

# Guidance for the Edexcel Level 2 NVQ in Warehousing and Storage

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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
Warehousing and Storage	2	Q5000365

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](http://www.skillsforlogisitcs.org)

Assessors and verifiers are also expected to possess an appropriate qualification in assessment and verification, or to obtain the appropriate the 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 Edexcel Level 2 NVQ in Warehousing and Storage.

**Warehousing and Storage at level 2**

**Q5000365**

The way the NVQ is made up is shown below.

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

### Mandatory Units

Candidates must achieve both of these Units:

Title	NOS code	NVQ
Maintain Health, Safety, and Security in Logistics Operations	LOG1	U5003525
Develop Effective Working Relationships with Colleagues in Logistics Operations	LOG4	U5003526

### Optional Units

Candidates must achieve six of the following Units:

Title	NOS code	NVQ
Provide Customers with Information and Advice on Goods and Services	WS7	U5003539
Operate Equipment to Perform Work Requirements	WS8	U5003540
Move Goods in Logistics Facilities	WS9	U5003541
Receive Good from Deliveries	WS10	U5003527
Place Goods in Storage	WS11	U5003528
Maintain the Safety and Quality of Goods	WS12	U5003529
Maintain the Safety of Hazardous Goods and Materials	WS13	U5003530
Maintain Hygiene Standards in Handling and Storing Goods	WS14	U5003531
Process Orders for Dispatch to Customers	WS15	U5003532
Assemble Orders for Dispatch	WS16	U5003533
Dispatch Goods for Delivery	WS17	U5003534
Process Returned Goods	WS18	U5003535
Sort Goods and Materials for Recycling	WS19	U5003536
Manage Receipt, Storage, or Dispatch of Goods	WS20	U5003537
Audit Stock Levels and Stock Records	WS21	U5003538

## 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"> <li>◆ identification of health and safety equipment available in the workplace and of potential H&amp;S and security hazards in the workplace</li> <li>◆ dealing with health and safety and security matters</li> <li>◆ professional discussion in the workplace (digitally recorded)</li> </ul>	<p>1, 3, 4, 6, 7, 8</p> <p>1, 2, 3, 4, 5, 6, 7, 8</p> <p>1, 2, 3, 4, 5, 6, 7, 8</p>	<p>Digitally recorded professional discussion of evacuation procedures and use of safety equipment</p> <p>Witness statement for warehouse supervisor</p>	<p>30 March</p> <p>11 April</p> <p>12 April</p>		<p>Unit 11, PCs 1, 2, 3, 4, 5, 6, 8</p> <p>K&amp;U e, l, j, k, l m, n</p> <p>Unit 2, PCs 1, 2, 8</p> <p>K&amp;U a, e, h, l, j</p>
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"> <li>◆ Assignment – research the requirements of the dispatch department and complete a report on your findings. Include any relevant product evidence, eg minutes from meetings, statistics on dept performance.</li> <li>◆ Discussion with assessor on Angela’s assignment</li> </ul>	<p>1, 2, 3, 4, 5, 6, 7, 8, 9, 10</p> <p>1, 2, 3, 4, 5, 6, 7, 8, 9, 10</p>	<p>Assessment of Angela’s report. Assessment of product evidence</p> <p>Professional discussion – digitally recorded</p>	<p>12 March</p> <p>14 April</p>	<p>Unit 21 Team objectives for meeting organisation’s logistic requirements. Minutes from team meetings. Data on department performance.</p>	<p>Unit 9 Improve the Quality of Logistic Operations</p>
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.

Strongest	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards. This person may also be an assessor or internal verifier qualified with the A/V Units or 'D-Units'.
↑	
	Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.
	Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.
	Someone who may be a colleague of the candidate, but with no knowledge of the standards.
↓	
Weakest	Someone with no or little knowledge of the candidate's work or no knowledge of the standards.

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

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><b>List of questions and candidate's responses:</b></p> <p><b>Q What are your organisation's standards for your conduct and appearance? (PC 11)</b>  <b>A:</b> I must conduct myself in a professional manner at all times, respect my workplace and colleagues and adhere to health and safety regulations. I must wear my company uniform and name badge at all times when in the workplace.</p> <p><b>Q What problems might you encounter with keeping stock at the required levels? (PC 9)</b>  <b>A:</b> I have to check sell by dates on stock to ensure it is fit for use, and if not discard it. If stock is not used by required dates its value is lost and company profits are affected.</p> <p><b>Q: Why is stock rotation important?</b>  <b>A:</b> To ensure that older stock is used first and that stock remains within its sell by date whilst in storage.</p> <p><b>Q: How do you recognise damaged, faulty or out-of-date stock and how do you deal with it?</b>  <b>A:</b> 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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit LOG1 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) Provide support to **colleagues** to check that health, safety, and security procedures are followed at all times
- 3) Use **personal protective equipment** correctly
- 4) Identify promptly any **health and safety hazards** and any **security issues**
- 5) Take immediate action to prevent injury, theft, or damage, and give priority to the protection of people over organisational performance
- 6) Respond to incidents affecting health, safety, and security by using the appropriate **safety equipment** and carrying out the **safety procedures** specified by the organisation
- 7) Stop working immediately when it is necessary to evacuate the workplace, and use the approved escape routes
- 8) Report accidents and **emergencies** to the appropriate people and ensure they are recorded 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) responsibilities of all workers for health, safety, and security
- c) specific role responsibilities of colleagues for health, safety, and security
- d) personal protective equipment that should be used for different activities, and how to use it correctly
- e) types of health, safety, and security incident that could occur
- f) safety equipment and procedures that should be used for different types of incident
- g) accident and emergency procedures of the organisation, including individual roles and responsibilities
- h) alarm systems and procedures for contacting the emergency services
- i) location of the approved escape routes
- j) legal responsibilities for reporting accidents and emergencies

##### **Legislation and regulations**

- k) sources of information on legislation and regulations
- l) legislation and regulations that apply to own area of responsibility
- m) legal requirements for the storage and distribution of specific goods and materials

##### **Organisational procedures**

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit LOG4 Develop effective working relationships with colleagues in logistics operations

#### *You will be able to:*

- 1) Communicate with colleagues using suitable communication methods
- 2) Confirm tasks, priorities, and responsibilities clearly and accurately with colleagues
- 3) Respond promptly to requests from colleagues that fall within own responsibility
- 4) Offer support to colleagues that is relevant to their priorities and consistent with meeting own responsibilities
- 5) Explain clearly and politely and propose relevant alternatives when it is not possible to agree to requests from colleagues
- 6) Report clearly, accurately, and promptly any circumstances that prevent the achievement of quality standards to the relevant person
- 7) Ask colleagues for information and assistance in a clear and constructive manner
- 8) Seek relevant feedback on work achievements and performance from people in a position to give it
- 9) Identify own learning needs accurately from feedback and observation of own performance, and utilise realistic development opportunities to meet them
- 10) Identify misunderstanding and conflicts that are detrimental to working relationships and seek constructive solutions promptly

#### *You will know and understand:*

##### Working relationships

- a) how to communicate with different colleagues within the organisation
- b) good working practices, quality standards, and output requirements associated with own and others work roles
- c) how to make and respond to requests for support constructively, including how to respond when you cannot action requests
- d) how to recognise when colleagues need support
- e) how to decide if giving support is consistent with your responsibilities
- f) importance of feedback in improving personal work performance
- g) how to identify learning needs and opportunities for learning that are available
- h) importance of recognising difficulties and misunderstandings, and ways of dealing with them constructively
- i) importance of protecting confidential information

##### Legislation and regulations

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

##### Organisational procedures

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS7 Provide customers with information and advice on goods and services

#### *You will be able to:*

- 1) Respond to customers with courtesy in a way that promotes goodwill and maintains their confidence in the organisation
- 2) Find out what customers require from the information they provide, and enable them to ask questions and seek clarification
- 3) Explain clearly the features and benefits of any goods or services relevant to the requirements of customers
- 4) Provide complete, accurate, and up-to-date information and advice so that customers can make the appropriate decision
- 5) Provide relevant information and advice on the status and delivery schedule of goods or services
- 6) Find alternative ways to help customers further when the information is not satisfactory or is incomplete
- 7) Respond to any customer complaints in line with organisational policies and standards for customer service
- 8) Use suitable **communication methods** for providing information and advice
- 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:*

##### Information and advice

- a) how to find out what information customers require
- b) types of question asked by customers
- c) features and benefits of goods and services
- d) goods and services provided by the organisation, and sources of information on them
- e) methods of maintaining customer loyalty and confidence in dealing with requests and complaints
- f) organisation's policy on customer service and customer relationships
- g) rights of the customer and the trader, including legal rights and duties under relevant legislation
- h) organisational procedure for handling complaints and managing conflicts with customers

##### 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) role and responsibilities of different colleagues

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS8 Operate equipment to perform work requirements

#### *You will be able to:*

- 1) Confirm the work required and identify the appropriate **equipment** to undertake it
- 2) Check that the appropriate **equipment** is available, safe to use, and operational for the work to be carried out
- 3) Prepare, set up and adjust the **equipment** in accordance with instructions, safety, and work requirements
- 4) Monitor the **equipment** to maintain safe operation throughout the work, and record any defects and damage to the **equipment**
- 5) Shut down the **equipment**, complete any **post-stop maintenance** procedures, and leave it secure in accordance with organisational procedures
- 6) Identify any problems with using the **equipment** at any stage, and take the appropriate action to deal with them
- 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:*

##### Operation of equipment

- a) the types of equipment to be used for different work activities
- b) characteristics and capabilities of the equipment being used
- c) how to set up and adjust the equipment for different work activities
- d) start up and shut-down procedures for the equipment
- e) common types of defect in relation to the equipment that is to be used
- f) routine checks that must be carried out at start up
- g) post-stop maintenance procedures for the equipment
- h) organisational procedures and practices approved for the use of the equipment
- i) procedures for dealing with different types of incident
- j) types of problem arising from operating equipment

##### Legislation and regulations

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

##### 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) role and responsibilities of different colleagues

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS9 Move goods in logistics facilities

#### *You will be able to:*

- 1) Identify the goods to be moved from work instructions and confirm that they are suitable for lifting
- 2) Check that the area of work is safe and is secure for the movement and transfer of goods
- 3) Identify any **hazards** and potential difficulties in carrying out the operation, and resolve them with the appropriate people
- 4) Check that the **moving equipment** to be used has been prepared correctly and is operational
- 5) Confirm the location for the positioning and setting down of the goods in accordance with work instructions
- 6) Lift and transfer the goods to their designated location securely and without loss or damage
- 7) Set down the goods in a suitable position at the designated location ready for further activities
- 8) Undertake operations in a safe and controlled manner with due regard to the surrounding environment
- 9) Identify any **problems with the goods** at any stage, 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:*

##### **Moving goods**

- a) characteristics of different types of goods to be moved, and how they need to be moved
- b) types of workplace hazards that may be encountered, and how to deal with them
- c) type of equipment used in moving and transferring goods
- d) methods for lifting, moving, and setting down particular goods in relation to the type of equipment used and the characteristics of the load
- e) importance of positioning goods in a suitable way for future use
- f) procedures for dealing with loss or damage to goods

##### **Legislation and regulations**

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

##### **Organisational procedures**

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS10 Receive goods from deliveries

#### *You will be able to:*

- 1) Obtain relevant information and confirm the goods being received
- 2) Check that the goods being received match the specifications provided in the information
- 3) Ensure the area used to receive the goods is clean and free of obstructions and hazards
- 4) Ensure that vehicles are safe and secure before unloading from them
- 5) Handle goods using the correct **handling methods** and **moving equipment**
- 6) Ensure that any **moving equipment** used is operated correctly and safely in accordance with organisational procedures
- 7) Ensure that goods are unloaded safely in accordance with storage requirements
- 8) Identify any health, safety, and security issues relating to the goods, and make provision for them in accordance with organisational procedures
- 9) Identify any problems with receiving the goods, 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:*

##### Receiving goods

- a) sources and types of information for the goods being received, including information relevant to health, safety, and environmental factors
- b) characteristics and special requirements of the goods being received
- c) organisational procedures relevant to the goods being received
- d) equipment and facilities required in the area to receive goods
- e) vehicle safety and security during unloading
- f) handling methods for different types of goods
- g) methods of safely unloading vehicles
- h) health, safety, and environmental issues relevant to the storage of goods
- i) types of problem arising from receiving goods
- j) how to use and update stock control systems

##### Legislation and regulations

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

##### 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 WS11 Place goods in storage

#### *You will be able to:*

- 1) Locate the goods to be stored and check them against the relevant information
- 2) Confirm the area to be used for storage, and ensure it is suitably prepared to receive the goods
- 3) Identify any health, safety, and environmental issues relating to the goods to be stored
- 4) Identify any **storage conditions or equipment** required to place the goods in storage
- 5) Handle goods using the correct **handling methods and equipment**
- 6) Place goods into storage in accordance with operational and organisational procedures for safety, space utilisation, and distribution requirements
- 7) Identify any monitoring and storage arrangements for the goods, and record and communicate these arrangements to the appropriate people
- 8) Identify any **problems with storing goods**, 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
- 10) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

#### *You will know and understand:*

##### Storing goods

- a) types of goods being stored
- b) how to obtain information relating to the goods to be stored
- c) areas used for storing specific goods
- d) importance of preparation of storage areas, including cleaning, tidying, and clearing obstructions
- e) storage conditions relating to the different types of goods
- f) types of equipment and facilities that may be required for the storage of goods
- g) handling methods for different types of goods
- h) importance of positioning goods in storage for further use and to prevent damage
- i) health, safety, and security issues relevant to the storage of goods
- j) types of problem found with different types of goods
- k) how to use and update stock control systems

##### Legislation and regulations

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

##### Organisational procedures

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS13 Maintain the safety of hazardous goods and materials

#### *You will be able to:*

- 1) Obtain information on the specific risks of **hazardous goods and materials**
- 2) Take appropriate **precautions** to deal with **hazardous goods and materials** according to statutory and organisational requirements
- 3) Monitor regularly the condition of **hazardous goods and materials** and identify any indications of problems with them
- 4) Take prompt action if any risks to health and safety are identified, and report them to the appropriate people
- 5) Manoeuvre **hazardous goods and materials** safely with the appropriate **equipment** according to agreed procedures
- 6) Respond promptly to any **emergencies** according to organisational procedures, and report them to the appropriate authority
- 7) Use the correct **safety equipment** according to manufacturers' instructions for dealing with **emergencies**
- 8) Follow evacuation procedures when instructed to do so or when no safe actions can be undertaken
- 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:*

##### **Hazardous goods and materials**

- a) types of hazardous goods and materials in the organisation, and their associated risks
- b) storage and distribution requirements and precautions for specific hazardous goods and materials
- c) monitoring systems used with specific hazardous goods and materials
- d) organisational procedures for dealing with emergencies, and who is responsible for responding to them
- e) people to be informed when risks to health and safety are identified
- f) equipment to be used for manoeuvring specific hazardous goods and materials
- g) safety equipment and personal protective clothing that should be used for different activities
- h) use of extinguishers and other emergency equipment in different situations
- i) when and how to initiate the alarm systems and access escape routes
- j) when to call the emergency services, and which ones to call

##### **Legislation and regulations**

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

##### **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 WS12 Maintain the safety and quality of goods

#### *You will be able to:*

- 1) Identify the goods in storage and check them against the relevant information
- 2) Handle goods using the correct **handling methods** and **moving equipment**
- 3) Identify any specialised requirements needed to monitor and maintain the safety and quality of the goods
- 4) Identify any health, safety, and security issues relating to the goods in storage
- 5) Maintain the safety and quality of the goods in storage according to organisational procedures
- 6) Take the appropriate action to rectify any variations in the **condition of the goods** or the **storage conditions**
- 7) Identify any problems relating to the safety and quality of the goods, and take the appropriate action to deal with them
- 8) Report work activities and record them in the appropriate information systems according to organisational procedures
- 9) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

#### *You will know and understand:*

##### **Safety and quality of goods**

- a) nature and characteristics of the goods in storage
- b) storage requirements identified in the information
- c) how to check and maintain the safety and quality of goods in storage
- d) methods of monitoring and adjusting storage environment
- e) health, safety, and security issues relevant to the storage of goods
- f) types of problem found with different types of goods

##### **Legislation and regulations**

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

##### **Organisational procedures**

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS14 Maintain hygiene standards in handling and storing goods

#### *You will be able to:*

- 1) Confirm any health, safety, and security issues relating to the goods and the **storage environment**
- 2) Apply the standards of personal hygiene required for the handling of goods and the **storage environment**
- 3) Identify and use appropriate clothing relevant to the goods and the **storage environment**
- 4) Identify any special requirements needed to maintain the quality and condition of the goods and the **storage environment**
- 5) Handle goods using the correct **handling methods and equipment**
- 6) Dispose of any waste in accordance with operational procedures
- 7) Identify any problems relating to the maintenance of hygiene standards, and take the appropriate action to deal with them
- 8) Report work activities and record them in the appropriate information systems according to organisational procedures
- 9) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

#### *You will know and understand:*

##### Hygiene standards

- a) health, safety, and security issues relevant to the storage of goods
- b) nature and characteristics of the goods in storage
- c) hygiene standards required for specific storage environments and activities
- d) clothing relevant to specific storage environments and activities
- e) special requirements for maintaining the goods and the storage environment
- f) methods of waste disposal
- g) types of problem found with maintaining hygiene standards

##### Legislation and regulations

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

##### Organisational procedures

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS15 Process orders for dispatch to customers

#### *You will be able to:*

- 1) Obtain relevant information on the customer requirements for goods
- 2) Provide all relevant details of the goods to meet customer requirements
- 3) Provide customers with the correct delivery information
- 4) Pass on orders and invoicing information to the appropriate people
- 5) Respond promptly to enquiries about the progress of the order
- 6) Inform customers promptly and politely if their orders cannot be delivered within the time originally agreed
- 7) Identify any problems with processing orders, and take the appropriate action to deal with them
- 8) Store customers' details securely and only show them to people who have a right to see 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:*

##### Processing orders

- a) how to obtain information on what customers want
- b) stock control and ordering systems used in the organisation
- c) information required by the people who will fulfil the order
- d) length of time for orders normally to be fulfilled, and what to do if it is not possible to fulfil an order in the usual time
- e) information required by the people who will issue the invoice
- f) importance of customer confidentiality, and how to store customers' personal and financial details securely, and who is entitled to see those details

##### Legislation and regulations

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

##### Organisational procedures

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS16 Assemble orders for dispatch

#### *You will be able to:*

- 1) Obtain the relevant information relating to the assembly of orders
- 2) Identify any health, safety, and environmental issues relevant to the assembly of orders
- 3) Identify the position of the required goods
- 4) Ensure that goods are in stock and accessible so that they can be dispatched
- 5) Handle goods using the correct **handling methods and equipment**
- 6) Identify any special loading or transportation requirements relating to the assembly of orders
- 7) Check and confirm any requirements to maintain the condition of the goods while the order is being assembled
- 8) Assemble the orders with the correct type and quantity of goods
- 9) Identify any **problems with assembling orders**, 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:*

##### **Assembling orders**

- a) nature and characteristics of the goods in the order being assembled
- b) information required to identify order requirements
- c) stock recording systems
- d) restrictions relating to the dispatching of goods
- e) types of equipment and handling methods required to assemble the order
- f) health, safety, and security issues relevant to the assembly of orders
- g) types of problem arising from assembling orders

##### **Legislation and regulations**

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

##### **Organisational procedures**

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS17 Dispatch goods for delivery

#### *You will be able to:*

- 1) Obtain relevant information and confirm the goods to dispatch
- 2) Check that the goods being dispatched match the specifications provided in the information
- 3) Schedule the dispatch of the goods according to the agreed work instructions
- 4) Ensure the area used to dispatch the goods is clean and clear of obstructions and hazards
- 5) Ensure that any **equipment** used with the goods is available, and that it is safe to use
- 6) Operate **equipment** in accordance with organisational procedures
- 7) Check that the goods are loaded safely onto vehicles to assist with delivery requirements
- 8) Identify any health, safety, or security issues relating to the dispatch of the goods, and make provision for them in accordance with organisational procedures
- 9) Identify any problems with dispatching the goods, 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:*

##### **Dispatching goods**

- a) sources and types of information on the goods being despatched
- b) characteristics and special requirements of the goods being dispatched
- c) health, safety, and security issues relevant to the dispatch of goods
- d) operational and organisational procedures relevant to the goods being dispatched
- e) the equipment and facilities required in the dispatch area
- f) methods of safely loading vehicles
- g) types of problem arising from dispatching goods

##### **Legislation and regulations**

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

##### **Organisational procedures**

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS18 Process returned goods

#### *You will be able to:*

- 1) Communicate with customers in a way that respects their situation and values their involvement
- 2) Confirm with customers the type, quantity, and condition of the goods being returned, and obtain information on the reasons for returning the goods
- 3) Ensure that any replacement goods are quickly prepared and dispatched for customers
- 4) Provide all relevant details of the returned goods to the appropriate people, and update the stock control system
- 5) Position the returned goods in the correct location, and ensure they are kept separately from outgoing stock
- 6) Label clearly any goods that are to be returned to the supplier or manufacturer
- 7) Dispose of any waste packaging in accordance with operational procedures
- 8) Identify any problems with processing returned goods, 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
- 10) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

#### *You will know and understand:*

##### **Returned goods**

- a) main reasons customers might have for returning goods
- b) customers' legal rights and organisational policy and procedures in relation to replacements
- c) how the goods can be returned, and how to make any necessary arrangements
- d) how to dispose of any waste packaging that arrives with the returned goods
- e) when and how to update the stock control system
- f) where to put goods for processing or return to the supplier or manufacturer
- g) types of problem arising from returned goods

##### **Legislation and regulations**

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

##### **Organisational procedures**

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

# Skills for Logistics

## National Occupational Standards for Warehousing and Storage

### Unit WS19 Sort goods and materials for recycling

#### *You will be able to:*

- 1) Identify the goods or materials and conduct **initial checks** to determine their suitability for **recycling**
- 2) Sort the goods or materials according to the organisation's procedures and specifications for **recycling**
- 3) Obtain information and advice from an appropriate person where there is a difficulty in identifying or classifying goods or materials
- 4) Handle goods or materials using the correct **handling methods and equipment**
- 5) Remove any parts of the goods or materials that cannot be recycled and dispose of them correctly
- 6) Position the goods or materials that are suitable for **recycling** into the correct locations
- 7) Prepare the goods or materials for further processing according to the **recycling** specifications
- 8) Identify any problems with **recycling**, 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
- 10) Comply with all relevant work and safety legislation, regulations, standards, and organisational procedures

#### *You will know and understand:*

##### **Recycling**

- a) types of goods and materials that are suitable for recycling, and those that are not
- b) legal and organisational safety requirements applicable to recycling goods and materials
- c) organisational procedures and specifications for recycling goods and materials
- d) sources of information on the status of different types of goods and materials
- e) types of problem arising from recycling goods and materials

##### **Legislation and regulations**

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

##### **Organisational procedures**

- j) reporting responsibilities and information systems used by the organisation for specific work activities
- k) working practices, operating procedures, guidelines, and codes of practice
- l) 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

# 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: