

Assessment Guidance for the SVQ in Management of Recycling Operations at level 3 (G94X 23)

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General Information

Who is involved in SVQs?

There are several roles:

Candidate	The person who wants to achieve the SVQ (eg an employee)
Assessor*	The person who assesses the candidates and decides if they are competent (eg supervisor)
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)
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 Assessor/Verifier Units (the national standards for assessment and verification), or an alternative qualification which SQA also recognises. A copy of the Assessment Strategy developed by Energy and Utility Skills, the Sector Skills Council (SSC), provides information on the qualification for assessors, internal verifiers and External Verifiers.

The steps involved in assessing a candidate for an SVQ

These are the main stages in the assessment process:

- ◆ 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

Preparing to assess the SVQ

This section offers practical advice on how 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.

Assessor 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 competence 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

Candidate's role

- ◆ prepare for assessment — become familiar with the standards, what is to be assessed and how assessment will be carried out
- ◆ 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.

Note: 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.

SVQ in Management of Recycling Operations

This section lists the Units which form the SVQ in Management of Recycling Operations at level 3 (G94X 23). There are **six** mandatory Units, **two** from Optional Group 1 and one from Optional Group 2

Level 3 Structure

Mandatory Units

SQA Ref	NTO Ref	Title
D1VB 04	RM1	Conduct an Assessment of Risks in the Workplace (G)*
F4VA 04	RM3	Contribute to Maintaining Sustainable Development and Environmental Good Practice at Work
DR3W 04	RM12	Allocate and Check Work in Your Team
F25S 04	RM13	Provide Leadership for your Team
F4VW 04	RM15	Maintain and Develop Personal Performance
DR52 04	RM18	Ensure Health and Safety Requirements are Met in Your Area of Responsibility

Optional Units Group 1

Two optional Units from Group 1 must be completed

SQA Ref	NTO Ref	Title
F4WK 04	RM5	Use Resources Efficiently for the Processing or Storage of Recyclable Materials
F4VX 04	RM6	Maintain Effective Response to Emergencies
F4VB 04	RM7	Contribute to the Generation and Retention of Recycling Business
F4W0 04	RM8	Maintain Transport Operations for Recycling Services
F4W9 04	RM9	Monitor and Maintain the Security of Facilities Used for the Processing or Storage of Recyclable Materials
F4VL 04	RM22	Control Working Operations for the Collection and Transport of Recyclable Materials
F4VE 04	RM26	Control Maintenance and Other Engineering Operations
F4VF 04	RM34	Control Operations for the Processing or Storage of Recyclable Materials

Optional Units Group 2

One optional Unit from Group 2 must be completed

SQA Ref	NTO Ref	Title
DR7K 04	RM11	Recruit, Select and Keep Colleagues
DR7C 04	RM14	Provide Learning Opportunities for Colleagues
F04R 04	RM16	Organise the Promotion of Services or Products to Customers
F27V 04	RM17	Build and Maintain Effective Customer Relations

List of all Units

Mandatory Units

- RM1 † Conduct an assessment of risks in the workplace (G)*
- RM3 ‡ Contribute to maintaining sustainable development and environmental good practice at work (2.3)
- RM12 Allocate and check work in your team (D5) **
- RM13 Provide leadership for your team (B5) **
- RM15 ‡ Maintain and develop personal performance (2.4)
- RM18 † Ensure health and safety requirements are met in your area of responsibility (E6) **

Optional Units Section A

- RM5 Use resources efficiently for the processing or storage of recyclable materials
- RM6 Maintain effective response to emergencies
- RM7 Contribute to the generation and retention of recycling business
- RM8 Maintain transport operations for recycling services
- RM9 ‡ Monitor and maintain the security of facilities used for the processing or storage of recyclable materials (2.20)
- RM22 † Control working operations for the collection and transport of recyclable materials
- RM26 † Control maintenance and other engineering operations
- RM34 † Control operations for the processing or storage of recyclable materials

Optional Units Section B

- RM11 Recruit, select and keep colleagues (D3) **
- RM14 † Provide learning opportunities for colleagues (D7) **
- RM16 † Organise the promotion of services or products to customers (ICS 19) ***
- RM17 † Build and maintain effective customer relations (ICS 30) ***

Notes — level 3 Management of Recycling Operations

* Units from ENTO Standards

** Units from Management and Leadership Standards

***Units from Institute of Customer Services Standards

‡ Units also in level 2 – where these Units have been achieved at level 2, they are acceptable at level 3 without additional work

† Units also in level 4 – where these Units are taken forward to level 4, they will be acceptable without additional work

To achieve the full qualification candidates must complete:

- ◆ All **six** mandatory Units
- ◆ At least **two** Units from Section A
- ◆ At least **one** Unit from Section B

By following this rationale candidates must complete at least nine Units before they can achieve a full qualification.

Mandatory Units

Candidates need to complete all six of these Units

RM1 Conduct an Assessment of Risks in the Workplace (D1VB 04)

This Unit is equivalent to Unit G of the National Occupational Standards developed by the National Training Organisation for Employment — the standards setting body for employment and related matters.

Elements in this Unit are:

- RM1.1 Identify hazards in the workplace
- RM1.2 Assess the level of risk and recommend action
- RM1.3 Review your workplace assessment of risks

Unit Overview

Fundamental to this Unit is an understanding of the process of carrying out a risk assessment. A person competent in this Unit should be able to carry out **risk assessments according to regulatory requirements.**

This Unit is for:

A person required to, or who has been asked to, carry out a risk assessment in the workplace. This could be an employer, line manager, supervisor; safety representative or employee.

This Unit is about:

The competences needed to identify hazards in the workplace, assess the level of risk resulting from those hazards, make recommendations to control the risk and review the results.

This is what you need to show:

In element RM1.1: that you understand the process of identifying hazards in the workplace. You should be prepared for the hazard identification process; and investigate both those areas where risks are most likely to occur and those who might be harmed. You should be able to identify when to make use of expert advice and guidance on identifying hazards.

In element RM1.2: that you understand the criteria for assessing the level of risk. You should show you know the criteria for acceptable risks and understand when risks are unacceptable. You should show you can prepare and present a report on the results of the risk assessment to include those significant findings of your risk assessment.

In element RM1.3: that you understand the importance of reviewing your assessment from time to time. This will include understanding when changed circumstances might affect your current assessment. You should also show you understand how to revise it if necessary.

This is what you need to do next:

Read the section on 'Key Words and Phrases'. This explains how some words and phrases have been used in this Unit and will help you understand it more easily.

Key Words and phrases which you might see used frequently within the Health and Safety for People at Work Units.

The Health and Safety Executive (HSE) is the body appointed to support and enforce health and safety law. They have defined two important concepts as follows:

Hazard — 'a hazard is something with potential to cause harm'.

Risk — 'a risk is the likelihood of the hazard's potential being realised'. Almost anything **may** be a hazard, but **may** or **may not** become a risk. For example:

- 1 A trailing electric cable from a piece of equipment is a hazard. If it is trailing across a passageway there is a high risk of someone tripping over it, but if it lies along a wall out of the way, the risk is much less.
- 2 Toxic or flammable chemicals stored in a building are a hazard, and by their nature may present a high risk. However, if they are kept in a properly designed secure store, and handled by properly trained and equipped people, the risk is much less than if they are left about in a busy workshop for anyone to use — or misuse,
- 3 A failed light bulb is a hazard. If it is just one bulb out of many in a room it presents very little risk, but if it is the only light on a stairwell, it is a very high risk. Changing the bulb may be a high risk, if it is high up, or if the power has been left on, or low risk if it is in a table lamp which has been unplugged.
- 4 A box of heavy material is a hazard. It presents a higher risk to someone who lifts it manually than if a mechanical handling device is properly used.

Workplace: This word is used to describe the single or multiple areas in which you carry out your work.

Working practices: Any activities, procedures, use of materials or equipment and working techniques used in carrying out your job. In this Unit it also covers any omissions in good working practice which may pose a threat to health and safety.

Workplace policies: This covers the documentation prepared by the employer on the procedures to be followed regarding health and safety matters. It could be the employer's safety policy statement, or general health and safety statements and written

safety procedures covering aspects of the workplace that should be drawn to the employees' (and other persons') attention.

Other persons: This phrase refers to everyone covered by the Health and Safety at Work Act including: visitors; members of the public; colleagues; contractors; clients; customers; patients; students; pupils.

Personal presentation: This includes personal hygiene; use of personal protection equipment; clothing and accessories suitable to the particular workplace.

Responsible persons: The person or persons at work to whom you should report any health and safety issues or hazards. This could be a supervisor, line manager or your employer.

Key points regarding Health and Safety legislation and regulations Health and Safety at Work Act 1974

The Health and Safety at Work Act 1974 is the main piece of legislation under which nearly all the other regulations are made. It is for this reason that only this piece of legislation is specifically referred to in this Unit.

Employers have a legal duty under this Act to ensure, so far as is reasonably practicable, the health, safety and welfare at work of the people for whom they are responsible and the people who may be affected by the work they do.

Under this Act it is also important to be aware that all people at work, not just employers, have a duty to take reasonable care to avoid harming themselves or others through the work they do.

Risks should be reduced 'so far as is reasonably practicable'. This term means the duty-holder (in most instances the employer) can balance the cost against the degree of risk although obviously any Health and Safety inspectors would expect that relevant good practice is followed.

According to the Act:

Employers must safeguard so far as is reasonably practicable the health, safety and welfare at work of all the people who work for them and 'other persons'. This applies in particular to the provision and maintenance of safe plant and systems of work, and covers all machinery, equipment and substances used.

People at work also have a duty under the Act to take reasonable care to avoid harm to themselves or to others by their working practices, and to co-operate with employers and others in meeting statutory requirements. The Act also requires employees not to interfere with or misuse anything

provided to protect their health, safety or welfare in compliance with the Act.

Other Legislation

There is an array of health and safety regulations and codes of practice which affect people at work. There are regulations for those who, for example, work with electricity, or work on construction projects, as well as regulations covering noise at work, manual handling, working with VDUs, or dealing with substances hazardous to health, etc. The specific requirements for all or any of these can be obtained from HSE local offices.

As many of the regulations are only relevant to certain workplaces or working practices no specific reference has been made in the Knowledge Requirements to any of these regulations. The phrase *'your duties for health and safety as required by any specific legislation covering your job role'* is intended to relate to those specific pieces of legislation important to your workplace and/or working practices which you should be able to find out about.

The Management of Health and Safety at Work Regulations 1992 contain risk assessment provisions. They require employers and self-employed people to assess the risks created by their undertaking so as to identify the measures they need to have in place to comply with their duties under health and safety law.

Element RM1.1: Identify hazards in the workplace

Performance Criteria

You must ensure that:

- a you define, clearly, why and where the risk assessment will be carried out
- b you confirm that all the information available to you on statutory health and safety regulations is up-to-date and from recognised and reliable **information sources**
- c you recognise your own limitations and seek expert advice and guidance on risk assessment when appropriate
- d you select a method of identifying hazards appropriate to the workplace being assessed
- e your investigation fully identifies those areas in the workplace where **hazards** with a potential for serious harm to health and safety are most likely to occur
- f you identify **hazards** which could result in serious harm to people at work or other persons
- g you record those **hazards** in a way which meets legal, good practice and workplace requirements
- h you report the results of the process to the responsible persons in an agreed format and timescale

Range Statement

Information Sources are:

- 1 internal Health and Safety experts
- 2 HSE offices
- 3 relevant industry publications
- 4 external organisations

Hazards relating to:

- 5 the use of plant and equipment
- 6 the use of substances hazardous to health
- 7 the workplace layout
- 8 the working practices
- 9 the job role
- 10 people with special needs

Specific Knowledge for this Element

You must know and understand:

- 1 methods of identifying hazards including direct observation, examining records, or interviews
- 2 the work areas and people for whom you are carrying out the assessment
- 3 work activities of the people in the workplace where you are carrying out the risk assessment
- 4 resources required for a risk assessment to take place
- 5 information sources for risk assessments (eg HSE publications)

6 where to find expert advice and guidance

Evidence Requirements

Evidence must be provided to demonstrate competence of identifying hazards with reference to working activities or aspects of the workplace in the context of carrying out a risk assessment.

Performance evidence must be provided against each of the Performance Criteria. Performance evidence must show from the range that you have:

- ◆ identified a minimum of two types of **hazard** from those listed, and
- ◆ used a minimum of one type of **information source**

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

Performance evidence must be provided from real working practice.

Element RM1.2: Assess the level of risk and recommend action

Performance Criteria

You must ensure that:

- a you review all legal requirements that are appropriate to your workplace and working practices to ensure effective control measures are in place
- b you confirm that industry standards and all other reasonable precautions are in place
- c you identify hazards that could be eliminated
- d for hazards that cannot be eliminated, you start your risk assessment with those hazards that are most likely to cause serious harm to people at work or other people.
- e you assess the level of risk and consider how the risks can be controlled to minimise harm
- f you list unacceptable risks in priority order including any breaches of relevant health and safety legislation and workplace procedures
- g you prepare a risk assessment report containing recommendations for minimising risks
- h you present the results of the risk assessment to **responsible persons** in the agreed format and timescale

Range Statement

Responsible persons are:

- 1 management associated with the examined activities
- 2 employees associated with the examined activities
- 3 decision makers
- 4 union representatives
- 5 staff representatives

Specific Knowledge for this Element

You must know and understand:

- 1 your own limitations, job responsibilities and capabilities
- 2 the work areas and people for whom you are carrying out the assessment
- 3 work activities of the people in the workplace where you are carrying out the risk assessment
- 4 resources required for a risk assessment to take place
- 5 effective communication methods

Evidence Requirements

Evidence must be provided to demonstrate competence of assessing the level of risk, prioritising unacceptable risks and recommending action in the context of carrying out a risk assessment.

Performance evidence must be provided against each of the Performance Criteria.

Performance evidence must show from the range that you have presented the results of a risk assessment to a minimum of two **responsible persons** from the list given.

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

Performance evidence must be provided from real working practice.

Element RM1.3: Review your workplace assessment of risks

Performance Criteria

You must ensure that:

- a you compare the latest risk assessment to current workplace and working practices
- b you identify, accurately, any significant differences between previous and new working practices
- c you investigate the action taken as a result of your recommendations specified in the latest risk assessment
- d you identify, accurately, new hazards arising from changes in the workplace or working practices
- e you make changes to your risk assessment in line with the review
- f you inform, promptly, everyone affected by the changes

Range Statement

Previous and new working practices relating to:

- 1 plant, machinery and equipment
- 2 substances or materials
- 3 people

Changes in the workplace relating to:

- 4 layout of workplace
- 5 new facilities and services

Specific Knowledge for this Element

You must know and understand:

- 1 methods of identifying hazards
- 2 your own limitations, job responsibilities and capabilities
- 3 the work areas and people for whom you are carrying out the assessment
- 4 work activities of the people in the workplace where you are carrying out the risk assessment
- 5 effective communication methods

Evidence Requirements

Evidence must be provided to demonstrate competence of reviewing your risk assessment. Performance evidence must be provided against each of the Performance Criteria. Performance evidence must show from the range that you have:

- ◆ made a comparison between previous **and new working practices** for a minimum of one of the types listed
- ◆ assessed a minimum of one of the types of **changes in the workplace** for new hazards from those listed

The assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

Performance evidence must be provided from real working practice.

Knowledge Requirements:

Essential knowledge and understanding for this Unit

To conduct an assessment of risks in the workplace you should know and understand the following aspects of **health and safety legislation**:

- 1 the responsibilities for risk assessments as required by the Management of Health and Safety at work Regulations 1992 and other related regulations
- 2 your legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974
- 3 your duties for health and safety as defined by any specific legislation covering your job role

To conduct an assessment of risks in the workplace you should know and understand the following relating to **health and safety**:

- 4 effective procedures for carrying out a risk assessment
- 5 the purpose, legal implications and importance of carrying out risk assessments
- 6 what to do with the results of the risk assessment
- 7 hazards that are most likely to cause harm to health and safety
- 8 the particular health and safety risks which may be present in your own job role and the precautions to be taken
- 9 the importance of remaining alert to the presence of hazards in the whole work place; the importance of dealing with or promptly reporting risks

Evidence Requirements

- ◆ You should satisfy the assessor that you can consistently meet the standards.
- ◆ Evidence should be drawn from real working practices and evidence must be provided across all the Performance Criteria in both elements. Your assessor must see performance evidence for each of the range items, as specified in the three elements, appropriate to your own workplace context.
- ◆ Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the Unit, and for the specific knowledge required for each element.

Assessor Guidance

- ◆ In order to demonstrate competence the candidate must be able to show consistent competent performance.
- ◆ In this Unit evidence from performance is required and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of the

candidate's ability to perform competently across all the range items listed.

RM3 Contribute to Maintaining Sustainable Development and Environmental Good Practice at Work (F4VA 04)

This Unit is identical to Unit 2.3 of WAMITAB NVQ level 2 in Recycling Operations

Area of competence

This Unit is about working in a way which helps to maintain sustainable development and environmental good practice. It means taking steps to minimise damage to the environment and disturbance to habitats and completing tasks and activities in ways which cause as little damage or disturbance as possible. It requires resources to be used in accordance with approved procedures and practices, explaining things to others and suggesting improvements when they are able. The Unit also involves dealing with pollution incidents.

Performance Criteria

- a** Carry out work in a manner which minimises **environmental damage (1)**
- b** Select and use **equipment and materials (2)** that will minimise **environmental damage (1)**
- c** Make sure work is carried out in accordance with **approved procedures and practices (3)**
- d** Recognise any **environmental damage (1)** and take the appropriate action
- e** Identify improvements to **approved procedures and practices (3)** in terms of environmental good practice and take the appropriate action
- f** Dispose of **waste (4)** materials safely and according to relevant approved procedures and practices (3)
- g** Deal with small scale pollution incidents in accordance with **approved procedures and practices (3)**
- h** Report more serious pollution **incidents (5)** to the relevant people
- i** Report environmental **incidents (5)** promptly and accurately in accordance with **approved procedures and practices (3)**
- j** Contribute to **sustainable development (6)** during work activities

Range

- (1) **Environmental damage:** Pollution, physical disturbance
- (2) **Equipment and materials:** Recyclable materials, static and mobile plant
- (3) **Approved procedures and practices:** Health, Safety and Environmental related to the individual and others, organisational, regulatory, statutory, relevant company policies, risk assessment
- (4) **Waste:** Hazardous, non-hazardous
- (5) **Incidents:** Accidents which cause personal injury, changes in an individual's health which puts them at risk
- (6) **Sustainable development:** Conservation of energy, use of resources and equipment to minimise environmental damage

Knowledge and Understanding

- 1 Methods for minimising environmental damage during work
- 2 The most suitable choice of materials and equipment given the nature of the work activity, and its potential impact on the environment
- 3 Ways in which tools and materials should be used in order to minimise environmental damage
- 4 Organisational and legislative requirements in terms of minimising environmental damage
- 5 Types of damage which may occur, the impact these can have on the environment, and the corrective actions to be taken
- 6 Methods of waste disposal which will minimise the risk to the environment
- 7 How to recognise and deal with small scale pollution incidents
- 8 Procedures in place for dealing with pollution incidents
- 9 The limits of their own capabilities with regard to pollution incidents
- 10 Those to whom pollution and other environmental incidents should be reported

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of recyclable/reject materials managed.

Range

1	Dealing with actual environmental harm: <ul style="list-style-type: none">◆ documented procedures for dealing with harm◆ records showing correct implementation
2	Improving controls systems and procedures from experience: <ul style="list-style-type: none">◆ details of specific experiences resulting in improvements◆ equipment and materials requirements; maintenance schedules
3 & 6	Operation of quality assurance check system: <ul style="list-style-type: none">◆ detail of system◆ system records properly completed◆ deviations from normal operating identified◆ investigation and action taken
4	Consents (licences/permits)
5	Dealing with potential threats to the environment, health and safety and developing control systems: <ul style="list-style-type: none">◆ list of threats identified◆ details of related control and monitoring systems◆ records of implementation of control systems

RM12 Allocate and Check Work in Your Team (DR3W 04)

This Unit is equivalent to Unit D5 of the National Occupational Standards developed by the Management Standards Centre — the standards setting body for management and leadership.

Unit Summary

What is the Unit about?

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

Who is the Unit for?

The Unit is recommended for team leaders.

Skills

Listed below are the main generic skills which need to be applied in allocating and checking work in your team. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Communicating
- ◆ Providing feedback
- ◆ Planning
- ◆ Reviewing
- ◆ Motivating
- ◆ Valuing and supporting others
- ◆ Problem solving
- ◆ Monitoring
- ◆ Decision making
- ◆ Prioritising
- ◆ Team building
- ◆ Managing conflict
- ◆ Information management
- ◆ Leadership
- ◆ Coaching
- ◆ Delegating
- ◆ Setting objectives
- ◆ Stress management

Outcomes of Effective Performance

You must be able to do the following:

- a Confirm the work required of the team with your manager and seek clarification, where necessary, on any outstanding points and issues.
- b Plan how the team will undertake its work, identifying any priorities or critical activities and making best use of the available resources.
- c Allocate work to team members on a fair basis taking account of their skills, knowledge and understanding, experience and workloads and the opportunity for development.
- d Brief team members on the work they have been allocated and the standard or level of expected performance.
- e Encourage team members to ask questions, make suggestions and seek clarification in relation to the work they have been allocated.
- f Check the progress and quality of the work of team members on a regular and fair basis against the standard or level of expected performance and provide prompt and constructive feedback.
- g Support team members in identifying and dealing with problems and unforeseen events.
- h Motivate team members to complete the work they have been allocated and provide, where requested and where possible, any additional support and/or resources to help completion.
- i Monitor the team for conflict, identifying the cause(s) when it occurs and dealing with it promptly and effectively.
- j Identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with team members.
- k Recognise successful completion of significant pieces of work or work activities by team members and the overall team and advise your manager.
- l Use information collected on the performance of team members in any formal appraisal of performance.

Behaviours which Underpin Effective Performance

- I You make time available to support others.
- II You clearly agree what is expected of others and hold them to account.
- III You prioritise objectives and plan work to make best use of time and resources.
- IV You state your own position and views clearly and confidently in conflict situations.
- V You show integrity, fairness and consistency in decision-making.
- VI You seek to understand people's needs and motivations.
- VII You take pride in delivering high quality work.
- VIII You take personal responsibility for making things happen.
- IX You encourage and support others to make the best use of their abilities.
- X You are vigilant for possible risks and hazards.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

- 1 Different ways of communicating effectively with members of a team.
- 2 The importance of confirming/clarifying the work required of the team with your manager and how to do this effectively.
- 3 How to plan the work of a team, including how to identify any priorities or critical activities and the available resources.
- 4 How to identify and take due account of health and safety issues in the planning, allocation and checking of work.
- 5 Why it is important to allocate work across the team on a fair basis and how to do so.
- 6 Why it is important to brief team members on the work they have been allocated and the standard or level of expected performance and how to do so.
- 7 Ways of encouraging team members to ask questions and/or seek clarification and make suggestions in relation to the work which they have been allocated.
- 8 Effective ways of regularly and fairly checking the progress and quality of the work of team members.
- 9 How to provide prompt and constructive feedback to team members.
- 10 How to select and apply a limited range of different methods for motivating, supporting and encouraging team members to complete the work they have been allocated, improve their performance and for recognising their achievements.
- 11 The additional support and/or resources which team members might require to help them complete their work and how to assist in providing this.
- 12 Why it is important to monitor the team for conflict and how to identify the cause(s) of conflict when it occurs and deal with it promptly and effectively.
- 13 Why it is important to identify unacceptable or poor performance by members of the team and how to discuss the cause(s) and agree ways of improving performance with team members.
- 14 The type of problems and unforeseen events that may occur and how to support team members in dealing with them.
- 15 How to log information on the ongoing performance of team members and use this information for performance appraisal purposes.

Industry/sector specific knowledge and understanding

- 1 Recycling industry specific legislation, regulations, guidelines, codes of practice relating to carrying out work.
- 2 Recycling industry requirements for the development or maintenance of knowledge, understanding and skills.

Context specific knowledge and understanding

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

Evidence Requirements

The following guidance applies to the *Evidence Requirements* of the Unit and should be read in conjunction with the Unit specification.

In order to achieve any Unit you must demonstrate that you meet all its requirements. This means all of the stated Outcomes and behaviours and every item of knowledge and understanding. Your assessor must be able to observe you in the workplace and/or you must provide **tangible evidence** to your assessor — you should agree with your assessor the balance between observation and other ways of evidencing performance. Please note that **simulation** is **not** allowed for any Unit (ie all your evidence must relate to real work activities) unless, in exceptional cases, the External Verifier agrees.

To help you identify relevant, tangible evidence, the *Evidence Requirements* of each Unit list a wide range of possible items of evidence, and show which *Outcomes*, *Behaviours* and *Knowledge and Understanding* these items might be used to evidence.

Please note, you are not expected to produce each item of evidence listed — the *Evidence Requirements* identify examples of the evidence that you might be able to produce. Similarly, the references to *Behaviours* and to *Knowledge and Understanding* suggest what the evidence **may** demonstrate.

It is your responsibility to collect appropriate evidence, make sure that it demonstrates the *Outcomes* required, and show which *Behaviours* and *Knowledge and Understanding* are also apparent.

A Personal Statement may accompany the evidence for each Unit. The *Evidence Requirements* identify certain *Outcomes* where this is more likely to be of value. A Personal Statement is not real work evidence, but it can be useful in explaining and reflecting on your behaviour in achieving certain *Outcomes* and why you behaved as you did, thus helping to link evidence of *Outcomes* to *Behaviours* and *Knowledge and Understanding*. Witness statements should be made both by those who report to you and those to whom you report (except if you do not report to anyone — for example, if you own the organisation).

Your assessor must be given sufficient time to become familiar with the evidence. The physical evidence will provide the basis for a dialogue between you and your assessor. This discussion will provide you with an opportunity to show how the physical evidence you have presented covers the *Outcomes*, *Behaviours* and items of *Knowledge and Understanding*.

You must appreciate that your assessor may feel that further evidence is required and the discussion could be used to identify the type of further evidence required and where this can be obtained.

Examples of evidence

Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
		General	Industry Specific	Context Specific
Records of work allocation to your team and its members:				
◆ notes of meetings with your manager, schedules and other documents recording the work required from your team, and any priorities	7, 8	2, 3, 4, 11	1	1, 2, 3, 4
◆ detailed work schedules, timetables and other plans for individual and team work activities, tasks, production targets or other ways of defining workloads	2, 3, 5, 7, 8, 10	3, 4, 5, 11	1, 2	1, 2, 3, 4, 5, 6, 8, 9
◆ notes of team briefings to allocate individual and team work activities, tasks, targets, etc	1, 2, 3, 4, 5, 6, 7, 9	1, 5, 6, 7, 9, 11	1, 2	1, 2, 3, 4, 5, 6, 7
◆ personal statements (reflections on the process and reasoning behind work allocation, including work priorities, availability of resources, and the relative abilities and development needs of team members)	3, 5, 7, 8, 10	3, 4, 5, 6, 11	1, 2	1, 2, 3, 4, 5, 6, 7, 8, 9
◆ witness statements (comments on the process of work allocation and perceptions of its fairness, appropriateness and clarity)	1, 4, 5, 6, 9			

RM13 Provide Leadership for your Team (F25S 04)

This Unit is equivalent to B5 from the National Occupational Standards developed by the Management Standards Centre — the standards setting body for management and leadership.

Unit Summary

What is the Unit about?

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

Who is the Unit for?

The Unit is recommended for team leaders.

Skills

Listed below are the main generic skills which need to be applied in providing leadership for your team. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Communicating
- ◆ Planning
- ◆ Team building
- ◆ Leading by example
- ◆ Providing feedback
- ◆ Setting objectives
- ◆ Motivating
- ◆ Consulting
- ◆ Problem solving
- ◆ Valuing and supporting others
- ◆ Monitoring
- ◆ Managing conflict
- ◆ Decision making
- ◆ Following

Outcomes of Effective Performance

You must be able to do the following:

- a Set out and positively communicate the purpose and objectives of the team to all members.
- b Involve members in planning how the team will achieve its objectives.

- c Ensure that each member of the team has personal work objectives and understands how achieving these will contribute to achievement of the team's objectives.
- d Encourage and support team members to achieve their personal work objectives and those of the team and provide recognition when objectives have been achieved.
- e Win, through your performance, the trust and support of the team for your leadership.
- f Steer the team successfully through difficulties and challenges, including conflict within the team.
- g Encourage and recognise creativity and innovation within the team.
- h Give team members support and advice when they need it especially during periods of setback and change.
- i Motivate team members to present their own ideas and listen to what they say.
- j Encourage team members to take the lead when they have the knowledge and expertise and show willingness to follow this lead.
- k Monitor activities and progress across the team without interfering.

Behaviours which Underpin Effective Performance

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

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

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

- 9 The benefits of and how to encourage and recognise creativity and innovation within a team.

Industry/sector specific knowledge and understanding

- 1 Legal, regulatory and ethical requirements in the recycling industry.

Context specific knowledge and understanding

- 1 The members, purpose, objectives and plans of your team.
- 2 The personal work objectives of members of your team.
- 3 The types of support and advice that team members are likely to need and how to respond to these.
- 4 Standards of performance for the work of your team.

Evidence Requirements

The following guidance applies to the *Evidence Requirements* of the Unit and should be read in conjunction with the Unit specification.

In order to achieve any Unit you must demonstrate that you meet all its requirements. This means all of the stated Outcomes and behaviours and every item of knowledge and understanding. Your assessor must be able to observe you in the workplace and/or you must provide **tangible evidence** to your assessor — you should agree with your assessor the balance between observation and other ways of evidencing performance. Please note that **simulation** is **not** allowed for any Unit (ie all your evidence must relate to real work activities) unless, in exceptional cases, the External Verifier agrees.

To help you identify relevant, tangible evidence, the *Evidence Requirements* of each Unit list a wide range of possible items of evidence, and show which *Outcomes*, *Behaviours* and *Knowledge and Understanding* these items might be used to evidence.

Please note, you are not expected to produce each item of evidence listed — the *Evidence Requirements* identify examples of the evidence that you might be able to produce. Similarly, the references to *Behaviours* and to *Knowledge and Understanding* suggest what the evidence **may** demonstrate.

It is your responsibility to collect appropriate evidence, make sure that it demonstrates the *Outcomes* required, and show which *Behaviours* and *Knowledge and Understanding* are also apparent.

A Personal Statement may accompany the evidence for each Unit. The *Evidence Requirements* identify certain *Outcomes* where this is more likely to be of value. A Personal Statement is not real work evidence, but it can be useful in explaining and reflecting on your behaviour in achieving certain Outcomes and why you behaved as you did, thus helping to link evidence of *Outcomes* to *Behaviours* and *Knowledge and Understanding*. Witness statements should be made both by those who report to you and those to whom you report (except if you do not report to anyone — for example, if you own the organisation).

Your assessor must be given sufficient time to become familiar with the evidence. The physical evidence will provide the basis for a dialogue between you and your assessor. This discussion will provide you with an opportunity to show how the physical evidence you have presented covers the *Outcomes*, *Behaviours* and items of *Knowledge and Understanding*.

You must appreciate that your assessor may feel that further evidence is required and the discussion could be used to identify the type of further evidence required and where this can be obtained.

Examples of evidence

Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
		General	Industry Specific	Context Specific
Plans and objectives you have agreed with your team:				
♦ notes and other records of meetings with individuals and the team you have led to discuss and agree objectives and work plans	1, 2, 3, 4, 5, 6, 7	1, 2, 3, 4, 5, 6, 8,	1	1, 2, 3, 4
♦ individual and team objectives and work plans or schedules you have agreed	1,2,4,5,6,7	2,3,4	1	1, 2, 4
♦ records of own appraisal or performance review meetings with manager regarding your role in agreeing individual and team objectives and work plans	2, 3, 4, 5, 6, 7, 8	2,3,4,6,7,8	1	1, 2, 3, 4
♦ personal statement (commentary on how you involved team members in agreeing demanding but realistic individual and team objectives and work plans)	1,2,3,4,5,6,7, 8	1,2,3,4,5,6,8	1	1,2,3,4

♦ witness statements by team members (how you encourage them to set demanding but realistic objectives and accept responsibility for achieving them)	1, 2, 3, 5, 6, 7, 8			
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RM15 Maintain and Develop Personal Performance (F4VW 04)

This Unit is identical to Unit 2.4 of WAMITAB NVQ level 2 in Recycling Operations

Unit Summary

What is the Unit about?

This Unit is about maintaining and developing personal performance. You must agree and review personal performance targets with the appropriate person and seek guidance if clarification is required.

Performance Criteria

- a Carry out work in accordance with **approved procedures and practices (1)**
- b Seek advice if clarification is required concerning specific tasks
- c Agree **personal performance (2)** plan
- d Agree development needs and methods of meeting these needs
- e Develop **personal performance (2)** according to your agreed plan, development needs in accordance with **approved procedures and practices (1)**
- f Review personal performance with the appropriate person

Range

- (1) Approved procedures and practices:** Health, Safety, Environmental and sustainable development related to the individual and others, organisational, regulatory, statutory, relevant company policies, risk assessment
- (2) Personal performance:** Working to targets, completing tasks, quality of work

Knowledge and Understanding

- 1 The tasks and activities for which they are responsible
- 2 The limits of their responsibility in relation to specific tasks and activities
- 3 From whom they should obtain advice in relation to specific tasks and activities

- 4 The correct procedures for obtaining advice
- 5 The risks involved in not obtaining advice where they are unclear about specific tasks and activities
- 6 How to determine and agree development needs and personal targets
- 7 The reasons why personal performance should be reviewed

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site, its size and persons involved.

Range

1	Observed performance identifying and providing essential information to colleagues on: <ul style="list-style-type: none">◆ health, safety◆ environmental and sustainable development related to the individual and others◆ organisational◆ regulatory◆ statutory◆ relevant company policies◆ risk assessment
2	Observed performance <ul style="list-style-type: none">◆ discussions with colleagues on work activities and patterns◆ agreeing actions and meeting commitments◆ offering and supplying support to colleagues◆ adapting methods of communication and support to suit the individual needs of colleagues◆ identifying behavioural or environmental issues which affect working relationships, and taking appropriate action◆ coordinating own work with that of colleagues◆ safeguarding the security and confidentiality of information◆ recording discussions

Products of work:

- ◆ internal memoranda
- ◆ work plans
- ◆ records of meetings
- ◆ records of discussions

Authenticated testimonies from relevant witnesses
Personal accounts of competence
Responses to questions
Other sources of evidence to prove knowledge and understanding where it is not apparent from performance

RM18 Ensure Health and Safety Requirements are Met in your Area of Responsibility (DR52 04)

This Unit is equivalent to Unit E6 from the National Occupational Standards developed by the Management Standards Centre — the standards setting body for management and leadership.

Unit Summary

What is the Unit about?

This Unit is concerned with managing the overall health and safety process in your area of responsibility. It is intended to go beyond meeting health and safety legislation and move towards a situation where health and safety considerations are firmly embedded in the planning and decision making processes and the 'culture' of your area of responsibility. The 'area of responsibility' may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is the Unit for?

The Unit is recommended for first-line managers and middle managers.

Skills

Listed below are the main generic skills which need to be applied in ensuring health and safety requirements are met in your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Consulting
- ◆ Information management
- ◆ Decision making
- ◆ Involving others
- ◆ Questioning
- ◆ Thinking systematically
- ◆ Monitoring
- ◆ Leadership
- ◆ Communicating
- ◆ Reviewing
- ◆ Presenting information
- ◆ Prioritising
- ◆ Reporting
- ◆ Planning

Outcomes of Effective Performance

You must be able to do the following:

- a Identify your personal responsibilities and liabilities under health and safety legislation.
- b Ensure that the organisation's written health and safety policy statement is clearly communicated to all people in your area of responsibility and other relevant parties.
- c Ensure that the health and safety policy statement is put into practice in your area of responsibility and is subject to review as situations change and at regular intervals and the findings passed to the appropriate people for consideration.
- d Ensure regular consultation with people in your area of responsibility or their representatives on health and safety issues.
- e Seek and make use of specialist expertise in relation to health and safety issues.
- f Ensure that a system is in place for identifying hazards and assessing risks in your area of responsibility and that prompt and effective action is taken to eliminate or control identified hazards and risks.
- g Ensure that systems are in place for effective monitoring, measuring and reporting of health and safety performance in your area of responsibility.
- h Show continuous improvement in your area of responsibility in relation to health and safety performance.
- i Make health and safety a priority area in terms of informing planning and decision-making in your area of responsibility.
- j Demonstrate that your own actions reinforce the messages in the organisation's health and safety policy statement.
- k Ensure that sufficient resources are allocated across your area of responsibility to deal with health and safety issues.
- l Develop a culture within your area of responsibility which puts 'health and safety' first.

Behaviours which underpin effective performance

- I You respond quickly to crises and problems with a proposed course of action.
- II You identify people's information needs.
- III You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- IV You are vigilant for possible risks and hazards.
- V You take personal responsibility for making things happen.
- VI You identify the implications or consequences of a situation.
- VII You act within the limits of your authority.
- VIII You constantly seek to improve performance.
- IX You treat individuals with respect and act to uphold their rights.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

- 1 Why health and safety in the workplace is important.
- 2 How and where to identify your personal responsibilities and liabilities under health and safety legislation.
- 3 How to keep up with legislative and other developments relating to health and safety.
- 4 The requirement for organisations to have a written health and safety policy statement.
- 5 How to communicate the written health and safety policy statement to people who work in your area of responsibility and other relevant parties.
- 6 How and when to review the application of the written health and safety policy statement in your area of responsibility and produce/provide findings to inform development.
- 7 How and when to consult with people in your area of responsibility or their representatives on health and safety issues.
- 8 Sources of specialist expertise in relation to health and safety.
- 9 Ways of developing a culture in your area of responsibility which puts 'health and safety' first.
- 10 The type of hazards and risks that may arise in relation to health and safety — how to establish and use systems for identifying hazards and assessing risks and the type of actions that should be taken to control or eliminate them.
- 11 How to establish systems for monitoring, measuring and reporting on health and safety performance in your area of responsibility.
- 12 Why and how health and safety should inform planning and decision-making.
- 13 The importance of setting a good example to others in relation to health and safety.
- 14 The type of resources required to deal with health and safety issues.

Industry/sector specific knowledge and understanding

- 1 Recycling industry legislation, regulations, guidelines and codes of practice relating to health and safety.
- 2 Health and safety risks, issues and developments which are particular to the recycling industry.

Context specific knowledge and understanding

- 1 Other relevant parties with an interest in health and safety in your area of responsibility.
- 2 The organisation's written health and safety policy statement and how it is communicated to people who work for the organisation, people in your area and to other relevant parties.
- 3 Sources of specialist health and safety expertise used in your area of responsibility.
- 4 The operational plans for your area of responsibility.

- 5 The resources allocated to and across your area of responsibility for health and safety.
- 6 Allocated responsibilities for health and safety in your area and the organisation in general.
- 7 Systems in place in your area of responsibility for identifying hazards and assessing risks and taking action.
- 8 Systems in place for monitoring, measuring and reporting of health and safety performance in your area of responsibility.

Evidence Requirements

The following guidance applies to the *Evidence Requirements* of the Unit and should be read in conjunction with the Unit specification.

In order to achieve any Unit you must demonstrate that you meet all its requirements. This means all of the stated Outcomes and behaviours and every item of knowledge and understanding. Your assessor must be able to observe you in the workplace and/or you must provide **tangible** evidence to your assessor – you should agree with your assessor the balance between observation and other ways of evidencing performance. Please note that **simulation** is **not** allowed for any Unit (ie all your evidence must relate to real work activities) unless, in exceptional cases, the External Verifier agrees.

To help you identify relevant, tangible evidence, the *Evidence Requirements* of each Unit list a wide range of possible items of evidence, and show which *Outcomes*, *Behaviours* and *Knowledge* and *Understanding* these items might be used to evidence.

Please note, you are not expected to produce each item of evidence listed — the Evidence Requirements identify examples of the evidence that you might be able to produce. Similarly, the references to *Behaviours* and to *Knowledge* and *Understanding* suggest what the evidence **may** demonstrate.

It is your responsibility to collect appropriate evidence, make sure that it demonstrates the *Outcomes* required, and show which *Behaviours* and *Knowledge* and *Understanding* are also apparent.

A Personal Statement may accompany the evidence for each Unit. The *Evidence Requirements* identify certain *Outcomes* where this is more likely to be of value. A Personal Statement is not real work evidence, but it can be useful in explaining and reflecting on your behaviour in achieving certain Outcomes and why you behaved as you did, thus helping to link evidence of *Outcomes* to *Behaviours* and *Knowledge* and *Understanding*. Witness statements should be made both by those who report to you and those to whom you report (except if you do not report to anyone — for example, if you own the organisation).

Your assessor must be given sufficient time to become familiar with the evidence. The physical evidence will provide the basis for a dialogue between you and your assessor. This discussion will provide you with an opportunity to show how the physical evidence you have presented covers the Outcomes, behaviours and items of knowledge and understanding.

You must appreciate that your assessor may feel that further evidence is required and the discussion could be used to identify the type of further evidence required and where this can be obtained.

Examples of evidence

Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
		General	Industry Specific	Context Specific
Records of actions you have taken to ensure health and safety policies are implemented appropriately:				
<ul style="list-style-type: none"> notes or minutes of meetings you have organised with people in your area of responsibility, or their representatives, and those with specialist expertise, to discuss, review and agree the implementation of workplace policies on health and safety 	2,3,5,7,9	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2	1, 2, 3, 4, 6, 7, 8
<ul style="list-style-type: none"> notes of briefings or presentations you have made or commissioned to people in your area of responsibility on the implementation of workplace policies on health and safety 	2, 3, 5, 7, 9	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2	1, 2, 5, 6
<ul style="list-style-type: none"> records of training activity you have organised for people in your area of responsibility on the implementation of workplace policies on health and 	3, 5, 7, 8	1, 5, 8, 14	1, 2	1, 2, 5, 6

<p>safety</p> <ul style="list-style-type: none"> ◆ personal statement (reflection on your role in ensuring that health and safety policies are implemented and reviewed in your area of responsibility) 	<p>3, 5, 8</p>	<p>1, 2, 4, 6, 7, 8, 9</p>	<p>1, 2</p>	<p>2, 4, 5, 7</p>
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Optional Units — Section A (Group 1)

Candidates need to complete at least two of these eight Units

RM5 Use Resources Efficiently for the Processing or Storage of Recyclable Materials (F4WK 04)

Area of competence

This Unit is about monitoring and controlling the use of resources during recycling operations. It requires liaising with others to ensure recommendations for resources are appropriate to need and resources are used efficiently.

Skills and competences which demonstrate effective performance

You show you are competent to:

- ◆ Recommend the resources needed by the team to meet agreed objectives
- ◆ Monitor and control the use of resources
- ◆ Resolve problems arising from resource issues

Performance Criteria

Recommend the resources needed by the team to meet agreed objectives

- a Prepare recommendations for the short and medium term and which take account of developments likely to affect the use of resources
- b Ensure resource recommendations are consistent with team and organisation objectives
- c Ensure resource recommendations indicate the potential benefits expected from the planned use of resources
- d Give other people the opportunity to contribute information on the resources the team needs
- e Present recommendations clearly and concisely to team members and other colleagues or managers according to organisational procedures

Monitor and control the use of resources

- f Give team members opportunities to take individual responsibility for the efficient use of resources
- g Monitor resource use, at appropriate intervals, for efficiency and potential impact on the environment
- h Monitor the quality of resources continuously and ensure consistency in product and service delivery

- i Make recommendations, in an appropriate manner, to improve the use of resources
- j Ensure records relating to the use of resources are complete, accurate, and available to authorised people only

Resolve problems arising from resource issues

- k Modify the use of resources or alter activities where problems arise
- l Renegotiate the allocation of resources to ensure continuing efficient usage

Knowledge and Understanding

You need to know and understand the following:

- 1 How to analyse the use of resources in the past, and use the results to make recommendations on more effective use of resources in the future
- 2 How to communicate effectively with team members and other colleagues and line managers on resource management
- 3 How to develop and argue an effective case for changes in the management of resources
- 4 How to enable people to identify and communicate the resources they need
- 5 Team and organisation objectives regarding the use of resources
- 6 Procedures for making recommendations on the use of resources
- 7 The trends and developments which may influence the future use of resources and how to plan for these
- 8 The importance of effective management of resources to team
- 9 The principles underpinning the effective and efficient management of resources and the importance of keeping accurate records on their use for more effective future use
- 10 How to encourage others to take responsibility for the control of resources in their own area of work
- 11 The problems which may occur with resources and how they can deal with them
- 12 How to monitor and control the use of resources to maximise efficiency, whilst maintaining the quality of the products and services

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of recyclable/reject materials managed.

Preparing recommendations for expenditure

- ◆ existing cost data on operation
- ◆ description of recommendation and costs
- ◆ cost benefit analysis
- ◆ final presentation of proposals

Identified contributions of individuals to cost and resource control

- ◆ named individuals, their areas where costs can be controlled, the way this was communicated to them

Expenditure

- ◆ budgets and budgetary control data for the last financial period
- ◆ expenditure records
- ◆ analysed cost data

Monitoring the use of resources

- ◆ assessment of cost data
- ◆ comparison and explanation of budgets against actuals
- ◆ identified symptoms of loss of control
- ◆ action taken and results achieved

RM6 Maintain Effective Response to Emergencies (F4VX 04)

Area of competence

This Unit is about ensuring consistent and effective response to emergencies. It involves making sure emergency equipment is kept operational through effective maintenance and that emergency procedures and requirements and targets are met.

Skills and competences which demonstrate effective performance

You show you are competent to:

- ◆ Carry out practices and drills
- ◆ Develop and maintain effective emergency procedures

Performance Criteria

Carry out practices and drills

- a Develop — through practices and drills — effective use of emergency procedures for serious accident, fire, serious injury, and threats to the environment
- b Record the results of practices and drills and evaluate them against performance targets
- c Take steps to make improvements where performance falls short of targets

Develop and maintain effective emergency procedures

- d Use the results of practices and drills to recommend improvements to the emergency plan and its procedures
- e Use the results of investigation into accidents and incidents to recommend improvements to the emergency plan and its procedures
- f Revise and update emergency procedures where changes are required
- g Make sure provision is made for the resources and equipment which are needed to meet new requirements
- h Implement changes which have been agreed and communicate the emergency procedures effectively to the relevant people
- i Ensure emergency equipment maintenance provides continuous availability and serviceability

Knowledge and Understanding

You must know and understand the following:

- 1 The application of relevant legislation
- 2 Hazards and risks from materials and situations which might arise during emergencies
- 3 Methods of minimising risks
- 4 Sources of first aid
- 5 Use of emergency equipment and resources — fire fighting equipment, breathing apparatus, escape equipment, treatment for exposure to hazardous substances, other first aid materials — and the required levels of provision
- 6 The emergency plan and its procedures
- 7 Procedures for reporting emergencies and incidents
- 8 Relevant operating procedures
- 9 What emergencies could occur due to particular workplace conditions
- 10 How to organise emergency practices and drills
- 11 The procedures for setting targets for practices and drills
- 12 How to evaluate performance against targets
- 13 How to use the evaluation of drills and practices in reviewing emergency procedures
- 14 How to recommend changes to the emergency plan and procedures

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of Recyclable/reject materials accepted.

Check that emergency procedures are followed

- ◆ observation of monitoring activity
- ◆ records of safety equipment issued
- ◆ permit to work certificates, instructions, and control system

Communications

- ◆ communications (oral or written) to operatives and others

Ensure that emergency procedures are operated safely and effectively

- ◆ company emergency procedures
- ◆ records of related risk assessments
- ◆ records of review findings
- ◆ records of revisions to procedures
- ◆ records of discussions with external bodies
- ◆ records of dangerous occurrences

Internal and external audits

- ◆ observation reports on practices and drills
- ◆ monitoring reports on emergency equipment maintenance
- ◆ statutory authority visit reports
- ◆ Quality, environmental, compliance audits
- ◆ safety audits
- ◆ safety inspection reports

Application of company emergency procedure arrangements

- ◆ emergency procedures, organisation and relevant arrangements documents
- ◆ communications (oral and written) to operatives and others
- ◆ records of personnel training in emergency procedures and the use of PPE and other safety equipment

RM7 Contribute to the Generation and Retention of Recycling Business (F4VB 04)

Area of competence

This Unit is about recognizing and developing opportunities to generate customer interest in the organisation's recycling services. It means being proactive and helping customers to identify their real needs and how your services can satisfy them. It requires tact as well as an ability to make recommendations and develop business proposals. The use of customer feedback and its communication within the organisation to improve services is also involved.

Skills and competences which demonstrate effective performance

You show you are competent to:

- ◆ Recognise opportunities to generate customer interest
- ◆ Promote recycling services provided by the organisation
- ◆ Respond to customer feedback and act on it

Performance Criteria

Recognise opportunities to generate customer interest

- a** Establish the needs of the customers by using a range of personal and desk-based assessment and analysis
- b** Maintain accurate and up-to-date information on the organisation's services and communicate this effectively to customers and others within the organisation
- c** Act upon opportunities which have been identified in order to generate customer interest

Promote recycling services provided by the organisation

- d** Communicate the features and advantages of the services which are available
- e** Develop both formal and informal proposals to meet customer needs and present them to the relevant people for agreement
- f** Record the customer information and agreed proposals

Respond to customer feedback and act on it

- g** Encourage customers to give feedback on the services provided
- h** Respond positively and constructively to customer feedback
- i** Evaluate feedback for its importance and impact on operations
- j** Communicate feedback accurately and promptly to the relevant people
- k** Take steps, if needed, for acting by referring to managers or colleagues for direction or advice
- l** Propose amendments to services which are likely to lead to repeat or new business

Knowledge and Understanding

You need to know and understand the following:

- 1 The importance identifying customer needs and the part they should play in doing this
- 2 How to identify and agree customer needs in sufficient detail to develop proposals
- 3 How to negotiate with, and influence potential and actual customers
- 4 The difference between internal and external customers
- 5 The services available and their features and benefits
- 6 How to communicate effectively and with whom to communicate
- 7 How to encourage customers to provide feedback and how to listen effectively
- 8 The importance of customer feedback
- 9 How to evaluate feedback in terms of impact on operations
- 10 The principles of confidentiality when handling customer feedback
- 11 The types of feedback that may be provided to different people
- 12 Organisational systems and procedures for dealing with customers
- 13 The types of feedback needed by different people

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site, its size and persons involved.

Observed performance:

- ◆ discussions with customers on work activities and patterns
- ◆ agreeing actions and meeting commitments
- ◆ offering and supplying support to customers
- ◆ identifying and providing essential information to customers
- ◆ adapting methods of communication and support to suit the individual needs of customers
- ◆ identifying behavioural or environmental issues which affect working relationships, and taking appropriate action
- ◆ co-ordinating own work with that of customers
- ◆ identifying inadequate quality products or performance, and seeking solutions with those concerned
- ◆ safeguarding the security and confidentiality of information
- ◆ recording discussions
- ◆ discussions with external contacts on work related matters by
 - ◆ telecommunications or face to face
 - ◆ corresponding with contacts on work related matters
 - ◆ seeking and exchanging work related information
 - ◆ adapting the method of communication to suit the individual needs of external contacts
- ◆ co-ordinating own work with that of external contacts
- ◆ identifying behavioural or environmental issues which affect working relationships, and taking appropriate action
- ◆ identifying inadequate quality products, services, or performance, and seeking solutions
- ◆ safeguarding the security and confidentiality of information

Products of work:

- ◆ internal memoranda
- ◆ work plans
- ◆ records of meetings
- ◆ records of discussions
- ◆ copies of letters
- ◆ copies of agreements

Authenticated testimonies from relevant witnesses
Personal accounts of competence
Responses to questions
Other sources of evidence to prove knowledge and understanding where it is not apparent from performance

RM8 Maintain Transport Operations for Recycling Services (F4WO 04)

Area of competence

This Unit is about managing transport operations in the recycling sector.

Skills and competences which demonstrate effective performance

You show you are competent to:

- ◆ Plan and monitor transport operations
- ◆ Use and communicate data and information about transport

Performance Criteria

Plan and monitor transport operations

- a** Assess and quantify the loads to be moved and the resources available for doing so
- b** Organise loads and routes to make optimum use of resources
- c** Confirm routes and operating schedules with recipients and colleagues
- d** Use past experience and data to help the planning process
- e** Take account of external constraints involving weather, traffic regulations, and traffic flows which could affect plans that are produced
- f** Take into account organisational constraints involving staff availability and drivers' hours, agreed work schedules, and vehicle availability and suitability
- g** Check plans to ensure they are efficient and comply with requirements and procedures
- h** Prepare contingency plans which can be used if required
- i** Prepare all documents which are specified as necessary by the organisation
- j** Evaluate problems which arise in transit and take measures to resolve and correct them swiftly
- k** Ensure work activities meet legal, organisational, and recipients' requirements
- l** Resolve problems in connection with the transit of materials

Use and communicate data and information about transport

- m** Make relevant people aware of the importance of prompt and accurate communications
- n** Maintain effective communication with all those people who are required to be kept informed about different aspects of the transport operation
- o** Monitor transport movements and collect data in a way in which it can be used later for a range of purposes
- p** Monitor and evaluate the movement efficiency data and use the information to improve future planning

Knowledge and Understanding

You need to know and understand the following:

- 1 The legislative requirements in relation to the movement of recyclable materials
- 2 The legislative and organisational requirement regarding agreements and contracts
- 3 Records of agreements which need to be kept
- 4 The importance of effective planning in the movement of recyclable materials and their role and responsibility in relation to this
- 5 How to plan within a framework of the organisation's objectives and operating systems and procedures
- 6 The principles of effective time and resource management
- 7 The legislative requirements in relation to the movement of recyclable materials
- 8 Measures to resolve and correct problems connected with sub-contracting, running repairs, rerouting, agency support, rescheduling
- 9 Problems in transit relating to vehicle, consignments, routing, staffing, accidents, and weather
- 10 How to communicate effectively with co-workers and people outside the organisation
- 11 How and why current experience can help in future plans
- 12 Different means of gathering information
- 13 The types of information needed to evaluate movement efficiency
- 14 The importance of monitoring the plan and how to do it
- 15 How to identify the reasons for success and failure in achieving movement efficiency

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of Recyclable/reject materials accepted.

Managing collection and transport of recyclable materials

- ◆ records of recyclable material collection and transport
- ◆ rejection and incident logs
- ◆ company records and records required by legislation
- ◆ returns to regulatory bodies

Internal and external audits

- ◆ safety inspection reports
- ◆ regulatory agency visit reports
- ◆ quality, environmental, compliance audits

Application of the company Health and Safety Policy

- ◆ records of training of operatives in handling, operating equipments, collecting and transporting recyclable materials
- ◆ safety equipment resources
- ◆ control of vehicles, plant and crews
- ◆ records of training for operatives in controlling vehicles, plant and crews

Controlling vehicles, plant and crews

- ◆ records of the control of threats to the environment
- ◆ rejection and incident logs
- ◆ additional company records, and records required by legislation
- ◆ site rules for vehicle and plant movements on site

RM9 Monitor and Maintain the Security of Facilities Used for the Processing or Storage of Recyclable Materials

This Unit is identical to Unit 2.20 of WAMITAB NVQ level 2 in Recycling Operations

What is the Unit about?

This Unit is about monitoring the security of facilities and the equipment, tools and resources used there. It is also about making sure the equipment, tools and resources are stored securely when not in use and that any consumables are accounted for. Breaches of security must be reported to the relevant person or people.

Performance Criteria

- a** Ensure that correct **entering and leaving procedures (1)** are followed in accordance with **approved procedures and practices (2)**
- b** Ensure that suspicious occurrences are reported immediately
- c** Identify actual and potential **breaches of security (3)** and report them immediately
- d** Ensure that confidentiality of information is maintained
- e** Ensure that **equipment and materials (4)** used for work are safely and securely stored
- f** Ensure that equipment not stored in a secure place is immobilised
- g** Ensure records of consumable resource use are up to date and report excesses or shortages promptly

Range

- (1) Entering and leaving procedures:** General visual check of premises for anything unusual, turning off lights/power, securing premises
- (2) Approved procedures and practices:** Health, Safety and Environmental related to the individual and others, organisational, regulatory, statutory, relevant company policies, risk assessment
- (3) Breaches of security:** Locks/catches not operating, lights not working, damage to facility
- (4) Equipment and materials:** Recyclable materials, static and mobile plan

Knowledge and Understanding

- 1 How to recognise suspicious occurrences and who to inform
- 2 How to recognise breaches of security and who to inform
- 3 Entering and leaving procedures for facility
- 4 What information about the organisation is confidential
- 5 How to immobilise vehicles, machinery and equipment
- 6 Procedures for obtaining equipment and materials
- 7 Formal recording of use of equipment and materials
- 8 Location and security of keys of vehicles and plant
- 9 Procedure for reporting excesses and shortages of consumables

Evidence Requirements

Evidence:

The candidate's evidence must demonstrate that they meet the national occupational standards (ie the Performance Criteria, the knowledge and understanding requirements and the range of the element) consistently in their day-to-day work over a period of time. The workplace should be used as the primary assessment location and naturally occurring workplace evidence should be the primary source of evidence.

Simulation

Where simulated activities are not stated within the Unit, a centre must discuss and agree their use in advance with the External Verifier. Consideration for simulation should be given to those Units, which have real Health, Safety or Environmental implications.

Below are examples of activities that can be used to meet the **range** specified within the standards. Examples of evidence are shown separately at the end of the Unit. Range activities are cross referred numerically to the **range** statements within the Unit.

Range	For example you could provide performance evidence that:
1,4	<p>you can use the correct entering and leaving procedures for the following types of location:</p> <ul style="list-style-type: none">◆ facility premises◆ client premises◆ materials, stationary and mobile plants
2	<p>you include the following activities in entering and leaving procedures:</p> <ul style="list-style-type: none">◆ general visual check of premises for anything unusual◆ turning off lights/power◆ securing premises <p>you report to the following people:</p> <ul style="list-style-type: none">◆ line manager◆ colleagues◆ client/owner of property

3	<p>you can identify and act on the following suspicious occurrences:</p> <ul style="list-style-type: none"> ◆ unknown people ◆ damage to premises/contents ◆ abnormal situations <p>you can identify and act on the following breaches of security:</p> <ul style="list-style-type: none"> ◆ locks/catches not operating ◆ lights not working ◆ damage to facility/client perimeter/buildings
4	<p>you can identify and act on the following problems in storage:</p> <ul style="list-style-type: none"> ◆ unsuitability of storage area for the recyclables or materials stored ◆ poor physical condition and security of the storage area itself ◆ hazards to people ◆ undesirable changes in the wastes or materials stored ◆ breakdown, damage, deterioration of equipment ◆ fire ◆ infestation ◆ nuisance

Examples of Evidence

Here are a few examples to give you some ideas about the types of evidence you might be able to find in your daily work.

Observed performance:

- ◆ entering and leaving facility/client's premises
- ◆ action on encountering information about clients
- ◆ how you have reported suspicious occurrences or breaches of security and the end results back to clients or owners of properties
- ◆ why you should treat client and visitor information as confidential

Products of work:

- ◆ your notes/reports or oral statements on breaches of security

- ◆ your notes/reports or oral statements on suspicious occurrences and action taken

You may also provide short reports of your own, or statements from others who have observed your performance.

Witness testimony:

- ◆ statements from people who have observed you achieving and maintaining the required standards as specified

RM22 Control Working Operations for the Collection and Transport of Recyclable Materials (F4VL 04)

Area of competence

This Unit is about monitoring collection and transport activities and using targets and procedures to control the work done.

Skills and competences which demonstrate effective performance

You show you are competent to:

- ◆ Monitor and control work activities to comply with procedures
- ◆ Resource operations to meet targets
- ◆ Use and communicate data and information

Performance Criteria

Monitor and control work activities to comply with procedures

- a Monitor operations and make sure procedures are implemented fully to ensure legislation is being complied with
- b Ensure threats to the environment posed by the collection and transport of recyclable materials are recognised and minimised by taking steps promptly to reduce potential risks
- c Review monitoring systems for operational effectiveness
- d Make any changes necessary to keep work activities and methods consistent with organisational objectives and priorities
- e Ensure work targets contain all necessary information, are communicated clearly and personnel understand them
- f Check and confirm targets are achievable and programmes of work are agreed with those who are involved
- g Confirm personnel recognise and understand hazards which could be encountered and the necessary precautions they must take by following safe systems of work

Resource operations to meet targets

- h Ensure staff, materials, and equipment are adequate, available, and in good state of repair for both the collection and transport of recyclable materials
- i Resolve any deficiencies by using the organisation's proper channels to enable collection and transport services to continue and to meet targets

Use and communicate data and information

- j** Confirm with personnel they understand working procedures and provide further information and support if they are needed
- k** Record instances where there have been threats caused to the environment and what steps were taken to overcome them
- l** Ensure records related to the collection and transportation operations are complete, accurate, and accessible to those who are required to use them

Knowledge and Understanding

You must know and understand the following:

- 1 The application of relevant legislation
- 2 Health and safety requirements
- 3 Emergency procedures
- 4 Recyclable materials identification procedures
- 5 Handling implications of recyclable materials
- 6 Handling procedures
- 7 Reviewing, organising and resourcing operations
- 8 Setting and meeting targets
- 9 Dealing with other workers and setting programmes of work
- 10 Record keeping and the types of data required for monitoring purposes

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of recyclable/reject materials accepted.

Managing collection and transport of recyclable materials

- ◆ records of recyclable material collection and transport
- ◆ rejection and incident logs
- ◆ company records and records required by legislation
- ◆ returns to regulatory bodies

Internal and external audits

- ◆ safety inspection reports
- ◆ regulatory agency visit reports
- ◆ quality, environmental, compliance audits

Application of the company Health and Safety Policy

- ◆ records of training of operatives in handling, operating equipments, collecting and transporting recyclable materials.
- ◆ safety equipment resources
- ◆ control of vehicles, plant and crews
- ◆ records of training for operatives in controlling vehicles, plant and crews

Controlling vehicles, plant and crews

- ◆ records of the control of threats to the environment
- ◆ rejection and incident logs
- ◆ additional company records, and records required by legislation
- ◆ site rules for vehicle and plant movements on site

RM26 Control Maintenance and Other Engineering Operations (F4VE 04)

Area of competence

This Unit is about producing maintenance schedules and giving clear instructions to those responsible for carrying them out. It involves monitoring work and taking steps to ensure it complies with contractual and legal requirements. It requires a proactive approach to reviewing and preventing breakdowns.

Skills and competences which demonstrate effective performance

You show you are competent to:

- ◆ Produce maintenance schedules
- ◆ Use and communicate data and information
- ◆ Monitor maintenance and other engineering operations

Performance Criteria

Produce maintenance schedules

- a** Confirm the maintenance activities that are required to achieve maintenance requirements and use the data to draw up the most suitable sequence and timing
- b** Schedule the time and resources available for undertaking maintenance activities
- c** Produce maintenance schedules that are capable of meeting all relevant maintenance requirements, comply with legislation, and meet the requirements of external bodies and equipment manufacturers
- d** Produce contingency plans which take account of potential difficulties
- e** Specify clearly and record the maintenance schedule in accordance with organisational procedures
- f** Implement procedures to ensure that test certificates and operator certificates are kept up to date

Use and communicate data and information

- g** Communicate the maintenance schedules to the people involved in implementing them and to others who would be affected by them
- h** Provide clear and accurate instructions to those responsible for maintenance and other engineering activities and check they understand what is required

- i Take steps to ensure those responsible for maintenance and other engineering activities will have the necessary resources available to carry out work to the required standard
- j Review regularly the frequency, nature and causes of breakdowns and use the information to resolve the problems and prevent failures.
- k Maintain accurate and up-to-date records

Monitor maintenance and other engineering operations

- l Check the procedures to monitor and review the quality, safety and environmental impact of maintenance and other engineering activities are implemented correctly
- m Take steps immediately to rectify any deviations from contractual or legal requirements
- n Ensure the implementation of maintenance and other engineering activities comply with all relevant regulations and guidelines
- o Ensure operatives on site implement and maintain the agreed systems to record faults and initiate repairs
- p Be proactive in taking measures to prevent potential breakdowns from occurring

Knowledge and Understanding

You must know and understand the following:

- 1 Relevant legislation, Regulations, Codes of Practice and guidelines applicable to maintenance and other engineering activities
- 2 The maintenance activities required for the plant, systems, equipment, vehicles, buildings and structures for which they are responsible
- 3 The requirements for statutory testing of equipment and operator certificates
- 4 The time and resources needed for the required maintenance activities
- 5 The factors to be taken into account when scheduling maintenance activities, including any insurance company requirements
- 6 What difficulties might occur when implementing maintenance activities and what should be included in contingency plans
- 7 The importance of checking people's understanding of instructions and how to do this

- 8 The technical skills needed for the maintenance and engineering activities carried out on your site, how to check that the people involved have the required skills and what to do in response to a perceived skills deficit
- 9 The system for allocating contracts and permits to work and your role and responsibility in relation to these
- 10 The terms and conditions of contracts for which you are responsible, including any insurance policy conditions regarding contract work
- 11 The quality assurance systems that are being used for the maintenance and other engineering activities
- 12 Organisational procedures and legal requirements for environmental protection and safe working practices
- 13 The importance of enforcing procedures for quality, safety and environmental protection and the actions to take in response to deviations from these
- 14 Organisational or site procedures and requirements for reporting faults and initiating repairs
- 15 The factors that increase the likelihood of breakdowns and action to take to prevent or reduce these, including the relationship between breakdowns and planned maintenance
- 16 Organisational procedures for implementation, control and completion of contracts
- 17 The recording systems used for maintenance schedules and records, permits to work and other contract information
- 18 Handling implications of recyclable materials
- 19 Handling procedures

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of recyclable/reject materials accepted.

Maintenance of plant and equipment

- ◆ Maintenance schedules
- ◆ Maintenance records
- ◆ Training records of maintenance operatives
- ◆ Accident and breakdown records

Control of contracts and contractors

- ◆ Contract documents and progress reports
- ◆ Records of inspections, reviews and discussions
- ◆ Safety systems documentation relevant to contract work
- ◆ Correspondence with contractors
- ◆ Deviations from contract performance and action taken

Internal and external audits

- ◆ Safety inspection reports
- ◆ Statutory authority visit reports
- ◆ Quality, environmental, compliance audits
- ◆ Safety inspection reports
- ◆ Statutory authority visit reports
- ◆ Quality, environmental, compliance audits

Application of company Health and Safety Policy

- ◆ Organisation and relevant arrangements documents relating to contractors
- ◆ COSHH assessments and records
- ◆ Contractor operative training in the use of PPE, site specific safety equipment and procedures.

Communications

- ◆ Evidence of communication (oral and written) to operatives and contractors.

RM34 Control Operations for the Processing or Storage of Recyclable Materials (F4VF 04)

Area of competence

This Unit is about making sure the work carried out complies with relevant legislation, any licences or permissions needed to sort, process or store recyclable materials. It involves monitoring the work itself, ensuring adequate resources are maintained, and making sure personnel know and understand what is required.

Skills and competences which demonstrate effective performance

You show you are competent to:

- ◆ Monitor work carried out at the recycling processing or storage site
- ◆ Use and communicate data and information
- ◆ Control work practices and make sure they are understood and followed

Performance Criteria

Monitor work carried out at the recycling processing or storage site

- a Monitor work activities and methods and make sure everything is carried out in accordance with approved procedures and practices
- b Ensure a programme of work is established, and is followed, to achieve the standards required for processing or storage operations
- c Take steps to ensure hazards are identified and risks to safety, health and the environment are minimised
- d Monitor routine and non-routine work activities and make sure the staff, materials, equipment, and information needed to carry them out to the required standard are available, sufficient and operational

Use and communicate data and information

- e Make sure records relating specifically to the processing or storage of recyclable materials are complete and accurate
- f Ensure operational instructions relating to the processing or storage of recyclable materials contain all the information needed for staff to carry out the process safely and effectively
- g Use monitoring data to ensure safety and environmental procedures are being followed

Control work practices and make sure they are understood and followed

- h** Communicate programmes of work and operational instructions to all staff in ways which are suitable to their work
- i** Make sure personnel understand the site operational procedures and instructions and the standards of work to be achieved
- j** Make sure personnel recognise hazards likely to be encountered on site and the necessary precautions they must take by following safe systems of work
- k** Take steps to ensure personnel are alerted and kept up to date about the different types of risks which might be present either on site or with different types of recyclable materials
- l** Make sure risks which might arise from materials which may be difficult to handle, or comprise unacceptable components, or difficult to handle are adequately appraised and procedures are in place for dealing with these situations
- m** Make sure there are procedures in place to deal with risks which may arise from equipment failure or materials presenting an unexpected health risk

Knowledge and Understanding

You must know and understand the following:

- 1 Relevant legislation, regulations and Codes of Practice applicable to safety, health and environment
- 2 The sorts of processing/storage processes suitable for the recyclable materials received on site and the use and limitations of these
- 3 The handling implications of the recyclable materials processed/stored on site
- 4 The personal protective equipment required for the recyclable material types handled on site and the procedures for effective care, maintenance and use of this equipment
- 5 The company's procedures for processing/storage operations and the supply and use of the resources required
- 6 The risks to safety, health and the environment arising from the treatment of recyclable materials and the procedures required to minimise and manage risk
- 7 How to communicate operational instructions orally and in writing

- 8 The importance of checking people's understanding of operational instructions and how to do this
- 9 The technical skills needed for the processing/storage operations carried out on site, how to check that relevant staff have the required skills and what to do in response to a perceived skills deficit
- 10 The company objectives and priorities for the treatment of recyclable materials

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Some examples of evidence

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of recyclable/reject materials accepted.

Managing movement, sorting, storage of recyclable materials

- ◆ records of recyclable/reject material movements, sorting and storage
- ◆ rejection and incident logs
- ◆ company records and records required by legislation
- ◆ returns to the Regulatory Bodies

Internal and external audits

- ◆ safety inspection reports
- ◆ regulatory agency visit reports
- ◆ quality, environmental, compliance audits

Application of the company Health and Safety Policy

- ◆ records of training of operatives in handling, operating equipments, sorting and storing of recyclable/reject materials
- ◆ safety equipment resources
- ◆ control of vehicles, plant and crews
- ◆ records of training for operatives in controlling vehicles, plant and crews

Controlling vehicles, plant and crews

- ◆ records of the control of threats to the environment
- ◆ rejection and incident logs
- ◆ additional company records, and records required by legislation
- ◆ site rules for vehicle and plant movements on site

Optional Units — Section B (Group 2)

Candidates need to complete at least one of these four Units

RM11 Recruit, Select and Keep Colleagues (DR7K 04)

This Unit is equivalent to D3 from the National Occupational Standards developed by the Management Standards Centre — the standards setting body for management and leadership.

Unit Summary

What is the Unit about?

This Unit is mainly about recruiting and selecting people to undertake identified activities or work-roles within your area of responsibility. It involves taking a fair and objective approach to recruitment and selection to ensure that individuals with the required skills, knowledge and understanding and who are likely to perform effectively are appointed. As recruitment and selection can be expensive and time-consuming activities, the Unit also involves taking action to understand why colleagues are leaving and taking action to keep colleagues. Whilst you would be expected to draw on the expertise of personnel specialists, you are not expected to be a personnel specialist yourself. For the purposes of this Unit, 'colleagues' means those people for whom you have line management responsibility.

Who is the Unit for?

The Unit is recommended for first line managers and middle managers.

Skills

Listed below are the main generic skills which need to be applied in recruiting, selecting and keeping colleagues. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Reviewing
- ◆ Interviewing
- ◆ Negotiating
- ◆ Planning
- ◆ Team building
- ◆ Communicating
- ◆ Valuing and supporting others
- ◆ Decision making
- ◆ Consulting
- ◆ Problem solving
- ◆ Information management
- ◆ Obtaining feedback

Outcomes of Effective Performance

You must be able to do the following:

- a Talk with colleagues who are leaving your area of responsibility to identify and discuss their reasons for leaving.
- b Identify ways of addressing staff turnover problems, implementing those which clearly fall within your authority and communicating others to the relevant people for consideration.
- c Review, on a regular basis, the work required in your area of responsibility, identifying any shortfall in the number of colleagues and/or the pool of skills knowledge, understanding and experience.
- d Identify and review the options for addressing any identified shortfalls and decide on the best option(s) to follow.
- e Consult with others to produce or update job descriptions and person specifications where there is a clear need to recruit.
- f Consult with others to discuss and agree stages in the recruitment and selection process for identified vacancies, the methods that will be used, the associated timings and who is going to be involved.
- g Ensure that any information on vacancies is fair, clear and accurate before it goes to potential applicants.
- h Seek and make use of specialist expertise in relation to recruiting, selecting and keeping colleagues.
- i Participate in the recruitment and selection process, as agreed, making sure that the process is fair, consistent and effective.
- j Make sure that applicants who are offered positions are likely to be able to perform effectively and work with their new colleagues.
- k Judge whether the recruitment and selection process has been successful in relation to recent appointments in your area and identify any areas for improvements

Behaviours which Underpin Effective Performance

- I You recognise the opportunities presented by the diversity of people.
- II You work to turn unexpected events into opportunities rather than threats.
- III You try out new ways of working.
- IV You identify people's information needs.
- V You seek to understand people's needs and motivations.
- VI You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- VII You take and implement difficult and/or unpopular decisions, if necessary.
- VIII You act within the limits of your authority.
- IX You show integrity, fairness and consistency in decision making

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

- 1 Why it is important to identify and understand why colleagues are leaving and how to do so constructively and sensitively.
- 2 The types of reasons colleagues might give for leaving.
- 3 How to measure staff turnover.
- 4 The causes and effects of high and low staff turnover.
- 5 Measures which can be undertaken to address staff turnover problems.
- 6 How to review the workload in your area in order to identify shortfalls in the number of colleagues and/or the pool of skills, knowledge, understanding and experience.
- 7 Different options for addressing identified shortfalls and their associated advantages and disadvantages.
- 8 What job descriptions and person specifications should cover and why it is important to consult with others in producing or updating them.
- 9 Different stages in the recruitment and selection process and why it is important to consult with others on the stages, recruitment and selection methods to be used, associated timings and who is going to be involved.
- 10 Different recruitment and selection methods and their associated advantages and disadvantages.
- 11 Why it is important to give fair, clear and accurate information on vacancies to potential applicants.
- 12 How to judge whether applicants meet the stated requirements of the vacancy.
- 13 Sources of specialist expertise in relation to recruitment, selection and retention.
- 14 How to take account of equality and diversity issues, including legislation and any relevant codes of practice, when recruiting and selecting people and keeping colleagues.
- 15 How to review the effectiveness of recruitment and selection in your area.

Industry/sector specific knowledge and understanding

- 1 Turnover rates within similar organisations in the recycling industry.
- 2 Recruitment, selection and retention issues and specific initiatives and arrangements within the recycling industry.
- 3 Working culture and practices of the recycling industry.

Context specific knowledge and understanding

- 1 Current people resources available to your area, including skills, knowledge, understanding and experience of colleagues.
- 2 Work requirements in your area.
- 3 Agreed operational plans and changes in your area.
- 4 The staff turnover rate in your area.
- 5 Job descriptions and person specifications for confirmed vacancies.

- 6 Local employment market conditions.
- 7 The organisation's structure, values and culture.
- 8 Employment policies and practices within the organisation — including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions.
- 9 Sources of specialist expertise in relation to recruitment, selection and retention used by your organisation.

Evidence Requirements

The following guidance applies to the *Evidence Requirements* of each Unit and should be read in conjunction with the Unit specification.

In order to achieve any Unit you must demonstrate that you meet all its requirements. This means all of the stated Outcomes and behaviours and every item of knowledge and understanding. Your assessor must be able to observe you in the workplace and/or you must provide **tangible evidence** to your assessor — you should agree with your assessor the balance between observation and other ways of evidencing performance. Please note that **simulation** is **not** allowed for any Unit (ie all your evidence must relate to real work activities) unless, in exceptional cases, the External Verifier agrees.

To help you identify relevant, tangible, evidence, the *Evidence Requirements* of each Unit list a wide range of possible items of evidence, and show which *Outcomes, Behaviours and Knowledge and Understanding* these items might be used to evidence.

Please note, you are not expected to produce each item of evidence listed — the Evidence Requirements identify examples of the evidence that you might be able to produce. Similarly, the references to *Behaviours* and to *Knowledge and Understanding* suggest what the evidence **may** demonstrate. It is your responsibility to collect appropriate evidence, make sure that it demonstrates the *Outcomes* required, and show which *Behaviours and Knowledge and Understanding* are also apparent.

A Personal Statement may accompany the evidence for each Unit. The *Evidence Requirements* identify certain *Outcomes* where this is more likely to be of value. A Personal statement is not real work evidence, but it can be useful in explaining and reflecting on your behaviour in achieving certain Outcomes and why you behaved as you did, thus helping to link evidence of *Outcomes* to *Behaviours and Knowledge and Understanding*. Witness statements should be made both by those who report to you and those to whom you report (except if you do not report to anyone — for example, if you own the organisation).

Your assessor must be given sufficient time to become familiar with the evidence. The physical evidence will provide the basis for a dialogue between you and your assessor. This discussion will provide you with an opportunity to show how the physical evidence you have presented covers the Outcomes, behaviours and items of knowledge and understanding.

You must appreciate that your assessor may feel that further evidence is required and the discussion could be used to identify the type of further evidence required and where this can be obtained.

Evidence Requirements

Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
		General	Industry Specific	Context Specific
Data on staff turnover, records of exit interviews and strategies for retaining staff:				
♦ spreadsheets and other records of staff turnover you have compiled and analyses to identify patterns and trends	2, 4	1, 3, 4	1	4
♦ notes or records of formal staff exit interviews and informal feedback from staff leaving the organisation, and summaries or analyses of the information collected	2, 5	1, 2, 3, 4	1, 2	4
♦ reports, proposals, action plans and other records of strategies you have developed for reducing staff turnover	2, 3, 8	1, 2, 3, 4, 5	1, 2	1, 2, 4, 9

RM14 Provide Learning Opportunities for Colleagues (DR7C 04)

This Unit is equivalent to D7 from the National Occupational Standards developed by the Management Standards Centre — the standards setting body for management and leadership.

Unit Summary

What is the Unit about?

This Unit is about supporting colleagues in identifying their learning needs and helping to provide opportunities to address these needs. Encouraging colleagues to take responsibility for their own learning is an aspect of this Unit as is your role in providing an 'environment', for example, in your team or area of responsibility, in which learning is valued. For the purposes of this Unit, 'colleagues' means those people for whom you have line management responsibility.

Who is the Unit for?

The Unit is recommended for team leaders, first line managers, middle managers and senior managers.

Skills

Listed below are the main generic skills which need to be applied in providing learning opportunities for colleagues. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Coaching
- ◆ Demonstrating
- ◆ Providing feedback
- ◆ Mentoring
- ◆ Motivating
- ◆ Setting objectives
- ◆ Prioritising
- ◆ Planning
- ◆ Empowering
- ◆ Reviewing
- ◆ Leadership
- ◆ Valuing and supporting others
- ◆ Information management
- ◆ Communicating

Outcomes of Effective Performance

You must be able to do the following:

- a Promote the benefits of learning to colleagues and make sure that their willingness and efforts to learn are recognised.
- b Give colleagues fair, regular and useful feedback on their work performance, discussing and agreeing how they can improve.
- c Work with colleagues to identify and prioritise learning needs based on any gaps between the requirements of their workroles and their current knowledge, understanding and skills.
- d Help colleagues to identify the learning style(s) or combination of styles which works best for them and ensure that these are taken into account in identifying and undertaking learning activities.
- e Work with colleagues to identify and obtain information on a range of possible learning activities to address identified learning needs.
- f Discuss and agree, with each colleague, a development plan which includes learning activities to be undertaken, the learning objectives to be achieved, the required resources and timescales.
- g Work with colleagues to recognise and make use of unplanned learning opportunities.
- h Seek and make use of specialist expertise in relation to identifying and providing learning for colleagues.
- i Support colleagues in undertaking learning activities making sure any required resources are made available and making efforts to remove any obstacles to learning.
- j Evaluate, in discussion with each colleague, whether the learning activities they have undertaken have achieved the desired Outcomes and provide positive feedback on the learning experience.
- k Work with colleagues to update their development plan in the light of performance, any learning activities undertaken and any wider changes.
- l Encourage colleagues to take responsibility for their own learning, including practising and reflecting on what they have learned.

Behaviours which Underpin Effective Performance

- I You recognise the opportunities presented by the diversity of people.
- II You find practical ways to overcome barriers.
- III You make time available to support others.
- IV You seek to understand individuals' needs, feelings and motivations and take an active interest in their concerns.
- V You encourage and support others to make the best use of their abilities.
- VI You recognise the achievements and the success of others.
- VII You inspire others with the excitement of learning.
- VIII You confront performance issues and sort them out directly with the people involved.
- IX You say no to unreasonable requests.
- X You show integrity, fairness and consistency in decision making.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The benefits of learning for individuals and organisations and how to promote these to colleagues.
- 2 Ways in which you can develop an 'environment' in which learning is valued and willingness and efforts to learn are recognised.
- 3 Why it is important to encourage colleagues to take responsibility for their own learning.
- 4 How to provide fair, regular and useful feedback to colleagues on their work performance.
- 5 How to identify learning needs based on identified gaps between the requirements of colleagues' work-roles and their current knowledge, understanding and skills.
- 6 How to prioritise learning needs of colleagues, including taking account of organisational needs and priorities and the personal and career development needs of colleagues.
- 7 The range of different learning styles and how to support colleagues in identifying the particular learning style(s) or combination of learning styles which works best for them.
- 8 Different types of learning activities, their advantages and disadvantages and the required resources (for example, time, fees, substitute staff).
- 9 How/where to identify and obtain information on different learning activities.
- 10 Why it is important for colleagues to have a written development plan and what it should contain (for example, identified learning needs, learning activities to be undertaken and the learning objectives to be achieved, timescales and required resources).
- 11 How to set learning objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).
- 12 Sources of specialist expertise in relation to identifying and providing learning for colleagues.
- 13 What type of support colleagues might need to undertake learning activities, the resources needed and the types of obstacles they may face and how they can be resolved.
- 14 How to evaluate whether a learning activity has achieved the desired learning objectives.
- 15 The importance of regularly reviewing and updating written development plans in the light of performance, any learning activities undertaken and any wider changes.
- 16 How to take account of equality legislation, any relevant codes of practice and general diversity issues in providing learning opportunities for colleagues.

Industry/sector specific knowledge and understanding

- 1 Recycling industry requirements for the development or maintenance of knowledge, skills and understanding and professional development.
- 2 Learning issues and specific initiatives and arrangements that apply within the recycling industry.
- 3 Working culture and practices of the recycling industry.

Context specific knowledge and understanding

- 1 Relevant information on the purpose, objectives and plans of your team or area of responsibility or the wider organisation.
- 2 The work roles of colleagues, including the limits of their responsibilities and their personal work objectives.
- 3 The current knowledge, understanding and skills of colleagues.
- 4 Identified gaps in the knowledge, understanding and skills of colleagues.
- 5 Identified learning needs of colleagues.
- 6 Learning style(s) or combinations of styles preferred by colleagues.
- 7 The written development plans of colleagues.
- 8 Sources of specialist expertise available in/to your organisation in relation to identifying and providing learning for colleagues.
- 9 Learning activities and resources available in/to your organisation.
- 10 Your organisation's policies in relation to equality and diversity.
- 11 Your organisation's policies and procedures in relation to learning.
- 12 Your organisation's performance appraisal systems.

Evidence Requirements

The following guidance applies to the *Evidence Requirements* of each Unit and should be read in conjunction with the Unit specification.

In order to achieve any Unit you must demonstrate that you meet all its requirements. This means all of the stated Outcomes and behaviours and every item of knowledge and understanding. Your assessor must be able to observe you in the workplace and/or you must provide **tangible evidence** to your assessor — you should agree with your assessor the balance between observation and other ways of evidencing performance. Please note that **simulation** is **not** allowed for any Unit (ie all your evidence must relate to real work activities) unless, in exceptional cases, the External Verifier agrees.

To help you identify relevant, tangible, evidence, the *Evidence Requirements* of each Unit list a wide range of possible items of evidence, and show which *Outcomes*, *Behaviours* and *Knowledge and Understanding* these items might be used to evidence.

Please note, you are not expected to produce each item of evidence listed — the Evidence Requirements identify examples of the evidence that you might be able to produce. Similarly, the references to *Behaviours* and to *Knowledge and Understanding* suggest what the evidence **may** demonstrate. It is your responsibility to collect appropriate evidence, make sure that it demonstrates the *Outcomes* required, and show which *Behaviours* and *Knowledge and Understanding* are also apparent.

A Personal Statement may accompany the evidence for each Unit. The *Evidence Requirements* identify certain *Outcomes* where this is more likely to be of value. A Personal statement is not real work evidence, but it can be useful in explaining and reflecting on your behaviour in achieving certain Outcomes and why you behaved as you did, thus helping to link evidence of *Outcomes* to *Behaviours* and *Knowledge and Understanding*. Witness statements should be made both by those who report to you and those to whom you report (except if you do not report to anyone — for example, if you own the organisation).

Your assessor must be given sufficient time to become familiar with the evidence. The physical evidence will provide the basis for a dialogue between you and your assessor. This discussion will provide you with an opportunity to show how the physical evidence you have presented covers the Outcomes, behaviours and items of knowledge and understanding.

You must appreciate that your assessor may feel that further evidence is required and the discussion could be used to identify the type of further evidence required and where this can be obtained.

Evidence examples

Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
		General	Industry Specific	Context Specific
Identification of development needs, plans to meet development needs and monitoring and review of development activity:				
<ul style="list-style-type: none"> ◆ notes, memos, emails or other records of feedback and performance appraisals/reviews, and of discussions or identification of learning and development preferences and needs (including learning styles, personal constraints, learning disabilities and difficulties that affect learning) 	3, 4, 5, 6, 7, 8, 9, 10	1, 4, 5, 6, 7, 8, 12, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 8, 10, 11, 12
<ul style="list-style-type: none"> ◆ details of support arrangements inside and outside the organisation (eg a training department's or external supplier's assessment services) that you have identified and arranged for a colleague to access 	2, 3, 4, 5	1, 4, 12, 13, 16	1, 2, 3	5, 6, 8, 9, 10, 11, 12

♦ training and development opportunities (eg coaching, internal and external courses, learning centre/e-learning programmes) that you have identified and enabled colleagues to access to meet agreed learning and development requirements	1, 2, 3, 4, 5, 7, 9, 10	1, 2, 3, 5, 6, 8, 9, 10, 12, 13, 16	1, 2, 3	3, 4, 5, 6, 7, 8, 9, 10, 11, 12
♦ copies of development or learning plans you have discussed, agreed, reviewed and revised with colleagues	3, 4, 5, 7, 10	1, 2, 3, 10, 11	1, 2, 3	4, 5, 6, 7, 9, 10, 11, 12
♦ notes, memos, emails or other records of meeting or discussions you have had with colleagues to review their learning and its effect on their performance	3, 4, 5, 6, 8, 10	1, 2, 3, 14, 15	1, 2, 3	1, 2, 3, 4, 5, 10, 11, 12
♦ personal statement (your reflections on your role in identifying learning requirements, organisation of development activity and review of its effectiveness in improving or enhancing performance)	1, 2, 4, 5, 6, 8, 9	2, 3, 4, 5, 6, 7, 8, 10, 13, 14, 15, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 9, 10, 11, 12

♦ witness statement (comments on your role in identifying learning requirements, organising development activity and reviewing of its effectiveness in improving or enhancing performance)	2, 3, 4, 5, 6, 7, 10			
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RM16 Organise the Promotion of Services or Products to Customers (FO4R 04)

This Unit is equivalent to Unit CS19 from the National Occupational Standards developed by the Institute of Customer Service — the independent professional body for customer service. This Unit sits within the Customer Service theme of Impression and Image. This theme covers the Customer Service behaviours and processes that have the most impact on the way your customer sees you and your organisation.

What this Unit is about

This Unit is about expanding and extending the relationship with your customers by persuading them to make use of additional services and products that you can offer. Your services or products will remain viable only if they are used sufficiently by customers. This Unit is about how you organise customer service to promote additional use of your services or products by communicating with customers and then delivering those services or products effectively. It is also about monitoring your successes and failures and recognising the best way to approach your customer with additional services or products for the future. You need to show that you are promoting the services or products by encouraging more people to use them.

Key words and phrases for this Unit

- ◆ additional products
- ◆ additional services
- ◆ promoting
- ◆ planning
- ◆ organising
- ◆ monitoring

Performance Criteria

When you organise and promote services or products to customers you must consistently:

Offer additional services or products

- a** Offer **additional services** or **products** to your customers.
- b** Identify the benefits of offering **additional services** or **products** for your customers and the organisation.
- c** Explain the features and benefits of **additional services** or **products** to your customers.
- d** Identify ways of encouraging customers to ask about additional services or products.

Organise support to promote use of additional services or products

- e** Discuss with others ways of **promoting additional services or products** to your customers.
- f** Implement procedures to ensure that customers interested in **additional services or products** are dealt with promptly.
- g** **Promote services or products** which will suit your customers but which are supplied from outside your own area of the organisation.
- h** Help customers to access **services or products** which are supplied outside of your own area of the organisation.

Monitor the promotion of additional services or products

- i** Devise methods to inform customers about **additional services or products**.
- j** Use different methods to inform customers about **additional services** and **products** and record successes and failures against each method
- k** Use your record of successes and failures to identify the best approach for offering **additional services or products**.
- l** Share information with others regarding the best approach to take when offering **additional services or products** to your customers.

Knowledge and Understanding

To be competent at organising and promoting services or products to customers you need to know and understand:

- 1 Your organisation's procedures and systems for encouraging the use of additional services or products.
- 2 How the use of additional services or products will benefit your customers.
- 3 The main factors that influence customers to use your services or products.
- 4 How to introduce additional services or products to your customers outlining their benefits, overcoming reservations and agreeing to provide the additional services or products how to give appropriate, balanced information to your customers about services or products.

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Taken from the Customer Service S/NVQ Evidence Requirements – levels 2,3 and 4 – January 2006. Developed by: CABWI; City and Guilds; Edexcel; EDI; IMI; OCR; SQA; VTCT with the ICS.

- 1 Your evidence should be collected when carrying out a real job, whether paid or voluntary, and when dealing with real customers, whether internal or external to the organisation. Evidence collected in a realistic working environment or a work placement is not permissible for this Unit. Simulation is not allowed for any performance evidence within this Unit.
- 2 You may collect the evidence for the Unit through work in a private sector organisation, a not-for-profit organisation or a public services organisation.
- 3 You must provide evidence that shows you have done this over a sufficient period of time with different customers on different occasions for your assessor to be confident that you are competent.
- 4 Your evidence for this Unit must prove that you:
 - a use agreed organisational procedures and systems
 - b create your own opportunities.
- 5 Your evidence must show that you have:
 - a Taken responsibility for your own actions in promoting services or products
 - b Used spontaneous customer feedback to identify opportunities for promoting services or products
 - c Used customer feedback that you have requested to identify opportunities for promoting services or products
- 6 Your evidence must include examples of:
 - a Returning customers extending their use of your services or products
 - b New customers making use of your services or products.

Examples of Evidence:

This is not an exhaustive list of evidence — it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of recyclable/reject materials managed.

You can use the following examples of methods of promotion:

- ◆ media
- ◆ advertising
- ◆ face to face contact
- ◆ telephone
- ◆ mail shots
- ◆ literature/handouts

You provide for the following types of resources:

- ◆ human
- ◆ physical
- ◆ financial

You evaluate the organisation's needs in terms of the following types of factor:

- ◆ feasibility
- ◆ viability

You make your proposals in both the following types of format:

- ◆ written
- ◆ electronic

You can deal with customer objections or concerns under the following areas of concern:

- ◆ cost
- ◆ service quality
- ◆ service quantity and timing

Your documentation meets all the following types of requirement:

- ◆ legal
- ◆ contractual
- ◆ organisational

Identification of promotion of services or products to customers/clients:

- ◆ review of operations with potential areas identified, and reasons for improvement
- ◆ feedback from people affected

Proposals for improvement:

- ◆ technological aspects
- ◆ details of proposed improvements
- ◆ cost/benefit analysis
- ◆ proposal and notes on its reception, any necessary amendments
- ◆ action plan with details and timing

Internal and external audits:

- ◆ internal inspections, quality assessment, safety inspections
- ◆ regulatory agency visit reports or notes on consultation
- ◆ quality, environmental, compliance audits

Implementation:

- ◆ information passed to those involved
- ◆ monitoring results, deviations identified and reasons
- ◆ rectification, action and results

Evaluation:

- ◆ evaluation of project results
- ◆ comparison of results with expectations and previous performance
- ◆ identified shortfalls and reasons
- ◆ modifications to project and results
- ◆ final project evaluation report

Work activities:

- ◆ preparing the promotional plan
- ◆ monitoring achievement of the plan
- ◆ encouraging others to take a positive attitude to promotion
- ◆ meeting with customer to sell services and agree details
- ◆ dealing with objections and concerns

Products or outcomes:

- ◆ review of potential markets with specific sectors or organisations targeted
- ◆ promotional plan
- ◆ reviewed support materials
- ◆ communications to the relevant people about the plan
- ◆ monitoring results, interpretation, and action taken
- ◆ identified customer needs
- ◆ evaluation of customers needs
- ◆ proposals to meet these needs
- ◆ notes on objections/concerns and the way they were dealt with
- ◆ final agreement or contract
- ◆ monitoring process

You may also provide short reports of your own, or statements from others who have observed your performance.

Written or spoken reports describing:

- ◆ how and why you targeted specific sectors or organisations
- ◆ how you determined and obtained the resources needed
- ◆ how you reviewed support materials
- ◆ how you allocated and communicated specific promotional activities to relevant staff
- ◆ how you interpreted monitoring results and the rationale of action taken
- ◆ how you presented the service proposals and the customer reaction
- ◆ how you evaluated the feasibility and viability of meeting the customer's needs
- ◆ how you dealt with objections/concerns
- ◆ how you agreed the final terms

Witness testimony:

- ◆ statements from people with whom you worked in setting up the deal

RM17 Build and Maintain Effective Customer Relations (F27V 04)

This Unit is equivalent to Unit CS30 from the National Occupational Standards developed by the Institute of Customer Service — the independent professional body for customer service. This Unit sits within the Customer Service theme of Delivery. This theme covers Customer Service behaviours and processes that have most effect on the customer experience during Customer Service delivery.

What this Unit is about

Building and developing effective customer relations is a vital aspect of customer service. Strong customer relations will help your organisation to identify and understand your customers' expectations, encourage a way of working that is based on partnership and mutual trust, and establish and maintain customer loyalty.

This Unit is about establishing and maintaining such relations. For some organisations this means encouraging loyalty and repeat business from large numbers of customers. For others it is all about nurturing and relating to a smaller number of valued customers who make an important strategic contribution to your organisation's success.

Key words and phrases for this Unit

- ◆ build customer relations
- ◆ build longer term relationships
- ◆ promote loyalty
- ◆ two-way communication
- ◆ accept criticism
- ◆ collect feedback
- ◆ analyse relationships

Performance Criteria

When you build and develop effective customer relations you must consistently:

Establish effective customer relations

- ◆ Identify the types of people with whom you should build **longer term customer relations** and **promote loyalty**.
- ◆ **Communicate** with these customers so that they know they are important to your organisation.
- ◆ Explain your role, the purpose of making contact and the mutual benefits of **building a longer term relationship**.

- ◆ Make it clear that you welcome **two-way communication** about customer expectations.

Maintain and develop effective customer relations

- ◆ Keep customers informed and accept criticism from customers openly and constructively.
- ◆ Regularly assess whether customer expectations are being consistently met.
- ◆ Use your influence and authority in your own organisation to ensure that customer needs and expectations are being met and, where possible, exceeded.
- ◆ Collect feedback from customers and staff to ensure that solutions are being provided that result in customer satisfaction.
- ◆ Analyse customer relations and propose changes that will develop **longer term loyalty** to people with authority in your organisation.

Knowledge and Understanding

To be competent at building and developing effective customer relations you need to know and understand:

- 1 how to identify and prioritise types of customers with whom you should be building a longer term relationship
- 2 the most appropriate method of establishing relationships with customers targeted for longer term relationships
- 3 the importance of effective communication skills when dealing with customers
- 4 how to explore and agree with customers the mutual benefits of maintaining and developing a longer term relationship
- 5 how to communicate with customers, especially when they are dissatisfied with products and services
- 6 how to negotiate with customers in a way that balances their expectations with the expectations of your organisation
- 7 the types of compromises that would be acceptable to your organisation when meeting customer expectations
- 8 how to use your influence and authority in your organisation to meet or exceed customer expectations methods of monitoring customer satisfaction appropriate to your level of authority in the organisation

Evidence Requirements

Candidates must provide both performance evidence and site specific knowledge evidence to demonstrate managerial competence. The performance evidence must demonstrate that the candidate can manage all the Performance Criteria consistently. In addition, when the performance evidence does not clearly show the necessary underpinning knowledge, it must be confirmed by questions.

Evidence Requirements taken from Unit 30 – Build and maintain effective customer relations from the Customer Service S/NVQ Evidence Requirements — levels 2,3 and 4 — January 2006, developed by: CABWI; City and Guilds; Edexcel; EDI; IMI; OCR; SQA; VTCT with the ICS.

- 1 Your evidence should be collected when carrying out a real job, whether paid or voluntary, and when dealing with real customers, whether internal or external to the organisation. Evidence collected in a realistic working environment or a work placement is not permissible for this Unit. Simulation is not allowed for any performance evidence within this Unit.
- 2 You may collect the evidence for the Unit through work in a private sector organisation, a not-for-profit organisation or a public services organisation.
- 3 You must provide evidence that shows you have done this over a sufficient period of time with different customers on different occasions for your assessor to be confident that you are competent.
- 4 You must provide evidence that you can build and maintain relationships with:
 - a potential or new customers
 - b regular or returning customers
 - c customers with particular needs and expectations
 - a customers who have experienced problems with your organisation's services or products
- 5 Your communication with customers may be face to face, in writing, by telephone, text message, e-mail, internet, intranet or by any other method you would be expected to use within your job role.
- 6 You must provide evidence that you have collected feedback that is:
 - a qualitative
 - b quantitative
 - c formal
 - d informal

Some examples of evidence

This is not an exhaustive list of evidence – it is provided to give candidates and assessors guidance on the type of evidence that might be appropriate. The actual evidence will vary greatly according to the type of site and the range of recyclable/reject materials managed.

You can use the following examples of methods of promotion:

- ◆ media
- ◆ advertising
- ◆ face to face contact
- ◆ telephone
- ◆ mail shots
- ◆ literature/handouts

You provide for the following types of resources:

- ◆ human
- ◆ physical
- ◆ financial

You evaluated the organisation's needs in terms of both the following types of factor:

- ◆ feasibility
- ◆ viability

You make your proposals in the following types of format:

- ◆ written
- ◆ electronic

You can deal with customer objections or concerns under the following areas of concern:

- ◆ cost
- ◆ service quality
- ◆ service quantity and timing

Your documentation meets all the following types of requirement:

- ◆ legal
- ◆ contractual
- ◆ organisational

Identification of promotion of services or products to customers/clients:

- ◆ review of operations with potential areas identified, and reasons for improvement
- ◆ feedback from people affected

Proposals for improvement:

- ◆ technological aspects
- ◆ details of proposed improvements
- ◆ cost/benefit analysis
- ◆ proposal and notes on its reception, any necessary amendments
- ◆ action plan with details and timing

Internal and external audits:

- ◆ internal inspections, quality assessment, safety inspections
- ◆ regulatory agency visit reports or notes on consultation
- ◆ quality, environmental, compliance audits

Implementation:

- ◆ information passed to those involved
- ◆ monitoring results, deviations identified and reasons
- ◆ rectification, action and results

Evaluation:

- ◆ evaluation of project results
- ◆ comparison of results with expectations and previous performance
- ◆ identified shortfalls and reasons
- ◆ modifications to project and results
- ◆ final project evaluation report

Work activities:

- ◆ preparing the promotional plan
- ◆ monitoring achievement of the plan
- ◆ encouraging others to take a positive attitude to promotion
- ◆ meeting with organisation to sell services and agree details
- ◆ dealing with objections and concerns

Products or outcomes:

- ◆ review of potential markets with specific sectors or organisations targeted
- ◆ promotional plan
- ◆ reviewed support materials
- ◆ communications to the relevant people about the plan
- ◆ monitoring results, interpretation, and action taken
- ◆ identified organisation's needs
- ◆ evaluation of organisation's needs
- ◆ proposals to meet these needs
- ◆ notes on objections/concerns and the way they were dealt with
- ◆ final agreement or contract
- ◆ monitoring process

You may also provide short reports of your own, or statements from others who have observed your performance.

Written or spoken reports describing:

- ◆ how and why you targeted specific sectors or organisations
- ◆ how you determined and obtained the resources needed
- ◆ how you reviewed support materials
- ◆ how you allocated and communicated specific promotional activities to relevant staff
- ◆ how you interpreted monitoring results and the rationale of action taken

Evidence Requirements: Build and maintain effective customer relations

- ◆ how you presented the service proposals and the organisation's reaction
- ◆ how you evaluated the feasibility and viability of meeting the organisation's needs
- ◆ how you dealt with objections/concerns
- ◆ how you agreed the final terms

Witness testimony:

- ◆ statements from people with whom you worked in setting up the deal

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:

Witness testimony

SVQ title and level:	
Candidate's name:	
Evidence index no:	
Index no of other evidence which this testimony relates to (if any):	
Element(s):	
Date of evidence:	
Name of witness:	
Designation/relationship to candidate:	
Details of testimony:	
I can confirm the candidate's evidence is authentic and accurate.	
Signed by witness:	Date:

Witness (please tick the appropriate box):

Holds A1/A2 Units or D32/D33 Award

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

Record of questions and candidate's answers

Unit:	Element(s):
Evidence index number:	
Circumstances of assessment:	
List of questions and candidate's responses:	
Assessor's signature:	Date:
Candidate's signature:	Date: