Assessor's Guidelines for the SVQ Warehousing, Storage and Distribution SCQF level 5 and 6 (GM6M 22 and GML6 23), and Logistics Operations SCQF level 7 (GM6W 23)

Contents

About this guide

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

SVQ in Warehousing, Storage and Distribution at SCQF level 5 (GM6M 22)
SVQ in Warehousing, Storage and Distribution at SCQF level 6 (GM6L 23)
SVQ in Logistics Operations at SCQF level 7 (GM6W 23)

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

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

Introduction

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

About SVQs and the SCQF

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy and are usually delivered in the workplace or in partnership with a college or other training provider. The qualifications have been designed by standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

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

Each SVQ which a standards-setting body develops has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared.

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

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

Explanation of levels

SVQ1
(SCQF level 4)

Competence involves the application of knowledge and skills in the performance of a range of varied work activities, most of which may be routine or predictable.

SVQ2
(SCQF level 5)

Competence involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. At this level, there will be activities, which are complex or non-routine and there is some individual responsibility and autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.

SVQ3
(either SCQF level 6 or 7)

Competence involves the application of knowledge and skills in a broad range of varied work activities, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often present.

SVQ4
(either SCQF level 8 or 9)

Competence involves the application of knowledge and skills in a broad range of complex technical or professional work activities, performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.

SVQ5
(SCQF level 11)

Competence involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal accountability.

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

How are standards defined in SVQs?

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

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

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

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

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

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

Who is involved in SVQs?

There are several roles:

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

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

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

The steps involved in assessing a candidate for an SVQ

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

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

1 The SVQs in Warehousing, Storage and Distribution, and Logistics Operations

The SVQs in Warehousing, Storage and Distribution at SCQF levels 5 and 6, and Logistics Operations at SCQF level 7 have been developed by Lantra and are intended for people who are involved in any business where moving, handling and storing goods is a function.

These people may be working as any of the following:

SVQ Warehousing, Storage and Distribution at SCQF level 5

♦ Warehouse Assistants — Retail and Wholesale

♦ Stockroom Assistants — Retail and Wholesale

♦ Stock Receivers

♦ Stock Dispatchers

♦ Stock Pickers

SVQ Warehousing, Storage and Distribution at SCQF level 6

♦ Team Leader

♦ Supervisor

♦ Warehouse Shift Supervisor

♦ Warehouse Manager

SVQ Logistics Operations at SCQF level 7

♦ Managers

♦ Team Leaders

♦ Supervisors

♦ Shift Leaders

♦ Transport Managers

♦ Procurement Managers

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

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

♦ Distribution centres

♦ Warehouses

♦ Stock rooms

♦ Transport depots

♦ Any business which moves, handles or stores goods or materials

Structure of the SVQs

This section lists the Units that form the SVQs in Warehousing and Storage, Warehousing and Storage Support Operations and Logistics Operations.

SVQ in Warehousing, Storage and Distribution at SCQF level 5

Candidates should complete 8 units, 3 of which must be mandatory and 5 optional. 0–2 credits can be taken from options group 1. 0–5 credits can be taken from options group 2.

Mandatory units

3 units required

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H0A3 04	5	5	SFL15v2	Maintain Health and Safety in Logistics Operations
H2CH 04	5	3	SfLWS22	Develop Effective Working Relationships with Colleagues in Logistics Operations
H0A4 04	5	3	SfLWS19	Moving or Handling Goods in Logistics Operations

Optional units (Group 1)

0–2 units required

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HP8N 04	4	3	SFL21v2	Wrap and Pack Goods
H2D4 04	4	2	SfL153	Maintain Safe Storage of Food During Warehousing
H59L 04	4	3	LANCS6	Transport Physical Resources Within the Work Area
HP8V 04	4	11	IMIVF44	Receive and Store Automative Stock
H040 04	4	14	SEMPEO115	Carrying Out Packaging Operations

Optional units (Group 2)

0–5 units required

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FA0N 04	5	5	SfLTO12	Contribute to the Provision of Customer Services
H2CJ 04	5	2	SfLWS16	Maintain the Cleanliness of Equipment
H2CK 04	5	4	SfLWS17	Keep Stock at Required Levels
H2CL 04	3	3	SfLWS18	Keep Work Areas Clean
H2CM 04	5	4	SfLWS20	Pick Goods
H2CP 04	5	4	SfLWS23	Operate Equipment to Perform Work Requirements in Logistics Operations
HP99 04	5	4	SfLWS24	Use Equipment to Move Goods in Logistics Operations
H2CS 04	5	3	SfLWS25	Receive Goods
H2CT 04	5	5	SfLWS26	Place Goods in Storage
H2CV 04	5	4	SfLWS27	Maintain the Safety and Security of Hazardous Goods and Materials
H2CW 04	5	5	SfLWS28	Maintain Hygiene Standards in Handling and Storing Goods
H2CX 04	5	3	SfLWS29	Process Orders for Customers
H2CY 04	5	3	SfLWS30	Assemble Orders for Dispatch
H2D0 04	5	3	SfLWS31	Process Returned Goods
H2D1 04	5	4	SfLWS32	Sort Goods and Materials for Recycling or Disposal
H2D2 04	5	3	SfLWS33	Monitor the Receipt, Storage or Dispatch of Goods
F347 04	7	5	SFLLO39	Apply Technology in Logistics Operations
H2D5 04	5	2	SfL157	Maintain Food Safety During Loading and Unloading
HP8P 04	5	3	SFL230	Maintain Warehousing and Storage Shelving and Racking Systems
H44G 04	5	4	2084	Move and Handle Products and Materials in Food and Drink Operations

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H3KT 04	5	4	2082	Monitor Stored Goods and Materials in a Food Environment
HK66 04	5	28	SEMPMO215	Producing Packaged Products
HP8R 04	N/A	N/A	COGPAK15	Pack Products by Machine
HP8T 04	N/A	N/A	COGPAC18	Maintain Personal Hygiene Standards in Packaging Environment
H2JM 04	5	7	EUSWO18	Store Waste and Operating Materials Within a Waste Management Facility
HP9A 04	5	7	EUSWO11	Acceptance of Waste

SVQ in Warehousing, Storage and Distribution at SCQF level 6

Candidates should complete 8 units, 4 of which must be from the mandatory group and 4 from the optional group. There are 2 'additional' units but these do not form part of the options — they are available if candidates want to do them in addition to the units within the structure.

Mandatory units
3 units from the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
H2D2 04	5	3	SfLWS33	Monitor the Receipt, Storage and Dispatch of Goods
H0A5 04	7	5	SfLLO38	Respond to Problems in Logistics Operations
H59B 04	6	11	LanC3	Promote, Monitor and Maintain Health Safety and Security

1 unit from the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
DR3Y 04	7	14	CFAMLD6	Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility
HC8V 04	5	6	CFAM&LDB2	Allocate Work to Team Members

Optional units

4 units from the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HA67 04	6	4	SFLL&G3	Communicate Effectively with all Stakeholders
HP8H 04	8	6	SfLITLO4	Manage Costs and Resources in Logistics Operations to Meet Customer Requirements
HP8J 04	9	8	SfLITLO5	Manage and Implement Security Operations Within Logistics
HP99 04	5	4	SfLWS24	Use Equipment to Move Goods in Logistics Operations
H2CX 04	5	3	SfLWS29	Process Orders for Customers
H2D0 04	5	3	SfLWS31	Process Returned Goods
H2D3 04	7	4	SfLWS34	Check Stock Levels and Stock Records
HP9E 04	7	5	SFLLO36	Schedule Logistic Operations to Meet Customer Requirements
F347 04	7	5	SfLLO39	Apply Technology in Logistics Operations
HP9C 04	7	6	SfLLO40	Improve the Performance of Logistics Operations
H0A6 04	6	5	SfLLO41	Minimise the Environmental Impact of Logistics Operations
DX56 04	7	5	SFLSCM117	Control Supplies at Storage Locations and Facilities
DX67 04	7	6	SFLSCM 127	Monitor the Flow of Supplies in the Supply Chain
DX6F 04	6	4	SfL129	Obtain Information on Distribution Requirements
HP8P 04	5	4	SFL230	Maintain Warehousing and Storage Shelving and Racking Systems
DX69 04	6	4	SFLSCM131	Monitor the Flow of Returned Supplies
HP8M 04	N/A	N/A	CFAIWS7	Work With People from Different Countries or Diverse Cultures
HK20 04	6	8	CFACSD8	Work With Others to Improve Customer Service

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FD9Y 04	6	4	CFABAA626	Plan How to Manage and Improve Own Performance in a Business Environment
HK66 04	5	28	SEMPMO215	Producing Packaged Products
H2DF 04	6	6	SfL155	Apply and Monitor Food Safety Management Processes in a Logistics Operation
H3KS 04	6	5	3121	Monitor and Maintain Storage Conditions in a Food Environment
H3L1 04	6	6	3120	Organise the Receipt and Storage of Goods and Materials in a Food Environment
HP8X 04	N/A	N/A	SFHSS10	Organise the Receipt and Storage of Goods
HP8Y 04	7	5	SfLBW1	Manage the Authorisation, Guarantees and Approval for Excise Warehouse Premises
HP90 04	7	5	SfLBW2	Manage the Receipt of Duty Suspended and Duty Paid Excise Goods
HP91 04	6	4	SfLBW3	Manage and Control the Storage of Excise Goods in the Warehouse
HP92 04	6	4	SfLBW4	Control the Removal of Duty Suspended and Duty Paid Goods From an Excise Warehouse
HP93 04	7	4	SfLBW5	Manage the Organisations Compliance With Regulatory and Operational Procedures
HP95 04	5	4	SfLBW6	Receive and Store Duty Suspended and Duty Paid Excise Goods
HP96 04	5	3	SFLGDP6	Receive and Store Medicinal Products in a Warehouse Environment to Meet Good Distribution Practice

Additional units

Up to 2 units from the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HP97 04	N/A	N/A	SFLGDP1	Develop, Implement and Maintain a Quality System to Control the Distribution of Medicinal Products
HP98 04	N/A	N/A	SFLGDP5	Manage Resources to Ensure Compliance With the Requirements of Good Distribution Practice

SVQ in Logistics Operations at SCQF level 7

Candidates should complete 8 units, 4 of which must be from the mandatory group and 4 from the optional group.

Mandatory units

4 units from the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HA67 04	6	4	SFLL&G3	Communicate Effectively with all Stakeholders
HP9D 04	6	4	SfLLO37	Optimise the Use of Logistic Resources
H0A5 04	7	5	SfLLO38	Respond to Problems in Logistics Operations
HP9E 04	7	5	SfLLO36	Schedule Logistic Operations to Meet Customer Requirements

Optional units

3 units from the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HP8H 04	8	6	SFLITLO4	Manage Costs and Resources in Logistics Operations to Meet Customer Requirements
HP8J 04	9	8	SfLITLO5	Manage and Implement Security Operations Within Logistics
H2D2 04	5	3	SfLWS33	Monitor the Receipt, Storage or Dispatch of Goods
F347 04	7	5	SfLLO39	Apply Technology in Logistics Operations
HP9C 04	7	6	SfLLO40	Improve the Performance of Logistics Operations
H0A6 04	6	5	SfLLO41	Minimise the Environmental Impact of Logistics Operations
HP8K 04	7	5	SfL49	Coordinate International Road Transport Operations
HP8L 04	6	4	SfL68	Arrange the Transportation of Goods Using Multiple Transport Modes

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
DX7W 04	8	5	SfLSCM107	Schedule the Distribution of Supplies
DX56 04	7	5	SFLSCM117	Control Supplies at Storage Locations and Facilities
DX4V 04	6	4	SfLSCM120	Administer Contracts
DX61 04	5	3	SfLSCM126	Monitor and Progress the Delivery of Orders
DX67 04	7	6	SFLSCM127	Monitor the Flow of Supplies in the Supply Chain
DX69 04	6	4	SFLSCM131	Monitor the Flow of Returned Supplies
DX6D 04	6	5	SFL132	Monitor the Transportation of Supplies
HE7K 04	5	8	PROHSS1	Make Sure Your Own Actions Reduce Risks to Health and Safety
H9XW 04	6	6	CFACSA13	Deal with Customers in Writing or Electronically
HK26 04	7	6	CFAM&LAA2	Develop your Knowledge, Skills and Competence
HP8M 04	N/A	N/A	CFAIWS7	Work with People from Different Countries or Diverse Cultures
H8H3 04	9	12	CFAM&LBB4	Ensure Compliance with Legal, Regulatory, Ethical and Social Requirements

1 unit from the following

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
HC8V 04	5	6	CFADB2	Allocate Work to Team Members
DR3Y 04	7	14	CFAMLD6	Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility
H8GY 04	8	9	CFAM&LBA2	Provide Leadership in Your Area of Responsibility

If candidates have not previously taken a health and safety unit or undergone health and safety training they should be encouraged to take the optional unit HE7K 04 Make Sure Your Own Actions Reduce Risks to Health and Safety.

An assessment strategy for the SVQ

As part of its review of the SVQs, the Sector Skills Council Lantra, has developed an assessment strategy which defines a range of requirements:

♦ the occupational expertise of assessors and verifiers
♦ a definition of simulation
♦ definition of the workplace
♦ information on a model of independent assessment or external quality control

The relevant parts of the assessment strategy are published on SQA's website (**www.sqa.org.uk**), and both SQA and centres must comply with these requirements. Centres should refer to the Assessment Strategy at all times.

Why would people be interested in the SVQ?

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

How do candidates begin?

Choosing the SVQ

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

Example 1
Paul had been employed at W & M Distribution since leaving school four years ago. Paul joined the company as a warehouse assistant and was involved initially in the despatch department of the organisation. As W & M Distribution developed and grew, Paul's responsibilities increased and a need for training was identified.

Paul discussed his training needs with his supervisor during a regular performance review. Paul's supervisor stated that Paul would benefit from an industry-specific training programme and suggested the SVQ Warehousing, Storage and Distribution at SCQF level 5 qualification. Paul expressed enthusiasm for this development route because he would be able to develop existing skills, learn new skills, and gain a nationally recognised qualification. Paul also learned that this qualification includes five Units that contribute to the higher level SVQ Warehouse, Storage and Distribution at SCQF level 6 qualification and one unit that contribute to the higher level SVQ Logistics Operations at SCQF level 7 qualification. Paul realised that completing the SVQ Warehousing and Storage (SCQF 5) qualification would allow him to learn skills which would help him to move on to an SVQ at SCQF 6 or 7 and to eventually progress to management within the business. Paul saw a clear career path because of his learning programme.

Paul agreed an assessment plan with his assessor that included the following units:

♦ Maintain Health and Safety in Logistics Operations — Mandatory
♦ Develop Effective Working Relationships with Colleagues in Logistic Operations — Mandatory
♦ Moving or Handling Goods in Logistic Operations — Mandatory
♦ Use Equipment to Move Goods in Logistics Operations — Optional
♦ Monitor the Receipt, Storage or Dispatch of Goods — Optional

The assessment plan gave Paul the opportunity to demonstrate existing skills and also to learn and perform new skills to a national standard, ie SVQ Warehousing and Storage at SCQF level 5.

Paul completed his qualification and was given additional responsibility for receipt of goods. Paul agreed a Personal Development Plan with his supervisor for the following year. The plan included training on managing some aspects of W & M Distribution's operations in preparation for undertaking the SVQ Logistics Operations at SCQF level 7.

Example 2

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

Angela was successful in her application for the post and it was agreed as part of her contract that she would complete an SVQ Logistics Operations at SCQF level 7. Achievement of the qualification would be used to develop Angela in her new role. Healthy Life Pharmaceuticals were keen to improve their customer service image and Angela's new role was seen to be key in achieving that goal.

Angela agreed to undertake the following units with her assessor:

- Communicate Effectively with all Stakeholders — Mandatory
- Schedule Logistic Operations to Meet Customer Requirements — Mandatory
- Improve the Performance of Logistic Operations — Optional

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

Angela achieved the SVQ Logistics Operations at SCQF level 7 and is now managing a successful and efficient dispatch operation at Healthy Life Pharmaceuticals.

2 Preparing to assess the SVQ

This section offers practical advice on how to begin to go about assessing 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, it will be 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 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, you may have opportunities to *integrate* assessment. This means planning to assess an activity which draws on the contents of different units or elements. It can be a practical and cost-effective way of assessing your candidate's competence.

If you are a new assessor working towards your Learning and Development units (the national standards in assessment and verification) you will need copies of completed assessment plans as part of your evidence.

To help you plan for assessment, we have produced assessment plans that cover the Warehousing, Storage and Distribution SCQF level 5 unit Maintain *Health and Safety in Logistics Operations (H0A3 04)*. These contain spaces for you to enter the date when the assessment plan has been reviewed. Any gaps identified during these reviews should be discussed with your candidates and noted for action in the assessment plan.

Assessment plan

Warehousing, Storage and Distribution (SCQF 5)

Units	Maintain Health and Safety in Logistics Operations					
Elements						
Activities		**Performance criteria (PC)**	**Method of assessment/sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other units (PC and range)**
♦ identification of health and safety equipment available in the workplace and of potential H&S and security hazards in the workplace		1, 3, 4, 6, 7, 8	Digitally recorded professional discussion of evacuation procedures and use of safety equipment. Witness statement for warehouse supervisor.	30 March		Unit 26, PCs 2, 3, 4, 5. 6, 8, 10 K&U d, e, f, g, i, j, m
♦ dealing with health and safety and security matters		1, 2, 3, 4, 5, 6, 7, 8, 9		11 April		
♦ professional discussion in the workplace (digitally recorded)		1, 2, 3, 4, 5, 6, 7, 8, 9		12 April		Unit 15, PCs 3, 5, 7, 8 K&U c, e, g, i
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review		b, c, e, f, g, j, k, l	Professional discussion	12 April		

Assessor's signature   *John Aitken*

Candidate's signature   *Paul Grey*

Date of agreement   23 March

1st review due

2nd review due

Date of completion   12 April

Selecting methods of assessment

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

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

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

There are both benefits and challenges when you are assessing SVQs in the workplace, or in conditions of the workplace. When you select methods of assessment, you should try to offer the candidate the benefits of workplace assessment and minimise any potential difficulties.

The benefits might be:

♦ cost effectiveness of assessment methods to the organisation, eg the candidate is assessed in a realistic working environment and no need to take candidate off the job
♦ observation of candidate's performance ensures evidence is reliable, valid and practicable
♦ candidate progresses at his/her own pace
♦ opportunity for the candidate to perform in a familiar environment
♦ development of a positive working relationship between the assessor, the candidate and the candidate's organisation

The challenges might be:

♦ having to change assessment plans to take account of the needs of the business, eg candidate may not be able to be assessed due to shortage of staff
♦ conditions in the workplace may not lend themselves to observation, ie too quiet or too busy
♦ shift work may mean that assessors have to be available at various times throughout the day and night
♦ there may be issues of confidentiality with some evidence, particularly at level 3

Example

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

Methods of assessment

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

Observation

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

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

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

Example
Observation of naturally-occurring evidence would be an ideal assessment method for the units, *Keep Stock at Required Levels (H2CK 04)* and *Moving or Handling Goods in Logistics Operations (H0A4 04)*. In both of these units, candidates will be able to demonstrate their competence through performance of task(s) in the workplace, eg label and position stock (Unit H2CK 04), use correct handling methods (Unit H0A4 04).

Product evidence

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

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

Example
Product evidence for the unit *Pick Goods (H2CM 04)* might include a picking note with details of stock ready to be assembled. A picking note with your candidate's signature, counter signed by their supervisor, showing successful completion of the order would be evidence of your candidate's performance. Product evidence should support any other method of assessment, eg observation, candidate report, assignment.

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

Questioning

Candidates have to show that they can meet the knowledge specifications for the SVQs. For these SVQs, knowledge and understanding is specified for each unit. Much of a candidate's knowledge and understanding will be apparent from what they do or produce as part of their work, but this will not always be the case, and questioning can be a useful way of confirming what candidates know and understand.

Questions can be asked in a variety of forms, such as oral questions, short answer written questions, and multiple choice.

You should be careful that the method of questioning does not go beyond the competence required for the SVQ and become a barrier to fair assessment. For example, some candidates will feel more comfortable with oral questions than written.

Example
Earlier in this section we gave examples of where observation might be used as an assessment method. One of the units selected as an example was the unit *Keep Stock at Required Levels (H2CK 04)*. Although much of this task will be able to be observed, additional questions will cover and confirm the candidate's knowledge and understanding.

Other methods of assessment

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

Personal statements

You might sometimes find it helpful to ask a candidate to give an account of why they did an activity in a certain way or how they produced a product of their work. This is often referred to as a *personal statement*. You should take care to ensure that by asking candidates to produce such statements, you are not asking them to demonstrate competence beyond what is required by the standards. You should also be selective in the use of personal statements, and make sure they have not been produced as a substitute to a more valid, reliable and practical method of assessment.

Example
The unit *Contribute to the Provision of Customer Service (FA0N 04)* requires candidates to provide evidence of dealing with customer complaints. It will be difficult to plan observation that includes dealing with customer complaints, and therefore a personal statement from your candidate explaining how they have dealt with a customer complaint would be acceptable evidence.

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

Witness testimony

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

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

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 L and D units, A/V units or 'D-units'.
	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.
	Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.
	Someone who may be a colleague of the candidate, but with no knowledge of the standards.
Weakest	Someone with no or little knowledge of the candidate's work or no knowledge of the standards.

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

Most units require performance to be demonstrated on more than one occasion, and over a period of time, to establish competence. Sources of evidence such as observation and/or product evidence might not always cover all of the evidence requirements. This is the particularly the case at level 5 where candidate input in the form of reports and professional discussions are required, or where candidate personal statements are used. It is useful to include a witness statement in which another person can confirm your candidate's performance. The value and reliability of the witness statement will depend very much on the knowledge and expertise of the witness (see above), and you must bear this in mind when making your assessment decision.

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

Simulation

Simulation is any structured assessment exercise involving a specific task which reproduces real-life situations.

On some occasions, it may not be practical to assess a candidate in real work. Examples might be where the standards require candidates to carry out emergency or contingency procedures, or where client confidentiality is an issue, or where a candidate's job role does not cover all aspects of the qualification.

Simulation has been defined below and the standards when simulation is and is not acceptable is specified. The standards also state when candidates must demonstrate competence in the workplace.

Workplace assessment/simulation
National Occupational Standards are work-competency based and therefore candidates must be assessed under normal workplace conditions.

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

♦ safety
♦ legislation
♦ regulation
♦ contingency
♦ cost

In addition, it is recognised that candidates may use these NOS in the context of a learning environment and not in a workplace. In these situations, centres may set up or devise assessment situations as required, with prior agreement of the external verifier.

The NOS have been designed to be capable of assessment in the normal workplace and that subject to the arrangements for simulation described above this should be the case. RWE requirements will be indicated within specific NOS.

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

Other sources of evidence

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

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

3 Generating evidence

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

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

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

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

Observation

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

Observation record

Unit/element(s)   Maintain Health and Safety in Logistics Operations (H0A3 04)

Candidate   Paul Grey

Evidence index number _____

Date of observation   30 March

Skills/activities observed	Performance criteria covered
I observed Paul in the workplace checking goods which had just been received against the delivery note. Paul checked the storage area to ensure that sufficient space had been made for storing the new stock. Paul was wearing personal protective clothing when he checked that the area was dry and clean before placing goods in storage, using the correct handling techniques. He also correctly identified the specific equipment and facilities which were required for the storage of the new stock. Paul explained that if storage conditions were not dry, the stock being stored would deteriorate quickly. I asked Paul to identify safety equipment. Paul explained how the emergency doors were operated and also identified and correctly explained the use of different fire extinguishers. Paul highlighted a safety hazard — a fork lift truck parked close to an emergency exit. Paul told me that other safety hazards might include wet floors (could cause slips), and boxes left in dispatch area (could cause trips). Paul demonstrated how he would react in the event of an emergency evacuation. Paul showed me how he would activate the fire alarm in the event of discovering a fire. Paul explained that this action would also alert the emergency services. Paul checked the immediate area in a simulated exercise before directing me to the nearest emergency exit. Paul explained again how the door operated and then took me to the rendezvous point for staff and customers, which is located in the car park. Paul identified several security measures in place within the distribution centre. These included close circuit television, electronic doors, and security tags which are used to protect high value items in storage. Paul told me that open doors and un-guarded stock would present a security issue.	Unit H0A3 04 Performance statements: 1, 3, 4, 5, 6, 7, 8 Unit H2CT 04 Performance statements: 1, 2, 3, 4, 5, 6, 8

Finally, Paul told me that it is his responsibility to ensure that the workplace is kept safe and secure and to this end he always takes immediate action to resolve the issue or reports any hazards and security risks to a supervisor.

Knowledge and understanding apparent from this observation

Unit H0A3 04 K&U statements: e, I, j, k, l m, n
Unit H2CT 04 K&U statements: c, d, e, f, g, i.

Other units/elements to which this evidence may contribute

All units which have health and safety requirements.

Assessor's comments and feedback to candidate

Paul demonstrated his ability to handle and move stock.

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

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

Excellent performance observed.

I can confirm the candidate's performance was satisfactory.

Assessor's signature   *John Aitken*   **Date**   *30 March 2017*

Candidate's signature   *Paul Grey*   **Date**   *30 March 2017*

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	Keep Stock at Required Levels (H2CK 04)
Element(s)	
Evidence index number	13
Circumstances of assessment Questions asked during observation of performance in the workplace	

List of questions and candidate's responses	
Q	**What are your organisation's standards for your conduct and appearance?**
A	I must conduct myself in a professional manner at all times, respect my workplace and colleagues and adhere to health and safety regulations. I must wear my company uniform and name badge at all times when in the workplace.
Q	**What problems might you encounter with keeping stock at the required levels?**
A	I have to check sell by dates on stock to ensure it is fit for use, and if not discard it. If stock is not used by required dates its value is lost and company profits are affected.
Q	**Why is stock rotation important?**
A	To ensure that older stock is used first and that stock remains within its sell by date whilst in storage.
Q	**How do you recognise damaged, faulty or out-of-date stock and how do you deal with it?**
A	I would recognise damaged stock from torn packaging, leaking boxes or from any unusual sounds when moving stock. Faulty goods are usually returned by customers and are stored in our returned goods area. Out-of-date stock is identified when stock is stored beyond its sell by date. I deal with damaged stock by recording the damage on the system and arranging for stock to be returned to supplier. Likewise, faulty goods are logged on the system and returned to suppliers. Out-of-date stock is also logged and disposed of. Out-of-date stock is logged to enable it be accounted for, and then it is written off as a loss. This is why stock control is important as the company can lose a lot of money through lost sales of out-of-date stock.

Assessor's signature   _John Aitken_   **Date**   _2 May_

Candidate's signature   _Paul Grey_   **Date**   _2 May_

Professional discussion

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

The discussion should be planned to ensure that:

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

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

An example of an outline for a discussion on the unit Maintain Health and Safety in Logistics Operations (H0A3 04) has been provided on the following page.

Outline of professional discussion

Unit: Maintain Health and Safety in Logistics Operations (H0A3 04)
Evidence index number: 7
Circumstances of assessment: Outline of proposed Professional Discussion on 12 April. The outline is based on the knowledge and understanding requirements for unit H0A3 04and will confirm Paul's knowledge and understanding of this unit.

List of points to be addressed during discussion

♦ Tell me about the legislation, regulations and organisational procedures which apply to health and safety at W & M Distribution.

♦ What are the responsibilities of all workers for health and safety and security at W & M Distribution?

♦ Tell me who has overall responsibility for health and safety and security at W & M Distribution?

♦ What personal protective equipment are you provided with and why is it necessary?

♦ Please describe the types of health, safety and security incidents that could occur at W & M Distribution.

♦ Tell me what safety equipment is provided at W & M Distribution and how you would use it.

♦ What are the procedures you follow in the event of an emergency at D & W Distribution?

♦ Please point out the escape routes within the workplace.

♦ What are the legal responsibilities for reporting accidents and emergencies?

♦ Tell me where you would find the following information:

  1 Information on legislation and regulations
  2 Legal requirements for the storage and distribution of specific goods and materials, eg perishable items, substances hazardous to health

♦ Describe the reporting and information systems that are used at W & M Distribution.

♦ Which working practices, operating procedures and guidelines do you adhere to when working at W & M Distribution?

Candidate's signature: *Paul Grey*　　　　　　　**Date:** *2 May*

Candidates'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.

The unit *Contribute to the Provision of Customer Service (FA0N 04)* requires candidates to provide evidence of dealing with customer complaints. It will be difficult to plan an observation to include dealing with customer complaints and therefore a personal statement from your candidate explaining how they have dealt with a customer complaint would be acceptable evidence.

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, elements, performance criteria, performance statements, scope covered
6/6/17		'I was working on the service desk last Tuesday when a customer telephoned to say he had received a damaged item in his order. The customer told me that he had unpacked his order of glassware to find a broken glass in the box. The customer was angry because he had been waiting several days for this order which was a special request for one of his customers. The customer demanded to know what I was going to do about the problem. I said that I would do my best to resolve the problem, took the customer's details and said I would call them back. I checked availability of the glassware and we had one box left in stock. I checked with my manger first to ensure that I was following correct procedures. I planned to send out another box of glasses and have the damaged box uplifted. My manager agreed. I telephoned my customer and explained what I proposed to do. I said that I would have the new glasses to him by the following day. The customer was delighted with my solution and thanked me for my help. He promised to return.'		FA0N 04: 1, 3, 4, 5, 6, 9

Candidate's signature _Paul Grey_   **Date** _6 June 2017_

Witness testimony

Remember when you begin to use witness testimony that it must be capable of being authenticated — even if the testimony itself is being used to authenticate a candidate's claim to competence.

To make sure the witness testimony is genuine, you must ensure that you have a record of who is acting as a witness, their relationship to the candidate (eg supervisor, client) address, telephone number and the date. There are spaces for this information in the form.

Witness testimony

SVQ title and level	SVQ Warehousing, Storage and Distribution at SCQF level 5
Candidate's name	Paul Grey
Evidence index no	12
Index no of other evidence which this testimony relates to (if any)	
Element(s)	
Date of evidence	6 June 2017
Name of witness	David Smith
Designation/relationship to candidate	Supervisor

Details of testimony

I can confirm that Paul dealt with Mr X on 6 June. Mr X received a package which contained broken glassware. Mr X was very unhappy and Paul dealt with the matter in a most professional manner.

Paul established the nature of the problem, assured Mr X that he would deal with it and resolved the complaint to Mr X's satisfaction.

I have observed Paul on a number of occasions dealing with customer complaints and concerns. Paul has always acted with the customer's interests at heart and worked hard to find solutions. If Paul has any doubts about resolving customer complaints, he will refer them to myself or another member of the management team.

I have a lot of confidence in Paul's ability to deal with customers who have concerns or complaints.

I can confirm the candidate's performance was satisfactory.

Witness's signature *David Smith*   **Date** *6/6/2017*

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

☐ Holds L and D unit 9D/9D1, A1/A2 or D32/D33 qualifications

☑ Is familiar with the SVQ standards to which the candidate is working

Filling the gaps

There may come a time when your candidate has provided evidence for most of the unit (or SVQ), but there are some gaps. For example, you may find that certain situations, such as handling contingencies, have not arisen during assessment. Often these will relate to dealing with health and safety issues, or unexpected problems with workflow like delays in receiving information from another part of the organisation.

In this SVQ, such gaps are likely to occur in generating evidence for:

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

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

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

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

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

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

Guidance and support to candidates

At all times during the assessment process — from planning through to making your assessment decision — feedback should be ongoing, clear and constructive. Feedback should be given against the national standards by relating it to the evidence provided, including the knowledge specifications.

Where there are any shortfalls in a candidate's competence, you should discuss these with your candidate and make plans for re-assessment.

Judging candidate evidence and making an assessment decision

In judging candidate evidence, you must be satisfied that your candidates can work consistently to the required standard, and that the evidence they have produced is their own. You must consider whether your candidate understands and applies the knowledge evidence and how this links to performance evidence.

Evidence must:

♦ be relevant to the SVQ
♦ be authentic
♦ show current competence
♦ be sufficient to help you form a decision about the candidate's competence

Insufficient evidence

You have to judge whether the candidate has produced enough evidence required by the standards for you to reach a decision about their evidence.

Where there is insufficient evidence, you should say this to your candidate. You should tell them that it is not that they are not yet competent — there is simply not enough evidence on which to make a decision.

In this situation, your feedback to your candidates must help them produce more evidence and/or plan for further assessment.

Authenticating candidates' evidence

Authentication is required where you have not observed candidates' performance at first hand.

You can check whether a candidate has produced evidence which they claim shows their competence by questioning them or, if this is appropriate, asking them to produce a personal statement, using witness testimony, or seeking peer reports from other colleagues of the candidate.

Example

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

4 Recording achievement

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

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

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

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

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

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

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

♦ Completing the unit progress record
♦ Using the evidence index
♦ Completing the element achievement record

These forms are also used in SQA's portfolio.

Completing the unit progress record

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

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

Unit progress record

Qualification and level   SVQ Warehousing, Storage and Distribution
SCQF level 5

Candidate   Paul Grey

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

Unit checklist

Mandatory	H0A3 04	H2CH 04	H0A4 04				
Optional	FA0N 04	H2CP 04	HP99 04	H2CS 04	H2D2 04		

Mandatory units achieved

Unit number	Title	Assessor's signature	Date
H0A3 04	Maintain Health and Safety in Logistics Operations	*John Aitken*	*12 April 2017*
H2CH 04	Develop Effective Working Relationships With Colleagues in Logistics Operations	*John Aitken*	*6 June 2017*
H0A4 04	Moving or Handling Goods in Logistics Operations		

Optional units achieved

Unit number	Title	Assessor's signature	Date
FA0N 04	Contribute to the Provision of Customer Service		
H2CP 04	Operate Equipment to Perform Work Requirements in Logistics Operations	*John Aitken*	*30 March 2017*
HP99 04	Use Equipment to Move Goods in logistics operations	*John Aitken*	*30 March 2017*
H2CS 04	Receive Goods	*John Aitken*	*30 March 2017*
H2D2 04	Monitor the Receipt, Storage or Dispatch of Goods		

Unit progress record

Qualification and level   Logistics Operations SCQF level 7

Candidate   Angela Schofield

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

Unit checklist

Mandatory	HA67 04	HP9D 04	H0A5 04	HP9E 04		
Optional	HP9C 04	HP8H 04	HP8J 04	F347 04		

Mandatory units achieved

Unit number	Title	Assessor's signature	Date
HA67 04	Communicate Effectively with all Stakeholders	*John Aitken*	*14 April 2017*
HP9D 04	Optimise the Use of Logistics Resources	*John Aitken*	*6 March 2017*
H0A5 04	Respond to Problems in Logistics Operations		
HP9E 04	Schedule Logistics Operations to Meet Customer Requirements		

Optional units achieved

Unit number	Title	Assessor's signature	Date
HP9C 04	Improve the Performance of Logistics Operations	*John Aitken*	*30 June 2017*
HP8H 04	Manage Costs and Resources in Logistics Operations to Meet Customer Requirements	*John Aitken*	*30 June 2017*
HP8J 04	Manage and Implement Security Operations Within Logistics	*John Aitken*	*30 March 2017*
F347 04	Apply Technology in Logistics Operations		

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	SVQ Warehousing and Storage at SCQF level 5

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	CV	Yes	
2	Personal development plan	No. Located in my file in HR	
3	Performance review 2017	Yes	
4	One to one review with my supervisor	No. Located in my file in HR	IV *cw* 30 March
5	Observation report	Yes	IV *cw* 30 March
6	Witness testimony	Yes	
7	Professional discussion for unit H0A3 04	Yes on CD	IV *cw* 30 March
8	Answers to questions for unit H2CH 04	Yes	
9	Goods received note with explanation of relevance to unit H2CS 04	Yes	
10	E-mails between me and suppliers	No. Held on computer hard drive in folder named Paul	
11	Observation report H0A3 04	Yes	IV *cw* 12 August
12	Witness statement unit FA0N 04	Yes	
13	Answers to questions unit H2CH 04	Yes	
14	Professional discussion unit H2CH 04	Yes. On CD	IV *cw* 12 August

Completing the element achievement record

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

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

If integrated assessment is used (linking performance criteria or elements across different units) the evidence should be cross-referenced back to the relevant units.

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

Element achievement record

Unit Maintain Health, Safety and Security in Logistic Operations H0A3 04

Element

Evidence Index no	Description of evidence	PC/performance statements								Areas of knowledge and understanding/scope															
		1	2	3	4	5	6	7	8	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p
5	Observation	✓		✓	✓		✓	✓	✓																
6	Witness statement	✓	✓	✓	✓	✓	✓	✓	✓																
7 (CD)	Professional discussion	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Unit   H0A3 04 Maintain Health, Safety and Security in Logistic Operations

Element

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

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

Candidate's signature   _Paul Grey_   **Date**   _12 April 2017_

Assessor's signature   _John Aitken_   **Date**   _12 April 2017_

Internal verifier's signature   _Carol Walker_   **Date**   _12 April 2017_

5 Further information

What else should I read?

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

Assessor/Verifier Units: assessment guidance

External Verification: A Guide for Centres

Guide to Assessment

Introduction to Assessment Arrangements for Schools and Colleges

SQA's Quality Framework: a guide for centres

Operational Help Centre

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

Appendix 1: Blank recording forms

Unit progress record

Qualification and level

Candidate

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

Unit checklist

Mandatory							
Optional							

Mandatory units achieved

Unit number	Title	Assessor's signature	Date

Optional units achieved

Unit number	Title	Assessor's signature	Date

Index of evidence

SVQ title and level	

Evidence number	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	PC/performance statements						Areas of knowledge and understanding/scope																			

Unit

Element

Notes/comments

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

Candidate's signature _____ **Date** _____

Assessor's signature _____ **Date** _____

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

Assessment plan

| Units | |
| Elements | |

Activities	Performance criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other units (performance criteria and range)
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review					

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

Candidate's signature _____   **2nd review due** _____

Date of agreement _____   **Date of completion** _____

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, elements, performance criteria, performance statements, scope covered

Candidate's signature _____ **Date** _____

Observation record

Unit/element(s) _____

Candidate _____

Evidence index number _____

Date of observation _____

Skills/activities observed	Performance criteria covered

Knowledge and understanding apparent from this observation

Other units/elements to which this evidence may contribute

Assessor's comments and feedback to candidate

I can confirm the candidate's performance was satisfactory.

Assessor's signature _____ **Date** _____

Candidate's signature _____ **Date** _____

Witness testimony

SVQ title and level	64
Candidate's name	
Evidence index no	
Index no of other evidence which this testimony relates to (if any)	
Element(s)	
Date of evidence	
Name of witness	
Designation/relationship to candidate	
Details of testimony	

I can confirm the candidate's performance was satisfactory.

Witness signature _____ **Date** _____

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

☐ Holds L and D unit 9D/9D1, A1/A2 or D32/D33 qualifications

☐ Is familiar with the SVQ standards to which the candidate is working

Record of questions and candidate's answers

Unit	65
Element(s)	
Evidence index number	

Circumstances of assessment

List of questions and candidate's responses	
Q	
A	
Q	
A	
Q	
A	
Q	
A	
Q	
A	

Assessor's signature _____ **Date** _____

Candidate's signature _____ **Date** _____