

Guidance for the Edexcel Level 3 NVQ in Logistics Operations Management

Publication date: September 2008*

Produced by the Awards UK
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**Draft modifications by Edexcel, January 2009*

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About this guide

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

	Level	NVQ
Logistics Operations Management	3	Q5000366

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 NVQs and how they are assessed in the workplace. If you are already familiar with the concept of NVQs, you may wish to go to the next section.

About NVQs

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

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

Each NVQ, 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. NVQs 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 NVQs?

All NVQs consist of standards that 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 NVQ.

Who is involved in NVQs?

There are several roles:

- ◆ **the candidate:** the person who wants to achieve the NVQ (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 Edexcel who ensures that standards are being applied uniformly and consistently across all centres offering the NVQ

Assessors and verifiers in centres will be asked by Edexcel to prove they have the appropriate occupational competence to assess and verify the NVQ, as part of the Centre and Qualification Approval process. Any changes to these personnel should be reported to the EV allocated to the approved centre. Occupational competence has been defined by the standards-setting body in the assessment strategy for these NVQs. The standards setting body for Logistics is Skills for Logistics:

Skills for Logistics
12 Warren Yard
Warren Farm Office Village
Wolverton Mill
Milton Keynes
MK12 5NW

Tel 01908 764222
Web www.skillsforlogisitcs.org

Assessors and verifiers are also expected to possess an appropriate qualification in assessment and verification, or to obtain the appropriate Assessor, A1, and Verifier, V1, Units.

The steps involved in assessing a candidate for an NVQ

In deciding whether a candidate should get an NVQ, 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 NVQs in Warehousing and Storage and Logistics Operations Management

The National Occupational Standards (NOS), from which the NVQs in Warehousing and Storage at levels 1 and 2 and Logistics Management at level 3 have been derived, have been developed by Skills for Logistics.

The can be accessed from the NOS directory on <http://www.ukstandards.org/>

Skills for Logistics has stated:

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

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

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

These people may be working as any of the following:

Level 2 Warehousing and Storage

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

Level 3 Logistics Operations Management

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

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

The NVQs are designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the NVQs 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 NVQs

This section lists the Units which form the NVQ in Logistics Operations Management.

Logistics Operations Management at level 3 Q5000366

The way the NVQ is made up is shown below.

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

Mandatory Units

Candidates must achieve all of these Units:

Title	NOS code	NVQ
Identify the Logistics Requirements of a Supply Chain	LOM1	U5003550
Promote and Maintain Health, Safety and Security in Logistics Operations	LOG2	U5003549
Promote Compliance of Logistics Operations with Legislation, Regulations and Organisational Procedures	LOM2	U5003551

Optional Units

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

Group A (minimum of 1 unit up to a maximum of 3)

Title	NOS code	NVQ
Schedule Logistics Operations to Meet Customer Requirements	LOM3	U5003552
Optimise the Use of Logistics Resources	LOM4	U5003553
Develop Contingency Plans for Logistics Operations	LOM5	U5003554
Utilise Transport Modes in Logistics Operations	LOM6	U5003555
Apply Technology in Logistics Operations	LOM7	U5003556

Group B (minimum of 1 unit up to a maximum of 3)

Title	NOS code	NVQ
Develop Relationships with Logistics Customers	LOM8	U5003559
Improve the Quality of Logistics Operations	LOM9	U5003560
Respond to Contingencies During Logistics Operations	LOM10	U5003557
Monitor the Environmental Impact of Logistics Operations	LOM11	U5003558

Group C (Specialist and Management units, maximum of 3 units)

Title	NOS code	NVQ
International Logistics Operations units		
Arrange the transportation of goods using multiple transport modes	ITLO11	U5003561
Organise the preparation of documentation for the transportation of goods	ITLO12	U5003562
Warehousing and Storage units		
Manage the receipt, storage, or dispatch of goods	WS20	U5003537
Audit stock levels and stock records	WS21	U5003538
Management and Leadership units		
Provide leadership for your team	MSC B5	U5003563
Allocate and check work in your team	MSC D5	U5003564

An assessment strategy for the NVQ

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

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

Centres should refer to the Assessment Strategy at all times.

This document contains the current assessment strategy (August 2008) that applies to Warehousing and Storage suite but please note that it may be subject to incremental change. Edexcel will advise current approved centres of any subsequent changes to this assessment strategy but you should check with either your centre advisor or EV that you are using the correct version.

Skills for Logistics

Assessment Strategy for NVQs and SVQs

August 2008

Introduction

This document sets out the recommendations of Skills for Logistics for the assessment of NVQ and SVQ qualifications based on Skills for Logistics-developed National Occupational Standards. It replaces the Assessment Strategy for NVQs and SVQs dated February 2003 and the Assessment Strategy for Mail Services NVQ dated May 2005.

Application of the Strategy

1. The main body of this document describes the overarching strategy for the assessment and verification of NVQs based on the following National Occupational Standards:

Driving Goods Vehicles

Carry and Deliver Goods

Traffic Office

Storage and Warehousing/Warehousing and Storage

Distribution, Warehousing and Storage Operations

Mail Services

International Trade and Logistics Operations

Logistics Operations Management

2. Further annexes describe additional assessment, verification and related certification requirements that apply to specified NVQs. Currently there are four such annexes: Annex B dealing with Driving Goods Vehicles; Annex C dealing with Carry and Deliver Goods; Annex D dealing with Mail Services; and Annex E dealing with Warehousing and Storage.

As required by future qualifications development, further annexes will be submitted to UKCG for approval and incorporation into the strategy.

The Assessment Strategy

The Strategy has four elements:

- External Quality Control of Assessment
- Workplace Assessment/Simulation
- Realistic Work Environment
- Occupational expertise of Assessors and Verifiers

External Quality Control of Assessment

External quality control of assessment will be achieved through rigorous internal and external verification processes underpinned by effective risk management.

To ensure that common approaches are employed and that consistent, high standards are achieved, Skills for Logistics require Awarding Bodies delivering Skills for Logistics NVQs to participate in an Awarding Body Forum. This will, as a minimum, involve an annual meeting to discuss issues of assessment and verification.

External verifiers will be required to sample the work of all assessors and implement rigorous risk management strategies consistently across all centres for which they are responsible. Internal verifiers should sample evidence from all candidates and observe each assessor conducting candidate assessments at regular intervals.

External verifiers should also generally aim to sample the work of candidates at each centre, appropriate to the centre size; number of candidates registered; and identified risk rating by Awarding Body.

Skills for Logistics recommend that Awarding Bodies adopt a risk rating and risk management system for centres offering Skills for Logistics NVQs. Subject to guidance from the regulatory bodies, Skills for Logistics recommend that such systems identify:

- Commercial Risk - is there potential for commercial pressures to ensure that candidates achieve qualifications within unduly short time frames?
- Assessment/Verification risk - are factors apparent in the relationship between candidates, assessors and verifiers that might prejudice a fair and consistent assessment process?

Where risks or potential risks are identified, Skills for Logistics expects that the Awarding Body, via the external verifier takes appropriate action to ensure that the credibility of the assessment process is not prejudiced.

Workplace Assessment/Simulation

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

- Safety
- Legislation
- Regulation
- Contingency
- Cost

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

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

An employer who wishes to use their own training programme must be able to confirm that their in-house practices conform to the requirements of Skills for Logistics NOS, in association with the prospective Awarding Body which will be offering the qualification. The mapping process must be agreed by the Awarding Body as providing the equivalent rigour and robustness as the achievement of the unit qualification.

Witness Testimony

Witness testimony is recognised by Skills for Logistics as an appropriate tool for assessors in collecting evidence about candidate performance in the workplace. However before using witness testimony, assessors must satisfy themselves that:

- Witnesses are clear as to the purpose and use of the testimony;
- Witnesses have relevant experience and expertise in the area of competence in which they are providing testimony and;
- There is no relationship between the candidate and witness or witness and assessor that might invalidate the testimony.

Realistic Work Environment

To ensure that assessment is carried out in realistic work environment (RWE), Skills for Logistics requires that candidates be in a relevant job role in the logistics sector throughout the period of assessment, except in the circumstances for Level 1, described in the above section 'Workplace Assessment/Simulation'. Assessors should ensure that they and the internal verifier agree that the candidate is in a suitable job role during the period of assessment. If required, the internal verifier should ensure that the candidate's job description is made available to the external verifier in their portfolio.

Criteria for Assessors and Verifiers

Regulations for the approval of vocational qualifications require Awarding Bodies to put arrangements in place for independent assessment, including criteria for the qualifications and practices of assessors, internal verifiers and external verifiers. The provisions of this Strategy set out below are intended to complement, not duplicate these requirements.

Occupational expertise of Assessors and Verifiers

Skills for Logistics NOS are designed to be assessed by vocationally competent assessors in the workplace, backed up by consistent internal verification, and external verification through the work of the Awarding Bodies. The overall criteria set out below and any criteria specific to individual NVQs indicated in the annexes will be kept under review by Skills for Logistics. Skills for Logistics will continue to encourage Awarding Bodies to monitor the impact of these criteria on the quality of assessment.

Assessors

Assessors must meet the following criteria:

1. Current industry experience and competence, that is verifiable and relevant, in the occupational area in which they are assessing, gained either in employment or in assessment activities. If the latter, the assessor should be able to provide the relevant external verifier with evidence of professional development showing that they have maintained the currency of their knowledge of working practices in the sector.

Experience and competence could be evidenced by:

- Curriculum vitae and references
 - Possession of a relevant NVQ
 - Membership of a relevant professional institution
 - Continuing professional development
2. Current working knowledge of the national occupational standards against which they are assessing.
 3. Assessors should satisfy the qualification requirements specified by the regulatory authorities, unless they are assessing in an 'employer direct' model (below).

Workplace Assessment - The Role of Supervisors and Managers in the Assessment Process

Where employers opt for an 'employer direct' model, the qualification requirements specified by the regulatory authorities may be waived as described below.

The 'employer direct' model is where colleagues, supervisors and/or managers in the workplace are involved in the assessment process. Under this model, the employer, with the agreement of their Awarding Body and the approval of the qualifications Regulators, may choose between:

- Achieving the appropriate regulatory body approved unit qualifications for assessment and internal verification

OR

Demonstrating that the employer's training and development activity undertaken to prepare, validate and review these assessment/verification roles, is conducted to the National Standards for assessment and verification.

The alternative option described above, which waives the need for the regulatory approved units, must be confined in application to an 'organisation by organisation' and 'qualification by qualification' basis, and agreed by the qualification regulators.

Internal Verifiers

Internal verifiers should assure themselves that all assessors whose assessments they are verifying meet the criteria set out above. They must also meet the following criteria:

1. Current working knowledge of the national occupational standards against which they are verifying.
2. Experience in the occupational area in which they are verifying gained either in employment or in assessment/verification activities. If the latter, the verifier should be able to provide the external verifier with evidence of professional development showing that they have maintained the currency of their knowledge of working practices in the sector.
3. Internal verifiers should satisfy the qualification requirements specified by the regulatory authorities, unless they are verifying in an 'employer direct' model (above).

External Verifiers

External verifiers should assure themselves that all internal verifiers whose verifications they are verifying meet the criteria set out above.

They must also meet the following criteria:

1. Current working knowledge of the national occupational standards against which they are verifying.
2. Satisfy the qualification requirements specified by the regulatory authorities.
3. Ideally have experience in the occupational area in which they are verifying gained either in employment or in assessment/verification activities. If the latter, the verifier should be able to provide the awarding body with evidence of professional development showing that they have maintained the currency of their knowledge of working practices in the sector.

Annex A

Rationale for the Strategy

In developing and maintaining the currency of this Strategy, Skills for Logistics has been guided by the following processes and arrangements:

- The development and maintenance of Skills for Logistics NOS and the oversight of their development as NVQs is overseen by the **Skills for Logistics' Executive Board**.
- Skills for Logistics has arrangements for the delivery of NVQs with **Awarding Bodies**. Formal arrangements are in place relating to the delivery of specific NVQs and regular meetings are held with Awarding Body product managers to discuss delivery issues, including assessment and verification.
- Skills for Logistics holds meetings at least annually open to all Centres delivering NVQs in the sector and who are Skills for Logistics 'Approved Training Organisations'. These provide direct feedback from assessors and verifiers using the NVQs.

Standard Tests

Skills for Logistics has considered the potential value of setting standard tests to be used by the Awarding Bodies. It has concluded that it would be extremely difficult to devise a standard set of assessments that would be valid, credible, and practicable and still cover equitably the multifarious types of: company or organisation, vehicle, load, delivery conditions, and customers that comprise the industry.

As a heavily regulated industry most candidates being assessed for a qualification based on Skills for Logistics NOS are also subject to other testing relating to acquisition of a statutory licence or certificate associated with the operation of vehicles and equipment or the job role they undertake. These are therefore closely related to the content of the NOS-based qualifications. Significant among these are: the DSA Driving Tests for vans, rigid trucks and articulated trucks; certification for Lift trucks, used by warehouse operative staff, required by the Health and Safety Executive; and the Certificate of Professional Competence for Transport Operators required by an EU Directive as part of the licensing process for operators of goods vehicle fleets ('O' Licensing)

Annex B

Specific Criteria for the Assessment and Verification of Driving Goods Vehicles

Assessors

- In the case of the qualification *Driving Goods Vehicles* at Level 2 and Level 3 assessors must hold a Driving Licence with the entitlement needed to drive the vehicle on which the assessment is being undertaken.
- Assessors must satisfy the external verifier that they are occupationally competent in the employment context in which assessment is undertaken.
- When assessment takes place in the context of the movement or handling of dangerous goods the assessor must hold a current ADR certificate.

Internal Verifiers

- In the case of the qualification *Driving Goods Vehicles* at Level 2 and Level 3 internal verifiers must have a working knowledge of the DVLA Driving Licence regulations relating to the candidate and the vehicle on which the assessment is being undertaken.
- When assessment takes place in the context of the management, movement or handling of dangerous goods the internal verifier must have a working knowledge of ADR certification and the risks associated with the transport of dangerous goods.

External Verifiers

- When assessment takes place in the context of the handling of dangerous goods the external verifier must have a working knowledge of ADR certification and the risks associated with the transport of dangerous goods.

Annex C

Specific Criteria for the Assessment, Verification and Certification of Carry and Deliver Goods.

Assessors

- Assessors must hold a current Driving Licence with the entitlement needed to drive the vehicle on which the assessment is to take place (i.e., Cat A or Cat B or Cat C1 or Cat C or Cat C+E).
- Assessors must satisfy the external verifier that they are occupationally competent in the employment context in which assessment is undertaken.

Annex D

Specific Criteria for the Assessment, Verification and Certification of Mail Services

Mail Services NOS are work-competency based and therefore candidates are to 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 for Unit 1 'Contribute to safety and security in mail services'. Skills for Logistics therefore allow centres to set up or devise assessment situations for this unit, with the prior agreement of the external verifier that the simulation is valid before assessment is undertaken.

Annex E

Specific criteria for the Assessment and Verification of Warehousing and Storage

Assessors

In the case of the qualification Warehousing and Storage at levels 1 and 2, where the candidate uses equipment that requires specific training, or a 'licence' (certificate), for example lift trucks, assessors must have undertaken the specific training, or hold the 'licence' for the type of equipment on which the assessment is to take place.

Expert witness

Where the assessor has not undertaken the specific training, or does not hold the 'licence' for the type of equipment on which the assessment is to take place, the testimony of an expert witness should be sought.

An expert witness **must** be someone who is both competent on the type of equipment and is working sufficiently closely with the candidate to be able to comment on their operating ability. Competence may be demonstrated by the achievement of a 'licence' or evidence of specific training.

The expert witness is not consulted as a professional assessor, but as someone who is expert in the use of the type of equipment being used.

End of assessment strategy

Why would people be interested in the NVQ?

People will take NVQs 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 NVQ, 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 NVQ

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

Example 1

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

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

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

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

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

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

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

Example 2

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

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

Angela agreed to undertake the following Units with her assessor:

- ◆ Identify the Logistic Requirements of a Supply Chain – Mandatory
- ◆ Promote and Maintain Health, Safety and Security in Logistics Operations – Mandatory
- ◆ Promote Compliance of Logistics Operations with Legislation, Regulations and Organisational Procedures – Mandatory
- ◆ Schedule Logistic Operations to Meet Customer Requirements – Optional
- ◆ Utilise Transport Modes in Logistics Operations – Optional
- ◆ Develop Relationships with Logistics Customers – Optional
- ◆ Improve the Quality of Logistic Operations – Optional
- ◆ Provide Leadership for Your Team – Optional

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

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

2 Preparing to assess the NVQ

This section offers practical advice on how to begin to go about assessing your candidates for the NVQ. 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 NVQ will involve several stages. Both you and the candidate should be clear on your roles in the assessment process before you begin.

Your role

- ◆ ensure candidates understand what is to be assessed and how it is to be assessed
- ◆ ensure the conditions and resources required for assessment are available
- ◆ help candidates to identify and gather evidence
- ◆ observe and record candidates carrying out the activities described in the standards – records should say what has been observed, how it was carried out, and what it demonstrates
- ◆ assess products of the candidate's own work
- ◆ question candidates and record results
- ◆ help candidates to present evidence
- ◆ authenticate the evidence candidates provide
- ◆ judge evidence and make assessment decisions
- ◆ identify gaps or shortfalls in candidates' competence
- ◆ provide feedback to candidates throughout the assessment process
- ◆ record achievement

Candidates' role

- ◆ prepare for assessment – become familiar with the standards, what is to be assessed and how it is to be assessed
- ◆ help to identify sources of evidence and how these could be assessed
- ◆ carry out activities, and/or produce products of own work, and/or answer questions
- ◆ gather and present evidence
- ◆ receive and act on feedback from the assessor

Planning

In planning for assessment, you will find it helpful to meet with your candidate and plan what is to be assessed, in what way, and when and where the assessment is to take place. This discussion can be confirmed in the form of an agreed assessment plan between you and your candidate.

You should treat assessment plans as working documents – they can be updated and changed as you review progress with your candidate.

As you are planning assessment, don't forget to make the most of opportunities to *integrate* assessment. This means planning to assess an activity which draws on the contents of different Units or Elements. It can be a practical and cost-effective way of assessing your candidate's competence.

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

To help you plan for assessment, we have produced assessment plans which cover Warehousing and Storage level 2 LOG1 *Maintain Health, Safety, and Security in Logistics Operations*, and Logistics Operations Management level 3, LOM1 *Identify the Logistic Requirements of a Supply Chain*. You will notice that we have included spaces to enter dates when the assessment plan has been reviewed. Any gaps identified during these reviews should be discussed with your candidates and noted for action in the assessment plan.

Assessment plan

Warehousing and Storage level 2

Unit 1 LOG1 Maintain health, safety, and security in logistics operations					
Activities	PCs	Method of assessment/Sources of evidence	Date of assessment	Evidence already available	Links to other Units (PCs and range)
<ul style="list-style-type: none"> ◆ identification of health and safety equipment available in the workplace and of potential H&S and security hazards in the workplace ◆ dealing with health and safety and security matters ◆ professional discussion in the workplace (digitally recorded) 	<p>1, 3, 4, 6, 7, 8</p> <p>1, 2, 3, 4, 5, 6, 7, 8</p> <p>1, 2, 3, 4, 5, 6, 7, 8</p>	<p>Digitally recorded professional discussion of evacuation procedures and use of safety equipment</p> <p>Witness statement for warehouse supervisor</p>	<p>30 March</p> <p>11 April</p> <p>12 April</p>		<p>Unit 11, PCs 1, 2, 3, 4, 5, 6, 8</p> <p>K&U e, l, j, k, l m, n</p> <p>Unit 2, PCs 1, 2, 8</p> <p>K&U a, e, h, l, j</p>
Questioning for knowledge and understanding not apparent from performance to be identified from 2nd review	a, b, c, d, e, f, g, h, l, j, k, l, m, n, o, p	Professional discussion	12 April		

Assessor's signature: John Aitken

Candidate's signature: Paul Grey

Date of agreement: 23 March

1st review due:

2nd review due:

Date of completion: 12 April

Assessment plan

Logistic Operations Management level 3

Unit 1 LOM3 Identify the Logistic Requirements of a Supply Chain

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

Assessor’s signature: John Aitken

1st review due:

Candidate's signature: Angela Schofield

Date of agreement: 1/3/07

2nd review due:

Date of completion: 14/04/07

Selecting methods of assessment

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

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

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

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

The benefits might be:

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

The challenges might be:

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

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

Example

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

Methods of assessment

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

Observation

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

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

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

Example

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

Product evidence

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

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

Example

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

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

Questioning

Candidates have to show that they can meet the knowledge specifications for the NVQs. For these NVQs, 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 NVQ and become a barrier to fair assessment. For example, some candidates will feel more comfortable with oral questions than written.

Example

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

Other methods of assessment

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

Personal statements

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

Example

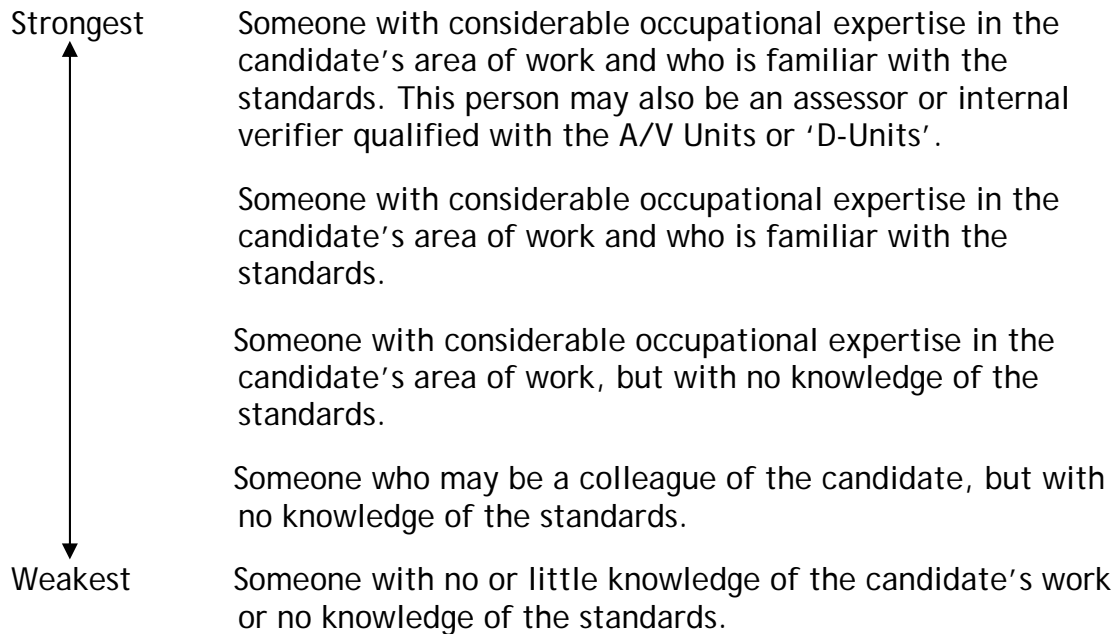
Unit *WS7 Provide Customers with Information and Advice on Goods and Services* requires candidates to provide evidence of dealing with customer complaints. It will be difficult to plan observation to include dealing with customer complaints and therefore a personal statement from your candidate explaining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

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

Witness testimony

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

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



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

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

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

Simulation

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

On some occasions, it may not be practical to assess a candidate in real work. Examples might be where the standards require candidates to carry out emergency or contingency procedures, or where client confidentiality is

an issue, or where a candidate's job role does not cover all aspects of the qualification.

Skills for Logistics has defined what it regards as simulation (p34), and has specified in the standards when simulation is and is not acceptable. The standards also state when candidates must demonstrate competence in the workplace.

Workplace Assessment/Simulation

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

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

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

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

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

For more details on simulation and what constitutes performance in the workplace, see the assessment strategy.

Other sources of evidence

Other sources of evidence can be previous experience or learning, case studies or assignments as long as you can 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 LOG1 Maintain Health, Safety and Security in Logistics Operations

Candidate: Paul Grey

Date of observation: 30 March

Evidence index number:

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

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.	
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Knowledge and understanding apparent from this observation:

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

Other Units/Elements to which this evidence may contribute:

All Units which have health, safety and security requirements.

Assessor's comments and feedback to candidate:

Paul demonstrated his ability to handle and move stock.

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

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

Excellent performance observed.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: John Aitken

Date: 30 March 2007

Candidate's signature: Paul Grey

Date: 30 March 2007

Questions and candidate responses

This form can be used to record any questions you might ask the candidate to establish what they know and understand. You should note the candidate's responses on this form too.

Note that there is a space near the top of the form for you to record when, where, how and why you asked the questions.

Where you want to give the candidate written questions, this form could also be used.

Record of questions and candidate's answers

Unit: WS1 Keep Stock at Required Levels	Element(s):
Evidence index number: 13	
Circumstances of assessment: Questions asked during observation of performance in the workplace	
<p>List of questions and candidate's responses:</p> <p>Q What are your organisation's standards for your conduct and appearance? (PC 11) A: I must conduct myself in a professional manner at all times, respect my workplace and colleagues and adhere to health and safety regulations. I must wear my company uniform and name badge at all times when in the workplace.</p> <p>Q What problems might you encounter with keeping stock at the required levels? (PC 9) A: I have to check sell by dates on stock to ensure it is fit for use, and if not discard it. If stock is not used by required dates its value is lost and company profits are affected.</p> <p>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.</p> <p>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.</p> <p>I deal with damaged stock by recording the damage on the system and arranging for stock to be returned to supplier. Likewise, faulty goods are logged on the system and returned to suppliers. Out-of-date stock is also logged and disposed of. Out-of-date stock is logged to enable it be accounted for, and then it is written off as a loss. This is why stock control is important as the company can lose a lot of money through lost sales of out-of-date stock.</p>	
Assessor's signature: John Aitken	Date: 2 May 2007
Candidate's signature: Paul Grey	Date: 2 May 2007

Professional discussion

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

The discussion should be planned to ensure that:

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

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

An example of an outline for a discussion on Unit *Maintain Health and Safety and Security in Logistics Operations* has been provided below.

Outline of Professional Discussion

Unit: LOG1 Maintain Health, Safety and Security in Logistics Operations

Evidence index number: 7

Circumstances of assessment:

Outline of proposed Professional Discussion on 12 April. The outline is based on the knowledge and understanding requirements for Unit *Maintain Health and Safety and Security in Logistics Operations* and will confirm Paul's knowledge and understanding of this Unit.

List of points to be addressed during discussion:

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

Candidate's signature: Paul Grey

Date: 2 May 2007

Candidate's personal statement

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

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

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Elements, PCs covered
6/6/07		<p>“I was working on the service desk last Tuesday when a customer telephoned to say he had received a damaged item in his order. The customer told me that he had unpacked his order of glassware to find a broken glass in the box. The customer was angry because he had been waiting several days for this order which was a special request for one of his customers. The customer demanded to know what I was going to do about the problem. I said that I would do my best to resolve the problem, took the customer’s details and said I would call them back.</p> <p>I checked availability of the glassware and we had one box left in stock. I checked with my manger first to ensure that I was following correct procedures. I planned to send out another box of glasses and have the damaged box uplifted. My manager agreed.</p> <p>I telephoned my customer and explained what I proposed to do. I said that I would have the new glasses to him by the following day. The customer was delighted with my solution and thanked me for my help. He promised to return.”</p>		<p>WS7 PCs 1, 2, 4, 5, 6, 7, 8, 9</p>

Signed (candidate): Paul Grey

Date: 6 June 2007

Witness testimony

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

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

Filling the gaps

There may come a time when your candidate has provided evidence for most of the Unit (or NVQ), 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 NVQ, such gaps are likely to occur in generating evidence for:

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

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

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

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

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

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 NVQ
- ◆ 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 NVQ.

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 NVQ
- ◆ 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

Completing the Unit progress record

You should complete this form each time your candidate achieves a Unit from the NVQ 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 NVQ.

Unit progress record

Qualification and level: Warehousing and Storage at level 2

Candidate: Paul Grey

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

Unit Checklist

Mandatory	LOG1	LOG4								
Optional	WS 7	WS 8	WS9	WS10	WS20	WS21				

Mandatory Units achieved

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

Optional Units achieved

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

Unit progress record

Qualification and level: Logistics Operations Management at level 3

Candidate: Angela Schofield

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

Unit Checklist

Mandatory	LOM1	LOG2	LOM2							
Optional	LOM3	LOM6	LOM8	LOM9	MSCB5					

Mandatory Units achieved

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

Optional Units achieved

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

Using the index of evidence

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

The index of evidence should be completed by entering:

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

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

You must make sure that the information in the evidence index is accurate when your candidates' portfolios are presented for assessment and verification – particularly the information about where the evidence can be located. This is important because we suggest that anything which has been produced as day-to-day work is kept in its normal location, but anything which has been produced through assessment for the NVQ, 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

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

Completing the Element achievement record

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

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

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

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

Unit: LOG 1 Maintain health, safety and security in logistic operations.

Notes/Comments

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

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

Candidate: Paul Grey Date: 12 April 2007

Assessor: John Aitken Date: 12 April 2007

Internal Verifier: Carol Walker Date: 12 April 2007

5 Further information

What else should I read?

NVQs

NVQ Code of Practice - December 2006

Joint Awarding Body Guidance on Internal Verification of NVQs - April 2004

NVQ Guidance for Centres - General Guidance

NVQ Handbook

Available to download from the Edexcel web-site:

<http://www.edexcel.com/quals/nvq/Pages/key-docs.aspx>

6 National Occupational Standards

Unit LOM1 Identify the logistics requirements of a supply chain

You will be able to:

- 1) Select suitable sources of information on the supply chain that are relevant to the organisation and its customers
- 2) Identify the features and characteristics of the supplies flowing through the supply chain
- 3) Monitor the activities of the main organisations operating in the supply chain
- 4) Confirm the specific requirements of customers in the supply chain
- 5) Identify the available **transport modes** and routes used, and the way supplies need to be stored
- 6) Obtain information on the current **legislation and regulations** that apply to **logistics operations** in the supply chain
- 7) Monitor changes and developments to the supply chain that could have an effect on **logistics operations**
- 8) Apply **logistics operations** to meet the **requirements of customers** in the supply chain
- 9) Identify any potential opportunities for the organisation arising from **changes in the supply chain**
- 10) Report work activities and record them in the appropriate information systems according to organisational procedures

You will know and understand:

Supply chains

- a) sources of information on the supply chain
- b) how the supply chain operates
- c) how supplies are moved through the supply chain
- d) the needs of different customers in the supply chain
- e) systems and procedures for operating in the supply chain
- f) products, materials, and services that comprise supplies
- g) types of supply chains

Legislation and regulations

- h) legislation and regulations relating to health, safety, and logistics operations
- i) sources of information on legislation and regulations
- j) regulatory bodies and their compliance requirements

Organisational procedures

- k) roles, responsibilities, and management systems
- l) working practices, operating procedures, guidelines, and codes of practice
- m) information systems and communication methods used by the organisation

Unit LOG2 Promote and maintain health, safety, and security in logistics operations

You will be able to:

- 1) Follow regulations and organisational procedures for health, safety, and security at all times
- 2) Monitor changes in health, safety, and security regulations and guidelines, and implement their requirements
- 3) Ensure that any risks to the health, safety, and security of self and others when undertaking **logistics operations** are assessed according to organisational guidelines
- 4) Monitor the work of colleagues to ensure that safe working practices are followed at all times
- 5) Ensure that **personal protective equipment** is used correctly
- 6) Ensure that manufacturers' and other relevant instructions relating to the safe use of **equipment** are followed
- 7) Inform visitors to the work area of health, safety, and security procedures, and prevent unauthorised access to restricted areas
- 8) Identify promptly any **health and safety hazards and security issues**
- 9) Take immediate action to prevent injury, theft, or damage, and give priority to the protection of people over organisational performance
- 10) Respond to incidents affecting health, safety, and security by using the appropriate **safety equipment** and carrying out the **safety procedures** specified by the organisation
- 11) Report accidents and emergencies in the appropriate electronic or manual information systems

You will know and understand:

Health, safety, and security at work

- a) legislation, regulations, and organisational procedures that apply to health and safety in the workplace
- b) sources of information on changes to health, safety, and security legislation and regulations
- c) responsibilities of all workers for health, safety, and security
- d) specific role responsibilities of colleagues for health, safety, and security
- e) risk assessment methods
- f) personal protective equipment that should be used for different logistics activities, and how to use it correctly
- g) instructions for safely using different types of equipment, and who should issue them
- h) safety measures that should be undertaken for visitors attending the workplace
- i) types of health, safety, and security incident that could occur
- j) safety equipment and procedures that should be used with different types of accident or emergency
- k) accident and emergency procedures of the organisation, including individual roles and responsibilities
- l) location of the approved escape routes
- m) alarm systems and procedures for contacting the emergency services
- n) legal responsibilities for reporting accidents and emergencies
- o) reporting of accidents and emergencies

Legislation and regulations

- p) legislation and regulations relating to different types of logistics operations
- q) sources of information on legislation and regulations
- r) regulatory bodies and their compliance requirements

Organisational procedures

- s) roles, responsibilities, and management systems
- t) working practices, operating procedures, guidelines, and codes of practice
- u) information systems and communication methods used by the organisation

Skills for Logistics

National Occupational Standards for Logistics Operations Management

Unit LOM2 Promote compliance of logistics operations with legislation, regulations, and organisational procedures

You will be able to:

- 1) Obtain information from suitable sources on the current **legislation and regulations** that apply to the **logistics operations** being undertaken
- 2) Monitor changes and developments in **legislation and regulations** that could have an effect on **logistics operations** being undertaken
- 3) Confirm organisational procedures for the **logistics operations** being undertaken
- 4) Explain to colleagues the content and meaning of current **legislation and regulations** in a way that they are likely to understand
- 5) Monitor the work activities of colleagues to ensure that regulations and organisational procedures are followed
- 6) Monitor the use of **equipment** to ensure that regulations and organisational procedures are followed
- 7) Inform all relevant people of any changes to regulations and organisational procedures that could affect them
- 8) Identify any **problems with compliance**, and take the appropriate action to deal with them
- 9) Recommend improvements to the way the organisation complies with **legislation and regulations**
- 10) Report work activities and record them in the appropriate information systems according to organisational procedures

You will know and understand:

Compliance

- a) methods of monitoring developments in legislation and regulations
- b) implications of not complying with legislation and regulations
- c) ways of identifying non-compliance
- d) people responsible for complying with legislation and regulations

Legislation and regulations

- e) legislation and regulations relating to health, safety, and logistics operations
- f) sources of information on legislation and regulations
- g) regulatory bodies and their compliance requirements

Organisational procedures

- h) roles, responsibilities, and management systems
- i) working practices, operating procedures, guidelines, and codes of practice
- j) information systems and communication methods used by the organisation

Skills for Logistics

National Occupational Standards for Logistics Operations Management

Unit LOM3 Schedule logistics operations to meet customer requirements

You will be able to:

- 1) Confirm the **logistics operations** that are required to meet the needs of **customers**
- 2) Agree with **customers** the timings and deadlines for the provision of the **logistics operations**
- 3) Apply the scheduling methods and tools used in the organisation according to organisational procedures
- 4) Determine the **logistics resources** and sequence of tasks required to provide the **logistics operations**
- 5) Review all relevant factors and risks that could affect the schedule
- 6) Assess the timescales and durations required to provide the **logistics operations**
- 7) Plan the **logistics operations** to ensure that the supply chain continues to function effectively
- 8) Monitor the provision of **logistics operations** against the schedule
- 9) Identify any **problems with the schedule**, and take the appropriate action to deal with them
- 10) Report work activities and record them in the appropriate information systems according to organisational procedures
- 11) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Scheduling

- a) methods and tools used for scheduling
- b) factors that need to be taken into account when scheduling
- c) activities that need to be undertaken
- d) problems that could occur

Legislation and regulations

- e) legislation and regulations relating to health, safety, and logistics operations
- f) sources of information on legislation and regulations
- g) regulatory bodies and their compliance requirements

Organisational procedures

- h) roles, responsibilities, and management systems
- i) working practices, operating procedures, guidelines, and codes of practice
- j) information systems and communication methods used by the organisation

Unit LOM4 Optimise the use of logistics resources

You will be able to:

- 1) Consult with all the relevant people on how **logistics resources** could be used more effectively
- 2) Identify the availability and demand for **logistics resources** in the organisation
- 3) Assess the level and type of **logistics resources** used for the **logistics operations** being undertaken
- 4) Identify all relevant factors that could affect the use of the **logistics resources**
- 5) Determine how the **logistics resources** could be used more effectively and efficiently
- 6) Optimise the use of **logistics resources** to achieve the most suitable balance of usage and performance
- 7) Monitor the use of **logistics resources** to identify any positive or negative effects on the delivery of **logistics operations**
- 8) Identify ways of improving or developing the **logistics resources** used in **logistics operations**
- 9) Report work activities and record them in the appropriate information systems according to organisational procedures
- 10) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Logistics resources

- a) types of resources used in specific logistics operations
- b) the factors that could affect the use of resources
- c) methods for optimising resources
- d) the types of problem associate with the use of different types of resources

Legislation and regulations

- e) legislation and regulations relating to health, safety, and logistics operations
- f) sources of information on legislation and regulations
- g) regulatory bodies and their compliance requirements

Organisational procedures

- h) roles, responsibilities, and management systems
- i) working practices, operating procedures, guidelines, and codes of practice
- j) information systems and communication methods used by the organisation

Unit LOM5 Develop contingency plans for logistics operations

You will be able to:

- 1) Develop procedures for identifying and resolving **contingencies with logistics operations**
- 2) Review the **contingencies** that have previously occurred and the factors that have led to them
- 3) Assess the impact of the **contingencies** on the **logistics operations**, and how people and organisations will respond to them
- 4) Identify the activities and **resources** required to respond to the **contingencies**
- 5) Develop cost-effective and practical contingency plans to deal with the **contingencies**
- 6) Inform all relevant people of the contingency plans, and provide advice and guidance on their implementation
- 7) Obtain feedback from colleagues on the use of the contingency plans
- 8) Review the effectiveness of the contingency plans at suitable opportunities
- 9) Report work activities and record them in the appropriate information systems according to organisational procedures
- 10) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Contingencies

- a) types of contingency that can occur with different logistics operations
- b) factors that could lead to contingencies
- c) contingency planning methods
- d) risk assessment methods that are used
- e) how to resolve typical contingencies

Legislation and regulations

- f) legislation and regulations relating to health, safety, and logistics operations
- g) sources of information on legislation and regulations
- h) regulatory bodies and their compliance requirements

Organisational procedures

- i) roles, responsibilities, and management systems
- j) working practices, operating procedures, guidelines, and codes of practice
- k) information systems and communication methods used by the organisation

Unit LOM6 Utilise transport modes in logistics operations

You will be able to:

- 1) Review the nature of the supplies being handled in the logistics operations
- 2) Identify the main transport modes and transportation routes used to deliver the supplies to their destination
- 3) Identify any factors that affect the transportation of the supplies
- 4) Select the most suitable transport modes to enable supplies to reach their destination according to the organisation's requirements
- 5) Coordinate logistics resources to work effectively with the selected transport modes
- 6) Ensure the data that is required to use the transport modes is processed correctly
- 7) Report work activities and record them in the appropriate information systems according to organisational procedures
- 8) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Transport modes

- a) advantages and disadvantages of different transport modes
- b) types of vehicles used in different transport modes
- c) major routes, transport hubs, and destinations
- d) geography of routes and destinations

Legislation and regulations

- e) legislation and regulations relating to health, safety, and logistics operations
- f) sources of information on legislation and regulations
- g) regulatory bodies and their compliance requirements

Organisational procedures

- h) roles, responsibilities, and management systems
- i) working practices, operating procedures, guidelines, and codes of practice
- j) information systems and communication methods used by the organisation

Unit LOM7 Apply technology in logistics operations

You will be able to:

- 1) Ensure that **technology** is applied efficiently and effectively during **logistics operations**
- 2) Follow specified maintenance schedules according to manufacturers' and organisational procedures
- 3) Check that colleagues using the **technology** understand its use and are competent in its operation
- 4) Monitor colleagues to ensure that the **technology** is used safely in a way that is approved by the organisation
- 5) Identify and respond to any training needs associated with the use of the **technology**
- 6) Identify ways in which the **technology** has improved **logistics operations**, and recommend any further potential improvements
- 7) Devise effective ways of responding to failures in the **technology**
- 8) Identify any **issues** arising from the use of the **technology** and take the appropriate action to respond to them
- 9) Report work activities and record them in the appropriate information systems according to organisational procedures
- 10) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Technology

- a) equipment and systems that are available
- b) latest technological advances
- c) implications of changes in technology
- d) licensing of technology

Legislation and regulations

- e) legislation and regulations relating to health, safety, and logistics operations
- f) sources of information on legislation and regulations
- g) regulatory bodies and their compliance requirements

Organisational procedures

- h) roles, responsibilities, and management systems
- i) working practices, operating procedures, guidelines, and codes of practice
- j) information systems and communication methods used by the organisation

Skills for Logistics

National Occupational Standards for Logistics Operations Management

Unit LOM8 Develop relationships with logistics customers

You will be able to:

- 1) Communicate with customers by using suitable **communication methods** that involves the customer and is appropriate to the circumstances
- 2) Obtain relevant information on the requirements of **customers for logistics operations**
- 3) Provide **customers** with clear and relevant advice and information on the **logistics operations**
- 4) Respond positively and effectively to the requirements of **customers**
- 5) Ensure **customers** are regularly informed of progress in responding to their requirements
- 6) Respond promptly and accurately to queries raised by **customers**, and pass on any queries that cannot be answered to the appropriate people
- 7) Respond positively to any comments, and ensure they are dealt with by the appropriate person
- 8) Recommend improvements to the way the organisation works with **customers**
- 9) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Customers

- a) principles of customer service
- b) typical expectations and requirements of customers
- c) levels of customer service offered by own and other organisations
- d) types of enquiries made by customers

Legislation and regulations

- e) legislation and regulations relating to health, safety, and logistics operations
- f) sources of information on legislation and regulations
- g) regulatory bodies and their compliance requirements

Organisational procedures

- h) roles, responsibilities, and management systems
- i) working practices, operating procedures, guidelines, and codes of practice
- j) information systems and communication methods used by the organisation

Unit LOM9 Improve the quality of logistics operations

You will be able to:

- 1) Obtain valid and reliable information on the performance of **logistics operations**
- 2) Identify potential **areas for improvement**, and agree with colleagues the need for improving them
- 3) Assess potential improvement methods that would be appropriate for the organisation and its **logistics operations**
- 4) Select and apply the most suitable improvement methods for improving the quality of **logistics operations**
- 5) Identify the success criteria that can be used to evaluate the effect of applying the improvement methods
- 6) Monitor the effects of applying the improvement methods over a suitable period of time
- 7) Evaluate the effect on quality of applying the improvement methods
- 8) Identify any **problems with applying improvement methods**, and take the appropriate action to deal with them
- 9) Report work activities and record them in the appropriate information systems according to organisational procedures

You will know and understand:

Improvement methods

- a) sources of information on improvement methods
- b) improvement approaches and methods that are used in industry
- c) improvement methods used in the organisation
- d) methods for evaluating improvement methods
- e) advantages and disadvantages of different methods

Legislation and regulations

- f) legislation and regulations relating to health, safety, and logistics operations
- g) sources of information on legislation and regulations
- h) regulatory bodies and their compliance requirements

Organisational procedures

- i) roles, responsibilities, and management systems
- j) working practices, operating procedures, guidelines, and codes of practice
- k) information systems and communication methods used by the organisation

Unit LOM10 Respond to contingencies during logistics operations

You will be able to:

- 1) Implement methods for identifying contingencies with logistics operations
- 2) Obtain relevant information on contingencies from the appropriate people as soon as they occur
- 3) Ensure that colleagues are immediately informed of any contingencies that could affect their safety or performance
- 4) Identify the factors causing the contingencies using the appropriate problem-solving and investigation methods
- 5) Implement responses to contingencies using the appropriate methods and resources according to organisational procedures
- 6) Monitor the delivery of the responses, and ensure that they are implemented according to organisational requirements
- 7) Ensure the requirements of customers are met when contingencies occur
- 8) Inform the relevant people of the responses to the contingencies
- 9) Identify any potential opportunities for the organisation arising from the contingencies
- 10) Report work activities and record them in the appropriate information systems according to organisational procedures
- 11) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Contingencies

- a) types of contingency that can occur with different logistics operations
- b) typical signs and indications of emerging contingencies
- c) factors that could lead to contingencies
- d) problem solving and investigation methods
- e) how to respond to different types of contingency
- f) who should be informed when contingencies occur
- g) types of opportunity that can arise from contingencies

Legislation and regulations

- h) legislation and regulations relating to health, safety, and logistics operations
- i) sources of information on legislation and regulations
- j) regulatory bodies and their compliance requirements

Organisational procedures

- k) roles, responsibilities, and management systems
- l) working practices, operating procedures, guidelines, and codes of practice
- m) information systems and communication methods used by the organisation

Unit LOM11 Monitor the environmental impact of logistics operations

You will be able to:

- 1) Implement and promote the organisation's environmental policy
- 2) Monitor the use of energy and materials to deliver **logistics operations**
- 3) Identify the effects on the **environment of logistics operations**
- 4) Assess the environmental risks of specific **logistics operations** before they are undertaken
- 5) Identify ways to reduce any adverse effects on the **environment**
- 6) Identify ways to use energy more effectively and efficiently
- 7) Recycle surplus materials wherever possible
- 8) Dispose of surplus materials according to legislation, regulations, and organisational procedures
- 9) Respond to any **environmental impact** with the appropriate action according to organisational procedures
- 10) Inform visitors and subcontractors of their environmental responsibilities when dealing with the organisation
- 11) Recommend ways to improve the **environmental impact of logistics operations**
- 12) Report work activities and record them in the appropriate information systems according to organisational procedures
- 13) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Environmental impact

- a) environmental protection measures used in organisations
- b) systems to assess environmental impact
- c) environmental issues affecting the logistics industry
- d) organisation's environmental policy
- e) recycling and disposal of surplus materials
- f) legislation and regulations applying to the disposal of surplus materials

Legislation and regulations

- g) legislation and regulations relating to health, safety, and logistics operations
- h) sources of information on legislation and regulations
- i) regulatory bodies and their compliance requirements

Organisational procedures

- j) roles, responsibilities, and management systems
- k) working practices, operating procedures, guidelines, and codes of practice
- l) information systems and communication methods used by the organisation

Unit ITLO11 Arrange the transportation of goods using multiple transport modes

You will be able to:

- 1) Review all relevant **transportation instructions** and **details of the goods** being transported
- 2) Assess the advantages and disadvantages of the **transport methods** that could be used
- 3) Determine the most suitable combination of **transport modes** for the goods
- 4) Provide service providers with all the information required to successfully transport the goods
- 5) Ensure that instructions are clear, concise, and are provided in the correct **documentation** and systems
- 6) Ensure that any **special requirements** or instructions are clearly specified
- 7) Provide the relevant people with instructions on marking and labelling the goods
- 8) Obtain information on how to monitor the transportation of goods
- 9) Identify any **problems with arranging transportation**, and take the appropriate action to deal with them
- 10) Report work activities and record them in the appropriate information systems according to organisational procedures
- 11) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Transport modes

- a) advantages and disadvantages of different transport methods and modes
- b) types of vehicles used in different transport modes
- c) transport regulations for different transport modes
- d) restrictions on the use of different transport modes
- e) major routes, transport hubs, and destinations

Freight systems, procedures, and documentation

- f) role of different organisations and agencies in moving freight
- g) systems and procedures used by customers, suppliers, official, and regulatory bodies
- h) documentation required for different types of goods, transport methods, and transit routes
- i) level and type of information that is required for different types of documentation
- j) trade terms and international standards for freight carriage, insurance, and costs (INCOTERMS)

Legislation and regulations

- k) sources of information on legislation and regulations
- l) legislation and regulations that apply to health, safety, and own area of responsibility
- m) legislation and regulations for different types of goods, transport modes, and international trade
- n) regulatory bodies and their compliance requirements

Organisational procedures

- o) reporting responsibilities and information systems used by the organisation for specific work activities
- p) working practices, operating procedures, guidelines, and codes of practice
- q) roles and responsibilities of different colleagues

Unit ITLO12 Organise the preparation of documentation for the transportation of goods

You will be able to:

- 1) Ensure that all relevant **transportation instructions and details of the goods** being transported are obtained
- 2) Confirm the route and destination of the goods with the relevant people
- 3) Identify any international borders or restrictions through which the goods will be transported
- 4) Select the **documentation** that is required to facilitate the passage of the goods
- 5) Confirm the organisations which will require the **documentation**
- 6) Establish the amount of time required for organisations to be notified of the transportation of the goods
- 7) Allocate the appropriate amount of time and resources to prepare the **documentation**
- 8) Schedule the preparation of the **documentation** to meet critical dates and times for the delivery of the goods
- 9) Identify any **problems with documentation**, and take the appropriate action to deal with them
- 10) Report work activities and record them in the appropriate information systems according to organisational procedures
- 11) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Preparation of documentation

- a) who the customers are, and what they specialise in
- b) methods of obtaining information from customers
- c) amount of time and resources required to complete documentation
- d) notification periods and deadlines for documentation
- e) documentation problems that can occur

Freight systems, procedures, and documentation

- f) role of different organisations and agencies in moving freight
- g) systems and procedures used by customers, suppliers, official, and regulatory bodies
- h) documentation required for different types of goods, transport methods, and transit routes
- i) level and type of information that is required for different types of documentation
- j) trade terms and international standards for freight carriage, insurance, and costs (INCOTERMS)

Legislation and regulations

- k) sources of information on legislation and regulations
- l) legislation and regulations that apply to health, safety, and own area of responsibility
- m) legislation and regulations for different types of goods, transport modes, and international trade
- n) regulatory bodies and their compliance requirements

Organisational procedures

- o) reporting responsibilities and information systems used by the organisation for specific work activities
- p) working practices, operating procedures, guidelines, and codes of practice
- q) roles and responsibilities of different colleagues

Skills for Logistics

National Occupational Standards for Warehousing and Storage

Unit WS20 Manage the receipt, storage, or dispatch of goods

You will be able to:

- 1) Confirm the quantity and type of goods being managed
- 2) Determine the **storage conditions and equipment** required to manage the goods
- 3) Assess the capacity of the storage facility, and identify appropriate areas for receiving, storing, or dispatching goods
- 4) Organise the movement or rotation of goods to assist receiving, storing, or dispatching goods
- 5) Ensure any monitoring activities, tests, and other storage arrangements required for the goods are carried out in accordance with organisational procedures
- 6) Identify and confirm requirements for facilities and **equipment** to be used with the goods
- 7) Utilise and maintain the organisation's **logistics resources** effectively to manage the receipt, storage, and dispatch of goods
- 8) Provide information on the goods and their requirements to all relevant people using appropriate **communication methods**
- 9) Identify any relevant health, safety, and security issues relating to the management of the goods
- 10) Identify any problems with managing the goods, and take the appropriate action to deal with them
- 11) Report work activities and record them in the appropriate information systems according to organisational procedures
- 12) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Managing goods

- a) sources of information on the capacity and limitations of a storage facility
- b) types of goods to be received, stored, or dispatched
- c) storage areas relevant to the type of goods to be received, stored, or dispatched
- d) special requirements relating to the receipt, storage, or dispatch of goods
- e) monitoring and testing systems and procedures
- f) methods of stock rotation and movement
- g) resources available in the organisation
- h) types of problem arising from managing the processing of goods

Legislation and regulations

- i) sources of information on legislation and regulations
- j) legislation and regulations that apply to health and safety in the workplace
- k) legislation and regulations that apply to own area of responsibility
- l) legal requirements for the storage and distribution of specific goods and materials

Organisational procedures

- m) reporting responsibilities and information systems used by the organisation for specific work activities
- n) working practices, operating procedures, guidelines, and codes of practice
- o) roles and responsibilities of different colleagues

Unit WS21 Audit stock levels and stock records

You will be able to:

- 1) Identify the requirements, scope, and schedule for the **audit** in accordance with organisational procedures
- 2) Determine the resources required to carry out the **audit**, and establish their availability
- 3) Organise the **audit** in accordance with organisational procedures, and ensure that all relevant people know their individual roles and responsibilities
- 4) Monitor the progress of the **audit**, and provide assistance when requested
- 5) Ensure that the results of the **audit** are accurately recorded and collated
- 6) Analyse and evaluate the results of the **audit** using appropriate systems and procedures
- 7) Propose an action plan to address any **stock problems** that have been identified, and ensure that any proposed actions are in accordance with organisational procedures
- 8) Monitor the implementation of the action plan, and review its success in resolving **stock problems**
- 9) Identify any relevant health, safety, and security issues relating to the **audit** and the actions arising from it
- 10) Identify any problems with auditing goods, and take the appropriate action to deal with them
- 11) Report work activities and record them in the appropriate information systems according to organisational procedures
- 12) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

You will know and understand:

Auditing

- a) importance of audits, their purpose, and how often they are required
- b) audit requirements and schedules
- c) the format, structure, and content of the audit reports required by the organisation
- d) resources needed to undertake an audit, and how to obtain them
- e) analysis and evaluation methods for audits
- f) stock control systems used in the organisation
- g) types of issues that may arise from audits, and how to deal with them
- h) types of problem arising from audits

Legislation and regulations

- i) sources of information on legislation and regulations
- j) legislation and regulations that apply to health and safety in the workplace
- k) legislation and regulations that apply to own area of responsibility
- l) legal requirements for the storage and distribution of specific goods and materials

Organisational procedures

- m) reporting responsibilities and information systems used by the organisation for specific work activities
- n) working practices, operating procedures, guidelines, and codes of practice
- o) roles and responsibilities of different colleagues

TCS 27: Provide leadership for your team (MSC unit B5)

Overview

This unit sits within a cluster of units which cover supervision and performance management competences for Financial Services Training and Competence Schemes.

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

Outcomes of effective performance

You must be able to:

- TCS27/O1 set out and positively communicate the purpose and objectives of the team to all members;
- TCS27/O2 involve members in planning how the team will achieve its objectives;
- TCS27/O3 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;
- TCS27/O4 encourage and support team members to achieve their personal work objectives and those of the team and provide recognition when objectives have been achieved;
- TCS27/O5 win, through your performance, the trust and support of the team for your leadership;
- TCS27/O6 steer the team successfully through difficulties and challenges, including conflict within the team;
- TCS27/O7 encourage and recognise creativity and innovation within the team
- TCS27/O8 give team members support and advice when they need it especially during periods of setback and change
- TCS27/O9 motivate team members to present their own ideas and listen to what they say;
- TCS27/O10 encourage team members to take the lead when they have the knowledge and expertise and show willingness to follow this lead;
- TCS27/O11 monitor activities and progress across the team without interfering.

Behaviours underpinning effective performance

- You create a sense of common purpose
- You take personal responsibility for making things happen
- You encourage and support others to take decisions autonomously
- You act within the limits of your authority
- You make time available to support others
- You show integrity, fairness and consistency in decision-making
- You seek to understand people's needs and motivations
- You model behaviour that shows respect, helpfulness and cooperation

Knowledge and understanding

You need to know and understand:

General knowledge and understanding

- 1 different ways of communicating effectively with members of a team;
- 2 how to set objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time bound);
- 3 how to plan the achievement of team objectives and the importance of involving team members in this process;
- 4 the importance of and being able to show team members how personal work objectives contributed to achievement of team objectives;
- 5 that different styles of leadership exist;
- 6 how to select and successfully apply a limited range of different methods for motivating, supporting and encouraging team members and recognising their achievements;
- 7 types of difficulties and challenges that may arise, including the conflict within the team and ways of identifying and overcoming them;
- 8 the importance of encouraging others to take the lead and ways in which this can be achieved;
- 9 the benefits of how to encourage and recognise creativity and innovation within a team;

Industry/sector specific knowledge and understanding

- 10 legal, regulatory and ethical requirements in the industry/sector;

Context specific knowledge and understanding

- 11 the members, the purpose, objectives and plans of your team;
- 12 the personal work objectives of members of your team;
- 13 the types of support and advice that team members are likely to need and how to respond to these;
- 14 standards of performance for the work of your team.

Unit Title**HD5 Allocate and check work in your team (MSC D5)****Summary**

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.

There is one element:

HD5.1 Allocate and check work in your team

Target Group

This unit is recommended for those with supervisory responsibilities, for example those court clerks who are responsible for supervising court officers.

Element

HD5.1 Allocate and check work in your team

Performance Criteria

To meet the standard, you

- 1 confirm the work required of the team with your manager and seek clarification, where necessary, on any outstanding points and issues
- 2 plan how the team will undertake its work, identifying any priorities or critical activities and making best use of the available resources
- 3 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 brief team members on the work that they have been allocated and the standard or level of expected performance
- 5 encourage team members to ask questions, make suggestions and seek clarification in relation to the work they have been allocated
- 6 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 support team members in identifying and dealing with problems and unforeseen events
- 8 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 monitor the team for conflict, identifying the cause(s) when it occurs and deal with it promptly and effectively
- 10 identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with team members
- 11 recognise successful completion of significant pieces work or work activities by team members and the overall team and advise your manager
- 12 use information collected on the performance of team members in any formal appraisal of performance
- 13 make time available to support others
- 14 agree clearly what is expected of others and hold them to account
- 15 prioritise objectives and plan work to make best use of time and resources
- 16 state your own position and views clearly and confidently in conflict situations
- 17 show integrity, fairness and consistency in decision-making
- 18 seek to understand people's needs and motivations
- 19 take pride in delivering high quality work
- 20 take personal responsibility for making things happen
- 21 encourage and support others to make the best use of their abilities
- 22 are vigilant for possible risk and hazards

HD5 Allocate and check work in your team (MSC D5)**Knowledge and Understanding**

To meet the standard, you need to know and understand

General knowledge and understanding

- 1 The principal different ways of communicating effectively with members of a team
- 2 The importance of confirming/clarifying the work required of the team with your manager and how to do this effectively
- 3 How to plan the work of a team, including how to identify any priorities or critical activities and the available resources
- 4 How to identify and take due account of health and safety issues in the planning, allocation and checking of work
- 5 Why it is important to allocate work across the team on a fair basis and how to do so
- 6 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 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 Effective ways of regularly and fairly checking the progress and quality of the work of team members
- 9 How to provide prompt and constructive feedback to team members
- 10 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 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 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 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 The type of problems and unforeseen events that may occur and how to support team members in dealing with them
- 15 How to log information on the ongoing performance of team members and using this information for performance appraisal purposes

Justice sector specific knowledge and understanding

- 1 Justice sector specific legislation, regulations, guidelines, and codes of practice relating to carrying out work within your area of responsibility
- 2 Justice sector requirements for the development or maintenance of knowledge, understanding and skills within your area of responsibility

HD5 Allocate and check work in your team (MSC D5)**Knowledge and Understanding (continued)**

To meet the standard, you need to know and understand

Organisational specific knowledge and understanding

- 1 The members, purpose and objectives of your team
- 2 The work required of your team
- 3 The available resources for undertaking the required work
- 4 Your organisation's written health and safety policy statement and associated information and requirements
- 5 Your team's plan for undertaking the required work
- 6 The skills, knowledge and understanding, experience and workloads of team members
- 7 Your organisation's policy in terms of personal development
- 8 The reporting lines in your organisation and the limits of your authority
- 9 Organisational standards or levels of expected performance
- 10 Organisational policies and procedures for dealing with poor performance
- 11 Organisational grievance and disciplinary policies and procedures
- 12 Organisational performance appraisal systems

Appendix 1: Blank recording forms

Unit:

Element:

Notes/Comments

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

Candidate:

Date:

Assessor:

Date:

Internal Verifier:

Date:

Personal statement

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

Signed by candidate:

Date:

Observation record

Unit/Element(s):

Candidate:

Date of observation:

Evidence index number:

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:

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: