Assessor's Guidelines for the SVQ 3 in Procurement at SCQF level 6

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Contents

About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ 3 Procurement at SCQF level 6**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

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

Introduction

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

About SVQs and the SCQF

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

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

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

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

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

Explanation of levels

SVQ1 (SCQF level 4)	Competence involves the application of knowledge and skills in the performance of a range of varied work activities, most of which may be routine or predictable.
SVQ2 (SCQF level 5)	Competence involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. At this level, there will be activities, which are complex or non-routine and there is some individual responsibility and autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.
SVQ3 (either SCQF level 6 or 7)	Competence involves the application of knowledge and skills in a broad range of varied work activities, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often present.
SVQ4 (either SCQF level 8 or 9)	Competence involves the application of knowledge and skills in a broad range of complex technical or professional work activities, performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.
SVQ5 (SCQF level 11)	Competence involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal accountability.

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

How are standards defined in SVQs?

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

Units define the broad functions carried out in the sector.

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

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

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

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

Who is involved in SVQs?

There are several roles:

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

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

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

The steps involved in assessing a candidate for an SVQ

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

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

1 The SVQ 3 in Procurement at SCQF level 6

The SVQ in Procurement has been developed by Skills for Logistics and is intended for people in all areas of supply chain management and procurement.

These people may be working at mid-senior levels in procurement, for example procurement officer, purchasing agents, assistant buyer, supply chain officer. They will require skills and knowledge in procurement specific areas, for example analysing the performance of suppliers, administering contracts, contributing to negotiations in a business environment.

The SVQs are designed to be assessed in the workplace, or in conditions of the workplace. Examples of the settings or centres in which the SVQs are likely to be delivered include training providers, colleges, organisations involved in the private and public sectors.

Structure of the SVQs

This section lists the Units which form the SVQ 3 in Procurement.

SVQ 3 Procurement at SCQF level 6 (GJ4D 23)

To achieve the whole qualification, candidates must prove competence in 12 Units in total, comprising five mandatory Units and seven optional Units.

Mandatory Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
DX4W 04	6	4	SfL 121	Analyse Information on the Procurement of Supplies in the Supply Chain
DX4Y 04	6	4	SfL 123	Analyse the Performance of Suppliers
DX5P 04	6	4	SfL 124	Identify Potential Suppliers for the Supply Chain
DX6L 04	5	4	SfL 125	Place Orders with Suppliers
DX61 04	5	3	SfL 126	Monitor and Progress the Delivery of Orders

Optional Units — seven Units required

Group A — minimum of three Units and a maximum of five Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
DX5Y 04	7	5	SfL 113	Maintain Operational Relationships within the Supply Chain
DX4X 04	6	5	SfL 114	Analyse Information on the Supply Chain
DX63 04	7	4	SfL 116	Monitor the Achievement of Project Tasks
DX56 04	7	5	SfL 117	Control Supplies at Storage Locations and Facilities
DX4V 04	6	4	SfL 120	Administer Contracts
DX7E 04	6	4	SfL 122	Verify the Capability of Suppliers to Meet Supply Specifications
H59B 04	6	11	LANCS 3	Promote, Monitor and Maintain Health, Safety and Security
DX6X 04	7	4	SfL 97	Produce Specifications for Suppliers
DX6F 04	6	4	SfL 129	Obtain Information on Distribution Requirements

Group B — minimum of two Units and a maximum of four Units

SQA ref	SCQF level	SCQF credit points	SSC ref	Title
FD9Y 04	6	4	CFABA A626	Plan How to Manage and Improve Own Performance in a Business Environment
FE06 04	7	5	CFABA G123	Contribute to Negotiations in a Business Environment
H6YF 04	7	7	SCDCP C301	Create and Maintain Effective Working Relationships with Other People
F88P 04	5	5	FSPFC C04	Ensure you Comply with Regulations in the Financial Services Environment
FE02 04	6	3	CFABA A615	Communicate in a Business Environment

An Assessment Strategy for the SVQ

The standards-setting body has developed an Assessment Strategy which defines a range of requirements:

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

The relevant parts of the Assessment Strategy are published on SQA's website (**www.sqa.org.uk**), and both SQA and centres must comply with these requirements.

Why would people be interested in the SVQ?

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

How do candidates begin?

Choosing the SVQ

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

Example

Lisa has worked in a third sector organiaation as a junior procurement advisor for a number of years. Although she has no formal training, she has been involved in a number of projects which involved administering contracts, identifying potential suppliers for the supply chain, dealing with suppliers and confirming specifications with the suppliers whilst following her organisation's procedures. Lisa wishes to now enhance her career prospects so approached the Procurement Manager about gaining formal recognition for her work contributions. It was agreed that Lisa should embark on the SVQ 3 Procurement programme, which would formally recognise the work she already undertook and develop in areas where she had less experience working in. After further discussion, it was decided that Lisa had some competence in the following Units:

♦ Place Orders with Suppliers
♦ Administer Contracts
♦ Identify Potential Suppliers for the Supply Chain

However, the remaining Units would require some training and knowledge from the organisation:

♦ Analyse Information on the Procurement of Supplies in the Supply Chain
♦ Analyse Information on the Supply Chain
♦ Analyse the Performance of Suppliers
♦ Monitor the achievement of Project Tasks
♦ Maintain Operational Relationships with the Supply Chain
♦ Verify the Capability of Suppliers to Meet Supply Specifications
♦ Communicate in a Business Environment
♦ Plan How to Manage and Improve Own Performance in a Business Environment
♦ Monitor and Progress the Delivery of Orders

Lisa and the Procurement Manager discussed the need for some training and knowledge input with a local training provider to carry out a full Training Needs Analysis. After this meeting, it was confirmed that the initial analysis was correct and an assessment plan was created to incorporate the additional Units and sources of potential evidence mapped to the standards.

The assessment instruments were identified and agreed to include:

♦ product evidence derived from Lisa's work area for example physical products of work like reports, plans, email correspondence
♦ observation at the workplace
♦ case Study, based on the authority's activities
♦ a witness statement from Lisa's Procurement Manager
♦ a series of personal statements to illustrate activities Lisa has undertaken

Professional discussion, written and oral questions would also be used to establish Lisa's experience and knowledge throughout the qualification.

2 Preparing to assess the SVQ

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

Your role and your candidate's role

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

Your role

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

Candidates' role

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

Planning

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

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

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

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

To help you plan for assessment, we have produced an assessment plan which covers Unit *D4XY 04 Analyse the Performance of Suppliers*.

Candidate: Graeme Brodie
Trainer/Assessor: Andrew Johnson

Graeme is a purchasing agent for a mid-sized engineering company which specialises in manufacturing component parts and accessories for aeroplanes. He has started his SVQ with an induction from the company trainer (who is also his assessor). They decided to start with the Unit *Analyse the Performance of Suppliers.* After discussion the following actions were identified and these are the basis for the assessment plan.

Performance Criteria 1 — product evidence is available in the workplace (from orders).
Performance Criteria 2 — product evidence is available in the workplace (from the supplier database and archived reports).
Performance Criteria 3 — training need — additional skills and underpinning knowledge required, to be provided by the trainer.
Performance Criteria 4 — training need — analytical skills — short evening course at local college.
Performance Criteria 5 — witness testimony, professional discussion and oral and written questions.
Performance Criteria 6 — product evidence as a written report to line manager, identifying any risks and supply chain vulnerability.
Performance Criteria 7 — professional discussion with written report to explain how to deliver continuous improvements can be made and analysis of how to improve the performance of the suppliers.

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

Units	DX4Y 04 Analyse the Performance of Suppliers				
Activities	**Performance Criteria (PC)**	**Method of assessment/ sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units**
Confirm with supplier, technical specifications of specialist aeronautical components	P1, P2, P3	Product evidence	15 November	Organisational records	Monitor and Progress the Delivery of Orders
Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review	K1	Question and Answer	18 November		

Assessor's signature *Ann Assessor*

1st review due _____

Candidate's signature *Raymond Smith*

2nd review due _____

Date of agreement 12 November 2014

Date of completion _____

Selecting methods of assessment

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

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

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

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

The benefits might be:

♦ performance and product evidence will be valid and can be authenticated
♦ resources to be used are readily available
♦ familiarity of the work area and equipment, so the candidate is comfortable during assessment
♦ familiarity with the assessor
♦ candidate can progress at his/her own pace

The challenges might be:

♦ work pressures for both candidate and assessor
♦ shift patterns
♦ lack of support from line manager/colleagues
♦ customer needs and time constraints
♦ the location of the workplace

Example

Martyna works as a procurement assistant for an international health service provider. To complete her SVQ in Procurement she has to be flexible in her working hours to allow for her to deal with colleagues who work in other countries. Her trainer has provided her with a set of written questions to show how she deals with colleagues who are based in other countries, and in addition she will support this with a witness testimony from her direct line manager to confirm her competence in these aspects of the Unit Outcomes.

Methods of assessment

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

Observation

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

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

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

Observation by the assessor can be used to generate evidence for several Units and can provide excellent opportunities to integrate evidence. For consistency, the candidate should be observed more than once in the workplace. The observation needs to be planned in advance and co-ordinated with the candidate (and their employer). The candidate's assessment plan would identify the areas to be observed and a checklist should be agreed with the candidate and the assessor. The observation should be carried out in a non intrusive manner and some guidance should be given by the assessor to reduce any anxiety in the candidate. The assessor should give feedback to the candidate after the observation is completed.

This method of assessment has a varied application in most awards. It enables an opportunity to gain competence by practice. It can be used in the following ways:

♦ relationships — interaction with the candidate and others, eg solving problems
♦ meetings — people skills, eg discussion and agreements
♦ activities — carrying out a specific task, eg checking a delivery

Example

Part of the SVQ 3 Procurement concerns effective working relationships with other people. As part of the Unit *Create and Maintain Effective Working Relationships with Other People* two observations were arranged to collect evidence of competency in the workplace. The first observation was to observe the candidate's ability to communicate and interact with external customers (P1). The second observation was to evidence attending a meeting with suppliers to resolve issues (P3, P5).

Product evidence

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

♦ A completed PESTLE analysis, financial and budgeting reports.
♦ Written evidence, such as performance review reports, minutes of meetings between buying organisation and the supplier.
♦ Documents completed by the candidate in the work place, such as procedures/policies, purchase requisitions, verification emails, the receipt of goods.
♦ Written evidence in the form of a case study, assignment and/or project set by the Assessor or candidate's organisation.
♦ Certification of previously achieved competence can be submitted as accreditation of prior learning (APL).

Questioning

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

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

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

Q What would you do if you needed to clarify requirements in a supplier contract?

Q What would happen if you do not receive accurate information regarding a supplier contract?

Q How would you cancel a contract to a supplier?

All answers should follow relevant organisational and procurement procedures.

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

Kieran has just begun his SVQ 3 in Procurement. As part of a discussion with his trainer it has been agreed that there are some areas in the Unit *Communicate in a Business Environment* he needed to develop competencies in. It was decided that the following aspects of this Unit could be best achieved by personal statements:

♦ K15 How to use and interpret body language and tone of voice
♦ K16 Methods of active listening

Witness testimony

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

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

Strongest   Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards. This person may also be an assessor or internal verifier qualified with the L and D Units, A/V Units or 'D-Units'.

Someone with considerable occupational expertise in the candidate's area of work and who is familiar with the standards.

Someone with considerable occupational expertise in the candidate's area of work, but with no knowledge of the standards.

Someone who may be a colleague of the candidate, but with no knowledge of the standards.

Weakest   Someone with no or little knowledge of the candidate's work or no knowledge of the standards.

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

A witness statement would be appropriate to confirm that a candidate has performed a relevant activity which you were not able to observe, eg dealing with a complaint.

Simulation

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

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

Simulation should not be viewed as a main source of performance evidence in SVQs. The most reliable performance evidence is generated through naturally occurring work activities. It can be disruptive and expensive to create a realistic working environment to provide an alternative to this. While there are sophisticated business simulations available, these are more appropriate to learning rather than assessing competence.

While there are no aspects of the standards that cannot be assessed using sources other than simulation, Skills for Logistics recognise that it is possible that there will be situations where individual candidates may find it difficult to provide performance evidence derived from their normal working activities. In these situations, simulation can be considered as an option. For example, a candidate might be working on a project to set up a supply chain across a number of countries, when one of those countries becomes politically unstable. The candidate might have invested a substantial amount of time on this one project, and it might have been the prime source of evidence covering a number of units of competence. In this situation, through no fault of their own, the project is abandoned. It is possible then to game-play the situation which might have occurred if the project had gone more smoothly.

If simulation is required, then this must be agreed with the External Verifier, who will have to decide whether the circumstances warrant its use. Only when other sources of performance evidence cannot be accessed effectively without undue burden on the candidate, should simulation be allowed. External Verifiers should discuss these situations with the assessor and candidate, and be able to establish a rationale for the decision.

Where simulation is used to generate evidence of competence, this should not be used as a sole source of evidence for any one unit of competence. Other sources and types of evidence will need to be generated to corroborate the evidence derived from simulation.

For more details on simulation and what constitutes performance in the workplace, look at the Assessment Strategy on SQA's website: **www.sqa.org.uk**.

Other sources of evidence

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

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

3 Generating evidence

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

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

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

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/PC/K&U(s)   FE06 04 Contribute to Negotiations in a Business Environment

Candidate   Maureen Barnsley

Evidence index number 132

Date of observation   12 March 2014

Skills/activities observed	Performance Criteria covered
I observed the final negotiations between Maureen and our main supplier for one-off items for a launch event. The negotiation was handled so well by Maureen that she has brokered a deal with means that future supplies for specialist items will be charged at a discounted rate. Also, as Maureen highlighted that this was one of the biggest events the sales team has handled to date, she managed to secure delivery of the items ahead of schedule, which meant that the marketing and sales team could begin their preparations earlier than anticipated.	P11 Complete negotiations in a way that maintains goodwill and promotes a positive image of self and the organisation

Knowledge and Understanding apparent from this observation
K4 Negotiation strategies and techniques, K11 How to maintain goodwill during negotiations and the benefits of achieving this.

Other Units/Performance Criteria/Knowledge and Understanding to which this evidence may contribute
P1 Prepare a negotiating brief for all relevant matters, P3 Make proposals which meet personal organisation objectives and those of the people being negotiated with, P9 Conduct negotiations in a way which creates goodwill and promotes a positive image of self and the organisation.

Assessor's comments and feedback to candidate
Maureen has obviously formed an excellent working relationship with the supplier and followed all relevant negotiation strategies and techniques. Maureen also showed me the negotiation brief ahead of the meeting, and I can confirm that she adhered to this also. Maureen confirmed that the supplier was happy for me to observe the meeting, and we extended our appreciation to the supplier for allowing this.

I can confirm the candidate's performance was satisfactory.

Assessor's signature   *Jamie Lyden*   **Date**   *12 March 2014*

Candidate's signature   *Maureen Barnsley*   **Date**   *12 March 2014*

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	DX6F 04 Obtain Information on Distribution Requirements
Performance Criteria/Knowledge and Understanding	P3 Collate and prepare data for analysis K1 Analysis methods and procedures K2 Cost and benefit analysis methods and procedures
Evidence index number	47
Circumstances of assessment	

These questions are part of the evidence for this outcome: the additional parts include a report of the risks and benefits, a SWOT and PESTEL analysis and a global review.

List of questions and candidate's responses	
Q	How are risks analysed in terms of commercial risks and where they occur?
A	The salient points of the answer will include the following topics: Commercial risks — new suppliers, contracts, global suppliers, single sourcing, vetting processes. They can occur on an ongoing basis but usually during times of change, eg changing to a new supplier or prior to this during the vetting process.
Q	How can you measure the risks?
A	Risk needs two stages: A) Establish the risk B) Measure the risk To establish the risk is to look at the possibility of any risk to the procurement of supplies from all sides. For example, the impact of a single, strategically important supplier/source ceasing trading overnight. From there examine the likelihood of this happening and rate that likelihood in a risk assessment. This assessment would form a profile of the supplier and form the basis of comparing alternative suppliers.

Assessor's signature   *Robin Black*   **Date**   *29 May 2014*

Candidate's signature   *Charlie Baker*   **Date**   *29 May 2014*

Candidate's personal statement

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

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit , Performance Criteria, Knowledge and Understanding
15/4/2014	143	I have carried out detailed negotiations with my organisation's supplier for specialist items for a launch event. I prepared the negotiating brief, and the proposals we made resulted in my team getting a substantial discount (35%) on future orders. In addition, I also managed to re-negotiate the delivery times which meant that the supplies were delivered 10 working days before our original date requested, which allowed the events and marketing team to prepare for the event sooner than anticipated. After each meeting, I then produced a report which summarised all the agreements, which was signed off by all attendees and showed me where all the appropriate records were kept. The proposal and reports of all the negotiations was also passed to my manager and appropriate colleagues. The experience of preparing and following through to the negotiations was a good, postivie experience, and I received positive feedback from the suppliers also. The supplier agreed to allow the assessor to be present during the observation. (Thanks were recorded to the supplier and assessor.)	P1 Prepare a negotiating brief for all relevant matters, P3 Make proposals which meet personal organisation objectives and those of the people being negotiated with, P9 Conduct negotiations in a way which creates goodwill and promotes a positive image of self and the organisation, K6 The benefits of having clear and realistic objectives and preparing compromise positions.	FE06 04 *Contribute to Negotiations in a Business Environment* P10 Maintain clear and accurate records of the negotiations and outcomes and agree them with all involved, P11 Complete negotiations in a way that maintains goodwill and promotes a positive image of self and the organisation, K8 The purpose and benefits of being flexible during negotiations while still seeking to achieve principal objectives, K11 How to maintain goodwill during negotiations and the benefits of achieving this.

Candidate's signature   *Maureen Barnsley*   **Date**   *12 March 2014*

Witness testimony

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

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

Witness testimony

SVQ title and level	SVQ 3 Procurement SCQF level 6
Candidate's name	Maureen Barnsley
Evidence index no	191
Index no of other evidence which this testimony relates to (if any)	Related 23, 47, 64
Performance Criteria/Knowledge and Understanding	DX4V 04 Administer Contracts PC 6 Exchange information on the content and outcomes of contracts, K2 Contract administration methods and procedures and K3 Legal and regulatory requirements
Date of evidence	12 March 2014
Name of witness	Giles Wheaton
Designation/relationship to candidate	Contracts Manager

Details of testimony

I can confirm that Maureen Barnsley has administered several contracts in her control in an efficient and effective manner. She complied at all times with departmental procedures and ensured that information regarding the negotiations and resulting report was dealt with securely and confidentially. In addition, she met the Freedom of Information Act requirements for disclosure and guidelines pertaining to information sharing with interested parties.

I can confirm the candidate's performance was satisfactory.

Witness's signature *Giles Wheaton*   **Date** *12 March 2014*

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

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

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

Filling the gaps

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

Guidance and support to candidates

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

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

Judging candidate evidence and making an assessment decision

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

Evidence must:

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

Insufficient evidence

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

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

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

Authenticating candidates' evidence

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

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

Example

Authentication could be needed if a candidate has produced evidence of a finished product, such as a purchase requisition. This could be authenticated by asking the candidate about how it was produced, and also questioning other work colleagues. The same could apply to other products of work such as minutes from a meeting, email correspondence, purchase order form.

4 Recording achievement

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

The candidate's evidence is normally kept in a file, often called a *portfolio*. These documents help you and your candidates to collect, present and cross-reference the evidence to the national standards. They are also a means of recording your assessment decisions, and they tell an External Verifier what stage a candidate has reached in achieving the SVQ. An example of a completed Unit record is provided at the end of this guidance.

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

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

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

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

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

♦ Completing the Unit progress record
♦ Using the evidence index
♦ Completing the achievement record

These forms are also used in SQA's portfolio.

Completing the Unit progress record

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

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

Unit progress record

Qualification and level   SVQ 3 Procurement SCQF level 6

Candidate   Audrey Black

To achieve the whole qualification, you must prove competence in 5 **mandatory** Units and 7 **optional** Units.

Unit checklist

Mandatory	DX4W 04	DX4Y 04	DX5P 04	DX6L 04	DX61 04	
Optional	DX7E 04	DX6X 04	DX6F 04	DX63 04	DX4V 04	FE02 04
	H6YF 04					

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date
DX4W 04	Analyse Information on the Procurement of Supplies in the Supply Chain	*Irham Ali*	*17 April*
DX5P 04	Identify Potential Suppliers for the Supply Chain	*Irham Ali*	*1 January*
DX61 04	Monitor and Progress the Delivery of Orders	*Irham Ali*	*3 February*

Optional Units achieved

Unit number	Title	Assessor's signature	Date
DX6X 04	Produce Specifications for Supplies	*Irham Ali*	*23 September*
DX63 04	Monitor the Achievement of Project Tasks	*Irham Ali*	*4 December*

Using the index of evidence

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

The index of evidence should be completed by entering:

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

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

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

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

Index of evidence

SVQ title and level	SVQ 3 Procurement SCQF level 6

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	Purchase requisition	yes	
2	Minutes from supplier meeting	yes	
3	Verification email from supplier	No – held on memory stick	
4	Market research analysis	yes	
5	Short report on team meeting regarding distribution requirements	yes	
6	Email correspondence with supplier	No — held on memory stick	
7	Email correspondence with line manager	No — held on memory stick	
8	Observation	yes	
9	Witness statement	yes	
10	Personal statement	yes	
11	Written communication to supplier	yes	
12	Minutes from Supplier Meeting	yes	
13	Observation	yes	
14	Witness statement	yes	
15	Negotation brief	yes	
16	Questions	yes	

Completing the achievement record

To help you and your candidates cross-reference the evidence to the standards of the SVQs, we have provided records similar to those produced in the SQA portfolio. 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 PC or KU 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 achievement record

Unit **DX4Y 04 Analyse the Performance of Suppliers**

Evidence index no	Description of evidence	PC/performance statements							Areas of Knowledge and Understanding/scope						
		1	2	3	4	5	6	7	1	2	3	4	5	6	7
1	Purchase requisition	x							x	x					
2	Email correspondence	x	x						X						
3	Minutes from meeting	x	x	x	x			x	x	x	X				
4	Briefing notes	x	x	x	x		x	X			x	x	x	X	
5	Witness testimony					X							x	x	X
6	Personal statement				X	x						X			
7	Question and answer						X	x					x	x	X
8	Professional discussion							x							x

Unit   DX4Y 04 Analyse the Performance of Suppliers

Notes/comments
The candidate has worked well to collect relevant evidence from the workplace. The observation in the evidence list showed the candidate directly interfacing with colleagues in the supply chain and also shows relationships with suppliers in the supply chain review process. Further evidence was provided by the candidate in their personal statement and the results of the case study provided by written questions was incorporated. The minutes and email correspondence highlighted particular problems with the suppliers lead-in times, and exemplified how the candidate worked with others to overcame these difficulties.

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

Candidate's signature   *Dylan Simpson*   **Date**   *28 September 2014*

Assessor's signature   *Scott Hamilton*   **Date**   *28 September 2014*

Internal verifier's signature   *Lynn Toher*   **Date**   *28 September 2014*

5 Further information

What else should I read?

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

Assessor/Verifier Units: assessment guidance

External Verification: A Guide for Centres

Guide to Assessment

Introduction to Assessment Arrangements for Schools and Colleges

SQA's Quality Framework: a guide for centres

Operational Help Centre

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

Appendix 1: Blank recording forms

Unit progress record

Qualification and level

Candidate

To achieve the whole qualification, you must prove competence in 5 **mandatory** Units and 7 **optional** Units.

Unit checklist

Mandatory							
Optional							

Mandatory Units achieved

Unit number	Title	Assessor's signature	Date

Optional Units achieved

Unit number	Title	Assessor's signature	Date

Index of evidence

SVQ title and level	

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)

Unit achievement record

Unit

Evidence index no	Description of evidence	PC/performance statements						Areas of Knowledge and Understanding/scope																

Unit

Notes/comments

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

Candidate's signature _____ **Date** _____

Assessor's signature _____ **Date** _____

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

Assessment plan

Units					
Activities	**Performance Criteria (PC)**	**Method of assessment/ Sources of evidence**	**Date of assessment**	**Evidence already available**	**Links to other Units (Performance Criteria and Range)**
Questioning for Knowledge and Understanding not apparent from performance to be identified from 2nd review					

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

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

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

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Unit, Performance Criteria, Knowledge and Understanding

Candidate's signature _____   **Date** _____

Observation record

Unit/Performance Criteria/Knowledge and Understanding

_____

Candidate _____

Evidence index number _____

Date of observation _____

Skills/activities observed	Performance Criteria covered

Knowledge and Understanding apparent from this observation

Other Units/Performance Criteria/Knowledge and Understanding to which this evidence may contribute

Assessor's comments and feedback to candidate

I can confirm the candidate's performance was satisfactory.

Assessor's signature _____ **Date** _____

Candidate's signature _____ **Date** _____

Witness testimony

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

I can confirm the candidate's performance was satisfactory.

Witness signature _____   **Date** _____

Witness (please select the appropriate box):

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

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

Record of questions and candidate's answers

Unit	
Evidence index number	
Circumstances of assessment	
List of questions and candidate's responses	
Q	
A	
Q	
A	
Q	
A	
Q	
A	
Q	
A	

Assessor's signature _____   **Date** _____

Candidate's signature _____   **Date** _____