

# **Assessment guidance for the SVQs in Management of Recycling Operations at level 4**

**Management of Recycling Operations (Client or Contractor) level 4 G94V 24**

**Management of Recycling Operations (Collection) level 4 G94W 24**

**Management of Recycling Operations (Processing or Storage) level 4 G94Y 24**

**Management of Recycling Operations: Small Scale Operations (Client or Contractor) level 4 G950 24**

**Management of Recycling Operations: Small Scale Operations (Collection) level 4 G952 24**

**Management of Recycling Operations: Small Scale Operations (Processing or Storage) level 4 G951 24**

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# General Information

## Who is involved in SVQs?

There are several roles:

<b>Candidate</b>	<b>The person who wants to achieve the SVQ (eg an employee)</b>
<b>Assessor*</b>	<b>The person who assesses the candidates and decides if they are competent (eg supervisor)</b>
<b>Internal verifier*</b>	<b>An individual nominated by the centre (eg a company) who ensures that assessors apply the standards uniformly and consistently (eg supervisor's line manager)</b>
<b>External Verifier*</b>	<b>An individual appointed by SQA who ensures that standards are being applied uniformly and consistently across all centres offering the SVQ</b>

\*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](http://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 Equity 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

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

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

## Preparing to assess the SVQ

This section offers practical advice on how to begin to go about assessing you 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 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 it is to be assessed
- ◆ help to identify sources of evidence and how these could be assessed
- ◆ carry out activities, and/or produce products of own work, and/or answer questions
- ◆ gather and present evidence
- ◆ receive and act on feedback from the assessor

## Planning

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

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

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

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

# SVQ in Management of Recycling Operations at level 4

This section lists the Units which form the SVQ in Management of Recycling Operations (Collection) at level 4 (G94W 24)

There are **eleven** mandatory Units, **one** from Optional Group 1 and **one** from Optional Group 2

## Mandatory Units

SQA Ref	NTO Ref	Title
D1VB 04	RM1	Conduct an Assessment of Risks in the Workplace
DR6M 04	RM2a	Plan the Workforce
DR3Y 04	RM4a	Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility
DR4F 04	RM10	Develop Productive Working Relationships with Colleagues and Stakeholders
DR7C 04	RM14	Provide Learning Opportunities for Colleagues
DR52 04	RM18	Ensure Health and Safety Requirements are Met in Your Area of Responsibility
DR5M 04	RM20a	Manage Business Processes
DR5F 04	RM25	Manage a Budget
F4W3 04	RM19	Manage the Collection of Recyclable Materials
F4W1 04	RM21	Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
F4VM 04	RM24	Ensure Protection of the Environment During the Collection of Recyclable Materials

## Optional Units Group 1

SQA Ref	NTO Ref	Title
F4VL 04	RM22	Control Working Operations for the Collection and Transport of Recyclable Materials
F4VE 04	RM26	Control Maintenance and Other Engineering Operations

## Optional Units Group 2

SQA Ref	NTO Ref	Title
F04R 04	RM16	Organise the Promotion of Services or Products to Customers
F27V 04	RM17	Build and Maintain Effective Customer Relations
F4VT 04	RM23	Implement Improvements to Recycling Operations

This section lists the Units which form the SVQ in Management of Recycling Operations (Processing or Storage) at level 4 (G94Y 24)

There are **eleven** mandatory Units, **one** from Optional Group 1 and **one** from Optional Group 2

### Mandatory Units

SQA Ref	NTO Ref	Title
D1VB 04	RM1	Conduct an Assessment of Risks in the Workplace
DR6M 04	RM2a	Plan the Workforce
DR3Y 04	RM4a	Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility
DR4F 04	RM10	Develop Productive Working Relationships with Colleagues and Stakeholders
DR7C 04	RM14	Provide Learning Opportunities for Colleagues
DR52 04	RM18	Ensure Health and Safety Requirements are Met in Your Area of Responsibility
DR5M 04	RM20a	Manage Business Processes
DR5F 04	RM25	Manage a Budget
F4W1 04	RM21	Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
F4VN 04	RM31	Ensure Protection of the Environment in Facilities Used for the Processing or Storage of Recyclable Materials
F4W4 04	RM32	Manage the Reception of Recyclable Materials

### Optional Units Group 1

SQA Ref	NTO Ref	Title
F4W5 04	RM33	Manage the Sorting and Storage of Recyclable Materials and Vehicle Movements on Sites
F4VF 04	RM34	Control Operations for the Processing or Storage of Recyclable Materials
F4W6 04	RM35	Manage the Movements of Outputs and Residues from the Processing or Storage of Recyclable Materials

### Optional Units Group 2

SQA Ref	NTO Ref	Title
F04R 04	RM16	Organise the Promotion of Services or Products to Customers
F27V 04	RM17	Build and Maintain Effective Customer Relations
F4VT 04	RM23	Implement Improvements to Recycling Operations

This section lists the Units which form the SVQ in Management of Recycling Operations (Client or Contractor) at level 4 (G94V 24)

There are **eight** mandatory Units, **three** from Optional Group 1 and **two** from Optional Group 2

### Mandatory Units

SQA Ref	NTO Ref	Title
D1VB 04	RM1	Conduct an Assessment of Risks in the Workplace
DR6M 04	RM2a	Plan the Workforce
DR3Y 04	RM4a	Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility
DR4F 04	RM10	Develop Productive Working Relationships with Colleagues and Stakeholders
DR7C 04	RM14	Provide Learning Opportunities for Colleagues
DR52 04	RM18	Ensure Health and Safety Requirements are Met in Your Area of Responsibility
DR5M 04	RM20a	Manage Business Processes
DR5F 04	RM25	Manage a Budget

### Optional Units Group 1

SQA Ref	NTO Ref	Title
F4W1 04	RM21	Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
F4WE 04	RM27	Prepare Proposals and Obtain Contracts for Recycling Services
F4W2 04	RM28	Manage Contracts for Recycling Services
F4WH 04	RM29	Select Contractors for Supply of Services or Goods
F4VS 04	RM30	Implement and Manage Contracted Services or Supplies
DR5J 04	RM36	Manage a Project

### Optional Units Group 2

SQA Ref	NTO Ref	Title
F04R 04	RM16	Organise the Promotion of Services or Products to Customers
F27V 04	RM17	Build and Maintain Effective Customer Relations
F4VT 04	RM23	Implement Improvements to Recycling Operations

This section lists the Units which form the SVQ in Management of Recycling Operations: Small Scale Operations (Collection) at level 4 (G952 24)

There are **eleven** mandatory Units, **one** from Optional Group 1 and **one** from Optional Group 2

### Mandatory Units

SQA Ref	NTO Ref	Title
D1VB 04	RM1	Conduct an Assessment of Risks in the Workplace
D8XA 04	RM2b	Review Your Staffing
D8WV 04	RM4b	Make Sure Your Staff Can Do Their Work
DR4F 04	RM10	Develop Productive Working Relationships with Colleagues and Stakeholders
DR7C 04	RM14	Provide Learning Opportunities for Colleagues
DR52 04	RM18	Ensure Health and Safety Requirements are Met in Your Area of Responsibility
D8X6 04	RM20b	Recruit Staff
DR5F 04	RM25	Manage a Budget
F4W3 04	RM19	Manage the Collection of Recyclable Materials
F4W1 04	RM21	Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
F4VM04	RM24	Ensure Protection of the Environment During the Collection of Recyclable Materials

### Optional Units Group 1

SQA Ref	NTO Ref	Title
F4VL04	RM22	Control Working Operations for the Collection and Transport of Recyclable Materials
F4VE 04	RM26	Control Maintenance and Other Engineering Operations

### Optional Units Group 2

SQA Ref	NTO Ref	Title
F04R 04	RM16	Organise the Promotion of Services or Products to Customers
F27V 04	RM17	Build and Maintain Effective Customer Relations
F4VT 04	RM23	Implement Improvements to Recycling Operations

This section lists the Units which form the SVQ in Management of Recycling Operations: Small Scale Operations (Processing or Storage) at level 4 (G951 24)

There are **eleven** mandatory Units, **one** from Optional Group 1 and **one** from Optional Group 2

### Mandatory Units

SQA Ref	NTO Ref	Title
D1VB 04	RM1	Conduct an Assessment of Risks in the Workplace
D8XA 04	RM2b	Review Your Staffing
D8WV 04	RM4b	Make Sure Your Staff Can Do Their Work
DR4F 04	RM10	Develop Productive Working Relationships with Colleagues and Stakeholders
DR7C 04	RM14	Provide Learning Opportunities for Colleagues
DR52 04	RM18	Ensure Health and Safety Requirements are Met in Your Area of Responsibility
D8X6 04	RM20b	Recruit Staff
DR5F 04	RM25	Manage a Budget
F4W1 04	RM21	Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
F4VN 04	RM31	Ensure Protection of the Environment in Facilities Used for the Processing or Storage of Recyclable Materials
F4W4 04	RM32	Manage the Reception of Recyclable Materials

### Optional Units Group 1

SQA Ref	NTO Ref	Title
F4W5 04	RM33	Manage the Sorting and Storage of Recyclable Materials and Vehicle Movement on Site
F4VF04	RM34	Control Operations for the Processing or Storage of Recyclable Materials
F4W6 04	RM35	Manage the Movements of Outputs and Residues from the Processing or Storage of Recyclable Materials

### Optional Units Group 2

SQA Ref	NTO Ref	Title
F04R 04	RM16	Organise the Promotion of Services or Products to Customers
F27V 04	RM17	Build and Maintain Effective Customer Relations
F4VT 04	RM23	Implement Improvements to Recycling Operations

This section lists the Units which form the SVQ in Management of Recycling Operations: Small Scale Operations (Client or Contractor) at level 4 (G950 24)

There are **eight** mandatory Units, **three** from Optional Group 1 and **two** from Optional Group 2

### Mandatory Units

SQA Ref	NTO Ref	Title
D1VB 04	RM1	Conduct an Assessment of Risks in the Workplace
D8XA 04	RM2b	Review Your Staffing
D8WV 04	RM4b	Make Sure Your Staff Can Do Their Work
DR4F 04	RM10	Develop Productive Working Relationships with Colleagues and Stakeholders
DR7C 04	RM14	Provide Learning Opportunities for Colleagues
DR52 04	RM18	Ensure Health and Safety Requirements are Met in Your Area of Responsibility
D8X6 04	RM20b	Recruit Staff
DR5F 04	RM25	Manage a Budget

### Optional Units Group 1

SQA Ref	NTO Ref	Title
F4W1 04	RM21	Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
F4WE 04	RM27	Prepare Proposals and Obtain Contracts for Recycling Services
F4W2 04	RM28	Manage Contracts for Recycling Services
F4WH 04	RM29	Select Contractors for Supply of Services or Goods
F4VS 04	RM30	Implement and Manage Contracted Service or Supplies
DR5J 04	RM36	Manage a Project

### Optional Units Group 2

SQA Ref	NTO Ref	Title
F04R 04	RM16	Organise the Promotion of Services or Products to Customers
F27V 04	RM17	Build and Maintain Effective Customer Relations
F4VT 04	RM23	Implement Improvements to Recycling Operations

## List of all Units

### Mandatory Units

- RM1† Conduct an Assessment of Risks in the Workplace (G)\*
- RM2a Plan the Workforce (D4)\*\*
- RM4a Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility (D6)\*\*
- RM10 Develop Productive Working Relationships with Colleagues and Stakeholders (D2)\*\*
- RM14† Provide Learning Opportunities for Colleagues (D7)\*\*
- RM18† Ensure Health and Safety Requirements are Met in Your Area of Responsibility (E6)\*\*
- RM20a Manage Business Processes (F3)\*\*
- RM25 Manage a Budget (E1)\*\*

### Mandatory Units for Small Scale Operations

- RM1† Conduct an Assessment of Risks in the Workplace (G)\*
- RM2b Review Your Staffing (J1)\*\*\*
- RM4b Make Sure Your Staff can Do their Work (K1)\*\*\*
- RM10 Develop Productive Working Relationships with Colleagues and Stakeholders (D2)\*\*
- RM14† Provide Learning Opportunities for Colleagues (D7)\*\*
- RM18† Ensure Health and Safety Requirements are Met in Your Area of Responsibility (E6)\*\*
- RM20b Recruit Staff (J4)\*\*\*
- RM25 Manage a Budget (E1)\*\*

### Collection Pathway

#### Mandatory Units

- RM19 Manage the Collection of Recyclable Materials
- RM21 Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
- RM24 Ensure Protection of the Environment During the Collection of Recyclable Materials

#### Optional Units

- RM22† Control Working Operations for the Collection and Transport of Recyclable Materials
- RM26† Control Maintenance and Other Engineering Operations

## **Processing or Storage Pathway**

### **Mandatory Units**

- RM21 Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
- RM31 Ensure Protection of the Environment in Facilities Used for the Processing or Storage of Recyclable Materials
- RM32 Manage the Reception of Recyclable Materials

### **Optional Units**

- RM33 Manage the Sorting and Storage of Recyclable Materials and Vehicle Movement on Site
- RM34† Control Operations for the Processing or Storage of Recyclable Materials
- RM35 Manage the Movements of Outputs and Residues from the Processing or Storage of Recyclable Materials

## **Client or Contractor Pathway**

### **Optional Units**

- RM21 Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies
- RM27 Prepare Proposals and Obtain Contracts for Recycling Services
- RM28 Manage Contracts for Recycling Services
- RM29 Select Contractors for Supply of Services or Goods
- RM30 Implement and Manage Contracted Services or Supplies
- RM36 Manage a Project (F1)\*\*

### **Optional Units — Section B (All Pathways)**

- RM16 Organise the Promotion of Services or Products to Customers
- RM17 Build and Maintain effective Customer Relations
- RM23 Implement Improvements to Recycling Operations

## **Notes — level 4 Management of Recycling Operations**

\* Units from ENTO Standards

\*\* Units from Management and Leadership Standards

\*\*\* Units from SFEDI Standards

\*\*\*\*Units from Institute of Customer Services Standards

† Units also in level 3 — where these Units have been achieved at level 3, they are acceptable at level 4 without additional work

To achieve the full qualification candidates must complete:

### **Collection Pathway or Processing or Storage Pathway**

All mandatory Units (8)

All mandatory Units from their chosen pathway (3)

At least one other Unit from their chosen pathway (1)

At least one Unit from Section B (1)

### **Client or Contractor Pathway**

All mandatory Units (8)

At least three optional Units from the Contracting pathway (3)

At least two Units from Section B (2)

By following this rationale candidates must complete at least 13 Units before they can achieve a full qualification.

## **Mandatory 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 them 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 cooperate 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 in 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
- ◆ 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 workplace; 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.

## **RM2a Plan the workforce (DR6M 04)**

*This Unit is equivalent to Unit D4 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 taking a lead in identifying the workforce requirements of your organisation and how these will be satisfied. It involves considering the strategic objectives and plans of the organisation to decide whether the workforce should be expanded, maintained or contracted. It also involves considering whether there is an appropriate mix of people to achieve the organisation's objectives, and whether any problems with this can be sorted out by recruiting staff, moving staff to other positions or making staff redundant. 'Workforce' covers any person who works for the organisation. Colleagues do not have to be directly employed as there is a wide range of contractual arrangements which could be used to provide the people the organisation needs, and part of the planning process is to decide how this is managed. For the purposes of this Unit, an 'organisation' can mean a self-contained entity such as a private sector company, a charity or a local authority or a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### **Who is the Unit for?**

The Unit is recommended for senior managers.

#### **Skills**

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

- ◆ Planning
- ◆ Thinking strategically
- ◆ Prioritising
- ◆ Contingency planning
- ◆ information management
- ◆ Monitoring
- ◆ Evaluating
- ◆ Decision making
- ◆ Communicating
- ◆ Analysing
- ◆ Thinking creatively
- ◆ Balancing competing needs and interests

## **Outcomes of Effective Performance**

You must be able to do the following:

- a Evaluate the organisation's strategic objectives and associated plans to obtain information needed for workforce planning purposes and identify any key issues for further consideration.
- b Identify the type of skills, knowledge, understanding and experience required to undertake current and planned organisational activities.
- c Review capacity and capability of the current workforce to meet identified skills, knowledge, understanding and experience requirements.
- d Seek and make use of specialist expertise to assist in workforce planning activities, as necessary.
- e Specify workforce requirements that are capable of achieving the organisation's objectives.
- f Make sure that the organisation has a diverse workforce which provides a suitable mix of people to achieve its objectives.
- g Develop plans that meet the organisation's long, medium, and short-term requirements, making best use of people from inside and from outside the organisation.
- h Ensure a mix of full-time, part-time, temporary and contractual workers appropriate to the needs of the organisation.
- i Make sure that resources needed to recruit, keep and redeploy people are available.
- j Make sure that plans incorporate contingency arrangements to deal with unforeseen circumstances and maintain business continuity.
- k Communicate workforce plans to relevant people for information

## **Behaviours which Underpin Effective Performance**

- I You recognise the opportunities presented by the diversity of people.
- II You are vigilant for potential risks.
- III You identify systemic issues and trends and recognise their effect on current and future work.
- IV You anticipate likely future scenarios based on realistic analysis of trends and developments.
- V You take decisions in uncertain situations or based on incomplete information when necessary.
- VI You take and implement difficult and/or unpopular decisions, if necessary.
- VII You work towards a clearly defined vision of the future.
- VIII You use communication styles that are appropriate to different people and situations.

## **Knowledge and Understanding**

You need to know and understand the following:

### ***General knowledge and understanding***

- 1 What an effective workforce plan should cover.
- 2 The information required to undertake workforce planning.
- 3 Sources of specialist expertise in relation to workforce planning and how to make use of them.
- 4 Legislation and requirements relating to employment, workers' welfare and rights, equality and health and safety.
- 5 How to take account of equality and diversity issues in workforce planning.
- 6 Strategies and/or services which need to be in place for when people leave, including redundancy counselling.
- 7 The importance of putting contingency arrangements in place and how to do so effectively.
- 8 The different ways in which workforce requirements can be met, their advantages and disadvantages, costs and benefits.

### ***Industry/sector specific knowledge and understanding***

- 1 Types of employment agreements typically used within the recycling industry.
- 2 Patterns for employing, recruiting, and keeping people in the recycling industry.
- 3 Trends and developments in the sector which are relevant to workforce planning.
- 4 Legislation, regulations and codes of practice that apply in the recycling industry.
- 5 Working culture and practices of the recycling industry

### ***Context specific knowledge and understanding***

- 1 The organisation's vision, strategic objectives and associated plans, structure, values and culture.
- 2 Employment agreements with people working in and for the organisation.
- 3 The capacity and capability of the current workforce.
- 4 The diversity of the organisation's workforce.
- 5 Factors affecting workforce planning in the organisation.
- 6 Local employment market conditions.
- 7 Employment policies and practices within the organisation including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions.

## 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 *Examples of Evidence* 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 *Examples of Evidence* 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
<b>Workforce reviews that you have organised or prepared:</b>				
<ul style="list-style-type: none"> <li>◆ analyses of strategic, business and/or operational plans to forecast likely future employment requirements (numbers of people, skills levels, employment patterns, etc)</li> </ul>	4, 7	2, 4, 5, 7, 8	2, 3, 4, 5	1, 5, 7
<ul style="list-style-type: none"> <li>◆ analyses of recruitment and employment data and of the relevant population from which recruits are drawn to identify statistical disparities in the job applications, selection, employment, retention and promotion to identify any evidence of poor employment practice, possible discrimination or unintentional barriers to particular groups</li> </ul>	1, 2, 3	2, 4, 5	1, 2, 3, 4, 5	2, 3, 4, 6, 7
<ul style="list-style-type: none"> <li>◆ surveys of the current workforce to identify their experiences and perceptions of, and their attitudes to, their employment conditions</li> </ul>	1, 2, 3	2, 4, 5	1, 2, 3, 5	2, 3, 4, 5, 6, 7
<ul style="list-style-type: none"> <li>◆ surveys or records of debriefings of (successful and unsuccessful) applicants to identify their views of the employment prospects in the organisation</li> </ul>	1, 3	2, 4, 5	1, 2, 3, 5	6, 7

◆ reports or other outcomes of reviews you have undertaken of the systems for recording and monitoring employment (eg collecting and analysing data on recruitment, retention, development, promotion, timekeeping, attendance, etc)	2, 3, 5, 6	2, 4, 5	2, 4	2, 3, 4, 7
◆ notes, minutes or other records of meetings you have had with colleagues and consultants to review the organisation's workforce planning strategy	1, 2, 3, 4, 7	1, 2, 4, 5	1, 2, 3, 4, 5	2, 3, 4, 5, 6, 7
◆ briefings, notes of meetings, letters and other documents you have produced to commission external consultants or specialist staff to review employment practices and future workforce needs	1, 2, 8	1, 3	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7
◆ personal statements (reflecting on your role in analysing and reviewing current employment practices and future workforce needs)	1, 2, 3, 7	1, 2, 3, 4, 5	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7

## **RM2b Review Your Staffing (D8XA 04)**

*This Unit is equivalent to Unit J1 from the National Occupational Standards developed by the Small Firms Enterprise and Development Initiative (SFEDI).*

### **Unit Summary**

#### **Why this is important**

You may have no staff yet or you may want to explore how to get the right staff for your business. You may have staff already and want to review your work team. Whatever the size of the business it is important to make sure that you have got the right people and that they do what you want them to. To do this, you need to look critically at what skills the business needs and decide how best to meet them.

To get the most out of any staff you will need to develop a staffing plan. This will help you to work out:

- ◆ details about staff pay
- ◆ the terms and conditions of work
- ◆ assessment
- ◆ training or development

#### **The main topics**

When you review your staffing, you will need to do the following:

- J1.1 Decide if the business has the right skills
- J1.2 Plan your staffing

These activities may overlap with those in SFEDI Units A2, A3 and K1.

#### **What you need to use**

You will need to gather a range of information to be able to review your staffing. This could include:

- ◆ a skills audit of yourself and any existing staff
- ◆ a statement of what staff the business needs
- ◆ the effect on the business of employing more staff
- ◆ health check reports on the business
- ◆ trading status documents
- ◆ a business plan

#### **How this will help the business in the future**

When you have reviewed your staffing you will probably have:

- ◆ a staffing plan for the business

## **Element J1.1: Decide if the business has the right skills**

### **What you need to do**

You must make sure that you can do the following:

- a review the activities of the business and identify what skills are needed
- b assess what skills people already involved in the business have and decide if there is any shortfall
- c review the options for employing staff
- d work out how much it will cost the business to train existing staff or get new staff with those skills
- e compare the costs and benefits of different staffing options
- f review how changing the way you employ people will affect the success of the business
- g decide on the best way of getting the skills that the business needs

### **What you need to know and understand**

You need to know and understand the following:

- 1 how to decide what skills are needed, for example:
  - ◆ managing the business
  - ◆ the technical side of the business
  - ◆ marketing and sales
  - ◆ customer service
  - ◆ office and administrative support
- 2 whose contribution should be reviewed (for example, management, staff, subcontractors, non-executive directors or advisers)
- 3 how to work out which activities should be done by other people
- 4 how to assess the number of staff that are needed
- 5 the different ways you can employ people (for example, full and part time, permanent and temporary, using professionals and business advisers and so on)
- 6 the different ways you can meet staffing needs (for example, recruiting new staff, promoting, training and developing existing staff, planning who will take over when key people leave, redeployment, redundancy, subcontracting, use of non-executive directors, advisers or business counsellors)
- 7 how to assess the costs and benefits of different staffing options for the business:
  - ◆ costs (such as fees, additional wages, redundancy, incentive packages)
  - ◆ benefits (such as added value of people, new business opportunities, increase in motivation and satisfaction)
- 8 how staff can be recruited (for example, skills, experience and location)
- 9 what terms and conditions you should use to employ people (for example, nature of contracts, pay scales, discipline and grievance system)

10 what laws and regulations you need to think about (for example, employment law, contract law, health and safety law or equal opportunities law)

## **Element J1.2: Plan your staffing**

### **What you need to do**

You must make sure that you can do the following:

- a work out clearly what people you need
- b decide if it will be better to use external contractors or employ staff
- c if you need to recruit staff, decide how you will advertise for staff and how you will decide who to employ
- d work out, in detail, what you will expect your staff to do and how this will help you provide your products or services to your customers
- e work out what you will pay staff and match this with the business aims
- f decide how to check how well your staff are working
- g decide how to train the people you are going to employ
- h work out how you will meet all the legal requirements for employing staff
- i plan how you will keep up to date with changes to the legal requirements for employing staff

### **What you need to know and understand**

You need to know and understand the following:

- 1 what staffing targets are needed for:
  - ◆ recruitment (for example, by advertising, using job and people specifications)
  - ◆ productivity
  - ◆ reward (for example, salary, pay rises and perks)
  - ◆ appraisal
  - ◆ training and development
- 2 how to draw up and use:
  - ◆ job and people specifications
  - ◆ staff contracts
  - ◆ training plans
- 3 how to set up and use appraisal systems
- 4 how to meet the law for recruiting and employing staff

## **Examples of Evidence for RM2b Review Your Staffing (D8XA 04)**

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.

- ◆ Preparing the requirements
  - present competences of individuals and make-up of work teams
  - company staffing objectives and constraints to staffing levels
  - estimates including calculations and rationale
  - final personal requirements report and circulation list
- ◆ Assessing information provided by potential recruits
  - potential recruit information, further information needed
  - selection criteria against which the recruits will be judged
- ◆ Selecting personnel
  - company staffing objectives and constraints to staffing levels
  - estimates including calculations and rationale
  - final personal requirements report and circulation list
  - present competences of individuals and make-up of work teams
  - selection recommendations
  - reasons for choice
  - personnel records covering the selection process
- ◆ Observed performance
  - discussions with colleagues on work activities and patterns
  - agreeing actions and meeting commitments
  - offering and supplying support to colleagues
  - identifying and providing essential information 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
  - identifying inadequate quality products or performance, and seeking solutions with those concerned
  - 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

## **RM4a Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility (DR3Y 04)**

*This Unit is equivalent to Unit D6 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 ensuring that the work required in your area of responsibility is effectively planned and fairly allocated to individuals and/or teams. It also involves monitoring the progress and quality of the work of individuals and/or teams to ensure that the required level or standard of performance is being met, and reviewing and updating plans of work in the light of developments. 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 allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

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

## **Outcomes of Effective Performance**

You must be able to do the following:

- a Confirm the work required in your area of responsibility with your manager and seek clarification, where necessary, on any outstanding points and issues.
- b Plan how the work will be undertaken, seeking views from people in your area of responsibility, identifying any priorities or critical activities and making best use of the available resources.
- c Ensure that work is allocated to individuals and/or teams on a fair basis taking account of skills, knowledge and understanding, experience and workloads and the opportunity for development.
- d Ensure that individuals and/or teams are briefed on allocated work, showing how it fits with the vision and objectives for the area and the overall organisation, and the standard or level of expected performance.
- e Encourage individuals and/or team members to ask questions, make suggestions and seek clarification in relation to allocated work.
- f Monitor the progress and quality of the work of individuals and/or teams on a regular and fair basis against the standard or level of expected performance and provide prompt and constructive feedback.
- g Support individuals and/or teams in identifying and dealing with problems and unforeseen events.
- h Motivate individual and/or teams 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 your area 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 individuals and/or teams.
- k Recognise successful completion of significant pieces of work or work activities by individuals and/or teams.
- l Use information collected on the performance of individuals and/or teams in any formal appraisals of performance.
- m Review and update plans of work for your area, clearly communicating any changes to those affected.

## **Behaviours which Underpin Effective Performance**

- I You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- II You prioritise objectives and plan work to make best use of time and resources.
- III You make time available to support others.
- IV You take personal responsibility for making things happen.
- V You show an awareness of your own values, motivations and emotions.
- VI You show integrity, fairness and consistency in decision-making.
- VII You clearly agree what is expected of others and hold them to account.
- VIII You seek to understand people's needs and motivations.
- IX You take pride in delivering high quality work.
- X You are vigilant for possible risks and hazards.
- XI You encourage and support others to make the best use of their abilities.
- XII You use a range of leadership styles appropriate to different people and situations.

## **Knowledge and Understanding**

You need to know and understand the following:

### ***General knowledge and understanding***

- 1 How to select and successfully apply different methods for communicating with people across an area of responsibility.
- 2 The importance of confirming/clarifying the work required in your area of responsibility with your manager and how to do this effectively.
- 3 How to identify and take due account of health and safety issues in the planning, allocation and monitoring of work.
- 4 How to produce a plan of work for your area of responsibility, including how to identify any priorities or critical activities and the available resources.
- 5 The importance of seeking views from people working in your area and how to take account of their views in producing the plan of work.
- 6 Why it is important to allocate work to individuals and/or teams on a fair basis and how to do so effectively.
- 7 Why it is important that individuals and/or teams are briefed on allocated work and the standard or level of expected performance and how to do so effectively.
- 8 The importance of showing individuals and/or teams how their work fits with the vision and objectives of the area and those of the organisation.
- 9 Ways of encouraging individuals and/or teams to ask questions and/or seek clarification in relation to the work which they have been allocated.
- 10 Effective ways of regularly and fairly monitoring the progress and quality of work of individuals and/or teams against the standards or level of expected performance.

- 11 How to provide prompt and constructive feedback to individuals and/or teams.
- 12 Why it is important to monitor your area 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 individuals and/or teams and how to discuss the cause(s) and agree ways of improving performance with them.
- 14 The type of problems and unforeseen events that may occur and how to support individuals and/or teams in dealing with them.
- 15 The additional support and/or resources which individuals and/or teams might require to help them complete their work and how to assist in providing this.
- 16 How to select and successfully apply different methods for encouraging, motivating and supporting individuals and/or teams to complete the work they have been allocated, improve their performance and for recognising their achievements.
- 17 How to log information on the on-going performance of individuals and/or teams and use this information for formal performance appraisal purposes.
- 18 The importance of reviewing and updating plans of work for your area in the light of developments, how to reallocate work and resources and clearly communicate the changes to those affected.

***Industry/sector specific knowledge and understanding***

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

***Context specific knowledge and understanding***

- 1 The individuals and/or teams in your area of responsibility.
- 2 The vision and objectives for your area of responsibility.
- 3 The vision and objectives of the overall organisation.
- 4 The work required in your area of responsibility.
- 5 The available resources for undertaking the required work.
- 6 The plan of work for your area of responsibility.
- 7 The organisation's written health and safety policy statement and associated information and requirements.
- 8 Your organisation's policy and procedures in terms of personal development.
- 9 Organisational standards or level 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 *Examples of Evidence* 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 *Examples of Evidence* 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
<b>Records of work allocation to people and teams in your area of responsibility:</b>				
♦ notes of meetings with your manager, schedules and other documents recording the work required from your team, and any priorities	1, 2, 4, 9, 10	1, 2, 3, 18	1, 2	1, 2, 3, 4, 5, 7
♦ business, operational or production plans or schedules and other documents identifying the work required from your area of responsibility that you have agreed, and any priorities you have identified	1, 2, 4, 7, 9, 10	1, 2, 3, 18	1, 2	1, 2, 3, 4, 5, 7
♦ detailed work plans or schedules, timetables and other plans for individual and team work activities, tasks, production targets or other ways of defining workloads	1, 2, 4, 7, 9, 10, 11	3, 4, 5, 6, 18	1, 2	1, 2, 3, 4, 5, 6, 7
♦ notes of meetings and briefings to discuss work plans or schedules, timetables and allocate individual and team work	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12	3, 4, 5, 6, 7, 8, 9	1, 2	1, 2, 3, 4, 5, 6, 7

activities, tasks, production targets, etc				
◆ personal statements (reflections on the process and reasoning behind work planning and allocation, including work priorities, availability of resources, and the relative abilities and development needs of team members)	1, 2, 3, 4, 5, 6, 8, 9, 10, 11, 12	2, 3, 4, 5, 6, 7, 8	1, 2	1, 2, 3, 4, 5, 6, 7, 8
◆ witness statements (comments on the process of work allocation and perceptions of its fairness, appropriateness and clarity)	3, 6, 7, 8, 11, 12			

## **RM4b Make Sure Your Staff Can Do Their Work (D8WV 04)**

*This Unit is equivalent to Unit K1 from the National Occupational Standards developed by the Small Firms Enterprise and Development Initiative (SFEDI).*

### **Unit Summary**

#### **Why this is important**

When you have staff working for the business, you will need to make sure that they are helping the business grow. To do this you will need to monitor their work and identify any further training or development they may need.

#### **The main topics**

When you get the right staff for the business, you will need to do the following:

K1.1 Monitor the work of your staff

K1.2 Improve your staff's skills

These activities may overlap with those in SFEDI Units A2, A3 and J1.

#### **What you need to use**

You will need to gather a range of information to be able to get the right staff for the business. This could include:

- ◆ a personnel plan
- ◆ work records
- ◆ appraisal records
- ◆ an analysis of what training is needed for the people you need to employ

#### **How this will help your business in the future**

When you have got the right staff for the business you will probably have:

- ◆ an evaluation of how staff contribute to business effectiveness; and
- ◆ an analysis of staff training needs.

## **Element K1.1: Monitor the work of your staff**

### **What you need to do**

You must make sure that you can do the following:

- a set targets for staff that explain what they do and how they need to perform
- b explain the targets to your staff and explain how their work will be assessed
- c make fair and appropriate assessments of your staff's performance.
- d give clear feedback to staff on their performance and explain how they can improve
- e make sure staff understand that any criticisms are about their work and not about them personally
- f keep records about staff performance confidential

### **What you need to know and understand**

You need to know and understand the following:

- 1 what type of performance targets can be set (for example, skills, competence, productivity, quality and customer response)
- 2 how they can be explained (for example, face to face or in writing)
- 3 how to assess work (for example, observing, discussing things or seeking feedback from customers)
- 4 how to provide feedback to individuals that will help them improve what they do
- 5 what records to keep and who should be able to see them

## **Element K1.2: Improve your staff's skills**

### **What you need to do**

You must make sure that you can do the following:

- a gather information about staff development needs and use it to make fair and accurate decisions
- b identify development needs for all the staff you are responsible for.
- c wherever necessary, seek guidance from specialists
- d agree targets with staff to develop their skills
- e identify the resources needed to develop the skills of your staff
- f help staff to prepare an action plan that will help them to develop their skills
- g keep accurate, confidential and up-to-date records of staff development needs and plans
- h make sure that staff development is benefiting the business

### **What you need to know and understand**

You need to know and understand the following:

- 1 what technical skills and experience staff need to have to make the product or provide the service
- 2 how to decide which skills staff need to develop
- 3 what resources are needed for staff development (for example, time, training programmes, fees and substitute staff)
- 4 how to set and agree targets for staff development
- 5 where to find information about training courses and events (for example, from business advice centres, trade associations and colleges)

## **Evidence Requirements for RM4b Make Sure Your Staff Can Do Their Work (D8WV 04)**

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 colleagues on work activities and patterns
  - agreeing actions and meeting commitments
  - offering and supplying support to colleagues
  - identifying and providing essential information 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
  - co-ordinating own work with that of colleagues
  - identifying inadequate quality products or performance, and seeking solutions with those concerned
  - 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
- ◆ Performance appraisals
- ◆ Key performance indicators

Other sources of evidence to prove knowledge and understanding where it is not apparent from performance.

## **RM10 Develop Productive Working Relationships with Colleagues and Stakeholders (DR4F 04)**

*This Unit is equivalent to Unit D2 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 developing productive working relationships with colleagues, within your own organisation and within other organisations with which your organisation works, and with identified stakeholders. It involves being aware of the roles, responsibilities, interests and concerns of colleagues and stakeholders and working with and supporting them in various ways. The need to monitor and review the effectiveness of working relationships with colleagues and stakeholders is also a key requirement of this Unit. 'Colleagues' are any people you are expected to work with, whether they are at a similar position or in other positions in terms of level of responsibility. For the purposes of this Unit, 'stakeholder' refers to individuals or organisations that have a material, legal or political interest in or who may be affected by the activities and performance of your organisation.

#### **Who is the Unit for?**

The Unit is recommended for middle managers and senior managers.

#### **Skills**

Listed below are the main generic skills which need to be applied in developing productive working relationships with colleagues and stakeholders. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Communicating
- ◆ Information management
- ◆ Managing conflict
- ◆ Consulting
- ◆ Reviewing
- ◆ Presenting information
- ◆ Prioritising
- ◆ Empathising
- ◆ Networking
- ◆ Balancing competing needs and interest
- ◆ Monitoring
- ◆ Providing feedback
- ◆ Obtaining feedback
- ◆ Problem solving
- ◆ Leadership
- ◆ Valuing and supporting others
- ◆ Problem solving

## **Outcomes of Effective Performance**

You must be able to do the following:

- a Identify stakeholders and the background to and nature of their interest in the activities and performance of the organisation.
- b Establish working relationships with relevant colleagues and stakeholders.
- c Recognise and respect the roles, responsibilities, interests and concerns of colleagues and stakeholders.
- d Provide colleagues and stakeholders with appropriate information to enable them to perform effectively.
- e Consult colleagues and stakeholders in relation to key decisions and activities and take account of their views, including their priorities, expectations and attitudes to potential risks.
- f Fulfil agreements made with colleagues and stakeholders and let them know.
- g Advise colleagues and stakeholders promptly of any difficulties or where it will be impossible to fulfil agreements.
- h Identify and sort out conflicts of interest and disagreements with colleagues and stakeholders in ways that minimise damage to work and activities and to the individuals and organisations involved.
- i Monitor and review the effectiveness of working relationships with colleagues and stakeholders, seeking and providing feedback, in order to identify areas for improvement.
- j Monitor wider developments in order to identify issues of potential interest or concern to stakeholders in the future and to identify new stakeholders.

## **Behaviours which Underpin Effective Performance**

- I You present information clearly, concisely, accurately and in ways that promote understanding.
- II You show respect for the views and actions of others.
- III You seek to understand people's needs and motivations.
- IV You comply with and ensure others comply with legal requirements, industry regulations, organisational policies and professional codes.
- V You create a sense of common purpose.
- VI You work towards win-win solutions.
- VII You show sensitivity to internal and external politics that impact on your area of work.
- VIII You keep promises and honour commitments.
- IX You consider the impact of your own actions on others.
- X You use communication styles that are appropriate to different people and situations.
- XI You work to develop an atmosphere of professionalism and mutual support.

## **Knowledge and Understanding**

You need to know and understand the following:

### ***General knowledge and understanding***

- 1 The benefits of developing productive working relationships with colleagues and stakeholders.
- 2 Different types of stakeholder and key principles which underpin the 'stakeholder' concept.
- 3 How to identify your organisation's stakeholders, including background information and the nature of their interest in your organisation.
- 4 Principles of effective communication and how to apply them in order to communicate effectively with colleagues and stakeholders.
- 5 Why it is important to recognise and respect the roles, responsibilities, interests and concerns of colleagues and stakeholders.
- 6 How to identify and meet the information needs of colleagues and stakeholders.
- 7 What information it is appropriate to provide to colleagues and stakeholders and the factors that need to be taken into consideration.
- 8 How to consult with colleagues and stakeholders in relation to key decisions and activities.
- 9 The importance of taking account, and being seen to take account, of the views of colleagues and stakeholders, particularly in relation to their priorities, expectations and attitudes to potential risks.
- 10 Why communication with colleagues and stakeholders on fulfilment of agreements or any problems affecting or preventing fulfilment is important.
- 11 How to identify conflicts of interest with colleagues and stakeholders and the techniques that can be used to manage or remove them.
- 12 How to identify disagreements with colleagues and stakeholders and the techniques for sorting them out.
- 13 The damage which conflicts of interest and disagreements with colleagues and stakeholders can cause to individuals and organisations.
- 14 How to take account of diversity issues when developing working relationships with colleagues and stakeholders.
- 15 How to recognise and take account of political issues when dealing with colleagues and stakeholders.
- 16 How to manage the expectations of colleagues and stakeholders.
- 17 How to monitor and review the effectiveness of working relationships with colleagues and stakeholders.
- 18 How to get and make effective use of feedback on the effectiveness of working relationships from colleagues and stakeholders.
- 19 How to provide colleagues and stakeholders with useful feedback on the effectiveness of working relationships.
- 20 The importance of monitoring wider developments in relation to stakeholders and how to do so effectively.

***Industry/sector specific knowledge and understanding***

- 1 Current and emerging political, economic, social, technological, environmental and legal developments in the recycling industry.
- 2 Recycling industry specific legislation, regulations, guidelines and codes of practice.
- 3 Standards of behaviour and performance in the recycling industry.
- 4 The culture of the recycling industry.
- 5 Developments, issues and concerns of importance to stakeholders in the recycling industry.

***Context specific knowledge and understanding***

- 1 The vision, values, objectives, plans, structure and culture of your organisation.
- 2 Relevant colleagues, their work roles and responsibilities.
- 3 Identified stakeholders, their background and interest in the activities and performance of the organisation.
- 4 Agreements with colleagues and stakeholders.
- 5 The identified information needs of colleagues and stakeholders.
- 6 Mechanisms for consulting with colleagues and stakeholders on key decisions and activities.
- 7 The organisation's planning and decision making processes.
- 8 Mechanisms for communicating with colleagues and stakeholders.
- 9 Power, influence and politics within the organisation.
- 10 Standards of behaviour and performance that are expected in the organisation.
- 11 Mechanisms in place for monitoring and reviewing the effectiveness of working relationships with colleagues and stakeholders.

## 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 *Examples of Evidence* 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 *Examples of Evidence* 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
<b>Records of activities and agreements with work colleagues and stakeholders that you have completed successfully:</b>				
♦ notes and other records of information you have collected on developments in the organisation and its environment that will be of interest to colleagues and stakeholders	7, 11	2, 3, 6, 7, 20	1, 2, 5	5
♦ records of new stakeholders you have met or have identified	3, 7	1, 2, 3	5	3
♦ notes, minutes or other records of formal and informal meetings with colleagues and with stakeholders relating to consultations, decisions and agreements for action by you and your performance in relation to these consultations, decisions and agreements	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 14, 15, 16, 17	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
♦ notes of meetings and briefings to discuss work plans or schedules, timetables and allocate individual and team work activities,	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12	3, 4, 5, 6, 7, 8, 9	1, 2	1, 2, 3, 4, 5, 6, 7

tasks, production targets, etc				
◆ e-mails, memos and other correspondence with colleagues and with stakeholders relating to decisions you have taken, actions you have agreed to undertake and your performance in relation to these agreements	1, 2, 4, 5, 7, 8, 9, 10, 11	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 14, 15, 16, 17	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11
◆ personal statements (reflections on the nature and effectiveness of your relationships with work colleagues and your fulfilment of your commitments to them)	2, 3, 7, 9	1, 5, 6, 7, 8, 9	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
◆ witness statements (comments by colleagues on the nature and effectiveness of your relationships with them and your fulfilment of your commitments to them)	1, 2, 4, 5, 6, 7, 8, 10, 11			

## **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 work-roles and their current knowledge, understanding and skills.
- d Help colleagues to identify the learning style(s) or combination of styles which work 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 work 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 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 *Examples of Evidence* 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 *Examples of Evidence* 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 *Examples of Evidence* 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
<b>Identification of development needs, plans to meet development needs and monitoring and review of development activity:</b>				
<ul style="list-style-type: none"> <li>◆ 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)</li> </ul>	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"> <li>◆ 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</li> </ul>	2, 3, 4, 5	1, 4, 12, 13, 16	1, 2, 3	5, 6, 8, 9, 10, 11, 12
<ul style="list-style-type: none"> <li>◆ training and development opportunities (eg coaching, internal and external</li> </ul>	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

<p>courses, learning centre/e-learning programmes) that you have identified and enabled colleagues to access to meet agreed learning and development requirements</p>				
<p>◆ copies of development or learning plans you have discussed, agreed, reviewed and revised with colleagues</p>	3, 4, 5, 7, 10	1, 2, 3, 10, 11	1, 2, 3	4, 5, 6, 7, 9, 10, 11, 12
<p>◆ 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</p>	3, 4, 5, 6, 8, 10	1, 2, 3, 14, 15	1, 2, 3	1, 2, 3, 4, 5, 10, 11, 12
<p>◆ 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)</p>	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
<p>◆ witness statement (comments on your role in identifying learning requirements, organising development activity and reviewing of its effectiveness in improving or enhancing performance)</p>	2, 3, 4, 5, 6, 7, 10			

## **RM16 Organise the Promotion of Services or Products to Customers (F04R 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.*

### **Unit Summary**

#### **What is the Unit 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
- 5 how to give appropriate, balanced information to your customers about services or products

## Examples of Evidence

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 Examples of Evidence – 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:
  - ◆ use agreed organisational procedures and systems
  - ◆ create your own opportunities
- 5 Your evidence must show that you have:
  - ◆ taken responsibility for your own actions in promoting services or products
  - ◆ used spontaneous customer feedback to identify opportunities for promoting services or products
  - ◆ used customer feedback that you have requested to identify opportunities for promoting services or products
- 6 Your evidence must include examples of:
  - ◆ returning customers extending their use of your services or products
  - ◆ new customers making use of your services or products

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
- ◆ mailshots
- ◆ 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

- a Identify the types of people with whom you should **build longer term customer relations** and **promote loyalty**.
- b **Communicate with these customers** so that they know they are important to your organisation.
- c Explain your role, the purpose of making contact and the mutual benefits of **building a longer-term relationship**.
- d Make it clear that you welcome **two-way communication** about customer expectations.

## **Maintain and develop effective customer relations**

- e** Keep customers informed and **accept criticism** from customers openly and constructively.
- f** Regularly assess whether customer expectations are being consistently met.
- g** Use your influence and authority in your own organisation to ensure that customer needs and expectations are being met and, where possible, exceeded.
- h** **Collect feedback** from customers and staff to ensure that solutions are being provided that result in customer satisfaction.
- i** **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

## Examples of Evidence

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.

*(Examples of Evidence taken from Unit 30 – Build and maintain effective customer relations from the Customer Service S/NVQ Examples of Evidence – 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:
  - ◆ potential or new customers
  - ◆ regular or returning customers
  - ◆ customers with particular needs and expectations
  - ◆ 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:
  - ◆ qualitative
  - ◆ quantitative
  - ◆ formal
  - ◆ informal

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
- ◆ mailshots
- ◆ 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
- ◆ 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

## **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.

## Examples of Evidence

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 *Examples of Evidence* 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 Examples of Evidence 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 *Examples of Evidence* 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
<b>Records of actions you have taken to ensure health and safety policies are implemented appropriately:</b>				
<ul style="list-style-type: none"> <li>◆ 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</li> </ul>	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"> <li>◆ 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</li> </ul>	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"> <li>◆ records of training activity you have organised for people in your area of responsibility on the implementation of workplace policies on health and safety</li> </ul>	3, 5, 7, 8	1, 5, 8, 14	1, 2	1, 2, 5, 6
<ul style="list-style-type: none"> <li>◆ personal statement (reflection on your role in ensuring that health and safety policies are implemented and reviewed in your area of responsibility)</li> </ul>	3, 5, 8	1, 2, 4, 6, 7, 8, 9	1, 2	2, 4, 5, 7

## **RM19 Manage the Collection of Recyclable Materials (F4W3 04)**

### **Area of competence**

This Unit is about using mechanisms to monitor and control the activities people do throughout the collection operation. It involves taking steps to ensure the work does not expose the environment to harm caused by the work being done.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Implement and monitor procedures for the collection and validation of recyclable materials
- ◆ Control situations which could have a negative impact on the environment

### **Performance Criteria**

#### **Implement and monitor procedures for the collection and validation of recyclable materials**

- a** Implement procedures to monitor the quantity and quality of collection
- b** Monitor operations to ensure recyclable materials for collection are inspected and validated by operatives correctly
- c** Take steps to ensure the procedures for rejecting recyclable materials remain effective and enable materials to be dealt with correctly
- d** Monitor operations and take steps to ensure recyclable materials requiring specific handling are dealt with correctly
- e** Take steps to revise procedures where monitoring data indicates changes or improvements are required to any part of the collection process
- f** Monitor the completion of documentation relating to the collection process to ensure the data recorded is complete and accurate
- g** Maintain records which will provide data audit trails to enable both organisational and legislative requirements to be met

#### **Control situations which could have a negative impact on the environment**

- h** Ensure systems are in place and working effectively for operatives to be able to recognise potential or actual threats which can be caused by incorrect information, spillage, inadequate containment and equipment malfunction.

- i Take steps to ensure there are effective procedures for operatives to follow to enable them to minimise and act promptly where there are threats to the environment from collected recyclable materials
- j Check and confirm procedures are adequate to enable prompt remedial measures to be taken in situations which will, or are likely to, threaten or have a negative impact on the environment
- k Monitor operations in a way which confirms personnel follow procedures for recording and reporting, swiftly, situations where collecting recyclable materials has caused, or is likely to cause, a threat to the environment
- l Revise or introduce procedures which require personnel to change work practices
- m Communicate changes and ensure personnel understand what is required

### **Knowledge and Understanding**

You must know and understand the following:

- 1 How to apply the application of relevant legislation
- 2 Identification procedures for recyclable materials
- 3 Handling implications of recyclable materials, including materials whose nature or physical characteristics require special handling
- 4 Handling procedures requiring PPE, lifting gear, container handling equipment
- 5 Handling procedures for materials which require special processes, conditions, equipment or storage
- 6 Health and safety requirements
- 7 COSHH requirements
- 8 Emergency procedures
- 9 Different ways of communicating with personnel and the types suitable to different situation

## Examples of Evidence

You must provide both performance evidence and knowledge evidence specific to your facility to demonstrate your managerial competence. You must demonstrate that you can achieve 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.

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

Your operatives can deal with the following threats to the environment:

- ◆ misdescription of recyclables
- ◆ spillage
- ◆ inadequate containment
- ◆ equipment malfunction

Show evidence that records cover the following requirements:

- ◆ legislative
- ◆ organisational

You control the use of the following specific handling requirements:

- ◆ personal protective equipment
- ◆ use of lifting gear
- ◆ use of container handling equipment

You monitor how operatives deal with the following threats to the environment:

- ◆ misdescription of recyclables
- ◆ spillage
- ◆ inadequate containment
- ◆ equipment malfunction

In all, you must convince your assessor that you have the knowledge, understanding, and skills to manage competently in respect of monitoring how operatives deal with all specific handling requirements, and all threats to the environment listed above.

Work activities:

- ◆ controlling the collection of recyclable materials
- ◆ controlling the treatment of rejected recyclable materials
- ◆ controlling the way threats to the environment are dealt with

- ◆ controlling the quantity and quality of recyclable material collections
- ◆ ensuring that arrangements for the specific handling of recyclable materials are carried out
- ◆ checking documentation

Products or outcomes:

- ◆ records of controlling inspection and validation
- ◆ rejection and incident logs
- ◆ organisation records and records required by legislation
- ◆ records of controlling collection activities
- ◆ arrangements for specific handling available and used
- ◆ records of threats to the environment and action taken
- ◆ documentation related to collection

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

Written or spoken reports describing:

- ◆ the way you controlled and evaluated the collection of recyclable materials
- ◆ the way you controlled and evaluated how rejected recyclable materials are dealt with
- ◆ the way you controlled and evaluated how operatives dealt with threats to the environment
- ◆ how you evaluated the quantity and quality of recyclable material collections
- ◆ how you ensured that arrangements to deal with recyclable materials requiring specific handling were carried out correctly

Witness testimony:

- ◆ statements from people who have observed you controlling collection of recyclable materials and how operatives dealt with threats to the environment

## **RM20a Manage Business Processes (DR5M 04)**

*This Unit is equivalent to Unit F3 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 managing business processes to make sure the organisation delivers outputs that meet customers' needs and stakeholders' needs, and organisational and legal requirements.

#### **Who is the Unit for?**

The Unit is recommended for middle managers.

#### **Skills**

Listed below are the main generic skills which need to be applied in managing business processes. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Communicating
- ◆ Information management
- ◆ Analysing
- ◆ Assessing
- ◆ Presenting information
- ◆ Influencing
- ◆ Persuading
- ◆ Negotiating
- ◆ Problem solving
- ◆ Prioritising
- ◆ Thinking systematically
- ◆ Thinking creatively
- ◆ Reviewing

## **Outcomes of Effective Performance**

You must be able to do the following:

- a Design processes that deliver outcomes based on business goals and aims.
- b Identify and provide the resources you need.
- c Take account of influences that may affect and shape how processes work.
- d Link processes so that they interact across the organisation to form a complete system.
- e Provide information and support for staff and other stakeholders involved.
- f Define process responsibilities.
- g Develop process measures that are affordable and provide enough information for people to decide how to manage the process.
- h Establish and use effective methods to review and improve the process.

## **Behaviours which Underpin Effective Performance**

- I You keep people informed of plans and developments.
- II You clearly agree what is expected of others and hold them to account.
- III You take repeated or different actions to overcome obstacles and respond positively and creatively to setbacks.
- IV You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- V You monitor the quality of work and progress against plans and take appropriate corrective action, where necessary.
- VI You focus personal attention on specific details that are critical to achieving successful results.
- VII You identify systemic issues and trends and recognise their impact upon current and future work.
- VIII You take opportunities when they arise to achieve longer-term aims.

## **Knowledge and Understanding**

You need to know and understand the following:

### ***General knowledge and understanding***

- 1 Principles and models of effective process management.
- 2 How to define business processes.
- 3 Types of business process measures and how to assess their suitability.
- 4 The difference between process outputs and Outcomes.
- 5 How to assess process changes for risk and reward against their potential investment cost.
- 6 How to carry out cost and benefit analysis.
- 7 Types of analytical and problem-solving tools that you can use when developing business processes.
- 8 How to measure the effect of changes in the business process.

***Industry/sector specific knowledge and understanding***

- 1 The recycling sector and market in which your organisation works.
- 2 Relevant recycling sector trends, developments and competitor performance that affect your business processes.

***Context specific knowledge and understanding***

- 1 Your organisation's aims and goals.
- 2 Your organisation's structure, values and culture.
- 3 How your organisation adds value through delivering its products, services and processes.
- 4 The needs of your actual and potential customers and other key stakeholders.
- 5 Your organisation's products, services and processes and the interdependencies between them.
- 6 Measures of process performance that are relevant to your organisation.

## Examples of Evidence

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 *Examples of Evidence* 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 *Examples of Evidence* 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
<b>Details of business processes that you have designed, monitored and improved:</b>				
♦ SPC and other charts and tables you have prepared to record and analyse process performance	5, 6, 7	1, 2, 3, 4,	1, 2	3, 4, 5, 6
♦ process flowcharts, workflow diagrams, benchmark studies, current reality tree, clouds/conflict resolution diagrams, future reality trees, prerequisite trees, cause-and-effect diagrams, cost/benefit analyses and the outputs from other process and problem design and analysis tools you have used to analyse and redesign processes	1, 2, 3, 4, 6, 7, 8	1, 2, 3, 4, 5, 6, 7	1, 2	1, 2, 3, 4, 5, 6
♦ notes or minutes of meetings, and proposals and records of presentations you have made, to discuss and agree the objectives, Outcomes, problems, resource requirements and design of revised processes	1, 2, 4, 5, 6	1, 2, 3	1, 2	1, 2, 3, 4, 5, 6

◆ measures of process inputs, outputs and Outcomes and systems for monitoring and controlling them, that you have developed and agreed	4, 5, 6	2, 3, 4, 8	1, 2	3, 5, 6
◆ reports on process performance and Outcomes you have made to appropriate people	1	1, 8	1, 2	1, 2, 4, 6
◆ personal statement (your reflections on analysing processes, and designing, implementing and reviewing new processes)	3, 4, 5, 6, 7, 8	1, 2, 3, 8	1, 2	1, 2, 3, 4, 5, 6

## **RM20b Recruit staff (D8X6 04)**

*This Unit is equivalent to Unit J4 from the National Occupational Standards developed by the Small Firms Enterprise and Development Initiative (SFEDI).*

### **Unit Summary**

#### **Why this is important**

You may be about to recruit your first member of staff or you may have had problems recruiting staff in the past. You may simply want to explore how to recruit staff that really suit the business. Whatever the size of the business, recruiting staff can be expensive and time-consuming. It is important that at the end of the process you have recruited a member of staff who can do what you need them to do.

To do this, you will need to:

- ◆ work out exactly what you need the new member of staff to do
- ◆ identify how you will judge all applicants' abilities
- ◆ decide how you will get the right type of applicant interested in the job
- ◆ choose the right person for the job
- ◆ make sure you can improve the way you recruit staff in the future

#### **The main topics**

When you recruit staff you will need to do the following:

J4.1 Plan recruitment

J4.2 Choose staff

#### **What you might like to use**

You will need to gather a range of information to be able to recruit staff. This could include:

- ◆ a job description and person specification which sets out the skills, abilities, knowledge and experience needed
- ◆ ways to judge applicants' skills, abilities, knowledge and experience
- ◆ a plan of the recruitment process and who will be involved
- ◆ records of how different applicants match the skills, abilities, knowledge and experience you need

#### **How this will help your business in the future**

When you have recruited staff you will probably have the following:

- ◆ a member of staff who can carry out the activities you need them to do
- ◆ experience and feedback to help you recruit staff in the future

## **Element J4.1: Plan recruitment**

### **What you need to do**

You must make sure that you can do the following:

- a identify the main tasks that the new recruit will need to carry out
- b identify the skills, knowledge, abilities and experience the new recruit must have
- c identify the skills, knowledge, abilities and experience that are not essential but that you would like the new recruit to have
- d decide how you will judge all applicants' skills, abilities, knowledge and experience
- e decide the stages you will have in your recruitment process and the timings of these
- f decide who will help you in the recruitment process and what they will do
- g make sure the recruitment process you will follow is legal and fair to all
- h decide on the terms and conditions of employment you will offer the new recruit
- i decide how you will judge whether or not the recruitment process has been successful
- j make sure everyone in the business knows that you are recruiting staff

### **What you need to know and understand**

You need to know and understand the following:

- 1 how to identify which skills, knowledge, abilities and experience are needed to carry out the main tasks of the job
- 2 how to judge applicants' knowledge, skills, abilities and experience against those needed for the job
- 3 the costs and advantages of the different ways of advertising vacancies, for example:
  - ◆ placing an advert in the 'situations vacant' section of local and national newspapers and magazines
  - ◆ hiring a consultancy firm or employment agency
  - ◆ advertising the position to current staff
  - ◆ through links with schools, colleges and universities
- 4 which people should be involved in the recruitment process
- 5 how to find out about laws which apply to recruiting staff, for example:
  - ◆ employment law
  - ◆ contract law
  - ◆ health and safety law
  - ◆ equal opportunities law
- 6 what terms and conditions of employment you should offer recruits, for example:
  - ◆ the rights and responsibilities you and they will have under their contract of employment
  - ◆ pay scales
  - ◆ discipline and grievance procedures
- 7 how to identify whether the recruitment procedure has been successful

## **Element J4.2 Choose staff**

### **What you need to do**

You must make sure that you can do the following:

- a advertise for staff in ways which will give you the widest choice of suitable applicants
- b make sure the advertisement, and any information you give to applicants, is clear and accurate
- c decide which applicants you would like to find out more about
- d Make sure the applicants fully understand what the job involves
- e carry out all interviews in the same way and don't ask questions you are not legally allowed to ask
- f make sure you feel confident that the applicant you are considering will be able to do the job
- g make sure you only make promises you can keep
- h consistently and accurately record how the skills, abilities, knowledge and experience of each applicant matches those you are looking for
- i make sure you keep any personal information about applicants confidential
- j make sure you choose a particular applicant because of his or her skills, abilities, knowledge and experience and not for other reasons
- k make sure you ask for and check references

### **What you need to know and understand**

You need to know and understand the following:

- 1 how to choose an appropriate way of advertising the job. This might involve finding out what type of publication or website is read or visited by what type of people.
- 2 how to negotiate terms with a chosen provider of advertising
- 3 how to make sure your advertisements are accurate
- 4 how to present information about the job
- 5 what the terms and conditions of the job are and how to present these
- 6 how to decide who should be interviewed
- 7 how to judge the skills, abilities, knowledge and experience of the applicants you interview
- 8 how to interview applicants
- 9 what you are legally allowed to ask applicants and what you are not allowed to ask
- 10 how to test applicants, and the benefits and disadvantages of this
- 11 what information you need to keep confidential
- 12 how to check references
- 13 how to judge whether the process you followed to choose a recruit has been successful and whether you would change it next time you recruit

## **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.

- ◆ Plan and prepare the requirements:
  - determine advertising
  - legal responsibilities
  - present competencies of individuals and make up of work teams
  - company staffing objectives and constraints to staffing levels
  - estimates including calculations and rationale
  - final personal requirements report and circulation list
  - employment law: understanding legal requirements
  
- ◆ Assessing information provided by potential recruits:
  - potential recruit information, further information needed
  - selection criteria against which the recruits will be judged
  
- ◆ Selecting personnel:
  - company staffing objectives and constraints to staffing levels
  - estimates including calculations and rationale
  - final personal requirements report and circulation list
  - present competencies of individuals and make up of work teams
  - selection and rejection recommendations — legal implications
  - reasons for choice
  - personnel records covering the selection process
  - legal implications of selection of staff — employment law

## **RM21 Manage and Maintain Effective Systems for Responding to Recycling Operations Emergencies (F4W1 04)**

### **Area of competence**

This Unit is about reviewing and implementing systems and mechanisms to improve in response to potential emergencies which might arise in recycling operations.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Implement emergency plans and procedures
- ◆ Maintain effective response to emergencies through the use of procedures and drills

### **Performance Criteria**

#### **Implement emergency plans and procedures**

- a** Review emergency systems and procedures to ensure they provide an effective response to emergencies
- b** Implement new systems and procedures if they do not exist
- c** Establish preventative maintenance programmes to enable continuous availability and serviceability of emergency equipment
- d** Make provision for practices and drills to be carried out as a regular routine within normal work operations
- e** Introduce and establish mechanisms for enabling emergency plans and procedures to be communicated effectively to people concerned

#### **Maintain effective response to emergencies through the use of procedures and drills**

- f** Encourage proactive involvement by all personnel to improving emergency procedures and practices
- g** Carry out periodic reviews of emergency procedures, resources, and equipment
- h** Arrange for any shortcomings or deficiencies identified through reviews, practices, and drills to be resolved and implementation plans agreed and introduced
- i** Evaluate recommendations made by colleagues from the results of practices and drills to ensure performance targets are achieved and take steps to rectify shortfalls
- j** Evaluate recommendations from accident and incidents and make improvements to the emergency plan and its procedures

## **Knowledge and Understanding**

You must know and understand the following:

- 1 The application of relevant legislation
- 2 The types and uses of emergency equipment
- 3 Health and safety requirements
- 4 How to review emergency procedures
- 5 How to design and produce emergency systems and procedures
- 6 Handling implications of recyclables
- 7 How to introduce and establish emergency practices and drills
- 8 The procedures for setting targets for practices and drills
- 9 How to evaluate performance against targets
- 10 How to use the evaluation of drills and practices in reviewing emergency procedures
- 11 How to develop emergency plans and procedures
- 12 How to develop a culture of safe working
- 13 Ways of communicating effectively for different purposes and situations

## **Examples of Evidence:**

You must provide both performance evidence and knowledge evidence specific to your facility to demonstrate your managerial competence. You must demonstrate that you can achieve 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.

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

You can implement and maintain effective emergency procedures for the following types of emergency:

- ◆ vehicle accident
- ◆ plant accident
- ◆ fire
- ◆ serious injury to people
- ◆ damage to the environment

You can ensure effective use of emergency procedures for the following types of emergency:

- ◆ vehicle accident
- ◆ plant accident
- ◆ fire
- ◆ serious injury to people
- ◆ damage to the environment

You can ensure that maintenance procedures are effective for the following types of emergency equipment:

- ◆ fire fighting equipment
- ◆ escape equipment
- ◆ breathing apparatus
- ◆ spillage kit

You can maintain at an effective level the following emergency resources:

- ◆ water
- ◆ foam
- ◆ treatment for exposure to hazardous substances
- ◆ other first aid materials

You can use the results of practices and drills and incident/accident investigation to improve emergency procedures

In all, you must convince your assessor that you have the knowledge, understanding, and skills to manage competently all types of emergency listed above.

Work activities:

- ◆ emergency procedure drills

Products or outcomes:

- ◆ emergency procedures
- ◆ service records for emergency equipment
- ◆ communication of emergency procedures
- ◆ review of resources and equipment
- ◆ records of practices and drills
- ◆ analysis of results of practices and drills
- ◆ emergency procedures with amendments noted
- ◆ incident/accident investigations and their interpretation

Internal and external audits:

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

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

Written or spoken reports, describing:

- ◆ how you interpret the results of drills and practices
- ◆ how you monitor maintenance of emergency equipment
- ◆ how you ensure that procedures are known and understood
- ◆ how you interpreted the review of emergency resources and equipment, and how you took account of changes in working on the requirements for them
- ◆ how you interpreted the results of practices and drills and modified the procedures
- ◆ how you ensured that procedures met the requirements of legislation and the organisation
- ◆ how you interpreted incident/accident investigations and their implications for emergency procedures

Witness testimony:

- ◆ statements from people who observed your activities ensuring effective use of procedures

## **RM22 Control Working Operations for the Collection and Transport of Recyclable Materials (F4VM 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

## **Examples of Evidence**

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.

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:**

- ◆ Control of vehicles, plant and crews
- ◆ records of training for operatives in controlling vehicles, plant and crews
- ◆ safety equipment resources

### **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

## **RM23 Implement Improvements to Recycling Operations (F4VT 04)**

### **Area of competence**

This Unit is about monitoring recycling operations and producing project plans to improve recycling operations. It requires carrying out detailed cost-benefit analysis with objective evaluation before drawing up and implementing fully-costed specifications and schedules.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Monitor operations to identify improvements to recycling operations
- ◆ Evaluate the costs and benefits for improving the recycling operations
- ◆ Produce project plans for implementing improvements to recycling operations
- ◆ Implement and evaluate improvements to recycling operations

### **Performance Criteria**

#### **Monitor operations to identify improvements to recycling operations**

- a Use data records to monitor operations at intervals most likely to identify potential improvements
- b Give opportunities to a range of colleagues and management connected with the operations to input into monitoring reviews and to make recommendations for improvements
- c Seek input from other specialists, regulatory authorities, and others using the service on where improvements could be made

#### **Evaluate the costs and benefits for improving the recycling operations**

- d Use a range of quantitative and qualitative data and information to analyse and determine what aspects of the operations need improvement
- e Evaluate the costs and benefits of proposed improvements against company objectives
- f Show the possible impact of proposed improvements on other aspects of operations
- g Share, and invite feedback on, fully-formed and evidenced recommendations for improvements with those people who need to be involved and any who might be affected by changes

## **Produce project plans for implementing improvements to recycling operations**

- h** Produce a project plan for implementation based on the agreements reached
- i** Involve the necessary people or organisations within the development phase and get agreement or endorsements required before reaching final agreement from management

## **Implement and evaluate improvements to recycling operations**

- j** Provide clear and sufficient information to those responsible for implementing the improvement plan
- k** Monitor implementation of the plan against the specifications, schedules and budget which were agreed
- l** Act swiftly to rectify any deviations from the plan, specifications, schedules or budget
- m** Resolve any problems in achieving the expected project Outcomes
- n** Evaluate the changes introduced through the improvement plan against previous performance and the costs and intended benefits
- o** Report back on the evaluation to those people agreed within in the project plan

## **Knowledge and Understanding**

You know and understand the following:

- 1 Relevant legislation, Regulations and Codes of Practice applicable to safety, health and environment
- 2 Company objectives relating to environmental protection, health and safety, profitability, operational Outcomes and quality standards
- 3 Recent developments in technology and operating procedures within the recycling industry
- 4 Current operating costs within their area of responsibility
- 5 The capital, installation and running costs of proposed improvements
- 6 Cost benefit analysis methods and techniques
- 7 Quantitative and qualitative analysis techniques

- 8 Assessing the impact of potential improvements on other aspects of operations
- 9 Reporting lines and procedures in relation to project approval, monitoring and evaluation
- 10 Monitoring implementation of an improvement plan and how to do this
- 11 Problems that might be experienced when implementing an improvement plan and steps that could be taken in response to these

## **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 recycling operations managed.

### **Identification of potential improvement areas:**

- ◆ 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

## **RM24 Ensure Protection of the Environment During the Collection of Recyclable Materials (F4VM 04)**

### **Area of competence**

This Unit is about setting up systems to help manage recycling collections in a way which is environment-friendly and minimises any harmful effects which could arise from the operations.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Develop and implement systems to recognise and deal with risks to the environment
- ◆ Manage collection operations to maximise protection of the environment

### **Develop and implement systems to recognise and deal with risks to the environment**

- a Set up systems to recognise and report threats to the environment which could arise during collection operations
- b Introduce procedures to deal safely with threats to the environment and implement monitoring and recording systems to check they are used correctly
- c Communicate and advise personnel of systems and procedures by both verbal and textual means
- d Use data audit trails to monitor records and evaluate trends and measures taken to resolve failures and improvements which have been introduced

### **Manage collection operations to maximise protection of the environment**

- e Set up and implement a quality assurance system to protect the environment from harm which might be caused by collection operations
- f Develop and maintain quality assurance practices aimed at reducing any negative impacts on the environment which might be caused by collection operations
- g Develop and promote a culture of environmental awareness within collection operations
- h Use environment-awareness training to support collection operations
- i Investigate incidents harming the environment and take steps swiftly to resolve shortcomings and failures

- j Use reporting mechanisms with management to ensure there is support from key people within the organisation for environmental protection measures

### **Knowledge and Understanding**

You must know and understand the following:

- 1 Legislation applicable to protecting the environment
- 2 Legislation applicable to road transport operations
- 3 How to develop and implement systems and procedures for monitoring the environment
- 4 Information and reporting required by legislation and organisational policy
- 5 Possible threats posed by recycling collections and the transport used
- 6 Mechanisms for dealing with environmental threats
- 7 Personal protective equipment and measures for ensuring adherence to health and safety legislation
- 8 Incident investigation, reporting and rectification procedures
- 9 Risk identification and assessment techniques
- 10 Collection procedures
- 11 Organisation policy relating to protection of the environment and quality of collection and transport operations
- 12 Operating procedures for collection and transport of recyclable materials
- 13 Emergency systems and procedures
- 14 Methods for dealing with pollution, spillages and transportation
- 15 Interpretation and evaluation of results of operations monitoring and analysing trends
- 16 Interpersonal skills in dealing with colleagues (junior and senior) and others who are likely to come into contact with the operations
- 17 How to develop and maintain a positive environmental culture

## Examples of Evidence

You must provide both performance and facility specific knowledge evidence to demonstrate your managerial competence. The performance evidence must demonstrate that you 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.

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

You can manage the recognition and response to the following examples of environmental threats:

- ◆ litter
- ◆ spillage
- ◆ fly-tipping

You can operate the following types of record systems:

- ◆ manual
- ◆ electronic

You have identified and rectified instances of harm arising from human error and from operational control failure.

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of both types of record system.

Work activities:

- ◆ giving guidance to personnel
- ◆ improving control systems from experience of dealing with threats
- ◆ collection and transport operations

Products or outcomes:

- ◆ list of threats identified
- ◆ details of related recognition and response systems
- ◆ records of implementation of systems
- ◆ documented procedures for responding to environmental harm
- ◆ records showing correct implementation
- ◆ details of specific experiences resulting in improvements
- ◆ detail of quality assurance check system
- ◆ system records
- ◆ identified instances of harm arising
- ◆ investigation and action taken

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

Written or spoken reports, describing:

- ◆ how you identified potential threats and designed the recognition and response systems
- ◆ situations where guidance has been given to personnel and details of it
- ◆ how you used experience in dealing with threats to improve systems and procedures
- ◆ the operation of the system of quality assurance
- ◆ how you investigated and interpreted instances of harm arising
- ◆ how you decided on the action to be taken

Witness testimony:

- ◆ statements from people who observed you managing operations to maximise protection of the environment

## **RM25 Manage a Budget (DR5F 04)**

*This Unit is equivalent to E1 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 having ownership of and being responsible for a budget for a defined area or activity of work. It initially involves preparing, submitting and agreeing a budget for a set operating period. It also involves monitoring actual performance against the agreed budget and taking necessary action in response to identified variances and any unforeseen developments.

#### **Who is the Unit for?**

The Unit is recommended for first line managers.

#### **Skills**

Listed below are the main generic skills which need to be applied in managing a budget. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Communicating
- ◆ Decision-making
- ◆ Monitoring
- ◆ Acting assertively
- ◆ Presenting information
- ◆ Reporting
- ◆ Learning
- ◆ Negotiating
- ◆ Consulting
- ◆ Information management
- ◆ Evaluating
- ◆ Contingency planning
- ◆ Problem solving

## **Outcomes of Effective Performance**

You must be able to do the following:

- a Evaluate available information and consult with others to prepare a realistic budget for the respective area or activity of work.
- b Submit the proposed budget to the relevant people in the organisation for approval and to assist the overall financial planning process.
- c Discuss and, if appropriate, negotiate the proposed budget with the relevant people in the organisation and agree the final budget.
- d Use the agreed budget to actively monitor and control performance for the respective area or activity of work.
- e Identify the causes of any significant variances between what was budgeted and what actually happened and take prompt corrective action, obtaining agreement from the relevant people if required.
- f Propose revisions to the budget, if necessary, in response to variances and/or significant or unforeseen developments and discuss and agree the revisions with the relevant people in the organisation.
- g Provide on-going information on performance against the budget to relevant people in your organisation.
- h Advise the relevant people as soon as possible if you have identified evidence of potentially fraudulent activities.
- i Gather information from implementation of the budget to assist in the preparation of future budgets.

## **Behaviours which underpin effective performance**

- I You present information clearly, concisely, accurately and in ways that promote understanding.
- II You act within the limits of your authority.
- III You show integrity, fairness and consistency in decision-making.
- IV You say no to unreasonable requests.
- V You use communication styles that are appropriate to different people and situations.
- VI You take and implement difficult and/or unpopular decisions, if necessary.
- VII You respond quickly to crises and problems with a proposed course of action.

## **Knowledge and Understanding**

You need to know and understand the following:

### ***General knowledge and understanding***

- 1 The purposes of budgetary systems.
- 2 Where to get and how to evaluate the available information in order to be able to prepare a realistic budget.
- 3 The importance of spending time on and consulting with others in preparing a budget.
- 4 How to discuss, negotiate and confirm a budget with people who control the finance and the key factors that should be covered.
- 5 How to use a budget to actively monitor and control performance for a defined area or activity of work.
- 6 The main causes of variances and how to identify them.
- 7 What different types of corrective action could be taken to address identified variances
- 8 How unforeseen developments can affect a budget and how to deal with them.
- 9 The importance of agreeing revisions to the budget and communicating the changes.
- 10 The importance of providing regular information on performance against the budget to other people.
- 11 Types of fraudulent activities and how to identify them.
- 12 The importance of using the implementation of the budget to identify information and lessons for the preparation of future budgets.

### ***Industry/sector specific knowledge and understanding***

- 1 Factors, processes and trends that are likely to affect the setting of budgets in the recycling industry.

### ***Context specific knowledge and understanding***

- 1 The area or activity for which the budget is for.
- 2 The vision, objectives and operational plans for your area of responsibility.
- 3 The budgeting period(s) used in your organisation.
- 4 Organisational guidelines and procedures for the preparation and approval of budgets and for monitoring and reporting of performance against budgets and revising budgets.
- 5 The agreed budget, how it can be used and how much it can be changed without approval.
- 6 The limits of your authority.
- 7 Who needs information in your organisation about performance against your budget, what information they need, when they need it and in what format.
- 8 What to do and who to contact if you suspect fraud has been committed.

## 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 *Examples of Evidence* 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 *Examples of Evidence* 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
<b>Documents, spreadsheet printouts and other records relating to a budget you have prepared and managed:</b>				
♦ documents, spreadsheet printouts and other records of past budgets, forecasts of future activity, income/revenue and expenditure, costs and prices that you have used to prepare a draft budget	1, 2	1, 2, 3, 11	1	1, 2, 3, 4, 6
♦ draft budgets, papers to support your draft, and notes, minutes and other records of negotiations with appropriate managers to agree and finalise or to revise your budget, and copies of agreed budgets	1, 2, 3, 5, 6	1, 3, 4, 8, 9	1	1, 2, 3, 4, 5, 6
♦ records of activity, income/revenue and/or expenditure, variance analyses and reports you have prepared on budget outturns, and any proposed actions in the light of variances, evidence of fraudulent activity or management requirements to make budget changes	1, 2, 4, 5, 6, 7	1, 5, 6, 7, 8, 10, 11	1	1, 3, 4, 5, 6, 7, 8

♦ personal statements (reflections on your use of information to construct a budget, negotiate and obtain approval for it, monitor outturns and make any changes needed)	2, 3, 4, 6, 7	1, 2, 4, 5, 6, 7, 8, 9, 10, 11, 12	1	1, 2, 3, 4, 5, 6, 7, 8
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## **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

#### **Application of company Health and Safety Policy:**

- ◆ organisation and relevant arrangements documents
- ◆ organisation and relevant arrangements documents relating to contractors
- ◆ COSHH assessments and records
- ◆ operative training in the use of PPE and other safety equipment
- ◆ 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

## **RM27 Prepare Proposals and Obtain Contracts for Recycling Services (F4WE 04)**

### **Area of competence**

This Unit is about determining opportunities for tendering for contracts for recycling services, preparing proposals to meet the tender, and submitting proposals to potential clients. It requires negotiating with clients and finalising contracts for recycling services.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Determine opportunities for tendering for contracts
- ◆ Prepare and submit proposals for providing existing and new recycling services
- ◆ Finalise contracts for services with existing and new clients

### **Performance Criteria**

#### **Determine opportunities for tendering for contracts**

- a Select the criteria to be used to assess tender opportunities
- b Use the criteria to rank tender opportunities
- c Define and confirm client needs
- d Offer alternatives to the client where you consider the tender specification is not achievable

#### **Prepare and submit proposals for providing existing and new recycling services**

- e Use accurate and full information to prepare proposals
- f Assess the cost of the resources required to fulfil the contracts
- g Agree with the client, and confirm in the proposal, any variations from the tender requirements and procedures for contract variation after work has started
- h Identify client benefits in the proposal and in the presentation to the client
- i Ensure documentation is complete and is submitted in the way defined in the tender and within the specified timescale

#### **Finalise contracts for services with existing and new clients**

- j Reach and agree with the client on post tender negotiations and

confirm them in writing

- k** Obtain the best possible conditions for your organisation in the contract
- l** Ensure the contract assigns liability clearly for foreseeable contingencies between the client and your organisation
- m** Confirm with the client the contract criteria for agreed performance measurement, rewards and liquidated damages

### **Knowledge and Understanding**

You know and understand the following:

- 1 Organisational policy related to pursuing tenders
- 2 Determining criteria for assessment of tender opportunities and deciding which to choose
- 3 Tender requirements and procedures
- 4 How to identify client needs
- 5 How to evaluate own previous contract performance
- 6 How to evaluate potential competitive activity
- 7 Selection of variations to be negotiated
- 8 Services that can be made available now and in future
- 9 Resources available now and in the future
- 10 Operating costs from past experience
- 11 Client status and needs
- 12 Costs and variations negotiated
- 13 How to prepare, cost, negotiate, and present proposals
- 14 Contract law
- 15 Organisational policies for contracting for recycling services
- 16 Organisational documentation and presentation styles
- 17 Services currently provided to clients and potential new services that could be provided

- 18 Sources of additional resources and availability
- 19 How to use different types of oral and written communications
- 20 How to negotiate
- 21 How to determine contract contingencies and liability assignment
- 22 How to determine criteria for performance measures, rewards and liquidated damages

### **Examples of Evidence**

You must provide both performance evidence and knowledge evidence specific to your facility to demonstrate your managerial competence. You must demonstrate that you can achieve all the Performance Criteria consistently. When performance evidence does not clearly show the necessary knowledge and understanding, you will be questioned on it.

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

A proposal relating to the following examples of client:

- ◆ an existing client
- ◆ a new client

Evidence that the proposal relates to the following examples of services:

- ◆ services already in existence
- ◆ new services

Evidence that the proposal contains the following details:

- ◆ technical specifications
- ◆ quantities
- ◆ timing
- ◆ price
- ◆ contract delivery arrangements
- ◆ communication
- ◆ support
- ◆ liquidated damages and reward clauses

Evidence that the proposal meets the relevant parts of the following legislation:

- ◆ Environmental Protection Act
- ◆ Health and Safety at Work Act
- ◆ contract law

In all, you must convince your assessor that you have the knowledge, understanding, and skills to manage competently the inclusion of all details listed above.

Work activities:

- ◆ negotiation with client
- ◆ agreement on variations with client

Products or outcomes:

- ◆ tender assessment criteria
- ◆ client information
- ◆ review of past contract performance and implications for tender
- ◆ resources implications of proposal and how they will be met
- ◆ the proposal
- ◆ variations agreed with client
- ◆ client benefits highlighted in the proposal
- ◆ cost benefits to organisation
- ◆ confirmation of negotiations
- ◆ finalised contract
- ◆ liability assignments
- ◆ other contract conditions, reward, and liquidated liability clauses

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

Written or spoken reports describing:

- ◆ how you decided on the criteria to be used in selecting tenders to propose for
- ◆ how you took into account competitor performance
- ◆ how you took into account your previous contract performance
- ◆ why, and how you decided to offer alternatives to the tender details
- ◆ timescale achieved
- ◆ how you used the client information and the tender to prepare the proposal
- ◆ how you decided on the variations to negotiate and the basis for the negotiation
- ◆ how you decided on the client benefits to quote in your proposal
- ◆ how you ensured that the final contract complied with the relevant legislation
- ◆ how you determined and agreed the liability assignments, rewards, and liquidated damages clauses

Witness testimony:

- ◆ statements from people who worked with you in finalising the contract

## **RM28 Manage Contracts for Recycling Services (F4W2 04)**

### **Area of competence**

This Unit is about implementing and managing contracts for recycling services with clients. It involves making sure resources are available with which to operate the contract and, after it is implemented, taking steps to make sure it is operated according to agreements. It requires an ability to negotiate with the client where situations arise which need a formal variance to the contract to be agreed and implemented.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Prepare to implement client contracts for recycling services
- ◆ Implement and control the operation of client contracts
- ◆ Negotiate variations to contracts
- ◆ Review contract performance and use data to enhance future contracts

### **Performance Criteria**

#### **Prepare to implement client contracts for recycling services**

- a Confirm with clients and your own people the expected standards of operation and the methods agreed for monitoring performance of the contract
- b Quantify the resources required for the contract, decide who will provide them, and make arrangements to obtain them
- c Arrange to communicate to the client and your own people the results from monitoring and any steps required to be taken
- d Agree the measures to be taken in case there is below-standard performance of the contract
- e Confirm resource expenditure is within the authorised limits
- f Involve your own contract staff, finance and legal people, and the client at the appropriate points in preparing the contracts

#### **Implement and control the operation of client contracts**

- g Evaluate operating procedures to ensure they meet the requirements of the contract and make changes to resolve shortfalls
- h Assess compliance with the agreed standards of performance at appropriate intervals
- i Record and report contract variations swiftly to the client and your own people

- j** Investigate the causes of recorded variations and take steps promptly to correct the situation and to avoid recurrence
- k** Keep records of variations which are resolved and contracts renegotiated, making sure they are suitable for use for a range of potential purposes connected with the contracted services and will help with assessment of contract performance

### **Negotiate variations to contracts**

- l** Involve your finance and legal people and those responsible for monitoring, or affected by, the contract performance in discussions about contract variations
- m** Justify requests to renegotiate the contract in a professional manner
- n** Involve the client in discussions about situations which require variations and renegotiation of the contract terms and make sure the client is aware of the financial and service implications of requested variations
- o** Summarise and cost suggested changes and circulate it to the relevant people

### **Review contract performance and use data to enhance future contracts**

- p** Collate and assess data from contract performance and use it for helping in preparing future recycling services proposals
- q** Summarise and cost improvements for changes and circulate it to your people for comment
- r** Pass information on changes to those people who are responsible for future tender responses

## **Knowledge and Understanding**

You must know and understand the following:

- 1 Names of contact and channels of communication between contract parties
- 2 How to quantify and make available necessary resources
- 3 Existing resources, allocation to other work, and potential sources of additional resources
- 4 Quantifying and making available the necessary resources
- 5 Contract conditions and other details
- 6 Contractual standards and how to interpret them
- 7 Monitoring processes and arrangements for communicating monitoring results
- 8 Techniques of negotiating and implementing corrective action
- 9 Results of assessment against standards
- 10 Identifying causes of variations, correcting variations and avoiding recurrence
- 11 Standards of performance and methods of performance assessment
- 12 Types and causes of variations connected with quality and quantity of service, and external factors which could affect contract delivery which justify renegotiation of contract
- 13 Existing operating procedures and their relationship to contract requirements
- 14 Changes in the working environment causing variations
- 15 Ways to deal with variations and impact upon client
- 16 How to investigate shortfall in performance and assess contract performance
- 17 How to review contracts and identify desirable changes in contract details for response to future tenders
- 18 Reasons for under-performance on contracts
- 19 How to respond to changed legislation and organisational policy
- 20 How changed circumstances, new technology or techniques can affect the operation of contracts
- 21 Ways to incorporate feedback from recipients from recycling services in future service contracts
- 22 How to assess existing contracts and recommend changes for the future
- 23 How to record feedback from clients on operation of current contracts

## **Evidence Requirements**

You must provide both performance evidence and knowledge evidence specific to your facility to demonstrate your managerial competence. You must demonstrate that you can achieve all the Performance Criteria consistently. When performance evidence does not clearly show the necessary knowledge and understanding, you will be questioned on it.

## **Examples of Evidence**

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

You have communicated effectively with all the following types of relevant people:

- ◆ those responsible for monitoring contract performance
- ◆ those responsible for quality of service provided
- ◆ the client
- ◆ those receiving the service (where permitted)

You have covered the following contract details:

- ◆ points of contact with contractor
- ◆ starting date
- ◆ sanctions to be imposed by the client in case of below-standard performance
- ◆ contingency plans

You have made contact, where appropriate, with the following people:

- ◆ own contract staff
- ◆ finance department
- ◆ legal department
- ◆ client
- ◆ client's supervisory staff

Evidence for dealing with the following example causes of variation:

- ◆ quality of service
- ◆ quantity of service
- ◆ external factors affecting contract delivery
- ◆ changes in the working environment
- ◆ other situation not foreseen by client or contractor

You have communicated with the following people as appropriate in relation to renegotiation:

- ◆ those responsible for monitoring contract performance
- ◆ those affected by contract performance
- ◆ finance department
- ◆ legal department

For one contract a review which includes all the following topics:

- ◆ review of current contract performance
- ◆ reasons for under-performance
- ◆ reasons for approved variations

Evidence that you suggested contract specification changes arising from the following types of situation:

- ◆ changed circumstances
- ◆ new technology or techniques
- ◆ changed legislation, organisation policy
- ◆ reaction from recipients of service

You must also show evidence that you circulated the summary of suggested changes to all relevant people as follows:

- ◆ those providing the service specified
- ◆ finance department

Work activities:

- ◆ communication of contract data to others
- ◆ contact with client on variations
- ◆ negotiations with client
- ◆ evaluation of performance of contracts

Products or outcomes:

- ◆ contact details
- ◆ contract performance assessment methods
- ◆ communication arrangements
- ◆ resource allocation and sources
- ◆ assessment of compliance with standards
- ◆ variations and causes
- ◆ action required and resolution achieved
- ◆ reports on renegotiation requirements
- ◆ request for contract variation and reasoning
- ◆ financial and service implications
- ◆ agreed variation and methods of communication to be used to all concerned parties
- ◆ performance assessment and data to be carried forward
- ◆ summary of suggested changes
- ◆ impact of changes on own organisation and client
- ◆ decision on what changes to attempt to incorporate into future contracts

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

Written or spoken reports describing:

- ◆ how you quantified the resources necessary and where you obtained them

- ◆ how you reached agreement with the client on methods of contacting his people
- ◆ how you reached agreement with the client on methods of monitoring performance of the contract
- ◆ the monitoring and communication process
- ◆ how you identified causes of variations
- ◆ what action you initiated to correct the variations
- ◆ how you reported to the client on the variations and correction methods
- ◆ how you decided on the selling points for the variation request
- ◆ your preparations for the negotiation
- ◆ the Outcome of the negotiation and the action agreed
- ◆ how you drew conclusions from assessment of performance of contracts
- ◆ how the specification for future contracting was amended

Witness testimony:

- ◆ statements from people who worked with you on determining changes required in future

## **RM29 Select Contractors for the Supply of Services or Goods (F4WH 04)**

### **Area of competence**

This Unit is about acting in the capacity as a client when selecting a contractor for the supply or services or goods. It involves getting together all the legal and organisational information you will need to prepare tenders, resolve queries, and taking all the steps necessary for selecting and appointing contractors.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Prepare the invitation to tender for the supply of services or goods
- ◆ Evaluate tender bids
- ◆ Place the contract for the supply of services or goods

### **Performance Criteria**

#### **Prepare the invitation to tender for the supply of services or goods**

- a Agree with your people details of the services or goods required and the organisation's objectives for standardisation, user satisfaction, cost, and quality of goods or performance of service
- b Agree and record the criteria for the selection of contractors
- c Take account of comments from others to modify the draft contract documentation
- d Prepare the draft contract documentation to meet organisational policy and legal requirements and which includes cancellation procedures
- e Offer within the draft contract adequate protection and acceptable risk regarding default
- f Include in the draft contract criteria for successful performance, payment procedures, and any provision for inducements or liquidated damages
- g Prepare tenders and circulate to potential suppliers
- h Provide additional information to potential contractors as required

#### **Evaluate tender bids**

- i Deal with bids as required by legislation and organisational procedures
- j Evaluate bids against selection criteria

- k** Consult with others and recommend which supplier should be offered the contract

### **Place the contract for the supply of services or goods**

- l** Make the contract offer promptly
- m** Resolve queries from the supplier without delay on the terms of the contract
- n** Take steps to ensure all contract documentation is complete and accurate
- o** Obtain authorisation for the contract before sending it to the supplier with a requirement for its receipt to be acknowledged
- p** Communicate and distribute contract details to the relevant people

### **Knowledge and Understanding**

You must know and understand the following:

- 1 Contract law
- 2 Legal requirements for contracting and organisational policy
- 3 Principles of management of contracted supply
- 4 Organisational objectives and detailed contract requirements
- 5 Required terms and conditions of contract
- 6 How to prepare contracts for new business and continuing business
- 7 Required conditions of supply and specifying conditions for failure to supply
- 8 How to draft main clauses, penalty and reward clauses, provision for cancellation
- 9 How to identify potential breach situations and protect against them
- 10 Procedures for handling tender bids
- 11 Organisation policy on acceptance of tender bids
- 12 Using selection criteria
- 13 Terms and conditions of contract and required conditions of supply

- 14 How to assess and evaluate bids and take account of price, quality standards, contract delivery, agreed methods of payment, terms of payment and security of supply
- 15 Potential contractors past history
- 16 Reliability and financial stability of contractors
- 17 How to complete contract documentation, dispatching it to the contractor by mail, electronic mail or hand, and how to obtain acknowledgement
- 18 Obtaining authorisation of contract
- 19 Resolving queries with the contractor
- 20 Authority levels for approving contracts
- 21 Distributing contract details to those receiving the contracted goods or services; those monitoring the contract performance; those responsible for the quality of the goods or services
- 22 Suppliers production and delivery timescales where relevant
- 23 Coding systems

### **Evidence Requirements**

You must provide both performance evidence and knowledge evidence specific to your facility to demonstrate your managerial competence. You must demonstrate that you can achieve all the Performance Criteria consistently. When performance evidence does not clearly show the necessary knowledge and understanding, you will be questioned on it.

### **Examples of Evidence**

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

You prepare a draft contract for at least one of the following types of business:

- ◆ new business
- ◆ continuing business

You agreed objectives and detail with the following example groups of people:

- ◆ those receiving the contracted goods/services
- ◆ those monitoring the contract performance
- ◆ those responsible for the quality of the goods/services obtained

The organisational objectives include the following items:

- ◆ standardisation of goods/services
- ◆ user satisfaction
- ◆ cost
- ◆ quality or performance

You take into account the following factors:

- ◆ price
- ◆ quality standards
- ◆ contract delivery
- ◆ agreed methods of payment
- ◆ terms of payment and security of supply
- ◆ preparation of tenders in accordance with all legal requirements

You despatched the contract to the contractor using one of the following transmission methods:

- ◆ mail
- ◆ electronic mail
- ◆ by hand

You distributed contract details to the following types of people:

- ◆ those receiving the contracted goods or services
- ◆ those monitoring the contract performance
- ◆ those responsible for the quality of the goods or services obtained

In all, you must convince your assessor that you have the knowledge, understanding, and skills to manage competently the despatch of the contract by all methods, and the distribution of contract details to types of people listed above.

Work activities:

- ◆ agreement on objectives and details of draft contract
- ◆ assessment of bids against criteria
- ◆ resolution of queries with supplier
- ◆ distribution of contract details

Products or outcomes:

- ◆ comments and suggestions and the way they were used in the draft contract
- ◆ selection criteria
- ◆ draft contract documentation and criteria met
- ◆ information provided to contractors
- ◆ bid documentation
- ◆ modifications requested by contractors
- ◆ criteria for successful performance
- ◆ contractor short list
- ◆ recommendation for award of contract
- ◆ the contract itself
- ◆ contract acknowledgement

- ◆ contact transmission date and target date
- ◆ resolution of queries on contract
- ◆ copy distribution list

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

Written or spoken reports describing:

- ◆ how you analysed the results of consultation to determine the objectives and detail of the draft contract
- ◆ how you determined the selection criteria
- ◆ how you ensured adequate protection against default
- ◆ how you decided on criteria for successful performance
- ◆ how you decided on provision for inducements and liquidated damages
- ◆ how you assessed each contractor against the criteria
- ◆ how you decided on the short list
- ◆ how you finalised your recommendation
- ◆ how you resolved the queries
- ◆ how you checked that all necessary people had received a copy of the details

Witness testimony:

- ◆ statements from people with whom you worked in placing the contract

## **RM30 Implement and Manage Contracted Services or Supplies (F4V5 04)**

### **Area of competence**

This Unit is about acting in the capacity of a client to monitor and manage the services or supplies of contracts you have awarded to another organisation.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Implement contracts for services or supplies
- ◆ Resolve failures to meet contract requirements
- ◆ Evaluate and authorise variations to contracts
- ◆ Review contract performance and use data to enhance future contracts

### **Performance Criteria**

#### **Implement contracts for services or supplies**

- a** Confirm communication channels between your organisation and the contractor are understood by all concerned
- b** Confirm, with your people and the contractor, the methods agreed for assessing contract performance meets with the standards required
- c** Inform your people and the contractor of the results of monitoring the contract performance and any further steps needed
- d** Make arrangements for payment based on your assessment of the contractor's performance
- e** Keep and maintain records showing the reasons if payment differs from the contract terms

#### **Resolve failures to meet contract requirements**

- f** Confirm investigations into failures to meet contract requirements have identified the reasons correctly and they are recorded according to organisational procedures
- g** Initiate, and hold, exploratory discussions with the contractor and users of the services to find ways of resolving failures
- h** Assess the reasons from investigations and take the reasons for failures into account when making decisions
- i** Refer details of failures for legal advice and initiate action to obtain redress if necessary

- j** Obtain alternative services when the contractor fails to meet the contract and cannot rectify the problem
- k** Take steps to ensure future services will meet the contract specification
- l** Record failures and their resolution on contractor appraisal documentation and circulate it to the contractor and your own people

#### **Evaluate and authorise variations to contracts**

- m** Examine and assess requests for variation to the contract to confirm they are justified by the facts
- n** Provide an evaluation of the effects of variation requests on contract finances, timescales, and services
- o** Agree any alteration to terms and payments with the contractor and record them in accordance with organisational procedures
- p** Inform promptly the contractor and your people about approved variations and their implications

#### **Review contract performance and use data to enhance future contracts**

- q** Collate and assess data from the contractor's performance and use it for helping the preparation of future contracts
- r** Summarise and cost suggested changes and circulate the information for comment
- s** Incorporate approved changes into the contract specification process in time for the preparation of future tenders

#### **Knowledge and Understanding**

You know and understand the following:

- 1 Contract law
- 2 Standards of performance laid down
- 3 Method of assessment of contract performance against standards
- 4 How to identify causes of variance in performance
- 5 How to identify corrective action needed and how to avoid recurrence
- 6 Variations justifying cancellation or renegotiation of contract

- 7 How to review and assess contract performance and the reasons for under-performance and approved variations
- 8 How to deal with specification changes arising from changed circumstances, changed legislation, organisation policy, reactions from recipients of service
- 9 How to identify and communicate variations in performance
- 10 How to obtain redress for unsatisfactory service/supply
- 11 How to record variations and their resolution
- 12 Contract terms and conditions
- 13 Agreed communication channels
- 14 Sources of legal advice
- 15 The application of relevant legislation
- 16 The standards specified in the contract and methods of assessment against them
- 17 Procedures for authorisation and for payment
- 18 The validity of contract variations
- 19 The reasons for contract variation that are acceptable
- 20 Performances of current contracts
- 21 How and why to involve input on assessment of contract performance from those affected by the service specified; those responsible for monitoring the service provided; those responsible for the quality of the service provided; finance and legal people
- 22 Reasons for variations in performance
- 23 Reasons for requests to vary contract terms
- 24 Implications for service/supply specifications for future contract tenders

## **Evidence Requirements**

You must provide both performance evidence and knowledge evidence specific to your facility to demonstrate your managerial competence. You must demonstrate that you can achieve 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.

## **Examples of Evidence**

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

You assess performance of the contract using the following examples of information:

- ◆ review of current contract performance
- ◆ reasons for under-performance
- ◆ reasons for approved variations

Show evidence that comments on the performance assessment are sought from the following types of people:

- ◆ those affected by the service specified
- ◆ those responsible for monitoring the service provided
- ◆ those responsible for the quality of the service provided

You communicate details of contract failure, its resolution, and any alteration of terms and payments to the following relevant people:

- ◆ those responsible for monitoring contract performance
- ◆ those responsible for quality of service provided
- ◆ finance department
- ◆ legal department
- ◆ contractor or contractor's supervisory staff
- ◆ others associated with the contracted service/supply

Evidence of dealing with failures arising from the following reasons:

- ◆ quality of service
- ◆ quantity of service
- ◆ incorrect claims against contract

Assessment of the contract performance covered the following topics:

- ◆ quality of service/supply
- ◆ maintenance of schedules
- ◆ public image

Show evidence that variation in contract arose from one of the following reasons:

- ◆ external factors over which the contractor had no control
- ◆ changes originating from your organisation

- ◆ inaccurate information provided by you

You assess contract performance using the following sources of data:

- ◆ review of current contract performance
- ◆ reasons for under-performance
- ◆ reasons for approved variations

Show evidence of dealing with a need for specification changes arising from the following:

- ◆ changed circumstances
- ◆ changed legislation
- ◆ organisation policy
- ◆ reaction from recipients of service

Show evidence that comments on the performance assessment are sought from the following types of people:

- ◆ those affected by the service specified
- ◆ those responsible for monitoring the service provided
- ◆ those responsible for the quality of the service provided finance department

In all, you must convince your assessor that you have the knowledge, understanding, and skills to manage competently specification changes arising from all the needs listed above.

Work activities:

- ◆ communication of monitoring results
- ◆ discussion of failure to meet contract requirements and its rectification
- ◆ discussion with the contractor on performance variations
- ◆ discussion with recipients of contracted service
- ◆ assessment of performance
- ◆ communication with contractor on variations to contract terms
- ◆ assessment of contract performance
- ◆ review of previous contracts and reasons for failure or variation

Products or outcomes:

- ◆ communications relating to contract performance
- ◆ results of assessment and monitoring
- ◆ notes on required action
- ◆ assessment reports
- ◆ contractor appraisal records
- ◆ notes on resolution of contract failures or variations
- ◆ agreed variation in contract payments and reasons
- ◆ request for redress for failure
- ◆ assessment of contract performance
- ◆ reasons for variation requested
- ◆ approved variation to contract
- ◆ report on results of contract assessments

- ◆ identification of changes in service/supply specification for future contract tenders and recommendations
- ◆ consultation results

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

Written or spoken reports describing:

- ◆ how you set up the communication channels with the contractor
- ◆ how you briefed your people on what to look for in below-standard performance
- ◆ how you decided what information about the contract should go to what people in your organisation
- ◆ how you determine variances in payment due to failure to meet the contract requirements
- ◆ how you checked the causes of contract variations
- ◆ how you negotiated with contractor to resolve the situation
- ◆ results of taking legal advice
- ◆ how you agreed on redress
- ◆ how you agreed alteration in terms of payment
- ◆ what you put into the contractor appraisal documentation
- ◆ how you checked the reasons for the requested variation in the contract
- ◆ how you agreed the variation with the contractor
- ◆ how you determined the needed changes to the service/supply specification

Witness testimony:

- ◆ statements from people with whom you worked in determining the need for changes to the service/supply specification for the future

## **RM31 Ensure Protection of the Environment in Facilities Used for the Processing or Storage of Recyclable Materials**

### **Area of competence**

This Unit is about using environment protection measures to help manage facilities for processing or storing recyclable materials.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Develop and implement systems and control measures for processing or storage of recyclable materials
- ◆ Minimise risks to the environment through protection measures
- ◆ Develop a work environment which promotes responsibility for environment well-being

### **Performance Criteria**

#### **Develop and implement systems and control measures for processing or storage of recyclable materials**

- a Establish systems to monitor and control working practices, and the use of materials, products or equipment which could cause harm to the environment
- b Take steps to ensure systems and procedures for monitoring impacts on the environment are implemented fully and are being used
- c Report any hazards which present high risks to the environment to the relevant people for those situations you are unable or unauthorised to deal with
- d Act swiftly to make sure preventative or corrective measures are taken when monitoring data shows deviations from expected norms

#### **Minimise risks to the environment through protection measures**

- e Monitor procedures to confirm environment protection mechanisms are established for all site operations and are consistent with applicable legislation and the organisation's environmental policy and procedures
- f Provide advice and guidance to staff through a range of communication and training methods with the purpose of limiting and controlling potential or actual harm to the environment
- g Maintain accurate and up-to-date records of potential and actual harm to the environment and the steps taken to limit and control risks

- h** Use your own and others' experience of dealing with environmental hazards to improve environmental protection control systems and procedures

**Develop a work environment which promotes responsibility for environment well-being**

- i** Use a range of oral and textual methods to communicate the environmental procedures to all staff
- j** Support and develop the organisation's commitment to environmental protection and encourage staff to demonstrate their commitment through contributions to reviewing practices and procedures
- k** Check and confirm staff are receiving relevant training on implementing environmental procedures and address any shortfalls which are identified
- l** Investigate and correct any situations where there is non-compliance of protection procedures

**Knowledge and Understanding**

You know and understand the following:

- 1 Relevant legislation, regulations and Codes of Practice applicable to safety, health and environment
- 2 Company environmental policy and procedures
- 3 How to identify, monitor and evaluate the working practices, materials, products or equipment which could cause harm to the environment
- 4 The hazards to the environment arising from the operations carried out on site and the procedures required to minimise and manage risk
- 5 The importance of remaining alert to the presence of hazards to the environment in the whole workplace
- 6 Personal responsibilities for controlling hazards to the environment
- 7 Risk identification methods, techniques and monitoring systems suitable for a facility that handles recyclable materials
- 8 Environmental control systems required for operations carried out on their facility
- 9 The actions and personal authorisation for responding to hazards which present risks to the environment and which situations should be referred to someone else

- 10 Legal and workplace requirements for reporting potential and actual harm to the environment
- 11 How to communicate workplace environmental procedures orally and textually
- 12 The importance of checking people's understanding of procedures to be followed and how to do this
- 13 Legal and company requirements for staff training in relation to environmental protection and company procedures for ensuring staff receive the necessary training
- 14 The records required by legislation and your organisation relating to environmental procedures and incident reports

### **Evidence Requirements**

You must provide both performance and facility specific knowledge evidence to demonstrate your managerial competence. The performance evidence must demonstrate that you 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.

#### **Examples of Evidence:**

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

You can operate the following types of record systems:

- ◆ manual
- ◆ electronic

Evidence that you have identified and rectified instances of harm arising from human error and from operational control failure.

You can manage the recognition and response to the following examples of environmental threats:

- ◆ litter
- ◆ spillage
- ◆ fly-tipping

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all threats and responses

Work activities:

- ◆ collection and transport operations
- ◆ giving guidance to personnel
- ◆ improving control systems from experience of dealing with threats

Products or outcomes:

- ◆ detail of quality assurance check system
- ◆ system records
- ◆ identified instances of harm arising
- ◆ investigation and action taken
- ◆ list of threats identified
- ◆ details of related recognition and response systems
- ◆ records of implementation of systems
- ◆ documented procedures for responding to environmental harm
- ◆ records showing correct implementation
- ◆ details of specific experiences resulting in improvements

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

Written or spoken reports, describing:

- ◆ the operation of the system of quality assurance
- ◆ how you investigated and interpreted instances of harm arising
- ◆ how you decided on the action to be taken
- ◆ how you identified potential threats and designed the recognition and response systems
- ◆ situations where guidance has been given to personnel and details of it
- ◆ how you used experience in dealing with threats to improve systems and procedures

Witness testimony:

- ◆ statements from people who have observed you maintaining environmental control measures

## **RM32 Manage the Reception of Recyclable Materials (F4W4 04)**

### **Area of competence**

This Unit is about ensuring the receipt and inspection of recyclable materials operations are carried on in a way which is safe and deals with the various types of materials effectively.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Manage the reception and inspection of recyclable materials
- ◆ Control hazards and risks
- ◆ Use and communicate data and information

### **Performance Criteria**

#### **Manage the reception and inspection of recyclable materials**

- a** Implement and monitor procedures to ensure recyclable materials which are received and inspected comply with all approved procedures, practices, and codes of practice
- b** Monitor the receipt of materials which require specific types of handling to make sure procedures and work practices take the requirements into account
- c** Monitor and maintain safe systems for vehicle movements and unloading
- d** Make adjustments to systems and procedures where evidence indicates changes are required to the way work is carried out
- e** Deal with unauthorised recyclable materials in accordance with organisational policy and procedures

#### **Control hazards and risks**

- f** Use risk assessments to guide safety effectiveness and minimise risks
- g** Make changes and remedy any unsafe work activities promptly
- h** Raise matters about potential unsafe working with senior colleagues and seek solutions
- i** Investigate complaints from workers or other people connected with the site, or location, for whom you are responsible and take steps necessary to resolve them

- j Raise unsafe working promptly with workers who are acting in a way which could result in harm to themselves or others and bring about changes to their activity or behaviour
- k Operate and monitor procedures for site visitors

### **Use and communicate data and information**

- l Use the data and information from workplace risk assessments to inform the way systems and activities are designed, monitored and changed
- m Make sure workers know what safe work systems and methods are in place and that they understand and use them
- n Report accidents promptly in the way laid down in the organisation's procedures
- o Advise colleagues and workers of all new or changed work procedures and practices

### **Knowledge and Understanding**

You know and understand the following:

- 1 Relevant legislation, regulations and Codes of Practice applicable to safety, health and environment
- 2 The storage and handling implications of the recyclable material types received
- 3 The sorts of personal protective equipment required for the recyclable material types received and the procedures for effective care, maintenance and use of this equipment
- 4 The different handling equipment available on site, and the function, use and limitations of each of these
- 5 Recyclable materials inspection and identification procedures
- 6 Safe movement of vehicles around the site
- 7 Safe unloading from vehicles
- 8 The risks to the environment and human health arising from the reception, inspection and validation of recyclable materials and the procedures required to minimise risk
- 9 Procedures for the proper management and control of the reception, inspection and validation of recyclable materials

- 10 The legal requirements and company procedures for dealing with unauthorised recyclable materials
- 11 The records required by legislation and by company procedures in relation to the reception, inspection and validation of recyclable materials
- 12 Producing and using risk assessments
- 13 Induction for working on site and access by visitors

### **Evidence Requirements**

You must provide both performance evidence and knowledge evidence specific to your facility to demonstrate your managerial competence. You must demonstrate that you can achieve 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.

#### **Examples of Evidence:**

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

You monitor the use of the following specific handling requirements:

- ◆ personal protective equipment
- ◆ use of lifting gear
- ◆ use of container handling equipment

You monitor how operatives deal with the following examples of threats to the environment:

- ◆ misdescription of recyclables/reject materials
- ◆ spillage
- ◆ inadequate containment
- ◆ equipment malfunction

Your operatives can deal with the following examples of threats to the environment:

- ◆ misdescription of recyclables
- ◆ spillage
- ◆ inadequate containment
- ◆ equipment malfunction

Evidence that records cover the following requirements:

- ◆ legislative
- ◆ organisational

In all, you must convince your assessor that you have the knowledge, understanding, and skills to manage competently in respect of all threats to the environment listed above.

Work activities:

- ◆ monitoring the quantity and quality of recyclable materials
- ◆ ensuring that arrangements for the specific handling of recyclables and reject materials are carried out
- ◆ checking documentation
- ◆ monitoring of inspection and validation of recyclables/reject materials collected
- ◆ monitoring of the treatment of rejected wastes
- ◆ monitoring of the way threats to the environment are dealt with

Products or outcomes:

- ◆ records of monitoring of reception activities
- ◆ arrangements for specific handling available and used
- ◆ records of threats to the environment and action taken
- ◆ documentation related to reception
- ◆ records of monitoring of inspection and validation
- ◆ rejection and incident logs
- ◆ organisation records and records required by legislation

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

Written or spoken reports, describing:

- ◆ how you evaluated the quantity and quality of reception processes
- ◆ how you ensured that arrangements to deal with recyclables/reject materials requiring specific handling were carried out correctly
- ◆ the way you monitored and evaluated the inspection and validation of recyclables/reject materials
- ◆ the way you monitored and evaluated how rejected materials are dealt with
- ◆ the way you monitored and evaluated how operatives dealt with threats to the environment

Witness testimony:

- ◆ statements from people who have observed you monitoring reception activities and how operatives dealt with threats to the environment

## **RM33 Manage the Sorting and Storage of Recyclable Materials and Vehicle Movement on Sites (F4W5 04)**

### **Area of competence**

This Unit is about controlling the movement of both materials and vehicles connected with recycling operations.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Monitor the sorting, storage, and movement of recyclable materials
- ◆ Control vehicles, plant and crews on sites which handle recyclable materials
- ◆ Use and communicate data and information

### **Performance Criteria**

#### **Monitor the sorting, storage, and movement of recyclable materials**

- a** Implement and monitor procedures for sorting, and temporary and short-term storage, of recyclable materials to make sure all practices comply with any codes of practice and legislation
- b** Make sure procedures for dealing with recyclable materials requiring specific handling are in place and implemented correctly
- c** Make adjustments to systems and procedures where evidence indicates changes are required to the way work is carried out
- d** Deal with unauthorised recyclable materials in accordance with organisational policy and procedures
- e** Monitor procedures to ensure records of all operations are complete and accurate and provide a data audit trail

#### **Control vehicles, plant and crews on sites which handle recyclable materials**

- f** Implement and monitor procedures which ensure the compliance of vehicles, plant and crews on site are in accordance with approved procedures and practices
- g** Make sure crews and passengers of vehicles are made aware of, and obey, the site rules
- h** Make sure crews due to leave the site are informed of any possible breach of transport regulations
- i** Use risk assessments to guide safety effectiveness and minimise risks which might arise from vehicles, plant and crews on site

- j** Make changes and remedy any unsafe work activities promptly
- k** Investigate complaints from crews or other people connected with the site, or location, for whom you are responsible and take steps necessary to resolve them
- l** Raise unsafe working promptly with crews who are acting in a way which could result in harm to themselves or others and bring about changes to their activity or behaviour
- m** Operate and monitor procedures for site visitors
- n** Raise matters about potential unsafe working with senior colleagues and seek solutions

**Use and communicate data and information**

- o** Use the data and information from workplace risk assessments to inform the way systems and activities are designed, monitored and changed
- p** Make sure crews know what safe work systems and methods are in place and that they understand and use them
- q** Report accidents promptly in the way laid down in the organisation's procedures
- r** Advise colleagues and crews of all new or changed work procedures and practices

## **Knowledge and Understanding**

You know and understand the following:

- 1 Relevant legislation, regulations and Codes of Practice applicable to safety, health and environment
- 2 The storage and handling implications of the recyclable material types handled on site
- 3 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
- 4 The different handling equipment available on site, and the function, use and limitations of each of these
- 5 The risks to the environment and human health arising from the movement, sorting and storage of recyclable materials and the procedures required to minimise risk
- 6 The records required by legislation and by organisational procedures in relation to the sorting and storage of recyclable materials
- 7 Internal traffic management procedures and safe movement of vehicles around site
- 8 Safe loading and unloading from vehicles
- 9 Procedures for the management and control of the movement, sorting and storage of recyclable materials
- 10 Producing and using risk assessments
- 11 Induction for site access and movement and access by visitors

## **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 recyclables/reject materials accepted.

**Managing movement, sorting, storage of recyclables/reject materials:**

- ◆ records of hazardous waste movements, sorting and storage
- ◆ rejection and incident logs
- ◆ company records and records required by legislation

**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

**Internal and external audits:**

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

**Application of the company Health and Safety Policy:**

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

## **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 licenses 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

### **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

### **Internal and external audits:**

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

### **Application of the company Health and Safety Policy:**

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

## **RM35 Manage the Movements of Outputs and Residues from the Processing or Storage of Recyclable Materials (F4W6 04)**

### **Area of competence**

This Unit is about ensuring operations to control the movements of outputs and residues from the processing or storage of recyclable materials are safe, effective and in accordance with legislative and organisational requirements.

### **Skills and competences which demonstrate effective performance**

You show you are competent to:

- ◆ Monitor and control outputs and residues from recycling operations
- ◆ Control hazards and risks
- ◆ Use and communicate data and information

### **Performance Criteria**

#### **Monitor and control outputs and residues from recycling operations**

- a Monitor and maintain the disposal of operational outputs and residues from recycling operations by ensuring procedures and work practices are implemented and working effectively
- b Monitor operational outputs and residues to make sure they are handled correctly in accordance with approved procedures and practices

#### **Control hazards and risks**

- c Use risk assessments to guide safety effectiveness and minimise risks
- d Make changes and remedy any unsafe work activities promptly
- e Use the data and information from workplace risk assessments to inform the way systems and activities are designed, monitored and changed
- f Maintain procedures to make sure workers know what safe work systems and methods are in place and that they understand and use them
- g Report accidents promptly in the way specified in the organisation's procedures

#### **Use and communicate data and information**

- h Advise colleagues and workers of all new or changed work procedures and practices

- i Make sure records relating to the disposal of operational outputs and residues are complete, accurate and up to date
- j Ensure records are able to provide audit trails of data

### **Knowledge and Understanding**

You know and understand the following:

- 1 Relevant legislation, regulations and Codes of Practice applicable to safety, health and environment
- 2 Relevant road transport legislation, regulations and Codes of Practice
- 3 The range and nature of operational outputs and residues produced from the processing of recyclable materials
- 4 The handling implications of the operational outputs and residues arising from the processing of recyclable materials handled on site
- 5 Site procedures for disposal of the operational outputs and residues
- 6 The personal protective equipment required for operatives handling the operational outputs and residues, and the procedures for effective care, maintenance and use of this equipment
- 7 The risks to the environment and human health arising from the disposal of operational outputs and residues from the processing of recyclable materials and the procedures required to minimise risk
- 8 The records required by organisational procedures relating to the disposal of operational outputs and residues arising from site activities

### **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 recyclables/reject materials accepted.

#### **Evaluate recycle outlets:**

- ◆ correct disposal of rejects
- ◆ consignment of materials

#### **Controlling the disposal of outputs and residues:**

- ◆ managing site operations to meet requirements
- ◆ company operating procedures
- ◆ records of staff and operative training

- ◆ records of the disposal of outputs and residues

**Internal and external audits:**

- ◆ safety inspection reports
- ◆ statutory authority visit reports
- ◆ quality, environmental, compliance audits
- ◆ safety audits

**Communications:**

- ◆ communications (oral and written) to operatives
- ◆ consignment

## **RM36 Manage a Project (DR5J 04)**

*This Unit is equivalent to F1 from the National Occupational Standards developed by the Management Standards Centre — the standards setting body for management and leadership. The format of the Unit is different to that used by Energy and Utility Skills for the Units EU Skills has developed.*

### **Unit Summary**

#### **What is the Unit about?**

This Unit is about managing a project for which you have been given responsibility. This involves developing and agreeing a plan for the project and monitoring and controlling implementation of and changes to the plan.

It also involves ensuring that the project achieves its key objectives and is completed to the satisfaction of the project sponsor(s) and any key stakeholders.

#### **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 managing projects. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ Evaluating
- ◆ Delegating
- ◆ Communicating
- ◆ Setting objectives
- ◆ Decision-making
- ◆ Leadership
- ◆ Motivating
- ◆ Negotiating
- ◆ Planning
- ◆ Problem solving
- ◆ Information management
- ◆ Contingency planning
- ◆ Risk management
- ◆ Reviewing
- ◆ Consulting
- ◆ Monitoring
- ◆ Thinking systematically

## **Outcomes of Effective Performance**

You must be able to do the following:

- a Discuss and agree the key objectives and scope of the proposed project and the available resources with the project sponsor(s) and any key stakeholders.
- b Identify how the proposed project fits with the overall vision, objectives and plans of the organisation and any programmes of work or other projects being undertaken.
- c Develop, in consultation with relevant people, a realistic and thorough plan for undertaking the project and achieving the key objectives.
- d Discuss and agree the project plan with the project sponsor(s) and any key stakeholders, making changes where necessary.
- e Brief any project team members on the project plan and their roles and responsibilities and provide on-going support, encouragement and information.
- f Put processes and resources in place to manage potential risks arising from the project and deal with contingencies.
- g Implement the project plan, selecting and applying a range of basic project management tools and techniques to monitor, control and review progress.
- h Communicate progress to the project sponsor(s), any key stakeholders and any project team members on a regular basis.
- i Identify, in the light of progress and any problems encountered and wider developments, any required changes to the project plan, obtaining agreement from project sponsors and any key stakeholders where necessary.
- j Achieve project objectives using the agreed level of resources.
- k Confirm satisfactory completion of the project with the project sponsor(s) and any key stakeholders.
- l Evaluate the success of the project, identifying what lessons can be learned and recognising the contributions of any project team members.

## **Behaviours which Underpin Effective Performance**

- I You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- II You find practical ways to overcome barriers.
- III You present information clearly, concisely, accurately and in ways that promote understanding.
- IV You create a sense of common purpose.
- V You make best use of available resources and proactively seek new sources of support when necessary.
- VI You act within the limits of your own authority.
- VII You are vigilant for potential risks and hazards.
- VIII You take pride in delivering high quality work.
- IX You take personal responsibility for making things happen.

## **Knowledge and Understanding**

You need to know and understand the following:

### ***General knowledge and understanding***

- 1 The fundamental characteristics of projects as opposed to routine management functions/activities.
- 2 The role and key responsibilities of a project manager.
- 3 Key stages in the project lifecycle.
- 4 The importance of the relationship between the project manager and the project sponsor(s) and any key stakeholders.
- 5 Why it is important to discuss and agree the key objectives and scope of a proposed project with the project sponsor(s) and any key stakeholders before detailed planning commences.
- 6 The type of information needed for effective project planning.
- 7 Why it is important to be able to identify and understand how a project fits with the overall vision, objectives and plans of the organisation and any programmes of work or other projects being undertaken.
- 8 Why it is important to consult with relevant people in developing a project plan and how to do so effectively.
- 9 What should be included in a project plan, particularly activities, required resources and timescales and why the plan needs to be discussed and agreed with the project sponsor(s) and any key stakeholders.
- 10 Why it is important that any project team members are briefed on the project plan, their roles and responsibilities and how to do so effectively.
- 11 Ways of providing on-going support, encouragement and information to any project team members.
- 12 Ways of identifying and managing potential risks in relation to the project.
- 13 The importance of contingency planning and how to do so effectively.
- 14 How to select from and apply a range of basic project management tools and techniques to monitor, control and review progress of the project.
- 15 Effective ways of communicating with project sponsor(s) and any key stakeholders during a project.
- 16 The importance of agreeing changes to the project plan with the project sponsor(s) and any key stakeholders.
- 17 The type of changes that might need to be made to a project plan during implementation.
- 18 Why it is important to confirm satisfactory completion of the project with the project sponsor(s) and any key stakeholders and how to do so effectively.
- 19 How to establish effective systems for evaluating the success of projects and identifying lessons for the future.
- 20 The importance of recognising the contributions of project team members to the success of projects and different ways of doing so.

### ***Industry/sector specific knowledge and understanding***

- 1 Project management tools and techniques commonly used in the recycling industry.
- 2 Risks and contingencies common to the recycling industry.
- 3 Recycling industry specific legislation, regulations, guidelines and codes of practice.

### ***Context specific knowledge and understanding***

- 1 The project sponsor(s) — the individual or group for whom the project is being undertaken.
- 2 Key stakeholders — the individuals or groups who have a vested interest in the success of the project and the organisation.
- 3 The agreed key objectives and scope of the proposed project and the available resources.
- 4 The overall vision, objectives and plans of the organisation and any other relevant programmes of work or other projects being undertaken.
- 5 Mechanisms for consulting on the development of the project plan and the views/thoughts received from relevant people in relation to proposals.
- 6 The agreed project plan.
- 7 The roles and responsibilities of any project team members.
- 8 Methods used for briefing, supporting, encouraging and providing information to any project team members.
- 9 Processes and resources put in place to manage potential risks and deal with contingencies.
- 10 Type and nature of potential risks identified and contingencies encountered.
- 11 Specific project management tools and techniques used to monitor, control and review progress.
- 12 Processes in place for communicating information on progress of the project to the project sponsor(s), any key stakeholders and any project team members.
- 13 Processes in place for identifying and agreeing changes to the project plan and any changes which have made.
- 14 Processes for confirming satisfactory completion of the project with the project sponsor(s) and any key stakeholders.
- 15 Processes for evaluating the success of the project and any lessons which have been learned from undertaking the project.
- 16 Methods used for recognising the contributions of any project team members to successful projects.

## Evidence Requirements

The following guidance 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 of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
		General	Industry Specific	Context Specific
<b>Project terms of reference you have agreed and project plans that you have prepared:</b>				
<ul style="list-style-type: none"> <li>◆ notes or minutes of meetings you have attended, and emails, memos, letters, project proposals, terms of reference, scoping or feasibility studies and other documents that you have written, to agree the objectives, scope, resources, plans and timescales with sponsors and stakeholders</li> </ul>	3, 4, 5, 7	1, 2, 3, 4, 5, 6, 7, 8, 9	2, 3	1, 2, 3, 4,
<ul style="list-style-type: none"> <li>◆ schedules, action plans, contingency plans, risk assessments, budgets, Gantt charts, network diagrams (eg CPA, PERT or Precedence diagrams) and other tools for planning the project that you have used</li> </ul>	3, 5	1, 3, 6, 9, 13, 14	1, 2, 3	3, 6, 7, 11
<ul style="list-style-type: none"> <li>◆ notes or minutes from, and records of presentations at, briefings or meetings that you have organised, and emails, memos, letters you have sent to members of the project team and other stakeholders, to agree project plans and</li> </ul>	4, 5, 6, 7, 9	2, 3, 6, 8, 9, 10, 11, 12	2, 3	3, 4, 5, 6, 7, 8

roles and responsibilities				
◆ procedure specifications, operational guidelines and other documents you have prepared to ensure that project team members perform to the required standard and to minimise risks to health and safety	3, 4, 5, 6, 7, 9	6, 9, 10, 11, 12	2, 3	6, 7, 9
◆ personal statement (reflections on your role and performance in agreeing the project terms of reference, and organising and planning the project)	5, 6, 7, 8, 9	1, 2, 3, 4, 5, 7, 8, 9, 10	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11

# **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

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

**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

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