



Assessment Guidance for the SVQ in Management at level 4 (G81R24)

This edition: February 2008
Publication code: DD2889/L4

Published by the Scottish Qualifications Authority
The Optima Building, 58 Robertson Street, Glasgow G2 8DQ
Ironmills Road, Dalkeith, Midlothian EH22 1LE

www.sqa.org.uk

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General introduction

The new National Occupational Standards (NOS) and Scottish Vocational Qualifications (SVQs) in Management and Leadership have been developed by the Management Standards Centre (MSC), the government recognised standards-setting body for management and leadership. These NOS and SVQs are the product of an extensive research project carried out by the MSC between 2002 and 2004. The NOS are designed to act as a benchmark of best practice.

The MSC has also produced an Assessment Strategy for the SVQs in Management to ensure greater clarity to the assessment of SVQs, to ensure their quality and promote confidence in those who gain them. This document is based on the final Assessment Strategy and NOS and provides information on the requirements of the Assessment Strategy for centres. The full Assessment Strategy document is available to view on and download from the MSC website (www.management-standards.org).

The SVQ in Management level 4 (G81R24) is a nationally recognised award accredited by the Scottish Qualifications Authority (SQA) in partnership with MSC and the Chartered Management Institute (CMI), and is aimed at middle managers with a wide remit and span of control.

To achieve the SVQ in Management level 4 (G81R24), candidates must achieve eight Units in total - five mandatory and three optional Units.

The SVQ structure and full selection of Units that make up the SVQ in Management level 4 (G81R24) are shown in page 17.

About Scottish Vocational Qualifications (SVQs)

SVQs describe exactly what someone who is competent in an occupation can do. SVQs are based on standards of competence. These are drawn up by standards-setting bodies on behalf of the industry, and detail what is required to prove competence in the occupation the SVQ covers.

SVQs are recognised world-wide. They are the Scottish equivalents of NVQs (National Vocational Qualifications) in England Wales and Northern Ireland.

The SVQs in Management are work-based qualifications, which set the level of competence required by managers in their particular sector. SVQs assess the skills and knowledge people have and need to perform their job role effectively. The levels assigned to the SVQs relate to the responsibilities of a person's actual job. In undertaking this Award which is at level 4, candidates would be expected to have responsibility for developing and implementing operational plans, allocating work to others, managing business processes, and ensuring health and safety requirements are met.

Who's who in SVQs

The candidate is the person undertaking the SVQ. The responsibility of a candidate is to meet with the assessor, plan how to undertake Units and then produce evidence to demonstrate competence.

The assessor is the person who assesses the candidate and makes a decision if he/she is competent, based on a variety of evidence. The assessor is normally (but not always) in the same workplace as the candidate. The assessor has the responsibility to meet with the candidate regularly, to plan, support, judge and give feedback on performance.

The internal verifier is someone designated by the assessment centre to ensure that assessors are performing consistently in the use of assessment methods and assessment decisions. This can be carried out by sampling evidence on a regular basis and by ensuring that candidates are being properly supported to achieve their award.

The External Verifier is appointed by SQA, the Awarding body, to ensure consistency in assessment and internal verification across all centres offering the award. Centres are normally visited by an External Verifier once a year.

What does the SVQ in Management look like?

The SVQ consists of a number of Units which adopt the following format:

- ◆ **Unit summary**
- ◆ **Outcomes of effective performance**
- ◆ **Behaviours which underpin effective performance**
- ◆ **Knowledge and understanding**
- ◆ **Evidence Requirements**

Units are simply different tasks that are familiar areas of work to all managers.

Each Unit consists of:

Unit summary — this provides information on what the Unit is about, who the Unit is intended for, links with other Units and a list of the main generic skills which are needed. This section of the Unit is for guidance.

Outcomes of effective performance — this section describes the activities managers are expected to perform.

Behaviours which underpin effective performance — this section outlines the soft skills which managers need in order to carry out their role effectively.

Knowledge and understanding — this is split into general knowledge and understanding; industry /sector specific knowledge and understanding; and context specific knowledge and understanding. This section defines the knowledge and understanding required to carry out the role effectively.

Evidence Requirements for the Unit — this section lists the evidence required to prove competence and also provides examples of possible evidence. In addition, it shows the behaviours and knowledge and understanding that the example evidence is likely to be able to demonstrate.

Assessment of SVQs in Management will be based on a number of **key principles**, which are covered in the next section on the Assessment Strategy for the SVQs in Management.

Assessment Strategy for the SVQs in Management

This section of the document is based on the final Assessment Strategy developed by the MSC and provides information on the requirements of the Assessment Strategy for centres. The full Assessment Strategy document is available to view on and download from the MSC website (www.management-standards.org).

1 Achieving external quality control of assessment

The following measures are required in terms of achieving external quality control of assessment:

- ◆ Assessment of SVQs in Management and Leadership will be based on a number of **key principles**, as follows:
 - There must be valid evidence from those who report to the candidate **and** from those to whom the candidate reports (except in cases where the candidate does not report to anyone — for example, they own the organisation).
 - There must be some assessor observation of the candidate's performance. Assessors will be expected to be familiar with how the candidate operates as a manager. This could come from observation of the candidate's work as a manager eg team briefings, meetings or other day to day managerial activities. Assessors should be aware that their presence may affect the behaviour of the candidates being observed and observations should, therefore, be treated sensitively.
 - Prior to achievement of the full SVQ, there must be an interview between the assessor and the candidate which provides an opportunity to discuss performance and evidence across the suite of completed or soon-to-be completed Units. This need not be a face-to-face interview, ie it could be done over the phone or electronically. Key points from the interview will need to be recorded by the assessor for verification purposes.

The overall package of evidence which a candidate puts forward for the full SVQ must satisfy the above principles.

- ◆ The MSC website will be expanded to include designated pages and information for staff from approved centres and awarding bodies, including External Verifiers. The information will include, for example:
 - definitions of items within the NOS for management and leadership which have been found, from practice, to require clarification
 - answers to Frequently Asked Questions (FAQs) in relation to assessment and quality assurance of NVQs and SVQs in Management and Leadership
 - information, including solutions agreed at the Management Awarding Body Forum, to commonly occurring assessment and quality assurance issues as identified by approved centres and External Verifiers
 - examples of good practice in the assessment and quality assurance of NVQs and SVQs in Management and Leadership

2 Assessment through performance in the workplace

The SVQs in management are intended to be assessed using evidence from the workplace, ie observable performance, physical products of work (such as reports, plans, correspondence etc), witness testimony etc. Such evidence, together with information gained from discussion with and questioning by the assessor, should enable candidates to show that they:

- have achieved all the stated Outcomes of effective performance
- have demonstrated all the behaviours which underpin effective performance
- possess and are capable of applying all the required items of knowledge and understanding

3 Assessment by simulation

Simulation is not allowed. If there are exceptional circumstances which prevent a candidate from achieving the full SVQ please discuss these with SQA's Qualifications Manager.

4 Occupational expertise requirements for assessors

In order to be appointed **and** retained as an assessor for the SVQs in Management and Leadership, individuals must demonstrate that they:

- ◆ have credible expertise in management and leadership relevant to the level(s) of the SVQs they are seeking to assess
- ◆ keep themselves up-to-date with developments in management and leadership practice
- ◆ have a thorough understanding of the NOS for management and leadership at the level(s) of the SVQs they are seeking to assess

Approved centres may find the following questions useful in appointing **and** retaining individuals as assessors:

- (a) What management and leadership posts has the individual held, particularly during the past five years?
- (b) Have the posts been at or above the 'level' of the SVQs the individual is seeking to assess?
- (c) What relevant formal qualifications does the individual possess and how recently were they achieved?
- (d) How do the individual's qualifications relate to the 'level' of the SVQs they are seeking to assess?
- (e) How has the individual kept themselves up-to-date with developments in management and leadership practice?
- (f) Is the individual familiar with the NOS for management and leadership at the 'level' of the SVQs they are seeking to assess?

5 Occupational expertise requirements for internal verifiers

In order to be appointed **and** retained as an internal verifier for the SVQs in Management and Leadership, individuals must demonstrate that they:

- ◆ have credible expertise in management and leadership relevant to the level(s) of the SVQs they are seeking to internally verify
- ◆ keep themselves up-to-date with developments in management and leadership practice
- ◆ have a thorough understanding of the NOS for management and leadership at the level(s) of the SVQs they are seeking to internally verify

Approved centres may find the following questions useful in appointing **and** retaining individuals as internal verifiers:

- (a) What management and leadership posts has the individual held, particularly during the past five years?
- (b) Have the posts been at or above the 'level' of the SVQs the individual is seeking to internally verify?
- (c) What relevant formal qualifications does the individual possess and how recently were they achieved?
- (d) How do the individual's qualifications relate to the 'level' of the SVQs they are seeking to internally verify?
- (e) How has the individual kept themselves up-to-date with developments in management and leadership practice?
- (f) Is the individual familiar with the NOS for management and leadership at the 'level' of the SVQs they are seeking to internally verify?

6 Requirements for competence in undertaking assessment and verification of SVQs

In addition to the occupational expertise requirements noted above, assessors and internal verifiers will also need to meet the requirements for competence in undertaking assessment and verification of SVQs as laid down by the regulatory authorities.

Assessors must hold or be working towards the Assessor Unit A1 *Assess Candidates Using a Range of Methods* or be in possession of D32 and D33. Internal verifiers must hold or be working towards the Verifier Unit V1 *Conduct Internal Quality Assurance of the Assessment Process* or be in possession of D34.

Evidence Requirements

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

In order to achieve any Unit candidates must demonstrate that they meet all its requirements. This means all of the stated Outcomes and behaviours and every item of knowledge and understanding. The assessor must be able to observe candidates in the workplace and/or candidates must provide **tangible evidence** to their assessor — candidates should agree with their 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).

To help 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, it is not necessary to produce each item of evidence listed — the Evidence Requirements identify examples of the evidence that might be produced. Similarly, the references to *Behaviours* and to *Knowledge and Understanding* suggest what the evidence **may** demonstrate. It is the candidate's 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 behaviour in achieving certain Outcomes and why candidates behaved as they 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 the candidate and those to whom the candidate reports (except if the candidate does not report to anyone — for example, if he/she owns the organisation).

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

Assessors 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.

What the *Evidence Requirements* look like:

The diagram illustrates the structure of Evidence Requirements. It features a table with several columns: 'Outcomes', 'Behaviours', and 'Knowledge and Understanding' (subdivided into 'General', 'Industry specific', and 'Context specific'). A callout box explains that the 'Outcomes' column identifies the outcomes that the evidence is likely to demonstrate. Another callout explains that the 'Behaviours' column lists behaviours that the evidence is likely to demonstrate. A third callout explains that the 'Knowledge and Understanding' columns list the general, industry-specific, and context-specific knowledge and understanding that may be shown through the evidence. A fourth callout explains that the 'Evidence' column lists specific items of evidence that candidates may have produced. A fifth callout explains that the 'Outcomes' column lists the general set of evidence. A sixth callout explains that the 'Evidence' column lists specific items of evidence that candidates may have produced. A seventh callout explains that the 'Evidence' column lists specific items of evidence that candidates may have produced. A eighth callout explains that the 'Evidence' column lists specific items of evidence that candidates may have produced. A ninth callout explains that the 'Evidence' column lists specific items of evidence that candidates may have produced. A tenth callout explains that the 'Evidence' column lists specific items of evidence that candidates may have produced.

Unit- no	Evidence ◆ possible examples of evidence	Outcomes:	Behaviours	Knowledge and Understanding		
				General	Industry specific	Context specific
Your evaluation of the current and future requirements of your work role, based on both formal and informal sources:						
1	◆ job descriptions		1, 2, 3, 4, 5, 6, 8, 9	1, 2, 3, 5	1, 2	1, 11
	◆ notes of conversations with managers and colleagues about their expectations		1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 3, 5, 13	1, 2	9, 12
	◆ personal statement (reflections on role tasks and responsibilities)		3, 4, 9	2, 5, 7	1	1, 3, 4
	◆ corporate plans, objectives, mission and vision statements			3	1	2, 4, 9

Identifies the Outcomes that this set of evidence is likely to demonstrate

The general set of evidence

Specific items of evidence that candidates may have produced

Behaviours that this evidence is likely to be able to demonstrate

The General, Industry-specific and Context-specific Knowledge and Understanding you may be able to show through this evidence

Personal Statements are accounts by candidates, describing and explaining events or their actions

Witness statements are accounts by others, describing candidates actions or behaviour. Witness statements **cannot** be used to show underpinning Knowledge and Understanding

Most of the 56 Units have Evidence Requirements in this format. However, five Units have a slightly different format as they have been developed by other standards-setting bodies. These five Units are:

- E5 Ensure your own action reduce risks to health and safety
- F5 Resolve customer service problems
- F6 Monitor and solve customer service problems
- F7 Support customer service improvements
- F8 Work with others to improve customer service

Types of evidence

Observation

The assessor records judgements of observed practice, showing the skills demonstrated by a candidate, and records how Outcomes of effective performance, behaviours and knowledge have been evident in the candidate's practice. It is not acceptable for candidates to record assessor observations: if this is done, then it has the status of a Personal Statement.

Personal statement

Candidates can produce personal statements that are written in the first person and describe their actions in completing a task. The candidate is expected to indicate the Outcomes of effective performance, behaviours and knowledge and understanding which are demonstrated in the practice. The personal statement should always explicitly focus on the candidate's real work and not on what *might* be done.

Product

Any work product that shows how a candidate meets the Outcomes of effective performance, behaviours and knowledge and understanding can be used as evidence. Products should be the candidate's own work. It is not necessary for work products to be actually in the portfolio, as long as the assessor/IV and EV has access to them and there is an audit trail.

Witness testimony

If someone other than an assessor sees the candidate carry out some work, then the assessor can request confirmation of this from a witness. Whereas a witness can make a qualitative comment on the performance of the candidate, it is the assessor who makes the judgement of the witness testimony matched against the specific Outcomes of effective performance, behaviours which underpin effective performance and knowledge and understanding.

Accreditation of prior learning (APL)

Prior achievements of the candidate can be used to evidence the Outcomes of effective performance, behaviours and knowledge and understanding, provided there is an audit trail. However, current practice must also be included to show that the candidate still has the skill at the time of completing the award.

Knowledge specification

Each Unit lists the knowledge and understanding that is required to effectively carry out the specific area of work practice. Most of the knowledge should be inherent in the candidate's work and must be explicitly evident in the records of observations, personal statements or by answers to questions.

It is important that the evidence is:

- Valid** — it relates to the SVQ standard
- Authentic** — the evidence, or an identified part of it (eg a report) was produced by the candidate
- Consistent** — achieved on more than one occasion
- Current** — usually not more than two years old
- Sufficient** — covers all the Outcomes of effective performance, behaviours and knowledge

Using the Evidence Requirements in the Management SVQs

The examples of evidence provided can be classified into three main categories:

- ◆ Work produced by the candidate as part of her/his job as a manager — this is the product evidence described earlier. Examples could be e-mails, letters, reports etc written by the candidate, notes of meetings made by the candidate, work schedules prepared by the candidate and so on.
- ◆ Work produced by others relating to the work that the candidate does as a manager — examples of this could be appraisal reports on the candidate, risk assessment reports on the area of work for which the candidate is responsible, instructions or advice given to the candidate, notes or minutes of meetings attended by the candidate and so on.
- ◆ Statements produced by others about what the candidate has done — examples of these are witness testimony and observation reports.

1 Selection of evidence for submission

Candidates are likely to submit evidence from all three of the above categories. As noted earlier, evidence submitted must be valid, authentic, consistent, current and sufficient. This has a number of implications for the choice of evidence which candidates submit. The main ones are summarised below.

- ◆ One item of evidence may cover more than one part of the Evidence Requirements both within a Unit and across Units. Candidates should select those items of evidence which demonstrate most convincingly that they follow the good practice set out in the standards. Ideally, candidates should submit the smallest possible number of items of evidence which is consistent with fully covering all aspects of the standards.
- ◆ Evidence should provide an accurate picture of the candidate's behaviour as a manager. Where examples of work are chosen they should be representative of what the candidate does. In this way, the evidence can show that the candidate acts consistently in a manner which meets the standards.
- ◆ Evidence should be directly attributable to the candidate or clearly relate to the actual work that the candidate does as a manager. If this is not the case, then the evidence will not be authentic.
- ◆ Evidence should relate to the work which the candidate is actually undertaking as a manager during the time when they are working towards the SVQ Management. Otherwise there is a danger that the evidence will not be current.

2 Presentation of evidence

Candidates can present their evidence in any way that they wish. However, whichever method is chosen, it must be in a format those who look at the candidate's work such as assessors and verifiers can understand and make sense of. Candidates who attempt the SVQ Management have a responsibility to show that they have met the requirements of the standards and to ensure that others can follow the work that they have submitted. This involves two things:

- (a) Showing how the evidence relates to all aspects of the standards.
- (b) Demonstrating that the candidate is aware of how the evidence submitted proves that she/he does work in accordance with the standards and understands why the standards represent good managerial practice.

(a) above can be achieved by using a cross reference matrix which shows how items of evidence relate to the Outcomes, behaviours and the knowledge and understanding. The *Evidence Requirements* produced by the Management Standards Centre illustrates one way to do this but there are several possible ways to lay out this matrix.

(b) above is essentially a development of the cross reference matrix. It requires a specific claim for competence against the standards by the candidate. In this the candidate explains how the evidence submitted proves that she/he does display the good managerial practice set out in the standards.

There are three main ways in which the candidate can do this:

- (i) Personal report (also described as a narrative, a storyboard or a reflective account) — this is a statement by the candidate which sets out her/his claim for competence. It can include reflection on why particular actions were taken and how these actions match up to the standards. Traditionally such statements have been written but there is no set format for them.
- (ii) Making notes to accompany items of evidence (which can be described as ‘annotation of evidence’). This can also be done in several ways including written comments on the actual evidence.
- (iii) Professional discussion — in this the candidate explains to her/his assessor the evidence submitted and how it proves that she/he is competent against the standards.

None of these methods necessarily involves lengthy statements and in most cases, they are likely to be brief. The methods can be combined and it is perfectly possible for a candidate to make use of all three. Alternatively, a candidate may concentrate on one method. Strictly the above are not items of evidence but are ways of bringing evidence submitted together so that it is presented in a coherent and comprehensible fashion. Assessors must be satisfied that a candidate is aware of what the standards involve and works consistently in accordance with them. The above methods are a means of ensuring that this is the case.

The nature of the claim for competence does vary between levels of the SVQ Management. The amount of reflection in a claim for competence will be greater at higher levels of the award than at lower levels. At level 2, for example, claims for competence may contain little reflection but at level 5 they are likely to be predominantly reflective. The level of the award will also affect the way in which claims for competence are presented. Candidates at level 5 can be expected to provide detailed statements (either in writing or orally) but those at level 2 may be very brief and could be transcripts provided by the assessor.

3 Access to evidence

Assessors and verifiers should have access to all evidence which the candidate submits as part of her/his claim for competence.

Normally evidence will be submitted in a format which can be accessed by the assessor or verifier in any location. It is possible, however, for the assessor or verifier to have to visit a particular place in order to view evidence. Where this is the case, the candidate must provide full details of where the evidence is and be prepared to make arrangements for the assessor or verifier to gain access to the evidence. In these situations, it is often good practice for the assessor to indicate that the evidence has been seen and to confirm that it is in the location specified.

4 Confidentiality

All workplace evidence submitted as part of an SVQ in Management should be treated as confidential by assessors and verifiers. Normally, access to candidate work can be restricted to assessors and verifiers. Where others such as the candidate's own manager may have access, they too should be bound by the requirements of confidentiality.

In some cases, evidence submitted may reveal personal information about others or commercially sensitive information. In these circumstances, it is acceptable to erase the name and other details of the individual or individuals concerned so that, although the candidate's managerial contribution is clear it is not possible to identify any others involved or prejudice any commercial interests. Where information about others is used, it is good practice to seek the permission of those concerned. Candidates can be advised not to make use of particularly sensitive evidence and to support their claim for competence with evidence which is less likely to have repercussions on others. All evidence generated from actual work activity should be treated in accordance with the Data Protection Act.

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Getting candidates started

The above guidance and explanations should be sufficient to allow an assessment to commence.

At the start, the assessor and candidate should meet and draw up an Assessment Plan.

The first assessment plan should contain some general decisions about how often candidate and assessor will meet — and where. It may be important to agree a place where meetings will not be interrupted. Subsequent plans should be specific about what evidence is suitable for the particular Unit(s) being discussed, when this evidence will be collected and should include review dates.

It is a good idea to make a decision about which Unit will be tackled first. It is encouraging to try and start with a familiar area of everyday work, and be very specific about what piece of work the assessor will observe. The candidate, with the help of the assessor, should also leave the planning meeting with a very clear idea of what is required. Finally, a date should be agreed when the assessment plan for the Unit (or Units) will be reviewed and a target date set for completion.

At subsequent planning sessions it is recommended that candidates and assessors take a more holistic view of both the job role and the assessment of competence. What this means is that the candidate and the assessor are encouraged **not** to approach the SVQ on a Unit by Unit basis, but to see how normal day to day workplace activities will provide evidence of competence for several SVQ Units. This holistic approach may be more difficult at the start of the SVQ as some people may prefer simply to focus on one Unit. However, once the candidate and the assessor become more familiar with the standards/candidate's job role, this more holistic approach should be encouraged.

Most, if not all, meetings to discuss assessment plans should be held at the candidate's place of work. This allows assessors to become familiar with the candidate's work as a manager and the context in which the work is carried out. It also facilitates contact with those who work with the candidate such as her/his line manager and the people the candidate manages.

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Structure for the SVQ in Management level 4 (G81R24)

Candidates will need to complete five mandatory Units and three optional Units (from a choice of 22) in order to achieve the full qualification

Mandatory Units

- B1 Develop and implement operational plans for your area of responsibility (DR47 04)
- C2 Encourage innovation in your area of responsibility (DR4N 04)
- D2 Develop productive working relationships with colleagues and stakeholders (DR4F 04)
- E6 Ensure health and safety requirements are met in your area of responsibility (DR52 04)
- F3 Manage business processes (DR5M 04)

Optional Units

- A2 Manage your own resources and professional development (DR67 04)
- A3 Develop your personal networks (DR4L 04)
- B6 Provide leadership in your area of responsibility (DR75 04)
- B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)
- B11 Promote equality of opportunity and diversity in your area of responsibility (DR6P 04)
- C4 Lead change (DR5C 04)
- C5 Plan change (DR6J 04)
- C6 Implement change (DR57 04)
- D3 Recruit, select and keep colleagues (DR7K 04)
- D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)
- D7 Provide learning opportunities for colleagues (DR7C 04)
- D10 Reduce and manage conflict in your team (F2H6 04)
- D11 Lead meetings (F2H2 04)
- E2 Manage finance for your area of responsibility (DR5T 04)
- E8 Manage physical resources (F2H7 04)
- E9 Manage the environmental impact of your work (F2H3 04)
- E10 Take effective decisions (F2H4 04)
- F1 Manage a project (DR5J 04)
- F2 Manage a programme of complementary projects (DT4K 04)
- F8 Work with others to improve customer service (DR7X 04)
- F9 Build your organisation's understanding of its market and customers (DR41 04)
- F11 Manage the achievement of customer satisfaction (DR61 04)

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SVQ in Management level 4 (G81R24) — Mandatory Units

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B1 Develop and implement operational plans for your area of responsibility (DR47 04)

Unit summary

What is the Unit about?

Every organisation should have an overall strategic business plan and each identified area of responsibility should also have an operational plan that will contribute to achieving the objectives set out in the strategic business plan.

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 middle managers.

Links to other Units

This Unit is linked to Units **B6 Provide leadership in your area of responsibility (DR75 04)** and **E2 Manage finance for your area of responsibility (DR5T 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

Listed below are the main generic 'skills' which need to be applied in developing and implementing operational plans for your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ planning
- ◆ risk management
- ◆ delegating
- ◆ networking
- ◆ involving others
- ◆ innovating
- ◆ consulting
- ◆ communicating
- ◆ influencing and persuading
- ◆ monitoring
- ◆ evaluating
- ◆ setting objectives
- ◆ building consensus

B1 Develop and implement operational plans for your area of responsibility (DR47 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Balance new ideas with tried and tested solutions.
- 2 Balance risk with desired Outcomes.
- 3 Make sure your plans are consistent with the objectives of your area of responsibility.
- 4 Make sure your plan is flexible and complements related areas of work.
- 5 Develop and assign objectives to people together with the associated resources.
- 6 Win the support of key colleagues and other stakeholders.
- 7 Monitor and control your plan so that it achieves its overall objectives.
- 8 Evaluate the implementation of your plan and make recommendations that identify good practice and areas for improvement.

Behaviours which underpin effective performance

- 1 You constantly seek to improve performance.
- 2 You work towards a clearly defined vision of the future.
- 3 You present information clearly, concisely, accurately and in ways that promote understanding.
- 4 You reflect regularly on your own and other's experiences, and use these to inform future action.
- 5 You prioritise objectives and plan work to make best use of time and resources.
- 6 You set demanding but achievable objectives for yourself and others.
- 7 You create a sense of common purpose.
- 8 You balance agendas and build consensus.
- 9 You consider the impact of your own actions on others.

B1 Develop and implement operational plans for your area of responsibility (DR47 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 Principles and methods of short-to medium-term planning.
- 2 The importance of creativity and innovation in operational planning.
- 3 How to develop and assign objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).
- 4 How to analyse and manage risk.
- 5 How to develop and plan for contingencies.
- 6 Principles and methods of delegation.
- 7 How to use resources effectively to achieve objectives.
- 8 How to consult with colleagues and other key stakeholders.
- 9 How to monitor and control operational plans to achieve their objectives.
- 10 How to develop and use an evaluation framework.

Industry/sector specific knowledge and understanding

- 1 Legal, regulatory and ethical requirements in your sector.
- 2 Market developments in your sector.
- 3 Actual and potential competitors, and their strategies and plans.
- 4 Actual and potential partners, and their strategies and plans.

Context specific knowledge and understanding

- 1 The market in which your organisation works.
- 2 The overall vision of your organisation and the goals you are responsible for achieving.
- 3 Your organisation's actual and potential customer base.
- 4 Available market opportunities.
- 5 How to respond to market opportunities.
- 6 Colleagues and other key stakeholders, and their needs and expectations.
- 7 Processes for consultation.
- 8 Sources of information you can use to monitor and evaluate plans.
- 9 Procedures for reporting and making recommendations.

B1 Develop and implement operational plans for your area of responsibility (DR47 04)

Evidence Requirements

In order to achieve this Unit, you must demonstrate that you meet all the requirements of the Unit. 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 or you must provide the following **tangible evidence** to your assessor.

Please note that **simulation** is **not** allowed for this Unit, ie all your evidence must relate to real work activities.

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Operational plans that you have managed and reviewed:				
1 2 7 8	◆ data on past operational performance against plan that you have collected and analysed	1, 3	1, 9	2, 3, 4	1, 2, 3, 8
	◆ notes or minutes of meetings and discussions that you have led to review operational plans and performance	1, 3, 4, 7, 8	1, 9, 8	1, 2, 3, 4	1, 2, 3, 6, 7, 8
	◆ reconciliation reports and variance analyses and proposals for changes to plans and operations that you have prepared	3, 4	1, 9, 10	1, 2, 3, 4	2, 9
	◆ witness statements (comments on your role in reviewing and controlling performance against plans)	1, 3, 7, 8	–	–	–
	◆ personal statement (reflections on your role in reviewing and controlling performance against plans)	1, 4	1, 9	1, 2, 3, 4	1, 2, 3, 6, 7, 8
	Operational plans that you have developed and agreed:				
1 2 3 4 5 6	◆ proposals for developing new operational systems and procedures or reports of development projects you have led	1, 2	2, 7, 8	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 7, 9
	◆ risk assessments and cost/benefit analyses of proposed plans	3, 9	4, 5	1, 2, 3, 4	1, 4, 8
	◆ operational or production plans, sales or other work plans or work schedules, objectives and targets that you have developed and agreed	1, 2, 3, 5, 6, 7, 8, 9	1, 2, 3, 4, 5, 6, 7	1, 2, 3, 4	1, 2, 3, 4, 5, 6
	◆ witness statements (comments on your role in developing operational plans)	1, 3, 6, 7, 8	–	–	–
	◆ personal statement (reflections on your role in developing operational plans)	2, 4, 5, 6, 9	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3, 4	1, 2, 3, 4, 5, 6

C2 Encourage innovation in your area of responsibility (DR4N 04)

Unit summary

What is the Unit about?

This Unit is about encouraging and supporting the identification and practical implementation of ideas in your area of responsibility. The initial ideas will primarily come from people who work in your area of responsibility, including yourself, and will focus on:

- ◆ new products and/or services
- ◆ improvements to existing products and/or services
- ◆ improvements to existing practices, procedures, systems, ways of working etc. within the team or those of the wider organisation or customers or suppliers

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.

Links to other Units

This Unit is linked to Units **B6 Provide leadership in your area of responsibility (DR75 04)**, **C1 Encourage innovation in your team (DR4T 04)** and **C3 Encourage innovation in your organisation (DR4R 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

Listed below are the main generic ‘skills’ which need to be applied in encouraging innovation in your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ communicating
- ◆ leadership
- ◆ problem solving
- ◆ thinking creatively
- ◆ learning
- ◆ providing feedback
- ◆ information management
- ◆ involving others
- ◆ valuing and supporting others
- ◆ risk management
- ◆ motivating
- ◆ reviewing
- ◆ inspiring
- ◆ analysing
- ◆ decision making

C2 Encourage innovation in your area of responsibility (DR4N 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Identify and, periodically, review the approach to and level of innovation within your area of responsibility.
- 2 Motivate all the people working in your area to identify ideas for new products and/or services and improvements and other potential sources of ideas and encourage the sharing of this information.
- 3 Respond enthusiastically to ideas from individuals or teams and provide constructive feedback.
- 4 Establish and operate a fair and open method for considering and selecting initial ideas for further development.
- 5 Discuss and agree ways in which selected ideas can be further developed and tested by individuals or teams.
- 6 Provide on-going support, encouragement and resources to individuals and teams engaged in the further development and testing of ideas and help to remove any identified obstacles.
- 7 Identify, in discussion with the relevant individuals and teams, those ideas which could be practically implemented, providing help in drawing up and submitting business cases and plans in support of ideas.
- 8 Approve the practical implementation of ideas, based on the identified benefits, risks and required resources, when you have the authority to do so and monitor and review their progress.
- 9 Champion business cases and plans for ideas submitted by individuals and teams from your area to other people in the organisation and communicate progress and decisions.
- 10 Recruit and select creative people and encourage and develop the creativity of other people in your area of responsibility.
- 11 Encourage individuals and teams in your area to take acceptable risks in pursuing innovation and to make and learn from mistakes.
- 12 Ensure that the originators and developers of any ideas which are successfully implemented receive recognition for their achievement.

Behaviours which underpin effective performance

- 1 You find practical ways to overcome barriers.
- 2 You encourage and support others to make the best use of their abilities.
- 3 You encourage and support others to take decisions autonomously.
- 4 You show integrity, fairness and consistency in decision making.
- 5 You inspire others, championing work to achieve common goals.
- 6 You make time available to support others.
- 7 You balance risks against the benefits that may arise from taking risks.
- 8 You constructively challenge the status quo and seek better alternatives.
- 9 You act within the limits of your authority.

C2 Encourage innovation in your area of responsibility (DR4N 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The benefits of innovation to the organisation, customers and other stakeholders.
- 2 The difference between creativity and innovation.
- 3 How to identify the current approach to and level of innovation in a particular area, including any strengths that can be built upon, any weaknesses that need to be addressed and any obstacles to innovation that need to be removed.
- 4 How to select and apply different methods for motivating people to generate and develop ideas.
- 5 The different potential sources of ideas for new products and/or services and improvements.
- 6 The importance of communication in innovation and how to encourage communication across your area of responsibility.
- 7 The potential obstacles to creativity and innovation and whether and, if so, how they can be removed.
- 8 Key stages in the creative process.
- 9 Key stages in the innovation process.
- 10 How to provide constructive feedback on ideas to teams and individuals.
- 11 How to establish and operate fair and open methods for selecting initial ideas for further development including providing reasons why particular ideas are not being taken forward.
- 12 The range of ways in which initial ideas can be further developed and tested including setting guidelines or parameters for the use of resources, the level of acceptable risk and the reporting of progress.
- 13 How to recognise and manage risk in innovation.
- 14 How to develop a business case and plans for the practical implementation of an idea and how to support others in doing this.
- 15 The characteristics/traits/competencies of creative people and how to recognise these.
- 16 How to unlock creativity in yourself and others.
- 17 The resources required for creativity and innovation, particularly time.
- 18 How to learn from mistakes.
- 19 How to recognise the achievements of the originators/developers of ideas which have been successfully implemented.

Industry/sector specific knowledge and understanding

- 1 The sector(s) in which your organisation works.
- 2 Information sources on innovation in your sector(s).
- 3 Current and emerging political, economic, social, technological, environmental and legal developments in the sector(s) and in related sectors.

Context specific knowledge and understanding

- 1 Your organisation's strategy, if it has one, for innovation.
- 2 The approach to and level of innovation in your area of responsibility.
- 3 The role of innovation in your organisation's culture.
- 4 Organisational guidelines and procedures for developing and implementing ideas.
- 5 The limits of your authority.
- 6 The needs of your customers.

C2 Encourage innovation in your area of responsibility (DR4N 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Policies, practices, people, roles and responsibilities you have developed to encourage the development of creative ideas and innovative products, services and processes in your area of responsibility:				
	◆ suggestions or proposals you have made to review or develop systems and procedures, roles and practices to encourage creativity and innovation in your area of responsibility	1, 2, 4	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ policy statements you have developed, training activities and procedures you have organised to encourage creativity and innovation in your area of responsibility	1, 2, 4, 6	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ records of the promotion, recruitment or selection of people you have been involved in showing how you have sought evidence of candidates' creativity and openness to innovation	1	4, 7, 15, 16	-	5
	◆ systems you have introduced or used to encourage, recognise and reward creativity and innovation within your area of responsibility	1, 2	6, 7, 10, 11, 16, 19		1, 2, 3, 4, 5, 6
	◆ personal statement (reflection on your role in encouraging creativity and innovation in your area of responsibility)	1, 3, 4	1, 2, 3, 4, 5, 7, 8, 9, 10, 11, 16, 18	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ witness statements (describing your role in encouraging creativity and innovation in your area of responsibility)	1, 3, 4	-	-	-

Examples of creativity and innovation that you have encouraged and implemented in your area of responsibility:					
1 2 4 5 6 7 8 9 11 12	◆ creative ideas and proposals for innovative products, services or processes from individuals and teams that you have encouraged, supported, agreed and developed	2, 3, 4, 5, 6, 7	2, 3, 4, 5, 8, 9, 10, 11, 12, 19	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ cost/benefit analyses, business proposals, action plans and project briefs that you have prepared for the implementation of creative ideas and innovative products, services and processes in your area of responsibility	5, 6, 7, 8, 9,	11, 12, 13, 14, 17, 18	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ specifications for innovative products, services and processes in your area of responsibility that you have developed or instigated	7, 8, 9	9, 12, 13, 17, 18	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ notes and records of meetings you have led or contributed to, relating to the introduction of innovative products, services and processes in your area of responsibility	8, 9	9, 12, 13, 17, 18	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ records of rewards or recognition you have given to people for creative ideas and innovative products, services and processes in your area of responsibility	2	4, 15, 16, 19	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ personal statement (reflection on your role in introducing innovative products, services and processes in your area of responsibility)	6, 7, 8, 9	9, 10, 11, 12, 13, 14, 16, 18	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ witness statement (describing your role in introducing innovative products, services and processes in your area of responsibility)	8, 9	-	-	-

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D2 Develop productive working relationships with colleagues and stakeholders (DR4F 04)

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.

Links with other Units

This Unit is closely linked to Units **A3 Develop your personal networks (DR4L 04)**, **B2 Map the environment in which your organisation operates (DR69 04)** and **D1 Develop productive working relationships with colleagues (DR4A 04)** in the overall suite of National Occupational Standards for management and leadership.

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

D2 Develop productive working relationships with colleagues and stakeholders (DR4F 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Identify stakeholders and the background to and nature of their interest in the activities and performance of the organisation.
- 2 Establish working relationships with relevant colleagues and stakeholders.
- 3 Recognise and respect the roles, responsibilities, interests and concerns of colleagues and stakeholders.
- 4 Provide colleagues and stakeholders with appropriate information to enable them to perform effectively.
- 5 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.
- 6 Fulfil agreements made with colleagues and stakeholders and let them know.
- 7 Advise colleagues and stakeholders promptly of any difficulties or where it will be impossible to fulfil agreements.
- 8 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.
- 9 Monitor and review the effectiveness of working relationships with colleagues and stakeholders, seeking and providing feedback, in order to identify areas for improvement.
- 10 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

- 1 You present information clearly, concisely, accurately and in ways that promote understanding.
- 2 You show respect for the views and actions of others.
- 3 You seek to understand people's needs and motivations.
- 4 You comply with and ensure others comply with legal requirements, industry regulations, organisational policies and professional codes.
- 5 You create a sense of common purpose.
- 6 You work towards win-win solutions.
- 7 You show sensitivity to internal and external politics that impact on your area of work.
- 8 You keep promises and honour commitments.
- 9 You consider the impact of your own actions on others.
- 10 You use communication styles that are appropriate to different people and situations.
- 11 You work to develop an atmosphere of professionalism and mutual support.

D2 Develop productive working relationships with colleagues and stakeholders (DR4F 04)

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 industry or sector.
- 2 Sector-specific legislation, regulations, guidelines and codes of practice.
- 3 Standards of behaviour and performance in the industry or sector.
- 4 The culture of the industry or sector.
- 5 Developments, issues and concerns of importance to stakeholders in the industry or sector.

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.

D2 Develop productive working relationships with colleagues and stakeholders (DR4F 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3 4 5 6 10	Records of activities and agreements with work colleagues and stakeholders that you have completed successfully:				
	◆ 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
	◆ 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	-	-	-	

Records of relationship or other difficulties or conflicts with work colleagues and stakeholders that you have successfully addressed and feedback you have given and received:					
1 2 3 4 7 8 9	◆ notes, minutes or other records of formal and informal meetings with colleagues and stakeholders relating to difficulties or conflicts	1, 2, 3, 4, 5, 6, 7, 9, 10, 11	1, 4, 5, 9, 11, 12, 13, 14, 15, 16, 17	2, 3, 4	2, 3, 8, 9, 10, 11
	◆ e-mails, memos and other correspondence with colleagues and stakeholders relating to difficulties or conflicts	1, 2, 3, 4, 5, 6, 7, 9, 10, 11	1, 4, 5, 9, 11, 12, 13, 14, 15, 16, 17	2, 3, 4	2, 3, 8, 9, 10, 11
	◆ notes or other records of verbal feedback and copies of memos, e-mails and letters you have sent in which you have given feedback to colleagues and stakeholders	1, 2, 3, 9, 10, 11	11, 12, 13, 14, 15, 16, 17, 18, 19	3, 4	2, 3, 6, 8, 9, 10, 11
	◆ notes or other records of verbal feedback and copies of memos, e-mails and letters you have received in which colleagues and stakeholders have given feedback to you	2, 11	11, 12, 13, 14, 15, 16, 17, 18, 19	3, 4	2, 3, 6, 8, 9, 10, 11
	◆ personal statements (reflections on your ability to monitor and review the effectiveness of relationships with colleagues and stakeholders and to deal effectively with difficulties or conflicts)	1, 2, 3, 4, 5, 6, 7, 9, 10, 11	9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19	2, 3, 4	9, 10, 11
	◆ witness statements (comments by colleagues and stakeholders on your ability to deal effectively with difficulties or conflicts)	1, 2, 4, 5, 6, 7, 8, 10, 11	-	-	-

E6 Ensure health and safety requirements are met in your area of responsibility (DR52 04)

Unit summary

What is this 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 and operating site within an organisation.

Who is this Unit for?

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

Links with other Units

This Unit is linked to Units **D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)**, **E5 Ensure your own actions reduce risks to health and safety (DR55 04)** and **E7 Ensure an effective organisational approach to health and safety (DR4X 04)** in the overall suite of National Occupational Standards for management and leadership.

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

E6 Ensure health and safety requirements are met in your area of responsibility (DR52 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Identify your personal responsibilities and liabilities under health and safety legislation.
- 2 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.
- 3 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.
- 4 Ensure regular consultation with people in your area of responsibility or their representatives on health and safety issues.
- 5 Seek and make use of specialist expertise in relation to health and safety issues.
- 6 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.
- 7 Ensure that systems are in place for effective monitoring, measuring and reporting of health and safety performance in your area of responsibility.
- 8 Show continuous improvement in your area of responsibility in relation to health and safety performance.
- 9 Make health and safety a priority area in terms of informing planning and decision-making in your area of responsibility.
- 10 Demonstrate that your own actions reinforce the messages in the organisation's health and safety policy statement.
- 11 Ensure that sufficient resources are allocated across your area of responsibility to deal with health and safety issues.
- 12 Develop a culture within your area of responsibility which puts 'health and safety' first.

Behaviours which underpin effective performance

- 1 You respond quickly to crises and problems with a proposed course of action.
- 2 You identify people's information needs.
- 3 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 4 You are vigilant for possible risks and hazards.
- 5 You take personal responsibility for making things happen.
- 6 You identify the implications or consequences of a situation.
- 7 You act within the limits of your authority.
- 8 You constantly seek to improve performance.
- 9 You treat individuals with respect and act to uphold their rights.

E6 Ensure health and safety requirements are met in your area of responsibility (DR52 04)

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 Sector-specific 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 industry or sector.

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.

E6 Ensure health and safety requirements are met in your area of responsibility (DR52 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3 4 5	Records of actions you have taken to ensure health and safety policies are implemented appropriately:				
	◆ notes or minutes of meetings you have organised with people in your area of responsibility, or their representatives, and those with specialist expertise, to discuss, review and agree the implementation of workplace policies on health and safety	2, 3, 5, 7, 9	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2	1, 2, 3, 4, 6, 7, 8
	◆ notes of briefings or presentations you have made or commissioned to people in your area of responsibility on the implementation of workplace policies on health and safety	2, 3, 5, 7, 9	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2	1, 2, 5, 6
	◆ records of training activity you have organised for people in your area of responsibility on the implementation of workplace policies on health and safety	3, 5, 7, 8	1, 5, 8, 14	1, 2	1, 2, 5, 6
	◆ personal statement (reflection on your role in ensuring that health and safety policies are implemented and reviewed in your area of responsibility)	3, 5, 8	1, 2, 4, 6, 7, 8, 9	1, 2	2, 4, 5, 7

Records of risk assessments you have organised, monitoring systems you have introduced or improved, and actions you have taken to reduce risks in your area of responsibility:					
6 7 8 9 10 11 12	◆ notes of minutes of meetings with colleagues and those with specialist expertise that you have organised, to identify and assess risks in your area of responsibility, review and improve procedures and behaviour to reduce risks, and review and develop systems to record accidents and incidents that present a risk to health and safety	2, 3, 4, 5, 6, 7, 8, 9	1, 2, 7, 8, 10, 11, 12, 14	1, 2	1, 3, 4, 5, 6, 7, 8
	◆ risk assessment you have prepared and reports on hazards and risks that you have submitted to appropriate people in your organisation	3, 4, 5, 6, 7, 8	1, 2, 7, 8, 10, 13, 14	1, 2	3, 7
	◆ procedure specifications and instructions you have prepared and e-mails, memos and other communications you have sent to people in your area of responsibility, to improve systems and operations, and to encourage behaviour that reduce risks to health and safety	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2, 9, 10, 12, 14	1, 2	4, 5, 6, 7, 8
	◆ systems specifications and instructions you have prepared and e-mails, memos and other communications you have sent to people in your area of responsibility, to monitor accidents and incidents that present a risk to health and safety	2, 3, 5, 7, 8, 9	1, 2, 9, 10, 11	1, 2	4, 5, 6, 7, 8
	◆ analyses of data on accidents and incidents that present a risk to health and safety	3, 4, 6	1, 2, 9, 10, 11, 12	1, 2	8
	◆ personal statement (reflections on your own actions to identify, monitor and reduce risks to health and safety in your area of responsibility)	1, 3, 4, 5, 6, 7, 8	1, 2, 9, 10, 11, 12, 13	1, 2	4, 5, 6, 7, 8
	◆ witness statements (comments on your actions and behaviour in modelling best practice and encouraging others to minimise the risks to health and safety)	1, 2, 4, 9	-	-	-

F3 Manage business processes (DR5M 04)

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.

Links with other Units

This Unit is linked to Unit **B1 Develop and implement operational plans for your area of responsibility (DR47 04)** in the overall suite of National Occupational Standards for management and leadership.

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

F3 Manage business processes (DR5M 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Design processes that deliver Outcomes based on business goals and aims.
- 2 Identify and provide the resources you need.
- 3 Take account of influences that may affect and shape how processes work.
- 4 Link processes so that they interact across the organisation to form a complete system.
- 5 Provide information and support for staff and other stakeholders involved.
- 6 Define process responsibilities.
- 7 Develop process measures that are affordable and provide enough information for people to decide how to manage the process.
- 8 Establish and use effective methods to review and improve the process.

Behaviours which underpin effective performance

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

F3 Manage business processes (DR5M 04)

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 sector and market in which your organisation works.
- 2 Relevant 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.

F3 Manage business processes (DR5M 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Details of business processes that you have designed, monitored and improved:				
	◆ 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
1 2 3 4 5 6 7 8	◆ process flowcharts, workflow diagrams, benchmark studies, current reality tree, clouds/conflict resolution diagrams, future reality trees, pre-requisite 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

SVQ in Management level 4 (G81R24) — Optional Units

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A2 Manage your own resources and professional development (DR67 04)

Unit summary

What is the Unit about?

This Unit is about managing your personal resources (particularly knowledge, understanding, skills, experience and time) and your professional development in order to achieve your work objectives and your career and personal goals.

You need to understand your work role and how it fits into the overall vision and objectives of the organisation whilst also understanding what is driving you in terms of your values and your career and wider personal aspirations.

Identifying and addressing gaps in your skills and knowledge and understanding is an essential aspect of this Unit.

Who is the Unit for?

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

Links with other Units

This Unit is linked to Units **A1 Manage your own resources (DR64 04)** and **A3 Develop your personal networks (DR4L 04)** in the overall suite of National Occupational Standards for management and leadership.

If your organisation is a small firm, you should look at Unit *A3 Check your own skills (D8VW 04)* which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114-241 2155 or at the SFEDI website (www.sfedi.co.uk).

Skills

Listed below are the main generic 'skills' which need to be applied in managing your own resources and professional development. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ setting objectives
- ◆ evaluating
- ◆ planning
- ◆ learning
- ◆ reviewing
- ◆ communicating
- ◆ self-assessment
- ◆ time management
- ◆ stress management
- ◆ obtaining feedback
- ◆ reflecting
- ◆ prioritising

A2 Manage your own resources and professional development (DR67 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Evaluate, at appropriate intervals, the current and future requirements of your work-role taking account of the vision and objectives of your organisation.
- 2 Consider your values and your career and personal goals and identify information which is relevant to your work role and professional development.
- 3 Discuss and agree personal work objectives with those you report to and how you will measure progress.
- 4 Identify the learning styles which work best for you and ensure that you take these into account in identifying and undertaking development activities.
- 5 Identify any gaps between the current and future requirements of your work-role and your current knowledge, understanding and skills.
- 6 Discuss and agree, with those you report to, a development plan to address any identified gaps in your current knowledge, understanding and skills and support your own career and personal goals.
- 7 Undertake the activities identified in your development plan and evaluate their contribution to your performance.
- 8 Review and update your personal work objectives and development plan in the light of performance, any development activities undertaken and any wider changes.
- 9 Get regular and useful feedback on your performance from those who are in a good position to judge it and provide objective and valid feedback.
- 10 Ensure that your performance consistently meets or goes beyond agreed requirements.

Behaviours which underpin effective performance

- 1 You address multiple demands without losing focus or energy.
- 2 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 3 You prioritise objectives and plan work to make best use of time and resources.
- 4 You take personal responsibility for making things happen.
- 5 You take pride in delivering high quality work.
- 6 You show an awareness of your own values, motivations and emotions.
- 7 You agree achievable objectives for yourself and give a consistent and reliable performance.
- 8 You recognise your own strengths and limitations, play to your strengths and use alternative strategies to minimise the impact of your limitations.
- 9 You make best use of available resources and proactively seek new sources of support when necessary.
- 10 You reflect regularly on your own experiences and use these to inform future action.

A2 Manage your own resources and professional development (DR67 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The principles which underpin professional development.
- 2 The importance of considering your values and career and personal goals and how to relate them to your job role and professional development.
- 3 How to evaluate the current requirements of a work role and how the requirements may evolve in the future.
- 4 How to set objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).
- 5 How to identify development needs to address any identified gaps between the requirements of your work-role and your current knowledge, understanding and skills.
- 6 What an effective development plan should contain and the length of time that it should cover.
- 7 The range of different learning style(s) and how to identify the style(s) which work(s) best for you.
- 8 The type of development activities which can be undertaken to address identified gaps in your knowledge, understanding and skills.
- 9 How to identify whether/how development activities have contributed to your performance.
- 10 How to update work objectives and development plans in the light of performance, feedback received, any development activities undertaken and any wider changes.
- 11 Monitoring the quality of your work and your progress against requirements and plans.
- 12 How to evaluate your performance against the requirements of your work-role.
- 13 How to identify and use good sources of feedback on your performance.

Industry/sector specific knowledge and understanding

- 1 Industry/sector requirements for the development or maintenance of knowledge, skills and understanding and continuing professional development.

Context specific knowledge and understanding

- 1 The requirements of your work-role including the limits of your responsibilities.
- 2 The vision and objectives of your organisation.
- 3 Your own values and career and personal goals.
- 4 Your personal work objectives.
- 5 Your preferred learning style(s).
- 6 Your current knowledge, understanding and skills.
- 7 Identified gaps in your current knowledge, understanding and skills.
- 8 Your personal development plan.
- 9 Available development opportunities and resources in your organisation.
- 10 Your organisation's policy and procedures in terms of personal development.
- 11 Reporting lines in your organisation.
- 12 Possible sources of feedback in your organisation.

A2 Manage your own resources and professional development (DR67 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Your evaluation of the current and future requirements of your work role, and your career and personal work objectives and your reflections on your values:				
1	◆ job descriptions, records of appraisal or performance review meetings, work plans and objectives	2, 3, 4, 6, 7, 8	1, 2, 3, 5	–	1, 11
2	◆ notes of conversations with managers and colleagues about their expectations	1, 2, 3, 5, 7, 8, 9	1, 3, 5, 13	–	9, 12
3	◆ personal statement (reflections on your role and responsibilities, work objectives and values)	1, 2, 3, 5, 7, 8, 9	2, 5, 7	–	1, 3, 4
	Assessment of your personal learning style and its implications:				
4	◆ reports from providers of assessment instrument	6, 8, 10	1, 7, 13	–	5
	◆ personal statement (reflection on implications of learning style for development activities)	6, 8, 9, 10	1, 7, 8	–	5, 9, 10
	Assessment of your current knowledge, understanding and skills, and an analysis of how well these reflect the current and future requirements of your work role:				
	◆ qualification certificates and transcripts		1	1	6
	◆ personality and skill inventory reports	8	1, 5	1	6, 7
5	◆ records of appraisal or performance review meetings, and personal development plans and objectives	8	1, 5, 9, 10, 11, 12, 13	1	6, 7, 9, 10, 11, 12
6	◆ personal statement (reflections on the relationship between knowledge, understanding and skills and the requirements of your work role)	8, 10	1, 5, 8, 12	1	6, 7, 9
	◆ witness statements from managers and other work colleagues	8, 9	–	–	–

7	Evidence of having undertaken training and development activity to meet identified development needs and reflect preferred learning style:				
	◆ attendance certificates	9	1, 7, 8	1	9
	◆ post-course evaluation reports that you have written	10	1, 9	1	-
	◆ personal statement (reflections on your learning and application of your learning to your work role)	9, 10	1, 7, 8, 9	1	9
8 9 10	Records of feedback (both formal and informal) you have received on your performance and achievement of your objectives:				
	◆ records of appraisal or performance review meetings	4, 5, 7	1, 10, 12, 13	-	1, 3, 4, 8, 11, 12
	◆ e-mails, memos, notes or other records of informal feedback from others on your performance	4, 5, 7	1, 13	-	1, 4, 11, 12
	◆ work schedules or plans, outputs of proprietary or self-designed time planner systems (paper or electronic)	1, 2, 3, 4, 7, 10	3, 4, 10, 11	-	1, 4
	◆ witness statements (comments on your work performance and achievement of objectives)	1, 2, 3, 4, 7, 10	-	-	-

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A3 Develop your personal networks (DR4L 04)

Unit summary

What is the Unit about?

This Unit is about developing your personal networks to support both your current and future work.

Your personal networks may include people in your own organisation, people you meet from other organisations and people you are in contact with over the phone or the Internet.

Developing personal networks is based on the principles of reciprocity (exchanging things with others for mutual benefit) and confidentiality. People only want to network if there are mutual benefits from exchanging information and other resources. There must also be clearly agreed boundaries of confidentiality — certain information and resources may not be exchanged because they are confidential.

Who is the Unit for?

The Unit is recommended for middle managers and senior managers.

Links to other Units

This Unit is linked to Units **A2 Manage your own resources and professional development (DR67 04)** and **D2 Develop productive working relationships with colleagues and stakeholders (DR4F 04)** in the overall suite of National Occupational Standards for management and leadership.

If your organisation is a small firm, you should look at Unit *A3 Check your own skills (D8VW 04)* which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114-241 2155 or at the SFEDI website (www.sfedi.co.uk).

Skills

Listed below are the main generic ‘skills’ which need to be applied in developing your personal networks. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ communicating
- ◆ setting objectives
- ◆ questioning
- ◆ time management
- ◆ information management
- ◆ presenting information
- ◆ influencing and persuading
- ◆ reflecting
- ◆ learning
- ◆ evaluating
- ◆ risk management

A3 Develop your personal networks (DR4L 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Develop and maintain personal networks of contacts, which are appropriate to meet your current and future needs for information and resources.
- 2 Ensure that key members of your personal networks have an accurate idea of your knowledge, understanding, skills, abilities and experience and are aware of the benefits of networking with you.
- 3 Establish boundaries of confidentiality between yourself and members of your personal networks and where appropriate, develop guidelines for exchanging information and resources.
- 4 Develop your personal networks to reflect your changing interests and needs.
- 5 Make active use of the information and resources gained through your personal networks.
- 6 Introduce people and organisations with common interests to each other.

Behaviours which underpin effective performance

- 1 You acknowledge when your own interests are in conflict with common goals.
- 2 You state your own position and views clearly and confidently in conflict situations.
- 3 You encourage others to share information and knowledge within the constraints of confidentiality.
- 4 You identify and work with people and organisations that can provide support for your work.
- 5 You work to develop an atmosphere of professionalism and mutual support.
- 6 You clarify your own and other's expectations of relationships.
- 7 You model behaviour that shows respect, helpfulness and co-operation.
- 8 You keep promises and honour commitments.
- 9 You consider the impact of your own actions on others.
- 10 You reflect regularly on your own experiences and use these to inform future actions

A3 Develop your personal networks (DR4L 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The benefits for individuals and organisations of networking.
- 2 Principles of effective communication and how to apply them in developing personal networks.
- 3 The range of different types of questions, and how and when to use them.
- 4 The range of different communication styles and how people prefer to communicate.
- 5 The range of methods for developing effective relationships with others in the work context and, where necessary, how to end relationships which are no longer of use.
- 6 How to make active use of the information and resources gained through personal networks.
- 7 The principles of confidentiality, and how to develop guidelines for exchanging information between individuals and organisations.

Industry/sector specific knowledge and understanding

- 1 Industry/sector legislation, requirements, regulations, policies and professional codes that are relevant to networking and confidentiality of information.

Context specific knowledge and understanding

- 1 Your own values, motivations and emotions, and the effect of these on your own actions.
- 2 Your own interests and how these may conflict with the interests of others.
- 3 Your own objectives in developing your personal networks.
- 4 Your current and likely future needs for information and resources.
- 5 Your knowledge, understanding, skills, abilities and experience.
- 6 People and organisations that can support your work, and vice versa.
- 7 The range of information and resources people may need.
- 8 People and organisations in your current personal networks.

A3 Develop your personal networks (DR4L 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Records of your participation in formal and informal networking organisations:				
1	◆ membership of and records of attendance at meetings organised by institutes, business, charitable and networking organisations	1, 4, 5	1, 2, 5, 6, 7	1	1, 2, 3, 6, 8
2	◆ address books and outputs from electronic contacts system	4	1	–	8
4	◆ contributions to chat rooms, bulletin boards, weblogs, or webring	1, 2, 3, 4	1, 2, 4, 6, 7	1	2, 3, 4, 5, 6
	◆ personal diaries, development plans, reflective logs and other records of your networking activity and reflections on it	4, 9, 10	1, 5, 6, 7	1	1, 2, 3, 4
	◆ witness statements (comments on your contribution to networks)	4, 5, 7, 8	–	–	–
	◆ personal statement (reflections on your membership of and role in networks)	4, 5	1, 5, 7	1	1, 2, 3, 4
	Information or resources you obtained from or supplied to contacts in your personal network:				
2	◆ e-mails, letters or notes of conversations or telephone calls you have made	1, 2, 3, 6, 7	1, 2, 3, 4, 6, 7	1	2, 3, 6, 7, 8
3	◆ witness statements (comments on your role in seeking and providing information)	1, 3, 5, 6, 7, 8	–	–	–
5	◆ personal statements (reflections on your role in seeking and providing information)	1, 3, 10	6, 7	1	2, 3, 6, 7, 8
	Organised records of your personal contacts				
1	◆ annotated contacts list	4	1		8
4	◆ outputs from electronic contacts system	4	1		8
	Records of business developments you made through your contacts:				
4	◆ reports and correspondence you have written	1, 2, 3, 4, 6, 8	1, 2, 3, 4	1	1, 2, 3, 6, 7, 8
5	◆ witness statements	1, 2, 3, 6, 7, 8	–	–	–
6	◆ personal statements	1, 2, 3, 4, 6, 8, 9, 10	1, 2	1	1, 2, 3, 6, 7, 8

B6 Provide leadership in your area of responsibility (DR75 04)

Unit summary

What is the Unit about?

The Unit is about providing direction to people in a clearly and formally defined area or part of an organisation and motivating and supporting them to achieve the vision and objectives for the area.

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.

Links to other Units

This Unit is linked to Units **B1 Develop and implement operational plans for your area of responsibility (DR47 04)**, **B5 Provide leadership for your team (DR73 04)**, **B7 Provide leadership for your organisation (DR70 04)** and **D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- ◆ communicating
- ◆ influencing and persuading
- ◆ leading by example
- ◆ motivating
- ◆ consulting
- ◆ planning
- ◆ setting objectives
- ◆ providing feedback
- ◆ coaching
- ◆ mentoring
- ◆ valuing and supporting others
- ◆ empowering
- ◆ learning
- ◆ following
- ◆ managing conflict
- ◆ obtaining feedback

B6 Provide leadership in your area of responsibility (DR75 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Create a vision of where your area is going and clearly and enthusiastically communicate it, together with supportive objectives and operational plans, to the people working within your area.
- 2 Ensure that people working within your area understand and can see how the vision, objectives and operational plans link to the vision and objectives of the overall organisation.
- 3 Steer your area successfully through difficulties and challenges, including conflict within the area.
- 4 Create and maintain a culture within your area which encourages and recognises creativity and innovation.
- 5 Develop a range of leadership styles and select and apply them to appropriate situations and people.
- 6 Communicate regularly, making effective use of a range of different communication methods, with all the people working within your area and show that you listen to what they say.
- 7 Give people in your area support and advice when they need it especially during periods of setback and change.
- 8 Motivate and support people in your area to achieve their work and development objectives and provide recognition when they are successful.
- 9 Empower people in your area to develop their own ways of working and take their own decisions within agreed boundaries.
- 10 Encourage people to give a lead in their own areas of expertise and show willingness to follow this lead.
- 11 Win, through your performance, the trust and support of people within your area for your leadership and get regular feedback on your performance.

Behaviours which underpin effective performance

- 1 You articulate a vision that generates excitement, enthusiasm and commitment.
- 2 You create a sense of common purpose.
- 3 You take personal responsibility for making things happen.
- 4 You make complex things simple for the benefit of others.
- 5 You encourage and support others to take decisions autonomously.
- 6 You act within the limits of your authority.
- 7 You make time available to support others.
- 8 You show integrity, fairness and consistency in decision-making.
- 9 You seek to understand people's needs and motivations.
- 10 You model behaviour that shows respect, helpfulness and co-operation.
- 11 You encourage and support others to make the best use of their abilities.

B6 Provide leadership in your area of responsibility (DR75 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The fundamental differences between management and leadership
- 2 How to create a compelling vision for an area of responsibility
- 3 How to select and successfully apply different methods for communicating with people across an area of responsibility
- 4 A range of different leadership styles and how to select and apply these to different situations and people
- 5 How to get and make use of feedback from people on your leadership performance
- 6 Types of difficulties and challenges that may arise, including conflict within the area, and ways of identifying and overcoming them
- 7 The benefits of and how to create and maintain a culture which encourages and recognises creativity and innovation
- 8 The importance of encouraging others to take the lead and ways in which this can be achieved
- 9 How to empower people effectively
- 10 How to select and successfully apply different methods for encouraging, motivating and supporting people and recognising achievement

Industry/sector specific knowledge and understanding

- 1 Leadership styles common in the industry/sector
- 2 Legal, regulatory and ethical requirements in the industry/sector

Context specific knowledge and understanding

- 1 Your own values, motivations and emotions
- 2 Your own strengths and limitations in the leadership role
- 3 The strengths, limitations and potential of people that you lead
- 4 Your own role, responsibilities and level of power
- 5 The vision and objectives of the overall organisation
- 6 The vision, objectives, culture and operational plans for your area of responsibility
- 7 Types of support and advice that people are likely to need and how to respond to these
- 8 Leadership styles used across the organisation

B6 Provide leadership in your area of responsibility (DR75 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Plans, procedures, records of meetings and other communications you have prepared that clearly articulate your vision and show how it is to be translated into action				
1 2 5	◆ vision statement, policy statements, operational objectives plans and procedures	1, 2, 3, 6	1, 2, 3, 7	1, 2	1, 2, 3, 4, 5, 6, 7, 8
6 7	◆ notes, presentations and materials from team briefings and other meetings and discussions, newsletters, notices, intranet and internet pages	1, 2, 3, 4, 5, 6, 7, 8, 10, 11	1, 2, 3, 4, 7, 8, 9, 10	1, 2	1, 2, 3, 4, 5, 6, 7, 8
8 9 10	◆ personal statements (how you ensured that your vision was understood and used by others to shape their behaviour)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11	1, 2, 3, 4, 7, 8, 9, 10	1, 2	1, 2, 3, 4, 5, 6, 7, 8
	◆ witness statements (by those using your vision to shape their behaviour)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11	–	–	–
	Records of critical incidents that show decisions you have made and how you have delegated responsibility to others, and have authorised activities designed to address significant problems and seized opportunities				
2 3 4 5 6 7 8 9 10	◆ contemporaneous notes, diary entries or memoranda to record significant difficulties or problems (eg those with possible disciplinary, business or legal consequences)	2, 3, 5, 6, 11	1, 3, 4, 6, 7, 8, 9, 10	1, 2	1, 2, 3, 4, 7, 8
	◆ letters, memoranda, e-mails, reports and other communications to inform appropriate people and make a formal records of your decisions and actions (eg to resolve problems and delegate responsibility for future actions)	2, 3, 4, 5, 6, 8, 10, 11	1, 3, 4, 6, 8, 9, 10	1, 2	1, 2, 3, 4, 7, 8
	◆ minutes or notes of progress report meetings	2, 3, 5, 6, 7, 8, 9, 10, 11	1, 4, 5, 6, 8, 9, 10	1, 2	1, 2, 3, 4, 7, 8
	◆ personal statements (how you made significant decisions and delegated responsibility to others)	3, 5, 6, 7, 8, 9, 10, 11	1, 4, 6, 7, 8, 9, 10	1, 2	1, 2, 3, 4, 7, 8
	◆ witness statements (how you made significant decisions and delegated responsibility to others)	3, 5, 6, 7, 8, 9, 10, 11	–	–	–

1 3 4 5 9 10	Proposals you have made, parameters you have set, plans you have made and records you have kept of development meetings and projects designed to encourage creative ideas-generation and innovation:				
	◆ proposals for, and agenda and reports of meetings	1, 2, 3, 5, 6, 11	4, 6, 7, 8, 9, 10	2	2, 3, 4, 5, 6, 7,
	◆ criteria used to sort and evaluate creative ideas	6, 8	4, 7	2	4, 5, 6
	◆ proposals to develop new and innovative products, production systems or operational procedures	1, 3, 4, 6	2, 3, 7	2	4, 5, 6
	Records of feedback you have received from managers, peers, those you manage and other colleagues, about your management and leadership performance:				
1 2 11	◆ records of appraisal or performance review interviews with your line manager	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 4, 5	1, 2	1, 2, 4, 7, 8
	◆ records of 360o appraisals by colleagues	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 4, 5	1, 2	1, 2, 4, 7, 8
	◆ notes of informal feedback, reflective logs or CPD records	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 4, 5	1, 2	1, 2, 4, 7, 8
	◆ critical incident personal reports	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 4, 5	1, 2	1, 2, 4, 7, 8
	◆ witness statements (experiences of your leadership and management performance)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	–	–	–

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B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)

Unit summary

What is the Unit about?

Organisations must show that they act responsibly in relation to their staff, customers, investors and the communities in which they work. All types of organisations must obey the law in key areas such as health and safety, employment, finance and company law. Many organisations also have to work within specific regulations for their industry and ethical frameworks. Organisations who want to maintain a good reputation also have to take account of the views of people in their communities on a whole range of issues such as the environment and other ways in which the organisation affects people's quality of life.

Who is the Unit for?

The Unit is recommended for middle managers and senior managers.

Links to other Units

This Unit is linked to all other Units in the overall suite of National Occupational Standards for management and leadership where compliance with legal, regulatory, ethical and social requirements is a possible requirement.

Skills

Listed below are the main generic 'skills' which need to be applied in ensuring compliance with legal, regulatory, ethical and social requirements. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

◆ information management	◆ decision making
◆ communicating	◆ reporting
◆ involving others	◆ risk management
◆ analysing	◆ valuing and supporting others
◆ monitoring	◆ presenting information
◆ assessing	◆ leadership
◆ motivating	

B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Monitor the relevant legal, regulatory, ethical and social requirements and the effect they have on your area of responsibility, including what will happen if you don't meet them.
- 2 Develop effective policies and procedures to make sure your organisation meets all the necessary requirements.
- 3 Make sure relevant people have a clear understanding of the policies and procedures and the importance of putting them into practice.
- 4 Monitor the way policies and procedures are put into practice and provide support.
- 5 Encourage a climate of openness about meeting and not meeting the requirements.
- 6 Identify and correct any failures to meet the requirements.
- 7 Identify reasons for not meeting requirements and adjust the policies and procedures to reduce the likelihood of failures in the future.
- 8 Provide full reports about any failures to meet the requirements to the relevant stakeholders.

Behaviours which underpin effective performance

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You make time available to support others.
- 3 You give feedback to others to help them improve their performance.
- 4 You identify and raise ethical concerns.
- 5 You are vigilant for potential risks.
- 6 You make appropriate information and knowledge available promptly to those who need it and have a right to it.
- 7 You encourage others to share information and knowledge within the constraints of confidentiality.
- 8 You show sensitivity to stakeholders' needs and manage these effectively.

B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The importance of having an ethical and value-based approach to governance and how to put this into practice.
- 2 Relevant legal requirements governing the running of organisations.
- 3 Current and emerging social attitudes to management and leadership practice and the importance of being sensitive to these.

Industry/sector specific knowledge and understanding

- 1 Legal, regulatory and ethical requirements in your sector.
- 2 Procedures to follow if you do not meet the requirements.
- 3 Particular current and emerging social concerns and expectations that are relevant to your sector.
- 4 Ways in which other organisations deal with current and emerging social concerns and expectations.

Context specific knowledge and understanding

- 1 The culture and values of your organisation and what effect they have on corporate governance
- 2 Policies and procedures that make sure people meet the requirements.
- 3 The processes for maintaining the relevant policies and procedures and making sure they continue to be effective.
- 4 The different ways in which people may not meet the requirements and the risks of these actually happening
- 5 The procedures for dealing with people who do not meet the requirements, including requirements for reporting

B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3 5	Policies, systems, procedures and reports you have originated or instigated:				
	◆ Records of training, consultations, working groups, project teams, committees and other forums you have organised and/or participated in to develop, review and implement policies in relation to legal, regulatory, ethical and social issues	1, 4, 5, 6, 7, 8, 9, 10	1, 2, 3	1, 2, 3, 4	1, 2
	◆ Health and safety, environmental, corporate social responsibility, equal opportunities, employment, recruitment, customer service and other policy statements you have developed, initiated and/or agreed in relation to legal, regulatory, ethical and social issues	1, 4, 5, 6, 7, 8, 9, 10	1, 2, 3	1, 2, 3, 4	1, 2, 5
	◆ Risk assessments you have undertaken or commissioned	1, 4, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5
3 4 5 6 7 8	Records of actions you have taken to implement policy and address any risks identified:				
	◆ Plans, specifications action plans and other records of systems and procedures, roles and responsibilities, training and development, objectives and other actions you have organised and/or participated in to implement organisational policies in relation to legal, regulatory, ethical and social issues	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5
	◆ Documentation you have been responsible for developing relating to the assessment, recognition and auditing of the organisation for external standards (eg ISO14000)	1, 5, 6, 8	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5
	◆ Personal statements, action plans, reports you have prepared and records of actions you have taken, to monitor and review organisational performance, and take appropriate action, in relation to legal, regulatory, ethical and social issues	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5
	◆ Specifications, action plans, reports from project teams, working groups or committees you have organised and/or participated in, to monitor and review organisational performance, and take appropriate action, in relation to legal, regulatory, ethical and social issues	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5

B11 Promote equality of opportunity and diversity in your area of responsibility (DR6P 04)

Unit summary

What is the Unit about?

This Unit is about actively promoting equality of opportunity and diversity in your area of responsibility. It is intended to go beyond compliance with equality legislation and move towards a situation where there is awareness in your area of and active commitment to the need to ensure equality of opportunity and the benefits of diversity.

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.

Links to other Units

This Unit links to a number of Units in the overall suite of National Occupational Standards for management and leadership which involve managing or working with people.

Skills

Listed below are the main generic 'skills' which need to be applied in promoting equality of opportunity and diversity in your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ communicating
- ◆ leadership
- ◆ motivating
- ◆ monitoring
- ◆ information management
- ◆ evaluating
- ◆ valuing and supporting others
- ◆ consulting
- ◆ balancing competing needs and interests
- ◆ influencing and persuading
- ◆ planning
- ◆ reporting
- ◆ decision making
- ◆ reviewing
- ◆ risk management

B11 Promote equality of opportunity and diversity in your area of responsibility (DR6P 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Ensure commitment within your area of responsibility to promoting equality of opportunity and diversity, including making it a priority area in terms of informing the vision and objectives for your area and planning and decision-making.
- 2 Ensure that your behaviour, words and actions and those of people working in your area of responsibility support a commitment to equality of opportunity and diversity.
- 3 Identify your personal responsibilities and liabilities under equality legislation and any relevant codes of practice.
- 4 Identify the diversity and needs of your area's current customers and potential customers and identify areas where needs could be better satisfied and where the diversity of customers could be improved.
- 5 Ensure that the organisation's written equality and diversity policy is clearly communicated to all people in your area of responsibility and other relevant parties.
- 6 Implement the organisation's written equality and diversity policy in your area, including relevant parts of any accompanying organisation-wide action plan, seeking and making the required resources available.
- 7 Ensure regular consultation with people in your area of responsibility or their representatives on equality and diversity issues.
- 8 Seek and make use of specialist expertise in relation to equality and diversity issues.
- 9 Ensure that working arrangements, resources and business processes in your area of responsibility respond to different needs, abilities, values and ways of working.
- 10 Monitor, review and report to the relevant people on progress in relation to equality of opportunity and diversity within your area of responsibility, identifying required actions and changes to practice.

Behaviours which underpin effective performance

- 1 You use communication styles that are appropriate to different people and situations.
- 2 You understand individuals' needs, feelings and motivations and take an active interest in their concerns.
- 3 You encourage and support others to make the best use of their abilities.
- 4 You use a range of leadership styles appropriate to different people and situations.
- 5 You show a clear understanding of different customers and their needs.
- 6 You treat individuals with respect and act to uphold their rights.
- 7 You show integrity, fairness and consistency in decision making.
- 8 You make time available to support others.
- 9 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.

B11 Promote equality of opportunity and diversity in your area of responsibility (DR6P 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 Different definitions of diversity
- 2 The different forms which discrimination and harassment might take
- 3 The business case for ensuring equality of opportunity and promoting diversity
- 4 The probable effects of not promoting equality of opportunity and diversity within your area of responsibility
- 5 How commitment within your area of responsibility to promoting equality of opportunity and diversity might be demonstrated
- 6 Why it is important to make equality and diversity a priority area and how to do so effectively
- 7 Why it is important to lead by example in terms of your behaviour, words and actions supporting a commitment to equality of opportunity and diversity
- 8 How to recognise when the behaviour, words and actions of others does and does not support a commitment to equality of opportunity and diversity
- 9 How and where to identify your personal responsibilities and liabilities under equality legislation and any relevant codes of practice
- 10 The importance of identifying the diversity and needs of your area's current and potential customers in order to identify areas for improvement and how to do so effectively
- 11 How to communicate the organisation's written equality and diversity policy to people who work in your area of responsibility and other relevant parties
- 12 The importance of implementing an organisation's written equality and diversity policy and any supporting action plan
- 13 The type of resources which might be required to support implementation of an equality and diversity policy and any supporting action plan
- 14 How and when to consult with people in your area of responsibility or their representatives on equality and diversity issues
- 15 Sources of specialist expertise in relation to equality and diversity
- 16 How to provide working arrangements, resources and businesses processes in your area of responsibility that respond to different needs, abilities, values and ways of working
- 17 How to monitor, review and report on progress in relation to equality of opportunity and diversity within your area of responsibility

Industry/sector specific knowledge and understanding

- 1 Sector-specific legislation, regulations, guidelines and codes of practice relating to equality and diversity.
- 2 Equality and diversity issues and developments that are particular to the industry or sector.
- 3 Information sources on equality and diversity in the industry or sector.

Context specific knowledge and understanding

- 1 The vision, objectives and operational plans for your area of responsibility
- 2 The planning and decision-making processes within your area of responsibility
- 3 The overall vision, values, objectives, plans and culture of the organisation
- 4 The diversity of the people working in your area of responsibility
- 5 Your area's current and potential customers and their needs
- 6 Other relevant parties with an interest in diversity in your area of responsibility
- 7 The organisation's written equality and diversity policy and any accompanying action plan and how they are communicated to people who work for the organisation, people in your area and to other relevant parties
- 8 Sources of specialist expertise in relation to equality and diversity used in your area of responsibility
- 9 The support and resources allocated to and across your area of responsibility to promote equality of opportunity and diversity
- 10 Employment policies and practices within the organisation — including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions
- 11 Working arrangements, resources and business processes in your area of responsibility
- 12 Systems in place in your area of responsibility for monitoring, reviewing and reporting on progress in relation to equality of opportunity and diversity
- 13 Allocated responsibilities for promoting equality of opportunity and diversity in your area of responsibility and the organisation in general

B11 Promote equality of opportunity and diversity in your area of responsibility (DR6P 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3 5 7 8 9	Policies, systems, procedures and reports you have originated or instigated in relation to equality of opportunity and diversity:				
	◆ records of training, consultations, working groups, project teams, committees and other forums you have organised and/or participated in to raise awareness of and review legal obligations, and to develop, review and implement policies in relation to equality of opportunity and diversity relating to your area of responsibility	1, 2, 4, 5, 6, 7, 9	1, 2, 3, 4, 5, 6, 7, 9, 11, 12, 14, 15	1, 2, 3	1, 2, 3, 6, 7, 8, 9, 13
	◆ equality of opportunity and diversity values and policy statements you have developed, initiated and/or agreed relating to your area of responsibility	1, 2, 4, 5, 6, 7, 9	1, 2, 3, 4, 5, 6, 7, 9, 11, 12, 14, 15	1, 2, 3	1, 2, 3, 6, 7, 8, 9, 13
Records of actions you have taken to implement policy and address any problems identified:					
1 2 3 4 5 6 8 9 10	◆ monitoring systems you have designed or introduced, reviews of equality of opportunity and diversity in the practices and Outcomes in your area of responsibility that you have undertaken or initiated (eg recruitment practices, employment or service use levels relative to the relevant population), and reports you have prepared and proposals you have made or agreed as a result	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2, 3, 4, 5, 7, 8, 9, 10, 12, 17	1, 2, 3	2, 4, 5, 6, 7, 8, 9, 10, 11, 12
	◆ systems and procedures, roles and responsibilities you have developed, consultations and training you have organised and other actions you have initiated or taken to implement policy and bring about changes in behaviour and working practices	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2, 3, 4, 5, 6, 7, 8, 9, 11, 12, 13, 14, 15, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 13
	◆ personal statements (reflections on your own attitudes and behaviours and actions you have taken in relation to equality of opportunity and diversity in the workplace)	2, 4, 5, 6, 7, 9	1, 2, 3, 4, 5, 6, 7, 9	1, 2, 3	1, 2, 3, 4, 7, 8, 9, 10, 11, 12

C4 Lead change (DR5C 04)

Unit summary

What is the Unit about?

‘Change’, in its various forms, is happening more often within organisations. The driving force for change may be external or internal to the organisation or a mixture of both. It may be a reaction to events or an attempt to improve the organisation for the future.

This Unit reflects the need, in many situations, for someone to take control and provide a lead within the overall organisation or part of an organisation for a specific change or a wider programme of change. It involves selling the vision in terms of what the change is aiming to achieve and supporting the people involved in the practicalities of making the vision a reality.

Who is the Unit for?

The Unit is recommended for middle managers and senior managers.

Links to other Units

This Unit is closely linked to Units **C5 Plan change (DR6J 04)**, **C6 Implement change (DR57 04)**, **B6 Provide leadership in your area of responsibility (DR75 04)** and **B7 Provide leadership for your organisation (DR70 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- ◆ leadership
- ◆ communicating
- ◆ decision making
- ◆ motivating
- ◆ delegating
- ◆ negotiating
- ◆ influencing
- ◆ problem solving
- ◆ valuing and supporting others
- ◆ setting objectives
- ◆ prioritising

C4 Lead change (DR5C 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Communicate your vision of the future, the reasons for the change and associated benefits to everyone involved.
- 2 Encourage everyone involved to welcome change as an opportunity.
- 3 Make sure the people responsible for planning and implementing change understand their responsibilities and have the necessary influence and power.
- 4 Set and prioritise objectives for the change.
- 5 Identify strategies for achieving the vision and communicate them clearly to everyone involved.
- 6 Support people through the change process.
- 7 Communicate progress to everyone involved and celebrate achievement.
- 8 Identify and deal with obstacles to change.

Behaviours which underpin effective performance

- 1 You give people opportunities to provide feedback and you respond appropriately.
- 2 You clearly agree what is expected of others and hold them to account.
- 3 You articulate a vision that generates excitement, enthusiasm and commitment.
- 4 You inspire others, championing work to achieve common goals.
- 5 You show sensitivity to stakeholders' needs and interests and manage these effectively.
- 6 You use a range of leadership styles appropriate to different people and situations.
- 7 You identify the implications or consequences of a situation.
- 8 You take and implement difficult and/or unpopular decisions, if necessary.

C4 Lead change (DR5C 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The main models and methods for leading organisational change, and their strengths and weaknesses.
- 2 The relationship between transformational and transactional change.
- 3 Theory and application of the change/performance curve.
- 4 Principles and application of risk assessment.
- 5 Different leadership styles and behaviours, their strengths and how to use the appropriate style for different circumstances.
- 6 How to make critical decisions.
- 7 The political, bureaucratic and resource barriers to change, and the techniques for dealing with these.
- 8 Different methods of communication and their relevant strengths and weaknesses in various circumstances.
- 9 The main techniques for solving problems and how to apply them.
- 10 Stakeholder expectations and how they influence the change process.

Industry/sector specific knowledge and understanding

- 1 Your organisation's current position in the sector and market in which it operates, compared with its main competitors, relevant to the change programme.
- 2 The range of information sources that are relevant to your sector, and related sectors, in which the organisation operates.
- 3 Current and emerging political, economic, social, technological, environmental and legal developments in the sector and in related sectors.

Context specific knowledge and understanding

- 1 Your vision for the future, the reasons for change, the risks and expected benefits.
- 2 Those factors (for example, strategy, procedures, policies and structure) that need to be changed, and the associated priorities and reasons.
- 3 Employees' knowledge, skills and attitudes.
- 4 How long it will take to make the changes.
- 5 The culture of the organisation and the implications this has for the change process.
- 6 Your organisation's communication channels, both formal and informal.

C4 Lead change (DR5C 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 3 4 5	Policies, plans and presentations you have been responsible for producing to communicate your vision for the future and your strategy for implementing it:				
	◆ vision statements, records of presentations, policy and strategy documents, proposals, newsletters and other internal communications, that you have produced that present your vision for the future and the objectives of the change	1, 2, 3, 4, 5, 8	1, 2, 3, 8, 10	1, 2, 3	1, 2, 4, 5, 6
	◆ feasibility studies, cost-benefit analyses, decision tables and other financial and risk assessments you have made or commissioned to determine the likely success of proposals for change	1, 7, 8	1, 3, 4, 6, 7, 10	1, 2, 3	1, 2, 3, 4, 5
	◆ project and action plans, descriptions of role and responsibilities, Gantt charts, network diagrams, and other plans for the implementation of changes that you have initiated	1, 2, 3, 4, 7, 8	5, 6, 7	1, 2, 3	1, 2, 3, 4, 5
1 2 3 6	Records of actions you have taken and meetings you have held to support people through the change:				
	◆ records of training, coaching, mentoring, counselling and other development and support services you have organised for the people affected by the change	1, 4, 5, 6, 7, 8	2, 5, 8	-	3, 4, 5
	◆ notes or records of meetings you have had with people directly affected by the change, and records of agreements you have made with them to take action in response to their concerns or difficulties they are facing	1, 4, 5, 6, 7, 8	5, 8, 10	-	3, 4, 5
	◆ records of decisions you have made and actions you have initiated in response to feedback you have received from people affected by change	1, 2, 6, 7, 8	5, 6, 8	-	3, 4, 5
	◆ personal statements (reflections on your own actions and behaviour to support people through the change process)	3, 5	5, 6	-	3, 4, 5
◆ witness statements (comment on your actions and behaviour to support people through the change process)	1, 2, 3, 4, 5	-	-	-	

4 6 8	Systems you have designed to monitor the progress of planned change and actions you have taken in response to problems encountered:				
	◆ objectives and targets, milestones, critical success factors, key performance indicators and other techniques you have used to establish metrics against which to monitor progress	2, 7	1, 3, 7, 8	1, 2, 3	1, 2, 3, 4, 5, 6
	◆ specifications of systems and procedures you have initiated to monitor performance against these metrics	2, 7	6, 9	1, 2, 3	2, 4, 5, 6
	◆ records on performance and notes of meetings to discuss progress and identify any barriers to progress, and action plans and other records of action you have agreed to address these barriers	1, 2, 6, 7, 8	5, 6, 7, 9	1, 2, 3	2, 4, 5, 6
7	Your communications with stakeholders and others on the progress of the change process:				
	◆ reports you have prepared to stakeholders on the progress of the project, actions you have initiated to deal with any problems and revised schedules or timetables, where appropriate	5, 7	8, 10	1, 3	6
	◆ newsletters, e-mails, intranet pages, presentations and briefings you have made and other communications you have initiated to ensure that all the people involved are kept informed about progress towards achieving your vision	5, 7	8, 10	1, 2	6

C5 Plan change (DR6J 04)

Unit summary

What is the Unit about?

This Unit is about the planning that is needed to make a specific change or put into practice a programme of change. It involves developing a strategy to make the change that is needed, taking note of barriers, risks and the need to put appropriate monitoring and communication systems in place.

Who is the Unit for?

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

Links to other Units

This Unit is closely linked to Units **C4 Lead change (DR5C 04)**, **C6 Implement change (DR57 04)**, **B6 Provide leadership in your area of responsibility (DR75 04)** and **B7 Provide leadership for your organisation (DR70 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- ◆ communicating
- ◆ planning
- ◆ analysing
- ◆ team building
- ◆ negotiating
- ◆ obtaining feedback
- ◆ influencing
- ◆ problem solving
- ◆ monitoring
- ◆ risk management
- ◆ contingency planning
- ◆ information management
- ◆ decision making

C5 Plan change (DR6J 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Identify the procedures, systems, structures and roles that need to be changed, and assess the gap between their current and required future state.
- 2 Identify and assess barriers to change.
- 3 Develop strategies and plans that set out the way forward.
- 4 Assess the risks and benefits associated with the strategies and plans and develop contingency arrangements.
- 5 Make sure your plans include short-term 'wins' as well as longer-term deliverables.
- 6 Develop systems for monitoring and assessing progress.
- 7 Develop a communication strategy for the change process that allows people to give feedback.
- 8 Identify training and support needs and plan how to meet these.

Behaviours which underpin effective performance

- 1 You find practical ways to overcome barriers.
- 2 You present information clearly, concisely, accurately and in ways that promote understanding.
- 3 You are vigilant for potential risks.
- 4 You give people opportunities to provide feedback and you respond appropriately.
- 5 You set demanding but achievable objectives for yourself and others.
- 6 You work towards a clearly defined vision of the future.
- 7 You identify the implications or consequences of a situation.

C5 Plan change (DR6J 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The main models and methods for managing change effectively, and their strengths and weaknesses.
- 2 Effective planning techniques.
- 3 Theory and application of the change/performance curve.
- 4 Theory and understanding of teams, including an understanding of team-building techniques and how to apply them.
- 5 How to assess the risks and benefits associated with strategies and plans.
- 6 The importance of contingency planning and how to do so effectively.
- 7 How to make critical decisions.
- 8 The political, bureaucratic and resource barriers to change, and the techniques that deal with these.
- 9 Stakeholder expectations and how they influence the process.

Industry/sector specific knowledge and understanding

- 1 Your organisation's current position in the sector and market in which it works, compared with its main competitors, relevant to the change programme.
- 2 The range of information sources that are relevant to the sector, and related sectors, in which your organisation operates.
- 3 Current and emerging political, economic, social, technological, environmental and legal developments in the sector and in related sectors.

Context specific knowledge and understanding

- 1 Your vision for the future, the reasons for change, the risks and expected benefits.
- 2 Business critical activities and interdependencies.
- 3 Those factors (for example, strategy, procedures, policies and structure) that need to be changed, and the associated priorities and reasons.
- 4 Your organisation's communication channels, both formal and informal.

C5 Plan change (DR6J 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Reviews of current procedures, systems, structures or roles you have undertaken and proposals for change you have made:				
	◆ information you have collected and analysed about the effectiveness, efficiency and economy of current procedures, systems, structures or roles	1, 2, 3, 4	1, 9	1, 2, 3	1, 2, 3
1	◆ meetings you have led to identify problems with current procedures, systems, structures or roles and possible solutions or changes that need to be made	1, 2, 4	1, 4, 8, 9	1, 2, 3	1, 2, 3, 4
2	◆ reports or proposals you have prepared or presentations you have made, to argue for changes in procedures, systems, structures or roles, based on our analysis	2, 6, 7	1, 2, 5, 6, 8, 9	1, 2, 3	1, 2, 3, 4
4	◆ feasibility studies, cost-benefit analyses, decision tables and other financial and risk assessments you have made, and potential barriers to change that you have identified, to determine the likely success of proposals for change	2, 3, 7	1, 2, 5, 6, 7, 8	-	1, 2, 3
	◆ personal statement (reflections on your reasons for initiating a change review)	3, 5, 6, 7	1, 7, 9	1, 2, 3	1, 2, 3
	Plans for changes that you have been responsible for producing				
1	◆ objectives, project and action plans, descriptions of role and responsibilities, Gantt charts, network diagrams, and other plans for the implementation of changes that you have proposed	1, 2, 3, 5, 6, 7	1, 2, 6, 7, 8	-	1, 2, 3
3	◆ training, coaching, mentoring, counselling and other development and support services you have proposed for the people affected by the change	1, 7	1, 4, 8	3	1, 2, 3
4	◆ targets, milestones, critical success factors, key performance indicators and other techniques you have proposed to establish metrics against which to monitor progress	5, 6	2, 3	-	1, 2, 3
5	◆ specifications of systems and procedures you have proposed to monitor performance against these metrics	4, 7	2	-	2, 3
6	Plans for ensuring effective communication during the change process:				
8	◆ your proposals and plans for team briefings, newsletter, displays, bulletin boards, intranet pages, e-mail lists and other methods for communicating the need for and change and the progress of the change process	2, 4	1, 9	-	4
3	◆ systems you have designed to monitor the effect of the change process on those people affected and collect feedback on its effectiveness in achieving its goals	4	1	-	4
6					
7					

C6 Implement change (DR57 04)

Unit summary

What is the Unit about?

This Unit is about putting into practice the strategy and associated plans for a specific change or programme of change. This involves putting in place the necessary resources and supporting systems, including monitoring and communications, to turn the ‘vision’ into a practical reality.

Who is the Unit for?

The Unit is recommended for people in first line, middle and senior management and leadership roles.

Links to other Units

This Unit is closely linked to **C4 Lead change (DR5C 04)**, **C5 Plan change (DR6J 04)**, **B6 Provide leadership in your area of responsibility (DR75 04)** and **B7 Provide leadership for your organisation (DR70 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- ◆ communicating
- ◆ delegation
- ◆ negotiating
- ◆ influencing
- ◆ managing conflict
- ◆ problem solving
- ◆ stress management
- ◆ planning
- ◆ assessing
- ◆ monitoring
- ◆ decision making
- ◆ valuing and supporting others

C6 Implement change (DR57 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Put into practice the strategies and plans for change in line with the available resources.
- 2 Design new work processes, procedures, systems, structures and roles to achieve the vision behind the change.
- 3 Identify, assess and deal with problems and barriers to change.
- 4 Monitor, document and communicate progress to all involved.
- 5 Recognise and reward people and teams who achieve results.
- 6 Maintain the momentum for change.
- 7 Make sure change is effective and meets the requirements of the organisation.

Behaviours which underpin effective performance

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You find practical ways to overcome barriers.
- 3 You present information clearly, concisely, accurately and in ways that promote understanding.
- 4 You make time available to support others.
- 5 You clearly agree what is expected of others and hold them to account.
- 6 You recognise when there are conflicts, acknowledge the feelings and views of all parties, and redirect people's energy towards a common goal.
- 7 You work towards a clearly defined vision of the future.
- 8 You recognise the achievements and the success of others.

C6 Implement change (DR57 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The main models and methods for managing change effectively, and their strengths and weaknesses.
- 2 Theory and application of the change/performance curve.
- 3 Theory and understanding of teams, including an understanding of team-building techniques and how to apply them.
- 4 How to manage reward systems.
- 5 Problem solving techniques.
- 6 The political, bureaucratic and resource barriers to change, and the techniques that deal with these.
- 7 How to identify development and other support needs and ways in which these needs can be met.
- 8 How to manage expectations during change.

Industry/sector specific knowledge and understanding

- 1 Your organisation's current position in the market in which it works, compared with its main competitors, relevant to the change programme.
- 2 The range of information sources that are relevant to the sector, and related sectors, in which your organisation operates.

Context specific knowledge and understanding

- 1 Your vision for the future, the reasons for change, the risks and expected benefits.
- 2 Business critical activities and interdependencies.
- 3 Those factors (for example, strategy, procedures, policies and structure) that need to be changed, and the associated priorities and reasons.
- 4 Your organisation's communication channels, both formal and informal.

C6 Implement change (DR57 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
2 3 7	Designs or specifications for new work processes, procedures, systems, structures and roles that you have developed and implemented:				
	◆ notes of meetings you have led and discussions you have had to develop new work processes, procedures, systems, structures and roles	2, 3, 6, 7	3, 5, 6	1, 2	1, 2, 3
	◆ new work processes, procedures, systems, structures and roles designs or specifications you have produced	1, 2, 3, 5	1, 2, 3, 4	1, 2	1, 2, 3
	◆ action plans, timetables or schedules for introducing and implementing new work processes, procedures, systems, structures and roles that you have produced	1, 2, 3, 5, 7	1, 2, 3, 6, 7, 8	-	1, 2, 3, 4
	◆ risk assessments and contingency plans for the introduction and implementation of new work processes, procedures, systems, structures and roles	2, 3	1, 2, 6	1, 2	1, 2, 3
	◆ records of meetings you have led to plan the introduction and implementation of new work processes, procedures, systems, structures and roles	2, 3, 5, 6, 7, 8	1, 2, 3, 6, 7, 8	-	1, 2, 3
	◆ personal statement (reflections on the process of, and your role in, developing, introducing and implementing new work processes, procedures, systems, structures and roles)	1, 6, 7	1, 2, 3, 5, 6, 7, 8	1, 2	1, 2, 3
1 3 4 5 6	Records of actions you have taken, decisions you have made and meetings you have held to facilitate the change:				
	◆ records of development and support activity you have provided for the people affected by the change	1, 2, 4, 5, 7	1, 2, 3, 7, 8	-	1, 3
	◆ notes or records of meetings you have had with people directly affected by the change, to explain the implications for them and their work, and records of agreements you have made with them to take action address potential barriers or problems they identify	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 5, 6, 8	1	1, 2, 3
	◆ records of decisions you have made and actions you have taken in response to feedback you have received from people affected by change	1, 2, 5, 6, 7	1, 2, 3, 5, 6	-	1, 2, 3
	◆ records of personal (letters or e-mails, notes of briefings or other face-to face meetings) and public recognition (newsletters, notice boards, awards, etc) and recommendations or awards of rewards (bonuses, prizes, promotion, etc) for people and teams for achieving results, that you have organised	1, 4, 8	1, 2, 3, 4	-	4
	◆ personal statements (reflections on your own actions and behaviour to facilitate the change process)	1, 2, 4, 5, 6, 7, 8	1, 2, 3, 4, 5, 6, 7, 8	1, 2	1, 2, 3
	◆ witness statements (comment on your actions and behaviour to facilitate the change process)	2, 3, 4, 5, 8	-	-	-

4	Records and communications to others on the progress of the planned change:				
	◆ records on performance and notes of meetings to discuss progress and identify any barriers to progress, and action plans and other records of action you have agreed to address these barriers	1, 2, 3, 5, 6, 7	1, 2, 5, 6	1	1, 2, 3
	◆ project reports you have prepared for those to whom you are accountable, on the progress of the project	3, 8	1, 2, 8	1	4
	◆ newsletters, e-mails, intranet pages, presentations and briefings you have made and other communications you have prepared to ensure that all the people involved are kept informed about progress towards achieving the change project goals	3, 9	1, 2, 8	1	4

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D3 Recruit, select, and keep colleagues (DR7K 04)

Unit summary

What is the Unit about?

This Unit is mainly about recruiting and selecting people to undertake identified activities or work-roles within your area of responsibility. It involves taking a fair and objective approach to recruitment and selection to ensure that individuals with the required skills, knowledge and understanding and who are likely to perform effectively are appointed.

As recruitment and selection can be expensive and time-consuming activities, the Unit also involves taking action to understand why colleagues are leaving and taking action to keep colleagues.

Whilst you would be expected to draw on the expertise of personnel specialists, you are not expected to be a personnel specialist yourself.

For the purposes of this Unit, 'colleagues' means those people for whom you have line management responsibility.

Who is the Unit for?

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

Links with other Units

This Unit is closely linked to Unit **D4 Plan the workforce (DR6M 04)** in the overall suite of National Occupational Standards for management and leadership.

If your organisation is a small firm, you should look at Unit *J4 Recruit staff (D8X6 04)* which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114-241 2155 or the SFEDI website (www.sfedico.uk).

Skills

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

- ◆ reviewing
- ◆ interviewing
- ◆ team building
- ◆ communicating
- ◆ valuing and supporting others
- ◆ decision making
- ◆ consulting
- ◆ problem solving
- ◆ information management
- ◆ obtaining feedback
- ◆ negotiating
- ◆ planning

D3 Recruit, select, and keep colleagues (DR7K 04)

Outcomes of effective performance

You must be able to do the following:

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

Behaviours which underpin effective performance

- 1 You recognise the opportunities presented by the diversity of people.
- 2 You work to turn unexpected events into opportunities rather than threats.
- 3 You try out new ways of working.
- 4 You identify people's information needs.
- 5 You seek to understand people's needs and motivations.
- 6 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
- 7 You take and implement difficult and/or unpopular decisions, if necessary.
- 8 You act within the limits of your authority.
- 9 You show integrity, fairness and consistency in decision making.

D3 Recruit, select, and keep colleagues (DR7K 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

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

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

- 1 Current people resources available to your area, including skills, knowledge, understanding and experience of colleagues.
- 2 Work requirements in your area.
- 3 Agreed operational plans and changes in your area.
- 4 The staff turnover rate in your area.
- 5 Job descriptions and person specifications for confirmed vacancies.
- 6 Local employment market conditions.
- 7 The organisation's structure, values and culture.
- 8 Employment policies and practices within the organisation – including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions.
- 9 Sources of specialist expertise in relation to recruitment, selection and retention used by your organisation.

D3 Recruit, select and keep colleagues (DR7K 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2	Data on staff turnover, records of exit interviews and strategies for retaining staff:				
	◆ spreadsheets and other records of staff turnover you have compiled and analyses to identify patterns and trends	2, 4	1, 3, 4	1	4
	◆ notes or records of formal staff exit interviews and informal feedback from staff leaving the organisation, and summaries or analyses of the information collected	2, 5	1, 2, 3, 4	1, 2	4
	◆ reports, proposals, action plans and other records of strategies you have developed for reducing staff turnover	2, 3, 8	1, 2, 3, 4, 5	1, 2	1, 2, 4, 9
3 4	Reviews of the workforce in your area of responsibility that you have organised or prepared:				
	◆ analyses of business and/or operational plans to identify likely future employment requirements (numbers of people, skills levels, employment patterns, etc)	2, 3, 6, 9	6	3	1, 2, 3
	◆ reviews of current workforce profile (numbers, skill levels, age, etc) to identify any potential shortfalls in requirements	1, 6, 9	6	3	1, 2, 3
	◆ notes, e-mails, memos or other records of discussions with colleagues to identify possible solutions to current or potential workforce requirements	1, 6, 9	7	3	1, 2, 3, 9
	◆ reports or proposals you have prepared for addressing current or potential workforce requirements (eg recruitment, transfer or promotion, training, redundancy, early retirement, etc)	1, 3, 6, 7, 9	7	3	1, 2, 3
	◆ personal statement (reflection on your role in developing strategies to address current or potential workforce requirements)	1, 3, 6	6, 7	3	1, 2, 3
5 6 7 8 9 10 11	Records of your role in the recruitment and selection of new staff:				
	◆ notes of discussions about, and copies of, job descriptions and person specifications you have developed	1, 3, 4, 6, 7	8, 13, 14	2, 3	5
	◆ notes, e-mails, memos or other records of discussions about the recruitment and selection process for new staff and your proposals for selection criteria	1, 4, 6, 8, 9	9, 10, 11, 13, 14	2, 3	6, 8, 9
	◆ notes of interviews or records of other selection process you have engaged in	5, 6, 9	10, 12, 14	2, 3	7, 8
	◆ reports, e-mails, memos or other records of your evaluation of the recruitment and selection process	9	13, 14, 15	2, 3	8
	◆ personal statement (reflection on your role in recruiting and selecting new staff)	1, 3, 9	8, 9, 10, 11, 12, 13, 14, 15	2, 3	6, 7, 8

D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)

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.

Links to other Units

This Unit is linked to Units **D1 Develop productive working relationships with colleagues (DR4A 04)**, **D2 Develop productive working relationships with colleagues and stakeholders (DR4F 04)**, **B1 Develop and implement operational plans for your area of responsibility (DR47 04)** and **B6 Provide leadership in your area of responsibility (DR75 04)** in the overall suite of National Occupational Standards for management and leadership.

If your organisation is a small firm, you should look at Unit *K1 Make sure your staff can do their work (D8WV 04)* which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which may be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114-241 2155 or at the SFEDI website (www.sfedico.uk).

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
- ◆ monitoring
- ◆ managing conflict
- ◆ decision making
- ◆ motivating
- ◆ information management
- ◆ delegating
- ◆ stress management
- ◆ planning
- ◆ prioritising
- ◆ leadership
- ◆ reviewing
- ◆ problem solving

D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Confirm the work required in your area of responsibility with your manager and seek clarification, where necessary, on any outstanding points and issues.
- 2 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.
- 3 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.
- 4 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.
- 5 Encourage individuals and/or team members to ask questions, make suggestions and seek clarification in relation to allocated work.
- 6 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.
- 7 Support individuals and/or teams in identifying and dealing with problems and unforeseen events.
- 8 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.
- 9 Monitor your area for conflict, identifying the cause(s) when it occurs and dealing with it promptly and effectively.
- 10 Identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with individuals and/or teams.
- 11 Recognise successful completion of significant pieces of work or work activities by individuals and/or teams.
- 12 Use information collected on the performance of individuals and/or teams in any formal appraisals of performance.
- 13 Review and update plans of work for your area, clearly communicating any changes to those affected.

Behaviours which underpin effective performance

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You prioritise objectives and plan work to make best use of time and resources.
- 3 You make time available to support others.
- 4 You take personal responsibility for making things happen.
- 5 You show an awareness of your own values, motivations and emotions.
- 6 You show integrity, fairness and consistency in decision-making.
- 7 You clearly agree what is expected of others and hold them to account.
- 8 You seek to understand people's needs and motivations.
- 9 You take pride in delivering high quality work.
- 10 You are vigilant for possible risks and hazards.
- 11 You encourage and support others to make the best use of their abilities.
- 12 You use a range of leadership styles appropriate to different people and situations.

D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)

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 Industry/sector requirements for the development or maintenance of knowledge, understanding and skills.
- 2 Industry/sector 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.

D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3 4 5	Records of work allocation to people and teams in your area of responsibility:				
	◆ notes or minutes of meetings with your manager regarding 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 individuals' and teams' 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 activities, tasks, production targets, etc	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
	◆ 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
◆ witness statements (comments on the process of work planning and allocation and perceptions of its fairness, appropriateness and clarity)	3, 6, 7, 8, 11, 12	-	-	-	

5 6 7 8 9 10 11 12 13	Records of the quality and quantity of the work of people and teams in your area of responsibility:				
	◆ records of the monitoring of work output/production for quality, consistency with specifications, etc (eg quality control sampling records, control charts, etc) that you have collected or commissioned	7, 9, 10	10, 13, 14, 17, 18	1, 2	1, 2, 3, 4, 5, 6, 7, 9
	◆ records of individual and team work output or production records, production/operational reports that you have prepared, etc	1, 7, 9, 10	13, 14, 15, 17, 18	1, 2	1, 2, 3, 4, 5, 6, 7, 9
	◆ records of any changes to work plans or schedules that you have initiated	1, 4, 6, 7, 9, 10, 12	14, 15, 16, 17, 18	1, 2	1, 2, 3, 4, 5, 6, 7, 9
	◆ notes, reports, recommendations to managers or other records of problems or critical incidents and action you have taken in relation to supplied materials; equipment, vehicles or facilities; product/service quality; health, safety or security; customers; or team members' work performance (including issues requiring disciplinary action, and training or coaching activity you have organised or undertaken)	1, 4, 5, 6, 7, 9, 10, 12	12, 13, 14, 15, 16, 17, 18	1, 2	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12
	◆ notes, e-mails, memos or other records of formal or informal feedback or performance appraisal of team members	3, 5, 6, 7, 8, 10, 11, 12	10, 11, 12, 13, 14, 15, 16, 17, 18	1, 2	1, 4, 5, 6, 7, 8, 9, 10, 11, 12
	◆ personal statement (reflections on your own role in dealing with problems or critical incidents affecting the team and its performance, and how you encourage the team and individual members to work to the best of their ability to achieve or exceed targets for quality and quantity of products or services)	1, 3, 5, 6, 10, 11, 12	10, 11, 12, 13, 14, 15, 16, 17, 18	1, 2	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12
◆ witness statements (comments on your own role in dealing with problems or critical incidents affecting the team and its performance, and how you encourage the team and individual members to work to the best of their ability to achieve or exceed targets for quality and quantity of products or services)	3, 6, 7, 8, 11, 12	-	-	-	

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D7 Provide learning opportunities for colleagues (DR7C 04)

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.

Links with other Units

This Unit is linked to Units **D3 Recruit, select and keep colleagues (DR7K 04)**, **D5 Allocate and check work in your team (DR3W 04)** and **D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)** in the overall suite of National Occupational Standards for management and leadership.

If your organisation is a small firm, you should look at Unit *K1 Make sure your staff can do their work (D8WV 04)* which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114-241 2155 or at the SFEDI website (www.sfedi.co.uk).

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
- ◆ providing feedback
- ◆ mentoring
- ◆ motivating
- ◆ setting objectives
- ◆ prioritising
- ◆ planning
- ◆ empowering
- ◆ reviewing
- ◆ leadership
- ◆ valuing and supporting others
- ◆ information management
- ◆ communicating
- ◆ demonstrating

D7 Provide learning opportunities for colleagues (DR7C 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Promote the benefits of learning to colleagues and make sure that their willingness and efforts to learn are recognised.
- 2 Give colleagues fair, regular and useful feedback on their work performance, discussing and agreeing how they can improve.
- 3 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.
- 4 Help colleagues to identify the learning style(s) or combination of styles which works best for them and ensure that these are taken into account in identifying and undertaking learning activities.
- 5 Work with colleagues to identify and obtain information on a range of possible learning activities to address identified learning needs.
- 6 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.
- 7 Work with colleagues to recognise and make use of un-planned learning opportunities.
- 8 Seek and make use of specialist expertise in relation to identifying and providing learning for colleagues.
- 9 Support colleagues in undertaking learning activities making sure any required resources are made available and making efforts to remove any obstacles to learning.
- 10 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.
- 11 Work with colleagues to update their development plan in the light of performance, any learning activities undertaken and any wider changes.
- 12 Encourage colleagues to take responsibility for their own learning, including practising and reflecting on what they have learned.

Behaviours which underpin effective performance

- 1 You recognise the opportunities presented by the diversity of people.
- 2 You find practical ways to overcome barriers.
- 3 You make time available to support others.
- 4 You seek to understand individuals' needs, feelings and motivations and take an active interest in their concerns.
- 5 You encourage and support others to make the best use of their abilities.
- 6 You recognise the achievements and the success of others.
- 7 You inspire others with the excitement of learning.
- 8 You confront performance issues and sort them out directly with the people involved.
- 9 You say no to unreasonable requests.
- 10 You show integrity, fairness and consistency in decision making.

D7 Provide learning opportunities for colleagues (DR7C 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

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

Industry/sector specific knowledge and understanding

- 1 Industry/sector 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 industry/sector.
- 3 Working culture and practices of the industry/sector.

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.

D7 Provide learning opportunities for colleagues (DR7C 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Identification of development needs, plans to meet development needs and monitoring and review of development activity:				
1	◆ notes, memos, e-mails or other records of feedback and performance appraisals/reviews, and of discussions or identification of learning and development preferences and needs (including learning styles, personal constraints, learning disabilities and difficulties that affect learning)	3, 4, 5, 6, 7, 8, 9, 10	1, 4, 5, 6, 7, 8, 12, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 8, 10, 11, 12
2	◆ details of support arrangements inside and outside the organisation (eg a training department's or external supplier's assessment services) that you have identified and arranged for a colleague to access	2, 3, 4, 5	1, 4, 12, 13, 16	1, 2, 3	5, 6, 8, 9, 10, 11, 12
3					
4	◆ training and development opportunities (eg coaching, internal and external courses, learning centre/e-learning programmes) that you have identified and enabled colleagues to access to meet agreed learning and development requirements	1, 2, 3, 4, 5, 7, 9, 10	1, 2, 3, 5, 6, 8, 9, 10, 12, 13, 16	1, 2, 3	3, 4, 5, 6, 7, 8, 9, 10, 11, 12
5					
6					
7	◆ copies of development or learning plans you have discussed, agreed, reviewed and revised with colleagues	3, 4, 5, 7, 10	1, 2, 3, 10, 11	1, 2, 3	4, 5, 6, 7, 9, 10, 11, 12
8					
9					
10	◆ notes, memos, e-mails or other records of meeting or discussions you have had with colleagues to review their learning and its effect on their performance	3, 4, 5, 6, 8, 10	1, 2, 3, 14, 15	1, 2, 3	1, 2, 3, 4, 5, 10, 11, 12
11					
12	◆ personal statement (your reflections on your role in identifying learning requirements, organisation of development activity and review of its effectiveness in improving or enhancing performance)	1, 2, 4, 5, 6, 8, 9	2, 3, 4, 5, 6, 7, 8, 10, 13, 14, 15, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 9, 10, 11, 12
	◆ witness statement (comments on your role in identifying learning requirements, organising development activity and reviewing of its effectiveness in improving or enhancing performance)	2, 3, 4, 5, 6, 7, 10	-	-	-

D10 Reduce and manage conflict in your team (F2H6 04)

Unit summary

What is the Unit about?

This Unit is about managing conflicts between members of your team. It covers taking pre-emptive action to avoid conflicts occurring and working with team members to resolve problems when they emerge.

Who is the Unit for?

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

Links with other Units

This Unit is linked to units **B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)**, **D1 Develop productive working relationships with colleagues (DR4A 04)**, **D8 Help team members address problems affecting their performance (F2GX 04)** and **D9 Build and manage teams (F2H0 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

Listed below are the main generic 'skills' that need to be applied in managing conflict in your team. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ communicating
- ◆ empathising
- ◆ evaluating
- ◆ information management
- ◆ managing conflict
- ◆ monitoring
- ◆ obtaining feedback
- ◆ problem solving
- ◆ providing feedback
- ◆ questioning
- ◆ reviewing
- ◆ valuing and supporting others

D10 Reduce and manage conflict in your team (F2H6 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Communicate clearly to team members the standards of work and behaviour expected of them.
- 2 Help team members understand how the roles of different team members interface, complement and support each other.
- 3 Identify and address any issues with organisational structures, systems or procedures that are likely to give rise to conflict.
- 4 Identify potential conflicts between team members and take pre-emptive action to avoid these.
- 5 Encourage team members to resolve their own problems and conflicts amongst themselves.
- 6 Take prompt action to deal with conflicts when the team members concerned are not able to resolve the conflicts themselves.
- 7 Acknowledge and show respect for team members' emotions regarding the conflict and seek to manage any negative emotions.
- 8 Investigate impartially the causes of the conflict, giving all parties opportunities to present the facts and their perceptions about the conflict.
- 9 Identify and agree with team members how to resolve the conflict, without apportioning blame.
- 10 Seek help from colleagues or specialists, where necessary.
- 11 Comply with organisational and legal requirements when resolving conflicts.
- 12 Maintain complete, accurate and confidential records of conflicts and their outcomes.

Behaviours which underpin effective performance

- 1 You respond quickly to crises and problems with a proposed course of action.
- 2 You find practical ways to overcome barriers.
- 3 You present information clearly, concisely, accurately and in ways that promote understanding.
- 4 You show respect for the views and actions of others.
- 5 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 6 You confront performance issues and resolve them directly with the people involved.
- 7 You clearly agree what is expected of others and hold them to account.
- 8 You protect your own and others' work against negative impacts.
- 9 You keep confidential information secure.
- 10 You recognise when there are conflicts, acknowledge the feelings and views of all parties, and redirect people's energy towards a common goal.

D10 Reduce and manage conflict in your team (F2H6 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The principles of effective communication and how to apply them.
- 2 How to help team members understand how the roles of different team members interface, complement and support each other.
- 3 How to identify and address any issues with organisational structures, systems or procedures that are likely to give rise to conflict.
- 4 The importance of identifying potential conflicts between team members and taking pre-emptive action to avoid these, and how to do so.
- 5 The importance of giving team members opportunities to discuss with you serious problems that directly or indirectly affects their work, and how to encourage team members to do so.
- 6 The importance of taking prompt action to surface and deal with conflicts when they arise and when the team members concerned are not able to resolve the conflicts themselves.
- 7 Ways of dealing with conflicts when they arise and what types of action should be taken and when.
- 8 The importance of acknowledging and showing respect for team members' emotions regarding the conflict and how to seek to manage any negative emotions.
- 9 How to identify impartially the causes of the conflict, giving all parties opportunities to present the facts and their perceptions about the conflict.
- 10 The importance of identifying and agreeing with team members how to resolve the conflict, without apportioning blame, and how to do so.
- 11 When to seek help from colleagues or specialists.
- 12 The importance of complying with organisational and legal requirements when resolving conflicts.
- 13 The importance of maintaining complete, accurate and confidential records of conflicts and their outcomes, and how to do so.

Industry/sector specific knowledge and understanding

- 1 Industry/sector requirements for managing conflict in your team.

Context specific knowledge and understanding

- 1 The standards of work and behaviour expected of team members.
- 2 How the roles of different team members interface, complement and support each other.
- 3 The organisational structures, systems and procedures that are likely to give rise to conflict.
- 4 The range of specialists inside and outside of the organisation and colleagues.
- 5 Organisational and legal requirements for resolving conflicts and maintaining records of conflicts and their outcomes.

D10 Reduce and manage conflict in your team (F2H6 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
Records of your actions to avoid conflict occurring in the team:					
1	◆ notes of briefings and meetings; e-mails and memos; handbooks, procedure manuals and other guidance you have prepared for team members on work roles, standards of work and behaviour expected of them, and on organisational systems and procedures	7, 8	1, 2, 4, 12	1	1, 2
2	◆ notes of meetings with, and reports, e-mails and memos to managers about organisational structures, systems or procedures likely to give rise to conflict within your team and proposals or recommendations for changes	8	1, 3, 4, 11, 12	1	3
3					
4					
	◆ personal statement (your reflections on your role in avoiding or reducing the possibility of conflict in the team)	7, 8	2, 3, 4, 11, 12	1	1, 2, 3
	◆ witness statement (comments on your role in avoiding or reducing the possibility of conflict in the team)	7, 8	—	—	—
Records of your actions to address conflict in the team:					
5	◆ notes of briefings and meetings with, and e-mails and memos to, team members to resolve problems and conflicts in the team	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 12, 13	1	1, 2, 5
6	◆ notes, reports, e-mails and memos recording your investigations into the nature and causes of conflicts in the team	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 5, 6, 7, 8, 9, 10, 12, 13	1	1, 2, 5
7	◆ notes, reports, e-mails and memos recording your meetings with or requests for help from colleagues or specialists in relation to conflicts in the team	1, 2, 3, 9	11, 12, 13	1	4
8					
9	◆ copies of policies organisational policies and your notes or other records of legal requirements relating to resolving conflicts in the team	1, 2, 3, 5	12	1	5
10	◆ personal statement (your reflections on your role in managing conflict in the team)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 4, 5, 6, 7, 8, 9, 10, 12, 13	1	1, 2, 3, 4, 5
11					
12	◆ witness statement (comments on your role in managing conflict in the team)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	—	—	—

D11 Lead meetings (F2H2 04)

Unit summary

What is the Unit about?

This Unit is about leading meetings in order to achieve their objectives, which may be to solve problems, take decisions, consult with people or to exchange information and knowledge.

Who is the Unit for?

The Unit is recommended for managers at all levels.

Links with other Units

This Unit is linked to units **D12 Participate in meetings (F2GY 04)**, **E10 Take effective decisions (F2H4 04)** and **E11 Communicate information and knowledge (F2H5 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

Listed below are the main generic 'skills' that need to be applied in leading meetings. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ building consensus
- ◆ communicating
- ◆ consulting
- ◆ decision-making
- ◆ information management
- ◆ involving others
- ◆ leadership
- ◆ obtaining feedback
- ◆ planning
- ◆ presenting information
- ◆ providing feedback
- ◆ setting objectives
- ◆ time management

D11 Lead meetings (F2H2 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Establish the purpose and objectives of the meeting and confirm that a meeting is the best way to achieve these objectives.
- 2 Prepare carefully how you will lead the meeting and identify who needs to participate.
- 3 Invite participants, giving them sufficient notice to enable them to attend and stating:
 - ◆ the importance of the meeting
 - ◆ the role they will be expected to play, and
 - ◆ the preparation they need to do
- 4 Circulate relevant information in advance and, if required, brief participants individually on the content and purpose of the meeting and their roles.
- 5 Set a fixed time for the meeting to begin and end and allocate time appropriately for each agenda item.
- 6 State the purpose of the meeting at the start and check that all participants understand why they are present.
- 7 Clarify specific objectives at the beginning of each agenda item.
- 8 Encourage all participants to make clear, concise and constructive contributions from their perspectives, whilst acknowledging and building on the contributions of other participants.
- 9 Discourage unhelpful comments and digressions, refocusing attention on the objectives of the meeting.
- 10 Manage time flexibly, giving more time to particular agenda items, if necessary, whilst ensuring key objectives are met and participants are kept informed of changes in the agenda.
- 11 Summarise the discussion at appropriate times and allocate action points to participants at the end of each agenda item.
- 12 Take decisions within the meeting's authority, remit or terms of reference.
- 13 Observe any formal procedures or standing orders that apply to the meeting.
- 14 Check that decisions and action points are accurately recorded and promptly communicated to those who need to know.
- 15 Evaluate whether the purpose and objectives of the meeting have been achieved and how future meetings could be made more effective.

Behaviours which underpin effective performance

- 1 You address multiple demands without losing focus or energy.
- 2 You show respect for the views and actions of others.
- 3 You present information clearly, concisely, accurately and in ways that promote understanding.
- 4 You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.
- 5 You show integrity, fairness and consistency in decision-making.
- 6 You make best use of existing sources of information.
- 7 You check the validity and reliability of information.
- 8 You present ideas and arguments convincingly and in ways that strike a chord with people.
- 9 You articulate the assumptions made and risks involved in understanding a situation.
- 10 You take timely decisions that are realistic for the situation.

D11 Lead meetings (F2H2 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The importance of establishing the purpose and objectives of the meeting and how to do so.
- 2 The importance of confirming a meeting is the best way to achieve these objectives.
- 3 The importance of preparing how you will lead the meeting and how to do so.
- 4 How to identify who needs to participate in the meeting.
- 5 The importance of inviting participants, giving them sufficient notice to enable them to attend.
- 6 The importance of informing participants of the role they will be expected to play, the preparation they need to do and the importance of the meeting.
- 7 How to identify relevant information participants require in advance of the meeting.
- 8 The importance of circulating relevant information in advance and, if required, briefing participants individually on the content and purpose of the meeting and their roles.
- 9 The importance of setting a fixed time for the meeting to begin and end and allocating time appropriately for each agenda item.
- 10 How to allocate time appropriately for each agenda item.
- 11 The importance of stating the purpose of the meeting at the start and checking that all participants understand why they are present.
- 12 The importance of clarifying specific objectives at the beginning of each agenda item.
- 13 The importance of encouraging all participants to make clear, concise and constructive contributions from their perspectives, whilst acknowledging and building on the contributions of other participants, and how to do so.
- 14 The importance of discouraging unhelpful comments and digressions, refocusing attention on the objectives of the meeting, and how to do so.
- 15 How to manage time flexibly, giving more time to particular agenda items, if necessary, whilst ensuring the key objectives are met and participants are kept informed of changes in the agenda.
- 16 The importance of summarising the discussion at appropriate times and allocate action points to participants at the end of each agenda item and how to do so.
- 17 The importance of taking decisions within the meeting's authority, remit or terms of reference and how to do so.
- 18 The importance of checking that decisions and action points are accurately recorded and promptly communicated to those who need to know.
- 19 How to evaluate whether the purpose and objectives of the meeting have been achieved and how future meetings could be made more effective.

Industry/sector specific knowledge and understanding

- 1 Industry/sector requirements for leading meetings.

Context specific knowledge and understanding

- 1 The people who need to participate and the roles they will be expected to play.
- 2 The types and sources of information required in advance of the meeting.
- 3 The meeting's authority, remit or terms of reference.
- 4 Any formal procedures or standing orders that apply to the meeting.
- 5 The people who are affected by the decisions and need to know about them.

D11 Lead meetings (F2H2 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Records of preparatory activities arranging and organising meetings:				
1 2 3 4 5	◆ notes, e-mails, memos and letters relating to preliminary meetings, discussions and consultations about the need for a meeting, its purpose, content, location timing and participants	1, 2, 3, 4, 5, 6, 7	1, 2, 4	—	1, 2
	◆ invitations to people to participate in meetings, and notes of discussions, e-mails, memos and letters to confirm their attendance and any specific contribution, role or special requirements they may have	3, 5, 6, 8	1, 3, 4, 5, 6	—	1, 2
	◆ notes of discussions, letters, memos or e-mails and copies of orders or forms confirming the reservation of rooms, equipment and catering arrangements	3	9	—	1, 2
	◆ agenda, papers, copies of presentations circulated before the meeting	3	7, 8, 9, 10	1	1, 2
	◆ personal statement (your reflections on your role in arranging and organising meetings)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8, 9	1	1, 2
	◆ witness statement (comments on your role in arranging and organising meetings)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	—	—	—
	Records of your leading of meetings:				
6 7 8 9 10 11	◆ recordings, notes and minutes of meetings; action plans and other records of planned follow-up activity	2, 3, 5, 8, 9, 10	9, 10, 11, 12, 13, 14, 15, 16, 17, 18	1	5
	◆ copies of relevant constitutions, standing orders, formal authorisation or terms of reference for the meeting	6, 7	17, 18	1	3, 4
	◆ personal statement (your reflections on your role in leading meetings)	2, 3, 5, 7, 8, 9, 10	9, 10, 11, 12, 13, 14, 15, 16, 17, 18	1	3, 4, 5
	◆ witness statement (comments on your role in leading meetings)	2, 3, 5, 8, 9, 10	—	—	—
	Records of your actions following on from meetings:				
15	◆ evaluations or reports of meetings, completed action plans and other evidence that the purpose of the meeting has been met	2, 3, 5, 7, 8, 9, 10	19	—	5
	◆ personal statement (your reflections on your role in following-up on meetings)	2, 3, 5, 7, 8, 9, 10	19	—	5
	◆ witness statement (comments on your role in following-up on meetings)	2, 3, 5, 7, 8, 9, 10	—	—	—

E2 Manage finance for your area of responsibility (DR5T 04)

Unit summary

What is this Unit about?

This Unit is about managing finance in order to achieve the stated objectives for your area of responsibility. It involves developing and agreeing a master budget for your area and using this to monitor evaluate and control performance and take action to deal with identified variances.

Delegating responsibility for budgets for clearly defined activities is a key aspect of this Unit. The 'area of responsibility' may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is this Unit for?

The Unit is recommended for middle managers.

Links with other Units

This Unit is linked to Units **B1 Develop and implement operational plans for your area of responsibility (DR47 04)** and **E1 Manage a budget (DR5F 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

Listed below are the main generic 'skills' which need to be applied in managing finance for your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ communicating
- ◆ decision making
- ◆ questioning
- ◆ consulting
- ◆ monitoring
- ◆ assessing
- ◆ delegating
- ◆ acting assertively
- ◆ valuing and supporting others
- ◆ negotiating
- ◆ contingency planning
- ◆ information management
- ◆ problem solving
- ◆ thinking systematically
- ◆ leadership
- ◆ motivating
- ◆ planning
- ◆ prioritising

E2 Manage finance for your area of responsibility (DR5T 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Confirm your financial responsibilities, including the limits of your authority, with those to whom you report.
- 2 Gather and evaluate available financial information and the objectives and associated plans for your area and consult with colleagues to identify priorities, potential problems and risks.
- 3 Identify and make use of opportunities to delegate responsibility for budgets for clearly defined activities to colleagues in your area, providing them with the required on-going support and resources.
- 4 Discuss and, if appropriate, negotiate delegated budgets with colleagues and agree provisional budgets.
- 5 Consult on and develop a realistic master budget for your area and submit it to the relevant people in the organisation for approval and to assist the overall financial planning process.
- 6 Discuss and, if appropriate, negotiate the proposed master budget for your area with the relevant people in the organisation and communicate the final budget to colleagues in your area.
- 7 Establish systems to monitor and evaluate performance against delegated budgets and the master budget and put contingency plans in place.
- 8 Identify the causes of any significant variances between what was budgeted for and what actually happened and discuss and ensure prompt corrective action is taken, obtaining agreement from the relevant people if required.
- 9 Propose revisions to the master budget, if necessary, in response to variances and/or significant or unforeseen developments and discuss and agree the revisions with the relevant people.
- 10 Provide on-going information on the financial performance of your area to relevant people in your organisation.
- 11 Advise the relevant people as soon as possible if you have identified evidence of any potentially fraudulent activities.
- 12 Encourage colleagues in your area to think about and identify ways of reducing expenditure and increasing income, selecting and pursuing those ideas which have potential for implementation.
- 13 Review the financial performance of your area, particularly in relation to achievement of the stated objectives, and identify improvements for the future.

Behaviours which underpin effective performance

- 1 You act within the limits of your authority.
- 2 You are vigilant for potential risks.
- 3 You develop systems to gather and manage information and knowledge effectively, efficiently and ethically.
- 4 You clearly agree what is expected of others and hold them to account.
- 5 You respond quickly to crises and problems with a proposed course of action.
- 6 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 7 You prioritise objectives and plan work to make best use of time and resources.
- 8 You use communication styles that are appropriate to different people and situations.
- 9 You take and implement difficult and/or unpopular decisions, if necessary.

E2 Manage finance for your area of responsibility (DR5T 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The purposes of budgetary systems.
- 2 The importance of agreeing financial responsibilities, including the limits of your authority, for your area with those to whom you report.
- 3 Where to get and how to evaluate the available financial information in order to be able to prepare a realistic master budget for your area.
- 4 The importance of taking account of the objectives and associated plans of your area in developing and operating the master budget.
- 5 How to identify opportunities and delegate responsibility for budgets.
- 6 The importance of consulting with colleagues in identifying priorities, potential problems and risks and generally preparing the budget for your area.
- 7 How to discuss, negotiate and confirm budgets with colleagues in your area and with people who control the finance and the key factors that should be covered.
- 8 How to establish systems to monitor and evaluate performance against budgets.
- 9 The importance of contingency plans and the type of contingencies that may occur.
- 10 The main causes of variances and how to identify them.
- 11 What different types of corrective action could be taken to address identified variances.
- 12 The importance of agreeing revisions to the budget and communicating the changes.
- 13 The importance of providing regular information on the financial performance of your area to relevant people and what they might want to know.
- 14 Types of fraudulent activities and how to identify them.
- 15 How to encourage colleagues to think about ways of reducing expenditure and increasing income.
- 16 How to review the financial performance of your area against the stated objectives.

Industry/sector specific knowledge and understanding

- 1 Factors, processes and trends that are likely to affect financial management in your industry/sector.
- 2 Legal, regulatory and ethical requirements in the industry/sector.

Context specific knowledge and understanding

- 1 The scope and nature of your area of responsibility including the vision, objectives and operational plans.
- 2 Your financial responsibilities, including the limits of your authority.
- 3 The people you report to in your organisation.
- 4 Financial information available in your organisation.
- 5 Activities for which budgets have been delegated.
- 6 The budgeting period(s) used in your organisation.
- 7 Organisational guidelines and procedures for the preparation and approval of budgets and for monitoring and reporting of performance against budgets and revising budgets.
- 8 The agreed master budget for your area, including delegated budgets.
- 9 Systems established for managing and evaluating performance against budgets.
- 10 Contingency plans put in place.
- 11 What to do and who to contact if suspect fraud has been committed.
- 12 Who needs information on the financial performance of your area, what information they need, when they need it and in what format.

E2 Manage finance for your area of responsibility (DR5T 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
Budgets for your area of responsibility that you have developed or:					
1	◆ notes, minutes or other records of meetings with other managers and subordinates in which you have agreed the objectives and criteria for developing and agreeing a (master) budget for your area of responsibility, and other's responsibilities for developing budgets for specific functions or activities	1, 2, 3, 4, 6, 7, 8, 9	1, 2, 3, 4, 5, 6, 7, 9	1, 2	1, 2, 3, 4, 5, 6, 7, 8
2	◆ documents, spreadsheet printouts and other records of financial information and past budgets, forecasts of future activity, income/revenue and expenditure, costs and prices that you have used to prepare a draft budget	2, 3, 6, 7	1, 3, 4, 6	1, 2	1, 2, 4, 5, 6, 7, 8
3	◆ draft budgets, background papers to support your draft, and notes, minutes and other records of negotiations with subordinates and colleagues and line managers to agree and finalise or to revise budgets	1, 2, 4, 6, 7, 8, 9	1, 2, 4, 5, 6, 7, 9	1, 2	1, 2, 3, 4, 5, 6, 7, 8
4	◆ e-mails, memos or newsletters you have prepared, presentations you have made and notes or minutes of meetings you have held to communicate to colleagues the financial objectives of the organisation and your area of responsibility, the agreed budgets and the constraints or other requirements relating to their implementation and control	1, 4, 6, 8, 9	1, 2, 5, 6, 7	1, 2	1, 2, 3, 4, 5, 6, 7, 8
5					
6					
Records of budgets outturns and reviews of your management or supervision of budgets, and reports and other reviews of financial performance:					
7	◆ details or specifications of systems you have introduced or authorised, for monitoring budgetary performance, identifying variances and alerting others to the need for action	1, 2, 3, 4, 6, 7	1, 8, 10, 11, 13, 15	1, 2	1, 2, 4, 5, 6, 7, 8, 9, 12
8	◆ data on budgetary performance; variance analysis; monitoring for accuracy, validity and fraudulent behaviour; budgetary reports and proposals for action in the light of budget outturns or requirements for changes	2, 5, 6, 8, 9	1, 9, 10, 11, 12, 13, 14, 15, 16	1, 2	2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12
9	◆ reports or other reviews of your financial performance, achievement of financial objectives and any action you took (or didn't take) in the light of budget outturns	1, 2, 6, 8, 9	1, 9, 11, 12, 13, 14, 15, 16	1, 2	1, 2, 3, 5, 6, 7, 8, 9, 10, 11, 12
10	◆ personal statements (reflections on your use of information to construct and monitor a budget, delegate responsibility to others, negotiate and give and obtain approval for budgets, supervise others' budgetary monitoring, your own monitoring of outturns and any changes that were needed)	2, 5, 6, 7, 9	1, 8, 9, 10, 11, 12, 13, 14, 15, 16	1, 2	1, 4, 2, 3, 5, 6, 7, 8, 9, 10, 11, 12
11					
12					
13					

E8 Manage physical resources (F2H7 04)

Unit summary

What is this Unit about?

This Unit is about ensuring the availability of the physical resources (equipment, materials, premises, services and energy supplies) required to carry out planned activities in your area of responsibility. It involves identifying the resources required, making the business case to obtain these resources, planning how they will be used effectively, efficiently, safely and securely, monitoring resource use and taking corrective action, if required.

Who is this Unit for?

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

Links with other Units

This Unit is linked to Units **E1 Manage a budget (DR5F 04)**, **E2 Manage finance for your area of responsibility (DR5T 04)**, **E6 Ensure health and safety requirements are met for your area of responsibility (DR52 04)** and **E9 Manage the environmental impact of your work (F2H3 04)** in the overall suite of National Occupational Standards for management and leadership.

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.

- ◆ analysing
- ◆ communicating
- ◆ contingency planning
- ◆ decision-making
- ◆ evaluating
- ◆ forecasting
- ◆ influencing
- ◆ involving others
- ◆ monitoring
- ◆ negotiating
- ◆ persuading
- ◆ planning
- ◆ presenting information

E8 Manage physical resources (F2H7 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Invite those who use resources to contribute to identifying the resources required and planning and monitoring their use.
- 2 Evaluate past patterns of resource use and trends and developments likely to affect future demand for resources.
- 3 Identify the range and quantity of resources required for the planned activities in your area of responsibility, including likely contingencies.
- 4 Make the business case for the resources required, clearly showing the costs involved and the expected benefits.
- 5 Agree appropriate adjustments to your planned activities, where the required resources cannot be obtained in full.
- 6 Make arrangements with suppliers for resources to be available when required.
- 7 Plan to use resources in ways that are efficient and minimise any adverse impact on the environment.
- 8 Take appropriate action to ensure the security of resources and that they are used safely.
- 9 Monitor the quality of resources and patterns of resource use continuously.
- 10 Take timely corrective action to deal with any significant discrepancies between actual and planned resource use.

Behaviours which underpin effective performance

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You prioritise objectives and plan work to make the best use of time and resources.
- 3 You accurately calculate risks, and make provision so that unexpected events do not impede the achievement of objectives.
- 4 You monitor the quality of work and progress against plans and take appropriate corrective action, where necessary.
- 5 You make best use of existing sources of information.
- 6 You identify clearly the value and benefits to people of a proposed course of action.
- 7 You present ideas and arguments convincingly and in ways that strike a chord with people.
- 8 You identify the range of elements in a situation and how they relate to each other.
- 9 You identify the implications or consequences of a situation.
- 10 You take timely decisions that are realistic for the situation.

E8 Manage physical resources (F2H7 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 Why it is important to involve those who use resources in identifying, planning and monitoring resources, and how to do so.
- 2 How to identify the range and calculate the quantity of resources required to carry out planned activities.
- 3 How to carry out a cost-benefit analysis.
- 4 How to make a business case.
- 5 How to develop an operational plan and make adjustments to the plan if required resources cannot be obtained in full.
- 6 How to make arrangements with suppliers to ensure resources are available when required.
- 7 The potential impact of resource use on the environment and actions you can take to minimise any adverse impact.
- 8 Risks associated with the types of resources used and actions you can take to ensure resources are secure and used safely.
- 9 The importance of monitoring the quality and use of resources continuously, and how to do so.
- 10 The types of corrective actions (e.g. changing planned activities, changing the ways in which resources are used for activities, renegotiating the availability of resources) you can take in case of significant discrepancies between actual and planned resource use.

Industry/sector specific knowledge and understanding

- 1 Industry/sector requirements for managing physical resources.

Context specific knowledge and understanding

- 1 Past patterns of resource use in your area of responsibility and how to access this information.
- 2 Trends and developments that affect future demand for resources in your area of responsibility and how to evaluate the likely impact of these.
- 3 The planned activities in your area of activity and possible contingencies.
- 4 Actual and potential suppliers of the resources you need.

E8 Manage physical resources (F2H7 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Records of your actions to identify utilisation, future requirements and options for changes in the resources employed:				
	◆ notes of meetings, e-mails, memos letters and reports relating to discussions with colleagues, suppliers and consultants on resource utilisation, resource options and future requirements	1, 2, 5, 6, 7, 8, 9, 10	1, 2	1	1, 2, 3, 4
	◆ monitoring data, records, audit reports and other data on resource costs, availability and utilisation, and spreadsheets and other analyses and computations based on this data	4, 5, 8, 9	9	1	1, 2, 3
1 2 3	◆ copies of reports, reviews and analyses of potential new resources, and your summaries, analyses and commentaries on these	3, 5, 7	1, 2	1	3, 4
4 9	◆ reports, presentations, costs schedules, draft budgets and financial forecasts, cost-benefit analyses, e-mails, memos and letters that you have prepared, to make a business case for acquiring new resources	1, 3, 5, 6, 7, 8, 9, 10	2, 3, 4	1	1, 2, 3, 4
	◆ personal statement (reflections on your own actions to review resource utilisation, future requirements and options for changes in the resources employed)	1, 2, 3, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 9	1	1, 2, 3, 4
	◆ witness statements (comments on your actions resource utilisation, future requirements and options for changes in the resources employed)	1, 2, 3, 5, 6, 7, 8, 9, 10	—	—	—
	Records of resource acquisition and utilisation planning:				
	◆ notes of negotiations with suppliers, letters, e-mails, orders and supply schedules to acquire new resources	1, 5, 6, 7, 8, 9, 10	1, 2, 6, 10	1	4
	◆ spreadsheets, tables, database reports, Gantt charts, network diagrams, flow charts, plans and other records of the acquisition and planned organisation and utilisation of resources	4, 5	5, 6, 9	1	2, 3
5 6 7	◆ notes of meetings, e-mails, memos, letters, reports, procedure manuals, operational guidance and role profiles relating to the safe and secure use, handling and storage of resources	5, 6, 7, 8, 9, 10	7, 8	1	1, 3
8 10	◆ variance reports, budget reconciliations, spreadsheets, database reports comparing actual and planned resource utilisation, and plans, reports, e-mails, memos and notes of meetings about actions to address variances	1, 2, 3, 4, 5, 7, 8, 9, 10	9, 10	1	1, 2, 3
	◆ personal statement (reflections on your own actions to)	1, 2, 3, 4, 5, 7, 8, 9, 10	1, 2, 5, 6, 7, 8, 9, 10	1	1, 2, 3, 4
	◆ witness statements (comments on your actions)	1, 2, 3, 4, 5, 7, 8, 9, 10	—	—	—

E9 Manage the environmental aspect of your work (F2H3 04)

Unit summary

What is this Unit about?

This Unit is about managing work activities and resources in your area of responsibility in order to minimise the negative impact— and maximise the positive impact — they may have on the environment.

It involves organising work activities and the use of resources efficiently, understanding their impact of the environment and finding ways to reduce their negative and increase their positive impact. You may need to seek advice from environmental specialists when carrying out this function.

Who is this Unit for?

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

Links with other Units

This Unit is linked to units **B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)**, **B10 Manage risk (DR5X 04)**, **D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)** and **E8 Manage physical resources (F2H7 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

Listed below are the main generic ‘skills’ that need to be applied in managing environmental performance in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- ◆ assessing
- ◆ communicating
- ◆ consulting
- ◆ decision-making
- ◆ evaluating
- ◆ involving others
- ◆ monitoring
- ◆ planning
- ◆ presenting information
- ◆ reporting
- ◆ risk management

E9 Manage the environmental impact of your work (F2H3 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Organise work activities and the use of resources in your area of responsibility so that they:
 - ◆ are efficient and effective
 - ◆ comply with legal requirements and environmental policies
 - ◆ minimise the negative and maximise the positive impact on the environment
- 2 Identify the environmental impact of work activities and the use of resources in your area of responsibility.
- 3 Report promptly any identified risks to the environment, which you do not have the ability to control.
- 4 Encourage people in your area of responsibility to identify opportunities for, and contribute to, improving environmental performance.
- 5 Identify and implement changes to work activities and the use of resources that will reduce the negative and increase the positive impact on the environment.
- 6 Communicate the environmental benefits resulting from changes to work activities and the use of resources.
- 7 Obtain specialist advice, where necessary, to help you identify and manage the environmental impact of your work activities and use of resources.

Behaviours which underpin effective performance

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You present information clearly, concisely, accurately and in ways that promote understanding.
- 3 You keep people informed of plans and developments.
- 4 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 5 You act within the limits of your authority.
- 6 You are vigilant for possible hazards.
- 7 You make appropriate information and knowledge available promptly to those who need it and have a right to it.
- 8 You encourage others to share information and knowledge efficiently within the constraints of confidentiality.
- 9 You make best use of available resources and proactively seek new sources of support when necessary.
- 10 You identify the implications or consequences of a situation.

E9 Manage the environmental impact of your work (F2H3 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 How to organise work activities and the use of resources in your area of responsibility so that they are efficient and effective.
- 2 The importance of organising work activities and the use of resources so that they minimise their negative and maximise their positive environmental impact, and how to do so.
- 3 The importance of identifying the environmental impact of work activities and the use of resources in your area of responsibility, and how to do so.
- 4 The importance of reporting promptly any identified risks to the environment which you do not have the ability to control, and how to do so.
- 5 How to encourage people to make contributions.
- 6 How to identify and implement changes to work activities and the use of resources that will reduce their negative and increase their positive environmental impact.
- 7 The principles of effective communication and how to apply them.

Industry/sector specific knowledge and understanding

- 1 Industry/sector requirements for managing environmental performance in your area of responsibility.

Context specific knowledge and understanding

- 1 Legal requirements and environmental policies and how to comply with them.
- 2 The types of risks to the environment, which you do not have the ability to control.
- 3 People in your area of responsibility who are able to contribute to, and identify opportunities for improving environmental performance.
- 4 The range of environmental specialists that exist inside and/or outside your organisation.
- 5 Your role, responsibilities and limits of your authority.

E9 Manage the environmental impact of your work (F2H3 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3 4 5 6 7	Records of your actions to manage the environmental impact of your work:				
	◆ production/operational reports, work schedules/records, time sheets, stock reports and other data on work activities and resource utilisation	1, 6, 9, 10	1, 2, 3, 6	1	—
	◆ risks assessments, COSHH records, procedure manuals, operational guidance and role profiles relating to the safe and secure use, handling and storage of resources that you have prepared	1, 2, 3, 4, 6, 7, 9	3, 4, 5, 7	1	1, 2
	◆ accident or incident reports and notes of meetings, e-mails, memos and other reports about reducing the negative impact of resources on the environment	2, 3, 4, 5, 6, 7, 10	3, 4	—	1, 2
	◆ notes of meetings with, and e-mails, memos, reports from others about ways of reducing the negative impact of resources on the environment and the benefits of doing so	2, 3, 4, 6, 7, 8, 9, 10	3, 5, 7	1	3, 4
	◆ briefings and presentations at team meetings and to others, e-mails, memos, reports, notices and other communications about ways of reducing the negative impact of resources on the environment and the benefits of doing so	2, 3, 4, 7, 8, 9, 10	1, 2, 3, 5, 7	1	3
	◆ personal statement (reflections on your own actions to)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7	1	1, 2, 3, 4, 5
	◆ witness statements (comments on your actions)	2, 3, 4, 5, 7, 8, 9	—	—	—

E10 Take effective decisions (F2H4 04)

Unit summary

What is this Unit about?

This Unit is about taking sound decisions based upon a valid analysis of the best available information. Managers at all levels need to take decisions within their area of responsibility and authority. This Unit provides a structure for taking decisions that meet defined objectives and are consistent with a broader framework of values, policies and guidelines.

Who is this Unit for?

The Unit is recommended for managers at all levels.

Links with other Units

This Unit is linked to units **B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)** and **E11 Communicate information and knowledge (F2H5 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- ◆ acting assertively
- ◆ analysing
- ◆ assessing
- ◆ communicating
- ◆ decision-making
- ◆ evaluating
- ◆ information management
- ◆ involving others
- ◆ prioritising
- ◆ problem solving
- ◆ researching
- ◆ setting objectives
- ◆ time management

E10 Take effective decisions (F2H4 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Identify those who may be affected by the decision and their interests.
- 2 Involve, where possible, those who are able to contribute to the decision-making process or will be affected by the decision.
- 3 Establish the objectives of the decision to be taken – clarify what you are really trying to achieve by taking the decision and uncover any hidden agendas.
- 4 Identify the information you need to take the decision and the sources of this information.
- 5 Obtain sufficient relevant information to allow you to take the decision and verify its accuracy and reliability.
- 6 Take timely action to remedy inadequate, unreliable, contradictory or ambiguous information.
- 7 Analyse the information to identify facts, patterns and trends that may impact on your decision.
- 8 Identify and evaluate the range of options open to you.
- 9 Draw conclusions supported by reasoned arguments and reliable information, clearly stating any assumptions you have made and risks that may be involved.
- 10 Take decisions:
 - ◆ in line with your objectives
 - ◆ within the scope of your authority
 - ◆ consistent with values, policies and guidelines
 - ◆ in time for necessary action to be taken
- 11 Obtain help and advice if:
 - ◆ you do not have adequate information
 - ◆ the decision is outside your area of responsibility or scope of authority
 - ◆ your decisions are likely to conflict with values, policies and guidelines
- 12 Communicate your decision clearly to those who are affected.

Behaviours which underpin effective performance

- 1 You act within the limits of your authority.
- 2 You show integrity, fairness and consistency in decision-making.
- 3 You check the validity and reliability of information.
- 4 You push for concrete information in an ambiguous situation.
- 5 You identify patterns or meaning from events and data that are not obviously related.
- 6 You build a total and valid picture from restricted or incomplete data.
- 7 You articulate the assumptions made and risks involved in understanding a situation.
- 8 You take timely decisions that are realistic for the situation.
- 9 You take decisions in uncertain situations or based on incomplete information when necessary.
- 10 You take and implement difficult and/or unpopular decisions, if necessary.

E10 Take effective decisions (F2H4 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The importance of involving those who are able to contribute or may be affected in the decision-making process, and how to do so.
- 2 The importance of setting objectives for the decision, and how to make it clear what the decision must achieve and what is outside the scope of the decision.
- 3 How to identify the information you need to take the decision.
- 4 How to judge whether you have sufficient, accurate, reliable and relevant information to allow you to take the decision.
- 5 How to identify if information is inadequate, unreliable, contradictory or ambiguous, and how to remedy this in a timely way.
- 6 How to analyse information to identify relevant facts, patterns and trends.
- 7 The range of options open to you and how to evaluate the options.
- 8 How to justify your conclusions.
- 9 The importance of ensuring your decisions are in line with your organisation's values, policies and guidelines.
- 10 The importance of showing any assumptions you have made and risks that may be involved, and how to do so.
- 11 The importance of taking decisions in time for necessary action to be taken.
- 12 How to communicate your decision clearly and concisely.

Industry/sector specific knowledge and understanding

- 1 Industry/sector requirements for using information to take decisions.

Context specific knowledge and understanding

- 1 People who are able to contribute to the decision-making process or will be affected by the decision.
- 2 Facts, patterns and trends that may impact on your decision.
- 3 Your organisation's policies, values and guidelines.
- 4 The scope of your authority for taking decisions and when you need to refer to someone else.
- 5 Whom to go to for advice if you do not have adequate information, the decision is outside your area of responsibility, or your decisions conflict with policies, values and guidelines.

E10 Take effective decisions (F2H4 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1	Records of your actions to collect information and consult others before making decisions:				
2	◆ notes of meetings, e-mails, memos, letters and reports from those able to advise on, contribute to and/or affected by the decision	1, 3	1, 2, 3	—	1, 4, 5
3	◆ spreadsheets, database reports, reports and other relevant information that you have prepared, and your assessments, analyses, calculations and risk assessments based on this information	3, 4, 5, 6	3, 4, 5, 6	1	2
4	◆ e-mails, memos, letters and reports and notes of briefings and presentations to communicate decisions	1, 2, 7, 8, 9, 10	7, 8, 9, 10, 11, 12	—	2, 3, 4
5	◆ personal statement (reflections on your decision-making)	2, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12	1	1, 2, 3, 4, 5
6	◆ witness statements (comments on your decision-making)	1, 2, 4, 7, 8, 9, 10	—	—	—

F1 Manage a project (DR5J 04)

Unit summary

What is this 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 this Unit for?

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

Links with other Units

This Unit is linked to **F2 Manage a programme of complementary projects (DT4K 04)** in the overall suite of National Occupational Standards for management and leadership.

There is also a suite of National Occupational Standards for project management which are aimed at those in full-time project management roles or whose roles have a significant project management component. You can obtain further information from the Engineering Construction Industry Training Board (ECITB) on tel. 01923 260 000 or at the ECITB website (www.ecitb.org.uk) or from the Association for Project Management (APM) on tel. 0845 458 1944 or at the APM website (www.apm.org.uk).

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
- ◆ consulting
- ◆ monitoring
- ◆ thinking systematically
- ◆ negotiating
- ◆ planning problem solving
- ◆ information management
- ◆ contingency planning
- ◆ risk management
- ◆ reviewing

F1 Manage a project (DR5J 04)

Outcomes of effective performance

You must be able to do the following:

- 1 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.
- 2 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.
- 3 Develop, in consultation with relevant people, a realistic and thorough plan for undertaking the project and achieving the key objectives.
- 4 Discuss and agree the project plan with the project sponsor(s) and any key stakeholders, making changes where necessary.
- 5 Brief any project team members on the project plan and their roles and responsibilities and provide on-going support, encouragement and information.
- 6 Put processes and resources in place to manage potential risks arising from the project and deal with contingencies.
- 7 Implement the project plan, selecting and applying a range of basic project management tools and techniques to monitor, control and review progress.
- 8 Communicate progress to the project sponsor(s), any key stakeholders and any project team members on a regular basis.
- 9 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.
- 10 Achieve project objectives using the agreed level of resources.
- 11 Confirm satisfactory completion of the project with the project sponsor(s) and any key stakeholders.
- 12 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

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You find practical ways to overcome barriers.
- 3 You present information clearly, concisely, accurately and in ways that promote understanding.
- 4 You create a sense of common purpose.
- 5 You make best use of available resources and proactively seek new sources of support when necessary.
- 6 You act within the limits of your own authority.
- 7 You are vigilant for potential risks and hazards.
- 8 You take pride in delivering high quality work.
- 9 You take personal responsibility for making things happen.

F1 Manage a project (DR5J 04)

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 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 industry or sector.
- 2 Risks and contingencies common to the industry/sector.
- 3 Industry/sector 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.

F1 Manage a project (DR5J 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3 4 5 6	Project terms of reference you have agreed and project plans that you have prepared:				
	◆ notes or minutes of meetings you have attended, and e-mails, 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	3, 4, 5, 7	1, 2, 3, 4, 5, 6, 7, 8, 9	2, 3	1, 2, 3, 4
	◆ 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	3, 5	1, 3, 6, 9, 13, 14	1, 2, 3	3, 6, 7, 11
	◆ notes or minutes from, and records of presentations at, briefings or meetings that you have organised, and e-mails, memos, letters you have sent to members of the project team and other stakeholders, to agree project plans and roles and responsibilities	4, 5, 6, 7, 9	2, 3, 6, 8, 9, 10, 11, 12	2, 3	3, 4, 5, 6, 7, 8
	◆ 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

7 8 9 10 11 12	Your records of monitoring and evaluating projects you have managed:				
	◆ project reports, newsletters, e-mails, memos and letters, and action plans, project schedules, Gantt charts and network diagrams and other project management tools, recording and reporting progress against agreed milestones, any problems identified, resources required or any changes to the project plans	1, 2, 3, 5, 6, 7, 8, 9	2, 3, 11, 12, 13, 14, 15, 16, 17	1, 2	6, 7, 8, 9, 10, 11, 12, 13
	◆ notes or minutes and records of presentations at briefings and meetings of the project team and/or steering group, reporting progress against agreed milestones, any problems identified, resources required or any changes to the project plans	1, 2, 3, 5, 6, 7, 8, 9	2, 3, 11, 12, 13, 14, 15, 16, 17	1, 2	6, 7, 8, 9, 10, 11, 12, 13
	◆ end of project evaluation report, identifying the Outcomes of the project against the planned Outcomes, resourcing and timescales, and any conclusions that could be drawn about the project planning, operation and management	1, 2, 3, 5, 6, 7, 8, 9	2, 3, 15, 17, 18, 19, 20	-	6, 7, 8, 9, 10, 11, 14, 15, 16
	◆ notes or minutes and records of presentations at the final meeting of the project team and/or steering group, discussing and agreeing the Outcomes of the project against the planned Outcomes, resourcing and timescales, and any conclusions that could be drawn about the project planning, operation and management	1, 2, 3, 5, 6, 7, 8, 9	2, 3, 15, 17, 18, 19, 20	-	6, 7, 8, 9, 10, 11, 14, 15, 16
◆ personal statement (reflections on the effectiveness of the project in achieving its goals and your performance in managing the project)	1, 2, 3, 5, 6, 7, 8, 9	1, 2, 7, 9, 18, 19	1, 2	3, 4, 6, 11, 15	

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F2 Manage a programme of complementary projects (DT4K 04)

Unit summary

What is the Unit about?

This Unit is about managing a specific programme of different projects which are independent but still depend on each other. Taken together, these projects will contribute to achieving a bigger strategic aim.

Who is the Unit for?

The Unit is recommended for middle managers and senior managers.

Links with other Units

This Unit is linked to Unit **F1 Manage a project (DR5J 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- ◆ analysing
- ◆ acting assertively
- ◆ communicating
- ◆ managing conflict
- ◆ delegating
- ◆ decision making
- ◆ influencing
- ◆ leadership
- ◆ motivating
- ◆ negotiating
- ◆ planning
- ◆ problem solving
- ◆ questioning
- ◆ stress management
- ◆ time management
- ◆ team building

F2 Manage a programme of complementary projects (DT4K 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Make sure everyone involved is clear about how the programme links to strategic targets.
- 2 Take account of all essential needs and translate strategic targets into practical, efficient and effective actions.
- 3 Make sure everyone involved understands the critical aspects of putting the programme into practice and arrangements for dealing with contingencies.
- 4 Monitor and control the programme so that it achieves the stated objectives in the most effective and efficient way, on time and within the budget.
- 5 Provide support to allow programme team members to perform efficiently and effectively.
- 6 Make recommendations which identify good practice and areas for improvement.
- 7 Tell everyone involved about important issues and the results of putting the programme into practice.

Behaviours which underpin effective performance

- 1 You address multiple demands without losing focus or energy.
- 2 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 3 You find practical ways to overcome barriers.
- 4 You keep people informed of plans and developments.
- 5 You present information clearly, concisely, accurately and in ways that promote understanding.
- 6 You monitor the quality of work and progress against plans and take appropriate corrective action, where necessary.
- 7 You create a sense of common purpose.
- 8 You identify a range of elements in a situation and how they relate to each other.

F2 Manage a programme of complementary projects (DT4K 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The difference between project and programme management.
- 2 The roles and key responsibilities of a programme manager.
- 3 Principles, processes, tools and techniques for managing programmes.
- 4 The basic principles, methods and techniques of total quality management.
- 5 How to manage, motivate, plan, monitor, and assess people.
- 6 How to assess and manage risk.
- 7 How to manage change within projects and programmes.

Industry/sector specific knowledge and understanding

- 1 Programme and project management tools and techniques commonly used in the industry or sector.
- 2 Risks and contingencies common to the industry/sector.
- 3 Industry/sector specific legislation, regulations, guidelines and codes of practice.

Context specific knowledge and understanding

- 1 The programme sponsor(s) — the individual or group for whom the programme is being undertaken.
- 2 Key stakeholders — the individuals or groups who have a vested interest in the success of the programme and the organisation.
- 3 General organisational policies, practices and activities that may affect the programme plan.
- 4 The agreed key objectives and scope of the programme and the available resources.
- 5 The overall vision, objectives and plans of the organisation and any other relevant programmes of work or projects being undertaken.
- 6 Procedures in your organisation for managing finance.
- 7 Procedures in your organisation for buying products and services.
- 8 General legal requirements that are relevant to your organisation.
- 9 General quality standards and processes within your organisation.
- 10 General personnel policies and procedures within your organisation.

F2 Manage a programme of complementary projects (DT4K 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Terms of reference and plans for projects that you have agreed:				
	◆ notes or minutes of meetings you have organised, records of presentations you have made, and e-mails, memos, letters, project briefs and terms of reference, scoping or feasibility studies and other documents that you have written or commissioned, to agree with, and explain to, project teams and leaders the rationale, purpose, objectives, scope, risks, contingencies, resources, planning tools, plans and timescales of projects	1, 4, 7	1, 2, 3, 4, 5, 6	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
1 2 3	◆ notes or minutes and records of discussion you have had with project teams and leaders, to monitor progress against agreed milestones, identify and resolve any problems identified or resources required, and agree any changes to the project plans	1, 2, 3, 4, 6, 8	1, 2, 3, 5, 7	1, 2, 3	3, 4, 5, 6, 7, 8, 9, 10
4	◆ project budget reconciliations and exception reports you have prepared	5, 6	2, 3	1, 2	4, 6
5 6 7	◆ details of any training or consultancy support or additional resources you have organised to support project teams	1, 3, 6	2, 5	1	4, 10
	◆ newsletters, e-mails, intranet pages and other communications you have organised, to make people aware of the progress and outcomes of the programme	3	2	-	5
	◆ reports or presentations you have prepared, evaluating the effectiveness of the programme of complementary projects you have managed, identifying good practice and making recommendations for future improvements	3, 5, 6, 8	2, 3, 4	1	1, 2, 4
	◆ personal statement (reflections on your role in organising and monitoring a programme of complementary projects)	1, 2, 3, 6, 8	1, 2, 3	1, 2, 3	1, 2, 4, 5

F8 Work with others to improve customer service (DR7X 04)

Note: This Unit has been taken from the National Occupational Standards developed by the Institute of Customer Service (ICS), the standards-setting body for customer service. The format of the Unit is different to that used by the Management Standards Centre (MSC) for the Units the MSC has developed.

Unit overview

When you are working with your customers you are not working alone. Behind or alongside you there are others involved in the process who impact on how well you can deliver your products or services. These individuals may be from within your organisation or from the outside. They may be:

- ◆ team members
- ◆ colleagues
- ◆ suppliers
- ◆ supervisors/managers/team leaders
- ◆ service partners
- ◆ manufacturers
- ◆ individuals from other departments
- ◆ individuals from other sites/regions/countries
- ◆ individuals from other organisations

The delivery of excellent customer service depends on your skills and those of others. It involves communicating with others and agreeing how you can work together to give a more effective service. To achieve this Unit you must show that you have worked positively with others. You must also show how you have monitored your joint performance and changed the way you do things to improve customer service.

This Unit is all about how you develop a relationship with others to improve your customer service performance.

NB: This is Unit 3 from the Customer Service National Occupational Standards at level 3.

F8 Work with others to improve customer service (DR7X 04)

Element 1: Work with others to follow plans for improving customer service

You need to show that you:

- 1.1 contribute constructive ideas to plans for improving customer service
- 1.2 identify what you have to do to follow plans to improve customer service and confirm this with others
- 1.3 co-operate with others to follow plans to improve customer service
- 1.4 keep your commitments made to others
- 1.5 keep others advised of situations that may affect plans to improve customer service

Element 2: Monitor your own performance against plans to improve customer service

You need to show that you:

- 2.1 discuss with others how what you do affects their customer service performance
- 2.2 identify how the way you work with others contributes towards meeting plans to improve customer service
- 2.3 continuously review your own performance with others against plans to improve customer service

Element 3: Monitor joint performance against plans to improve customer service

You need to show that you:

- 3.1 discuss with others joint performance measured against aims to improve customer service
- 3.2 identify with others how joint efforts to follow plans and achieve aims could be improved
- 3.3 take action with others to improve joint customer service performance
- 3.4 identify how the way you work with others improved customer service for your organisation and for your customers

Knowledge and understanding

You will have a full appreciation of the legal and organisational responsibilities relevant to your job role. You will need to show in your evidence that you have worked within the rules and regulations of your organisation and have applied high levels of knowledge and understanding when dealing with your customers.

You will also need to show that you are aware of the position of your organisation in the wider context. You will be expected to show that you are aware of:

- a major competitors of your organisation
- b the effects of legislation on the performance of your organisation
- c the implications of a change of structure, products or services for your organisation
- d the implications of other market place activities on your organisation

In addition you will need to demonstrate that you know and understand:

- 1 what your customers' rights are and how these rights limit what you are able to do for your customer
- 2 the specific aspects of:
 - ◆ health and safety
 - ◆ data protection
 - ◆ equal opportunities
 - ◆ disability discrimination
 - ◆ legislation and regulations

that affect the way the products or services you deal with can be delivered to your customers

- 3 industry, organisational and professional codes of practice and ethical standards that affect the way the products or services you deal with can be delivered to your customers
- 4 any contractual agreements that your customers have with your organisation
- 5 the products or services of your organisation relevant to your customer service role
- 6 the guidelines laid down by your organisation that limit what you can do within your job
- 7 the limits of your own authority and when you need to seek agreement with or permission from others
- 8 any organisational targets relevant to your job, your role in meeting them and the implications for your organisation if those targets are not met
- 9 how to communicate in a clear, polite, confident way and why this is important

You will also need to show that you know and understand:

- 10 who else is involved either directly or indirectly with your ability to offer your organisation's products or services
- 11 the roles and responsibilities of others in your organisation
- 12 the roles of others outside your organisation who have an impact on the products or services you provide
- 13 what the goals or targets of your organisation are in relation to customer service and how these are set

Evidence Requirements

Simulation is not allowed for any performance evidence within this Unit. You must supply all the evidence for this Unit from work you have carried out with others in your workplace.

The customers you are improving service for can be internal or external to the organisation or a combination of both.

You must prove that you have improved customer service through working with others who may be internal or external to your organisation.

To complete this Unit you must include evidence of agreeing customer service roles and responsibilities which:

- ◆ are part of your own job
- ◆ have been agreed with others as part of their job

The work you carry out must show that you have worked with at least two individuals from the following list:

- ◆ team members
- ◆ colleagues
- ◆ suppliers
- ◆ supervisors/managers/team leaders
- ◆ service partners
- ◆ manufacturers
- ◆ individuals from other departments
- ◆ individuals from other sites/regions/countries
- ◆ individuals from other organisations

Working with others may involve either meetings or exchanges of information from a distance.

You must show how:

- ◆ your contribution matters to others and how it affects customer service
- ◆ others' contributions matter to you and how they affect customer service

Your evidence must show that you have applied all the knowledge and understanding requirements when you are working towards customer service improvements with others.

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F9 Build your organisation's understanding of its market and customers (DR41 04)

Unit summary

What is the Unit about?

This Unit is about making sure that relevant and reliable information about the organisation's market and customers is constantly available and shared.

The term 'customer' includes internal and external customers of the organisation or part of the organisation that the manager is responsible for.

Who is the Unit for?

The Unit is recommended for middle managers and senior managers.

Links with other Units

This Unit is linked to Units **F4 Develop and review a framework for marketing (DR48 04)** and **F10 Develop a customer focussed organisation (DR43 04)** in the overall suite of National Occupational Standards for management and leadership.

If your organisation is a small firm, you should look at Unit *B1 Improve your sales and marketing (D8WM 04)* which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114-241 2155 or at the SFEDI website (www.sfedico.uk).

Skills

Listed below are the main generic 'skills' which need to be applied in building your organisation's understanding of its market and customers. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ information management
- ◆ communicating
- ◆ analysing
- ◆ assessing
- ◆ thinking strategically
- ◆ forecasting
- ◆ innovating
- ◆ networking
- ◆ presenting information
- ◆ decision making
- ◆ thinking with a focus on customers

F9 Build your organisation's understanding of its market and customers (DR41 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Identify your customers' current and future needs and expectations and predicted future demand levels.
- 2 Identify the market for your products and/or services and any market segments.
- 3 Identify and assess current and future developments in your sector, including competitors' activities.
- 4 Identify and assess opportunities to expand into new markets and for innovations that meet customers' needs.
- 5 Identify the reasons why customers use products and/or services from your organisation rather than from your competitors.
- 6 Identify and assess any threats to, and weaknesses in, your organisation's products and services.
- 7 Make sure there is a shared understanding of your customers and your competitive position in the market across your organisation.
- 8 Use information about customers and the market to help managers make decisions.

Behaviours which underpin effective performance

- 1 You analyse and structure information to develop knowledge that can be shared.
- 2 You develop systems to gather and manage information and knowledge effectively, efficiently and ethically.
- 3 You recognise your own strengths and limitations, play to your strengths and use alternative strategies to minimise the impact of your limitations.
- 4 You anticipate likely future scenarios based on a realistic analysis of trends and developments.
- 5 You identify the implications or consequences of a situation.
- 6 You articulate the assumptions made and risks involved in understanding a situation.

F9 Build your organisation's understanding of its market and customers (DR41 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 Where you can get information about your customers and the market and the advantages and disadvantages of different sources.
- 2 How you can get information on competitors or similar organisations.
- 3 How to assess sources of information about your customers and the market to see how suitable they are to use.
- 4 Sources of professional market-research expertise.
- 5 Methods of gaining customer feedback, and the costs and benefits associated with them.
- 6 How to analyse, measure and assess data and turn it into information that is suitable for business purposes.
- 7 Awareness of how information software products can help you collect and analyse information.
- 8 The legislative and ethical restrictions relating to the collecting, storing and sharing information.
- 9 The importance of checking users' understanding of the process for collecting information and their role supporting it.
- 10 The principles of cost-benefit analysis.
- 11 The principle that customers buy products and/or services for the benefits they give them.
- 12 The principle of trying to secure competitive advantage so that more customers will prefer the products and/or services of your organisation.
- 13 Principles of market segmentation and why this is important.

Industry/sector specific knowledge and understanding

- 1 The sector and market in which your organisation works.
- 2 Legal and regulatory restrictions that may affect your products and/or services (or both).
- 3 Sources of specific information about the market and about the customers.

Context specific knowledge and understanding

- 1 Your organisation's products, services, technologies and processes.
- 2 Opportunities for collecting existing and new information about the market and customers.
- 3 The information about markets and customers that is available within your organisation, and the systems that are used for collecting and storing the information.

F9 Build your organisation's understanding of its market and customers (DR41 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Qualitative and quantitative analyses that you have prepared of the current market, customer behaviour and likely future demand:				
1 2 3 5 7 8	◆ reports you have written of quantitative and/or qualitative market research, secondary research that you have conducted and/or summaries of commissioned research by others, and market segmentation analyses of customers and sales data that you have prepared	1, 2, 5, 6	1, 3, 4, 5, 6, 7, 8, 9, 11, 13	1, 2, 3	1, 2, 3
	◆ time series and regression analyses of quantitative data and analyses of data on customer churn and loyalty/repurchase rates	1, 2, 5, 6	1, 3, 6, 7	1, 3	1, 2, 3
	◆ summaries or reports you have written of feedback from, and discussions with, sales personnel, customer service staff and other colleagues	1, 2, 5, 6	1, 3, 5, 6, 7, 8, 9	1, 2, 3	1, 2, 3
	◆ research and reports you have written on competitor activity	1, 2, 5, 6	2, 3, 12	1, 2, 3	2, 3
	◆ memos, e-mails, newsletters, intranet pages, and presentations to colleagues in which you identify the organisation's current market performance and patterns in customer behaviour	1, 5, 6	1, 2, 3	1, 2, 3	1, 2, 3
	Proposals for new product or market development you have made, based on your analysis of the market, competitor strengths and positioning, and your organisation's competencies:				
1 3 4 6 8	◆ reports you have written of market and competitor research that you have conducted and/or summaries of commissioned or publicly-available (secondary) research by others	1, 4, 5, 6	1, 2, 3, 4, 6, 13	1, 3	1, 2, 3
	◆ records of product and market development meetings with colleagues and consultants	1, 4, 5, 6	11, 12	1	1, 3
	◆ SWOT, PESTLE, BCG Matrix, Anzoff Matrix and core competence analyses, 'what if' and other future scenario analyses, etc	1, 4, 5, 6	1, 2, 3, 5, 11, 12	1, 2, 3	1, 3
	◆ memos, e-mails, newsletters and intranet pages, and presentations to colleagues in which you identify opportunities for new products or markets	5, 6	1, 2, 3, 10	1	1, 3
	◆ personal statement (reflections on your role and performance in analysing the organisation's market and customers)	1, 3, 4, 5	1, 2, 3, 5, 11, 12	1	1, 2, 3

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F11 Manage the achievement of customer satisfaction (DR61 04)

Unit summary

What is the Unit about?

This Unit covers a broad range of general, operational management responsibilities, all aimed at satisfying customers with the processes, products and or services being delivered.

The term 'customer' includes internal and external customers of the organisation.

Who is the Unit for?

The Unit is recommended for middle managers.

Links with other Units

This Unit is closely linked to Unit **F8 Work with others to improve customer service (DR7X 04)** in the overall suite of National Occupational Standards for management and leadership.

There is also a suite of National Occupational Standards for customer service which are aimed at those in customer service roles or whose roles have a significant customer service component. You can obtain further information from the Institute of Customer Service (ICS) on tel. 01206 571 716 or at the ICS website (www.instituteofcustomerservice.com).

If your organisation is a small firm, you should look at Unit *CI Look after your customers (D8WT 04)* which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114-241 2155 or at the SFEDI website (www.sfedico.uk).

Skills

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

- ◆ problem solving
- ◆ valuing and supporting others
- ◆ planning
- ◆ communicating
- ◆ monitoring
- ◆ reporting
- ◆ coaching
- ◆ mentoring
- ◆ empowering
- ◆ motivating
- ◆ thinking with a focus on customers

F11 Manage the achievement of customer satisfaction (DR61 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Ensure that colleagues are briefed on and understand the expectations of customers and their own roles and responsibilities in meeting these expectations, including any agreed standards of customer service.
- 2 Empower colleagues to deliver good customer service, including identifying and addressing their learning needs and providing other resources.
- 3 Ensure that clear and effective processes are in place to support customers and sort out their problems.
- 4 Ensure that the day to day behaviour of colleagues matches the organisation's customer focused values.
- 5 Develop a culture which nurtures, respects, values, recognises and rewards 'front line' colleagues who work with customers.
- 6 Establish and operate suitable processes for monitoring levels of customer satisfaction.
- 7 Make recommendations and propose plans to improve the level of customer satisfaction.
- 8 Demonstrate increasing levels of customer satisfaction with the organisation's products and/or services and processes.

Behaviours which underpin effective performance

- 1 You constantly seek to improve performance.
- 2 You recognise the achievements and the success of others.
- 3 You demonstrate a clear understanding of different customers and their real and perceived needs.
- 4 You empower staff to solve customer problems within clear limits of authority.
- 5 You take personal responsibility for resolving customer problems referred to you by other staff.
- 6 You recognise recurring problems and promote changes to structures, systems and processes to resolve these.
- 7 You advocate customers' interests within your organisation.
- 8 You articulate a vision that generates excitement, enthusiasm and commitment.

F11 Manage the achievement of customer satisfaction (DR61 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The difference between customer service and customer satisfaction.
- 2 The factors that make customers satisfied.
- 3 The importance of achieving customer satisfaction in a competitive environment or an environment where high levels of service are expected.
- 4 Best practice in customer service outside your own sector.
- 5 Types of customer survey and effective ways of collecting feedback.
- 6 How to measure customer satisfaction.
- 7 Techniques and reward strategies for motivating staff.
- 8 How information and communications technology can support customer service and customer satisfaction.
- 9 Process/systems design and management.

Industry/sector specific knowledge and understanding

- 1 Current and emerging trends that are likely to affect your products and/or services.
- 2 Developments in technology and how this will affect your work with customers.
- 3 The legal and regulatory framework within which you work, including customer and consumer rights, relevant codes of practice and ethical codes.

Context specific knowledge and understanding

- 1 Your organisation's products and/or services.
- 2 Your organisation's customers.
- 3 The overall vision, objectives and associated plans of your organisation and its values.
- 4 The strengths and weaknesses of your products and services in terms of customer satisfaction.
- 5 The customer satisfaction survey, feedback and measuring methods that are suitable for your organisation.
- 6 The activities and services of your competitors or similar organisations and how this may affect your products, services and processes.
- 7 Which organisations you are compared with by your customers.

F11 Manage the achievement of customer satisfaction (DR61 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 3 4	Plans, procedures, records of meetings and other communications to communicate the vision and standards for customer service and show how these are to be translated into action:				
	◆ operational objectives and plans and customer service systems and procedures that you have developed	1, 3, 4, 7	1, 2, 3, 4, 8, 9	1, 2, 3	1, 2, 3, 4, 6, 7
	◆ newsletters, intranet and internet pages that you have developed, and notes, presentations and materials from team briefings and other meetings and discussions you have led to communicate the customer service policy and procedures	1, 3, 7, 8	1, 2, 3	-	1, 2, 3, 4
	◆ e-mails, memos, action plans and other records of actions you have taken to ensure that objectives, plans, systems and procedures are understood and implemented	1, 3, 7, 8	1, 2, 3	-	1, 2, 4
	◆ witness statements (comments on your role in communicating the customer service policy and procedures to staff)	7, 8	-	-	-
	◆ personal statements (reflections on your role in communicating the customer service policy and procedures to staff)	7, 8	1, 2, 3	1, 2, 3	1, 2, 3, 4, 6, 7
6 7	Customer service monitoring and review reports you have prepared, and recommendations for improvement:				
	◆ systems and procedures you have developed to monitor performance against customer service standards	1, 5, 6	5, 6, 4, 9	1, 2, 3	5, 7
	◆ reports and proposals you have written based on analyses of monitoring reports (eg 'mystery shopper') and customer feedback surveys that you have prepared, and data on customer churn and loyalty/repurchase rates that you have collected and analysed, to review and improve customer focus and service levels	1, 5, 6	5, 4, 6	1, 2, 3	5, 7

	Strategies you have developed to support and develop, collect information about, and review the performance of, customer service staff:				
1	◆ role descriptions, person specifications, selection processes and induction plans that you have prepared for employing new customer service staff	1, 4	2, 3, 7	1, 2, 3	-
2	◆ training needs analyses, skills matrices and other systems to identify staff development needs	1	2, 3	1, 2, 3	-
4	◆ plans for and evaluations of customer service training activities that you have organised	1	2, 3	1, 2, 3	-
5	◆ performance rewards and bonuses, job enrichment, team development and other strategies you have used to encourage job satisfaction and create a culture of commitment to customer service	1, 2, 4	2, 3, 7	1, 2, 3	-
8	◆ data you have collected and analysed on individual and team performance in customer service and records of staff performance review meetings that you have conducted	2, 6	5, 6	-	5
	◆ personal statements (reflections on your role in seeking to bring about improvements in staff performance to deliver required standards of customer service)	1, 2	2, 3, 7		-
	Records of activities you have organised that are designed to bring about improvements in customer service and meet or surpass customer expectations				
3	◆ agenda, notes or reports of meetings with customers and with other organisations that you work with to agree customers' requirements and improvements to the service provided	1, 3, 5, 6	1, 2, 3, 4	1, 2, 3	1, 2, 4, 6, 7
7	◆ agenda, notes or reports of meetings of staff that you have led to review customer service and identify opportunities for improvement	1, 2, 6	1, 2, 3, 4	1, 2, 3	1, 2, 4, 6, 7
8	◆ witness statements (comments on your role in seeking to bring about improvements in customer service)	1, 7, 8	-	-	-
	◆ personal statements (reflections on your role in seeking to bring about improvements in customer service)	1, 5, 6	1, 2, 3, 4	1, 2, 3	1, 2, 4, 6, 7

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