication and effective working relationships with operations and engineering are essential. This Unit can be assessed alongside other Units including 4.1.1, 4.2.1 and 7.1.1.

Parts of evidence for this Unit can be obtained from a witness testimony from the supervisor who should be able to confirm the candidate's performance at routine maintenance duties, planning and co-ordination. The port engineer may also be able to provide such a reference in support of the candidate from his/her perspective. Witness testimonies must be occupationally competent and reliable to recognise and support the evidence of competence from the candidate. Any reporting or communications made with the supervisor of a health and safety nature may be relevant.

The emphasis of this Unit is the ability to provide routine maintenance duties and planning/co-ordinating the plant and equipment in use. Assessors need to be satisfied that they have sufficient evidence of the candidate's requirements for routine maintenance, the levels of responsibility in caring for the equipment, sufficient knowledge about the plant's capabilities and the procedures for recording actions/servicing undertaken.

8   Blank Recording Forms

Unit progress record

Qualification and level:

Candidate:

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

Unit Checklist

Mandatory											
Optional											

Mandatory Units achieved

Unit Number	Title	Assessor's Signature	Date

Optional Units achieved

Index of evidence

SVQ title and level:

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

Element achievement record

Unit:

Element:

Evidence Index No	Description of Evidence	PCs						Areas of knowledge and understanding																

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:

Skills/activities observed:	PCs covered:

Knowledge and understanding apparent from this observation:

Other Units/Elements to which this evidence may contribute:

Assessor's comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor's signature: Date:

Candidate's signature: Date:

Witness testimony

SVQ title and level:	
Candidate's name:	
Evidence index no:	
Index no of other evidence which this testimony relates to (if any):	
Element(s):	
Date of evidence:	
Name of witness:	
Designation/relationship to candidate:	

Details of testimony:

I can confirm the candidate's evidence is authentic and accurate.
Signed by witness: Date:

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

☐   Holds D32/D33 Award

☐   Is familiar with the SVQ standards to which the candidate is working

Record of questions and candidate's answers

Unit:	Element(s):

Evidence index number:

Circumstances of assessment:

List of questions and candidate's responses:

Assessor's signature:	Date:
Candidate's signature:	Date