



# **Assessment Guidance for the SVQ in Management at level 5 (G82025)**

This edition: February 2008  
Publication code: DD2889/L5

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](http://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](http://www.management-standards.org)).

The SVQ in Management level 5 (G82025) 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 senior managers who have responsibility for substantial programmes and resources.

To achieve the SVQ in Management level 5 (G82025), candidates must achieve seven Units in total - four mandatory and three optional Units.

The SVQ structure and full selection of Units that make up the SVQ in Management level 5 (G82025) are shown in page 17.

## About Scottish Vocational Qualifications (SVQs)

SVQs describe 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 5, candidates would be expected to have responsibility for substantial programmes and resources and be able to influence the strategic development of an organisation.

## 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](http://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 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 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:

Unit- Codes	Evidence Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
<b>Your evaluation of the current and future requirements of your work role, based on both formal and informal sources:</b>					
O1	◆ job descriptions	1, 2, 3, 4, 5, 6, 7, 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 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 of the SVQ in Management level 5 (G82025)

Candidates will need to complete four mandatory Units and three optional Units (from a choice of 21) in order to achieve the full qualification

## Mandatory Units

- B7 Provide leadership for your organisation (DR70 04)
- C3 Encourage innovation in your organisation (DR4R 04)
- E7 Ensure an effective organisational approach to health and safety (DR4X 04)
- F12 Improve organisational performance (DR58 04)

## Optional Units

- A2 Manage your own resources and professional development (DR67 04)
- A3 Develop your personal networks (DR4L 04)
- B2 Map the environment in which your organisation operates (DR69 04)
- B3 Develop a strategic business plan for your organisation (DR45 04)
- B4 Put the strategic business plan into action (DR7G 04)
- B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)
- B9 Develop the culture of your organisation (DR4J 04)
- B10 Manage risk (DR5X 04)
- B12 Promote equality of opportunity and diversity in your organisation (DR6T 04)
- C4 Lead change (DR5C 04)
- C5 Plan change (DR6J 04)
- C6 Implement change (DR57 04)
- D2 Develop productive working relationships with colleagues and stakeholders (DR4F 04)
- D4 Plan the workforce (DR6M 04)
- D7 Provide learning opportunities for colleagues (DR7C 04)
- E3 Obtain additional finance for the organisation (DR6E 04)
- E4 Promote the use of technology within your organisation (DR6W 04)
- F2 Manage a programme of complementary projects (DT4K 04)
- F4 Develop and review a framework for marketing (DR48 04)
- F9 Build your organisation's understanding of its market and customers (DR41 04)
- F10 Develop a customer focussed organisation (DR43 04)

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## **SVQ in Management level 5 (G82025) — Mandatory Units**

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# **B7 Provide leadership for your organisation (DR70 04)**

## **Unit summary**

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

This Unit is about providing direction to people in the organisation and enabling, inspiring, motivating and supporting them to achieve what the organisation has set out to do.

It is expected that you will be aware of and be able to apply different styles of leadership appropriate to different people and situations.

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority **or** a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

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

The Unit is recommended for senior managers.

### **Links to other Units**

This Unit is linked to Units **B3 Develop a strategic business plan for your organisation (DR45 04)**, **B4 Put the strategic business plan into action (DR7G 04)** and **B6 Provide leadership in your area of responsibility (DR75 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 for your organisation. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ thinking strategically
- ◆ empowering
- ◆ communicating
- ◆ influencing and persuading
- ◆ leading by example
- ◆ planning
- ◆ inspiring
- ◆ motivating
- ◆ problem solving
- ◆ valuing and supporting others
- ◆ monitoring
- ◆ consulting
- ◆ obtaining feedback
- ◆ following
- ◆ managing conflict

## **B7 Provide leadership for your organisation (DR70 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Develop and clearly and enthusiastically communicate and reinforce the organisation's purpose, values and vision to people across the organisation and, where appropriate, to external stakeholders.
- 2 Ensure that organisational plans support the organisation's purpose, values and vision.
- 3 Steer the organisation successfully through difficulties and challenges, including conflict within the organisation.
- 4 Create and maintain a culture within the organisation which encourages and rewards creativity and innovation.
- 5 Develop, select and apply leadership styles which are appropriate to the different people and situations you face.
- 6 Motivate people across the organisation to achieve their objectives and reward them when they are successful.
- 7 Give people across the organisation support and advice when they need it especially during periods of setback and change.
- 8 Motivate people across the organisation to present their own ideas and listen to what they say.
- 9 Empower people across the organisation to develop their own ways of working within agreed boundaries.
- 10 Encourage people across the organisation to take the lead when they have the knowledge and expertise and show willingness to follow this lead.
- 11 Win, through your performance, the trust and support of people across the organisation and key stakeholders for your leadership of the organisation and get regular feedback on your performance.
- 12 Monitor activities and progress in different areas of the organisation without interfering.

### **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 present information clearly, concisely, accurately and in ways that promote understanding.
- 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 make complex things simple for the benefit of others.

## **B7 Provide leadership for your organisation (DR70 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 The differences between management and leadership.
- 2 How to develop a compelling vision for an organisation.
- 3 The importance of and what is meant by organisational values.
- 4 Ways of ensuring that organisational plans support the organisation's purpose, values and vision.
- 5 How to select and successfully apply different methods and techniques for communicating with people across an organisation.
- 6 Types of challenges and difficulties that may arise, including conflict within the organisation, and ways of identifying and overcoming them.
- 7 Different theories, models and styles of leadership and how to select and successfully apply these to different people and situations.
- 8 The effect that different leadership styles can have on organisations.
- 9 How to select and successfully apply different methods and techniques for motivating, rewarding, influencing and persuading people.
- 10 How to empower people effectively.
- 11 How to get and make use of feedback on your leadership performance.
- 12 The organisational benefits of and how to create a culture which encourages and recognises creativity and innovation.
- 13 How to recognise and develop the leadership capability of other people and follow their lead.

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

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

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

- 1 Your own values, motivations and emotions, and the effect these have on your own actions and on other people.
- 2 Your own strengths and limitations in the leadership role The strengths, limitations and potential of people that you lead.
- 3 Your own role, responsibilities and level of power.
- 4 The purpose and values of and vision for your organisation The leadership culture and capability of your organisation.
- 5 The plans of your organisation.
- 6 The types of support and advice that people are likely to need and how to respond to these.
- 7 External stakeholders whom you may need to communicate and work with.

## B7 Provide leadership for your organisation (DR70 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 4 11 12	<b>Policy statements, plans and other documents you have instigated that communicate the organisation's purpose, values and vision and lead to their being implemented:</b>				
	◆ mission, values, ethical trading, corporate social responsibility, equal opportunities, quality and other policy statements you have initiated, and roles, responsibilities, procedures and systems you have agreed	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5	1, 2	1, 4, 5, 6, 9
	◆ reports, newsletters, internet and intranet pages, press releases and other communications you have instigated, prepared or authorised	1, 2, 3, 4, 5, 6, 10, 11	2, 3, 5	2	4, 5, 9
	◆ records of meetings you have attended or presentations you have made to promote the organisation's purpose and values	1, 2, 3, 4, 6, 10, 11	2, 3, 5	2	4, 5, 9
	◆ strategic and operational plans you have developed or agreed that reflect and seek to fulfil the organisation's purpose and values	1, 2, 4, 6, 8, 11	4, 5	2	5, 6, 7, 9
	◆ reports you have commissioned and other information you have had gathered to monitor performance and progress towards the organisation's goals	3, 6	1, 4, 6	2	7, 9
	◆ personal statements (describing how you have developed, communicated and sought to fulfil the organisation's purpose and values)	1, 2, 3, 4, 6, 8, 10	1, 2, 3, 7	1, 2	1, 2, 3, 4, 5, 6, 7, 9
◆ witness statements (describing how you have developed, communicated and sought to fulfil the organisation's purpose and values)	1, 2, 3, 4, 6, 8, 10, 11	-	-	-	

	<b>Decisions you have made and actions you have taken to move the organisation towards fulfilling its purpose and goals, embrace creativity and innovation, empower people and overcome problems or difficulties:</b>				
1	◆ reports, letters, emails, minutes, memoranda, notes and other records of meetings and discussions that show that you have taken decisions or initiated actions that reflect the values of the organisation and contribute to fulfilling its purpose, in relation to critical incidents (eg significant problems relating to people, resources, finance, customers, etc)	2, 3, 4, 5, 6, 7, 8, 9, 10	1, 3, 4, 5, 6, 7, 8, 10, 13	1, 2	1, 2, 3, 4, 5, 6, 7, 9
2					
3					
4	◆ training and development, change programmes, projects, improvement groups and other strategies you have initiated, <i>and</i> role descriptions, organisational diagrams, systems and procedures that you have had developed or have agreed, to encourage creativity and innovation, bring about changes, improve performance and enable the organisation to fulfil its values and purpose	3, 5, 6, 7, 8, 9, 10, 11	3, 4, 6, 9, 10, 12, 13	1, 2	1, 3, 4, 5, 6, 7, 8, 9
5					
6					
7					
8	◆ reward systems you have introduced and used (promotion, job enrichment, responsibility, bonuses, prizes, awards and recognition) to recognise and encourage creativity, innovation, high standards of work performance and achievement of goals	3, 4, 6, 9	3, 4, 6, 9, 10, 12, 13	1, 2	1, 3, 4, 5, 6, 7, 8, 9
9					
10	◆ personal statements (describing how you have dealt with problems or challenges in ways that reflect the organisation's values and purpose)	2, 3, 5, 6, 7, 8, 9, 10	1, 3, 6, 7, 8, 9, 10, 12, 13	1, 2	1, 2, 3, 4, 5, 6, 7, 9
	◆ witness statements (describing how you have dealt with problems or challenges in ways that reflect the organisation's values and purpose)	2, 3, 5, 6, 7, 8, 9, 10, 11	-	-	-
1	<b>Records of feedback you have received from those to whom you report, your peers, those you manage and other colleagues, about your management and leadership performance:</b>				
2					
3					
4	◆ records of appraisal or performance review interviews with your manager, board or council member	3, 6, 8, 10	1, 2, 3, 7, 8, 9, 11, 13	1, 2	1, 2, 3, 4, 5, 6, 8, 9
5	◆ records of 360° appraisals by colleagues	3, 4, 5, 6, 7, 8, 9, 10, 11	1, 2, 3, 5, 7, 8, 9, 10, 11	1, 2	1, 2, 3, 4, 5, 6, 8, 9
6	◆ notes of informal feedback, reflective logs or CPD records	3, 6, 8, 10	1, 2, 3, 5, 7, 8, 9, 11	1, 2	1, 2, 3, 4, 5, 6, 8, 9
7					
8	◆ personal statements (reflections on actions you have taken and incidents where you have taken responsibility for making things happen)	2, 3, 5, 6, 7, 8, 10	1, 2, 3, 5, 7, 8, 9, 11	1, 2	1, 2, 3, 4, 5, 6, 8, 9
9					
8					
10	◆ witness statements (experiences of your leadership and management performance)	2, 3, 5, 6, 7, 8, 10	-	-	-

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## C3 Encourage innovation in your organisation (DR4R 04)

### Unit summary

#### What is the Unit about?

This Unit is about encouraging and supporting the identification and practical implementation of ideas across your organisation. The initial ideas will primarily come from people working for your organisation, although you will be expected to look beyond the organisation for opportunities to identify and develop ideas, 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. across the organisation or those of customers or suppliers

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority or a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### Who is the Unit for?

The Unit is recommended for senior managers.

#### Links to other Units

This Unit is linked to Units **B7 Provide leadership for your organisation (DR70 04)** and **C2 Encourage innovation in your area of responsibility (DR4N 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 organisation. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ communicating
- ◆ providing feedback
- ◆ leadership
- ◆ thinking strategically
- ◆ problem solving
- ◆ inspiring
- ◆ thinking creatively
- ◆ motivating
- ◆ risk management
- ◆ reviewing
- ◆ information management
- ◆ learning
- ◆ reflecting
- ◆ analysing
- ◆ making decisions
- ◆ networking
- ◆ monitoring
- ◆ involving others
- ◆ valuing and supporting others
- ◆ reporting
- ◆ evaluating

### **C3 Encourage innovation in your organisation (DR4R 04)**

#### **Outcomes of effective performance**

You must be able to do the following:

- 1 Identify and, periodically, review the approach(es) to and level of innovation in your organisation.
- 2 Ensure that the organisation has a specific strategy in relation to innovation and that this fits with the overall vision, values, objectives and plans of the organisation.
- 3 Communicate the innovation strategy across the organisation and to other relevant parties.
- 4 Motivate people across the organisation to identify ideas for new products and/or services and improvements and other potential sources of ideas and encourage the sharing of this information.
- 5 Respond enthusiastically to ideas and provide constructive feedback to the originators.
- 6 Ensure that resources, particularly time, are made available across the organisation for the initial generation, further development and testing of ideas and help to remove any identified obstacles.
- 7 Identify and pursue opportunities for your organisation to work in partnership with external experts and/or in partnership with other organisations to generate and develop ideas.
- 8 Establish a culture across the organisation which encourages people to take acceptable risks in pursuing innovation and to make and learn from mistakes.
- 9 Evaluate business cases and plans for the practical implementation of ideas and approve those which appear viable and monitor and review their progress.
- 10 Establish systems for measuring innovation within the organisation and provide information on organisational performance to relevant parties.
- 11 Encourage the sharing of knowledge and information across the organisation on issues to do with creativity and innovation.
- 12 Ensure, across the organisation, 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 seek out and act on new business opportunities.
- 5 You display a curiosity to learn and try out new things.
- 6 You make time available to support others.
- 7 You balance risks against the benefits that may arise from taking risks.
- 8 You anticipate likely future scenarios based on a realistic analysis of trends and developments.
- 9 You constantly challenge the status quo and seek better alternatives.
- 10 You use communication styles that are appropriate to different people and situations.

## **C3 Encourage innovation in your organisation (DR4R 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 The benefits of innovation to the organisation, its customers and other stakeholders.
- 2 The difference between creativity and innovation.
- 3 How to identify and review the approach(es) to and level of innovation in your organisation 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 develop an organisational strategy for innovation, what it should cover and how to communicate it across the organisation.
- 5 How to select and apply different methods for motivating and encouraging people across the organisation to generate, develop and share ideas.
- 6 The different potential sources of ideas for new products and/or services and improvements.
- 7 Methods for identifying and pursuing opportunities to work in partnership with external experts and/or in partnership with other organisations on the generation and development of ideas.
- 8 The importance of communication in the creative process and how to encourage communication across your organisation.
- 9 The importance of design in innovation.
- 10 The potential obstacles to innovation and whether/how they can be removed.
- 11 The key stages of the creative process.
- 12 The key stages of the innovation process.
- 13 How to learn from mistakes and ways of embedding this in the culture of an organisation.
- 14 How to recognise and manage risk in innovation and encourage others to take acceptable risks in pursuing innovation.
- 15 How to provide constructive feedback on ideas to teams and individuals.
- 16 The range of ways in which initial ideas can be further developed and tested.
- 17 How to identify and work with external specialists and experts and/or in partnership with other organisations to generate and develop ideas which might lead to innovation.
- 18 The resources and support required for creativity and innovation, particularly time.
- 19 How to protect ideas and innovation.
- 20 How to evaluate business cases and plans for the practical implementation of ideas and approve those which appear viable.
- 21 How to recognise the achievements of the originators/developers of ideas which have been successfully implemented.
- 22 How to establish systems for measuring and reporting on innovation within the organisation and providing information on organisational performance to relevant parties.

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

- 1 The sector(s) in which your organisation works.
- 2 Possible opportunities to work in partnership with external experts and/or in partnership with other organisations on the generation and development of ideas.
- 3 Information sources on innovation in your sector(s).
- 4 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 The organisation's specific strategy in relation to innovation.
- 2 The approach(es) to and level of innovation in your organisation.
- 3 The role of innovation in your organisation's culture and how to build on this.
- 4 Organisational guidelines and procedures for developing and implementing ideas.
- 5 The needs of your customers.
- 6 The overall vision, values, objectives and plans of the organisation.
- 7 Your organisation's key stakeholders and any other relevant parties interested in innovation.
- 8 Systems for measuring innovation in your organisation.

### C3 Encourage innovation in your organisation (DR4R 04)

#### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	<b>Policies, practices, people, roles and responsibilities you have developed to encourage the development of creative ideas and innovative products, services and processes in your organisation:</b>				
	◆ suggestions or proposals you have made to review or develop strategies, systems, structures and partnerships with others to create an organisation that encourages and supports creativity and innovation	1, 2, 8, 9	1, 2, 3, 4, 11, 12	1, 3, 4	1, 2, 3, 4, 5, 6, 7
1 2 3 4 6 7 8 11 12	◆ policy statements and strategies you have developed or instigated, resources you have allocated, newsletters and other internal communications you have initiated, and presentations you have made you have employed to share knowledge and experience and encourage creativity and innovation in the organisation	1, 2, 8, 9, 10	1, 2, 4, 5, 6, 7, 8, 9, 11, 12, 13, 14	1, 3, 4	1, 2, 3, 4, 5, 6, 7
	◆ records of the promotion, recruitment or selection of people or organisations you have been involved in showing how you have sought evidence of their creativity and openness to innovation	2, 4, 7, 9, 10	5, 6, 7, 17, 21	1, 2	1, 2, 3
	◆ relationships with research and development organisations (eg universities) you have instigated and R&D investments you have proposed or agreed, to support innovation in the organisation	2, 5, 6, 7	6, 7, 9, 11, 12, 15, 16, 17, 18, 19, 21	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 7
	◆ systems you have introduced or used to encourage, celebrate and reward creativity and innovation within the organisation	1, 2, 3	6, 11, 12, 15, 16, 21		1, 2, 3, 4, 5, 6
	◆ personal statement (reflection on your role in encouraging creativity and innovation in the organisation)	1, 4, 5, 7, 8, 9	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 17	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 7
	◆ witness statements (describing your role in encouraging creativity and innovation in the organisation)	2, 3, 6, 9, 10	-	-	-

<b>Examples of creativity and innovation that you have supported, encouraged and implemented in your organisation::</b>					
4 5 8 9 10 11 12	◆ creative ideas and proposals for innovative products, services or processes from employees and external sources that you have encouraged and decision criteria you have employed to support, agree and develop them	1, 2, 3, 4, 5, 6, 7, 9, 10	1, 7, 9, 10, 11, 12, 14, 15, 16, 17, 18, 19, 20	2, 4	1, 2, 4, 5
	◆ patents and other intellectual property the organisation has acquired through your actions	4, 8	19, 22	4	1, 5, 7, 8
	◆ cost/benefit analyses, business proposals, action plans and project briefs that you have instigated or agreed, and budgets or details of resources you have allocated for the implementation of creative ideas and innovative products, services and processes in your organisation	1, 7, 8	10, 11, 12, 13, 14, 16, 17, 18, 20	2, 4	1, 2, 3, 4, 5
	◆ specifications for innovative products, services and processes in your organisation that you have instigated or agreed	1, 4, 5, 7	9, 11, 12, 18, 19	-	1, 2, 3, 4, 5
	◆ notes and records of meetings you have led or instigated, relating to the development and introduction of innovative products, services and processes in your organisation	1, 2, 3, 5, 6, 7, 8, 9	9, 11, 12, 18, 19	3	1, 2, 3, 4, 5
	◆ records of rewards or recognition you have given to people for creative ideas and innovative products, services and processes in your organisation	2, 3, 6	6, 7, 15, 21	-	1, 2, 3, 4, 5
	◆ objectives you have set and systems you have introduced to measure innovation in the organisation	3, 4, 5, 8, 9	1, 2, 22	1, 3	1, 2, 3, 4, 5, 8
	◆ personal statement (reflection on your role in introducing innovative products, services and processes in your area of responsibility)	1, 4, 5, 7, 8, 9	12, 13, 14, 16, 17	1, 4	1, 2, 3, 4, 5
◆ witness statement (describing your role in introducing innovative products, services and processes in your area of responsibility)	2, 3, 5, 6, 9, 10	-	-	-	

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## E7 Ensure an effective organisational approach to health and safety (DR4X 04)

### Unit summary

#### What is this Unit about?

This Unit is concerned with leading the overall approach to health and safety in your organisation. There are numerous benefits arising from an effective organisational approach to health and safety, including:

- ◆ contributing to the well-being and productivity of all the people who work for the organisation
- ◆ decreasing the risk of injury and ill-health to people who work for the organisation and others
- ◆ improving the reputation of the organisation in the eyes of customers, suppliers and other stakeholders
- ◆ ensuring your organisation meets legislative requirements thus minimising the likelihood of prosecution and consequent penalties

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority or a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### Who is this Unit for?

The Unit is recommended for senior managers.

#### Links with other Units

This Unit is linked to Units **B7 Provide leadership for your organisation (DR70 04)**, **E5 Ensure your own actions reduce risks to health and safety (DR55 04)** and **E6 Ensure health and safety requirements are met in your area of responsibility (DR52 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 an effective organisational approach to health and safety. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- |                           |                 |
|---------------------------|-----------------|
| ◆ information management  | ◆ consulting    |
| ◆ decision making         | ◆ reviewing     |
| ◆ leadership              | ◆ monitoring    |
| ◆ thinking systematically | ◆ communicating |
| ◆ presenting information  | ◆ reporting     |
| ◆ involving others        | ◆ prioritising  |
| ◆ questioning             | ◆ planning      |

## **E7 Ensure an effective organisational approach to health and safety (DR4X 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 Identify the organisation's responsibilities and liabilities under health and safety legislation.
- 3 Ensure that the organisation has a written health and safety policy statement that minimises health and safety risks to people who work for the organisation and other relevant parties.
- 4 Ensure that the health and safety policy statement is clearly communicated to all people who work for the organisation and other relevant parties.
- 5 Ensure that the health and safety policy is put into practice across the organisation and is subject to review and revision as situations change and at regular intervals.
- 6 Ensure ongoing consultation with people who work for the organisation or their representatives on health and safety issues.
- 7 Seek and make use of specialist expertise in relation to health and safety issues.
- 8 Ensure that systems are in place for effective monitoring, measuring and reporting of your organisation's health and safety performance.
- 9 Show continuous improvement of the organisation in relation to health and safety performance.
- 10 Develop an organisational culture in which people put 'health and safety' first and make health and safety a priority area in terms of informing the organisation's overall strategy, planning and decision-making.
- 11 Demonstrate that your own actions reinforce the messages in the organisation's health and safety policy statement.
- 12 Ensure that sufficient resources are allocated across the organisation to deal with health and safety issues.

### **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 constantly seek to improve performance.
- 8 You treat individuals with respect and act to uphold their rights.
- 9 You use a range of leadership styles appropriate to different people and situations.
- 10 You create a sense of common purpose.
- 11 You use communication styles that are appropriate to different people and situations.

## **E7 Ensure an effective organisational approach to health and safety (DR4X 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 How and where to identify your personal responsibilities and liabilities under health and safety legislation.
- 2 How and where to identify organisational responsibilities and liabilities under health and safety legislation.
- 3 How to keep up to date with legislative and other developments relating to health and safety.
- 4 How to develop an effective written health and safety policy statement and what it should cover.
- 5 How to communicate the written health and safety policy statement to people who work for the organisation and other relevant parties.
- 6 How and when to review and revise the written health and safety policy statement including taking account of views from across the organisation and other relevant parties.
- 7 How and when to consult with people who work for the organisation or their representatives on health and safety issues.
- 8 Sources of specialist expertise in relation to health and safety.
- 9 Ways of developing an organisational culture in which people put 'health and safety' first.
- 10 Why and how health and safety should inform an organisation's overall strategy, planning and decision-making.
- 11 How to establish systems for monitoring, measuring and reporting on an organisation's overall health and safety performance.
- 12 The type of resources required to support an effective organisational approach to health and safety and how these resources should be allocated.
- 13 The importance of setting a good example to others in relation to health and safety.

#### **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 that 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 organisation.
- 2 The organisation's written health and safety policy statement and how it is communicated to people who work for the organisation and to other relevant parties.
- 3 Mechanisms for consulting with people who work for the organisation or their representatives on health and safety issues.
- 4 Sources of specialist expertise in health and safety used by the organisation.
- 5 Systems in place for effective monitoring, measuring and reporting of organisational health and safety performance.
- 6 The resources allocated across the organisation for health and safety.
- 7 The organisation's strategy, planning and decision-making processes.
- 8 The organisation's culture in relation to health and safety.
- 9 Allocated responsibilities for health and safety across the organisation.

## E7 Ensure an effective organisational approach to health and safety (DR4X 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding			
			General	Industry specific	Context specific	
<b>Records of your actions to ensure a health and safety policy is developed, reviewed and implemented appropriately:</b>						
1	◆ notes or minutes of meetings you have organised at which the organisation's health and safety policy is developed or reviewed, and plans developed for its implementation	3, 4, 5, 6, 8, 9, 10	1, 2, 3, 4, 6, 7, 8, 9, 10, 13	1, 2	1, 2, 3, 7, 9	
2	◆ role descriptions, recruitment and appointment records, groups or committees, systems and procedures, and details of training and consultancy that you have organised or commissioned, and records of resources you have obtained, to ensure that the organisation is able to implement its health and safety policy effectively	3, 4, 5, 6	2, 7, 8, 9, 10, 12	1, 2	2, 3, 4, 6, 9	
3	◆ newsletters, posters, intranet pages, emails, memos and other communications you have originated that are designed to ensure that people are aware of the organisation's health and safety policy and procedures	2, 3, 4, 5, 7, 11	1, 2, 4, 5	1, 2	1, 2, 8	
4	◆ personal statement (reflection on your role in ensuring that the organisation's health and safety policy is developed, reviewed and implemented)	3, 5, 6, 7	1, 2, 4, 5, 6, 7, 8, 9	1, 2	2, 8	
5	<b>Records of your actions to monitor health and safety in the workplace and initiate changes to reduce hazards and risks:</b>					
6	◆ notes and minutes of meetings of health and safety committees or other forums you have organised, and emails, memos or letters you have written, to commission and review risk assessments and cost/benefit analyses, and develop or review systems, procedures, practices, behaviour and resources to reduce risks and monitor health and safety in the workplace	1, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 7, 8, 9, 10, 12, 13	1, 2	1, 3, 4, 5, 6, 9	
7	◆ analyses of data on accidents and incidents that you have prepared or commissioned, to establish the effectiveness of the organisation's policy on health and safety and to identify any patterns or trends	4, 5, 6	1, 2, 11	1, 2	5	
8	◆ personal statement (reflection on your role in ensuring that systems and procedures are in place to reduce risks and monitor health and safety in the workplace)	3, 4, 5, 7, 9	1, 2, 7, 8, 9, 10, 11, 12, 13	1, 2	5, 6, 7, 8	
9						
10						
11						
12						

# F12 Improve organisational performance (DR58 04)

## Unit summary

### What is the Unit about?

This Unit is about overseeing the continuous improvement of the overall performance of the organisation. The emphasis is very much on identifying and implementing changes which will add value in the eyes of customers and other key stakeholders.

### Who is the Unit for?

The Unit is recommended for senior managers.

### Links with other Units

This Unit is linked to Units **B7 Provide leadership for your organisation (DR70 04)**, **C3 Encourage innovation in your organisation (DR4R 04)** and **F10 Develop a customer focussed organisation (DR43 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 improving the performance of the organisation. These skills are explicit in the overall suite of National Occupational Standards for management and leadership.

- ◆ information management
- ◆ communicating
- ◆ benchmarking
- ◆ thinking systematically
- ◆ analysing
- ◆ decision-making
- ◆ prioritising
- ◆ leadership
- ◆ presenting information
- ◆ valuing and supporting others
- ◆ planning
- ◆ evaluating
- ◆ involving others
- ◆ thinking strategically

## **F12 Improve organisational performance (DR58 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Establish valid and appropriate measures for evaluating the performance of your organisation.
- 2 Establish systems for collecting and assessing information on the overall performance of the organisation and use the findings to identify opportunities where organisational performance could be improved.
- 3 Establish a culture across the organisation where people freely come forward with potential and actual performance problems and suggested opportunities for improvement.
- 4 Benchmark the performance of your organisation against other carefully selected organisations and take action based on the findings.
- 5 Ensure that knowledge and understanding of how improvements have or can be made is shared across the organisation.
- 6 Ensure that any improvements made are in line with the organisation's vision and objectives.
- 7 Show that the improvements made reduce the gap between what your customers and other key stakeholders want and what your organisation's products and/or services and processes actually deliver.
- 8 Show that the improvements made are those that have been identified as being of most benefit to the organisation, its customers and other key stakeholders.

### **Behaviours which underpin effective performance**

- 1 You constantly seek to improve performance.
- 2 You develop systems to gather and manage information and knowledge effectively, efficiently and ethically.
- 3 You constructively challenge the status quo and seek better alternatives.
- 4 You show a clear understanding of different customers and their needs.
- 5 You make appropriate information and knowledge available promptly to those who need it and have a right to it.
- 6 You articulate a vision that generates excitement, enthusiasm and commitment.
- 7 You produce and recognise imaginative and innovative solutions.
- 8 You show sensitivity to stakeholders' needs and interests and manage these effectively.
- 9 You use a range of leadership styles appropriate to different people and situations.

## **F12 Improve organisational performance (DR58 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 The principles which support organisational improvement.
- 2 The importance of establishing and applying valid and appropriate measures for evaluating the performance of your organisation.
- 3 How to establish systems for collecting and assessing information on the overall performance of the organisation and how to use the findings to identify opportunities where organisational performance could be improved.
- 4 How to benchmark the performance of your organisation against others and take action based on the findings
- 5 The value of a customer focused culture.
- 6 The importance of developing a culture that continually improves and how to involve others in achieving this.
- 7 The importance of finding out the cause and effects of problems and changes.
- 8 Ways of measuring the effect of improvements.
- 9 The principles and processes of effective communication and how to apply them.

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

- 1 The sector and market in which your organisation works.
- 2 The range of information sources and techniques for collecting information that are relevant to the sector in which your organisation works.
- 3 Relevant trends and developments in the sector.

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

- 1 Your organisation's vision, objectives and associated plans.
- 2 Your organisation's structure, values and culture.
- 3 How your organisation adds value through the delivery of its products, services and processes.
- 4 Your organisation's customers and other key stakeholders and their needs.
- 5 Measures of performance relevant to your own organisation.
- 6 Methods of gathering information suitable for your own organisation.
- 7 Formal and informal sources of information relevant to your organisation.

## F12 Improve organisational performance (DR58 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	<b>Operational standards and targets you have established, and performance monitoring you have collated, analysed and evaluated, and reports you have prepared:</b>				
1	◆ benchmarking and best practice surveys that you have organised to establish sector standards	4, 6, 8, 9	1, 2, 4	1, 2, 3	1, 3, 4, 5, 6, 7
2	◆ production/operational plans, output targets and quality standards that you have agreed, and data to assess performance against targets and standards that you have collected and analysed	1, 5, 8	1, 2, 3, 4, 8	1, 2, 3	1, 3, 4, 5, 6, 7
3	◆ systems and procedures that you have designed and introduced for collecting data on organisational performance	2, 5	2, 3	1, 2, 3	1, 2, 3, 4, 5, 6, 7
4	◆ reports, proposals and action plans that you have prepared, identifying opportunities for improvement	1, 3, 4, 7	1, 3, 4	1, 2, 3	1, 2, 3, 4, 5, 6, 7
5	◆ personal statement (reflections on your role in establishing and monitoring standards and targets)	1, 2, 3, 4, 6, 7, 8	1, 2, 3, 4	1, 2, 3	1, 2, 3, 4, 5, 6, 7
6	<b>Plans, procedures, and communications that you have organised to promote a continuous improvement culture:</b>				
8	◆ a quality improvement policy, plans and procedures that you have developed and introduced	1, 4, 8	1, 5, 6	1, 2, 3	1, 2, 3, 4, 5, 6, 7
	◆ newsletters, intranet and internet pages, emails, memos and other communications, and notes, presentations and materials from team briefings and other meetings and discussions to inform people about standards and targets and promote an improvement culture	1, 5, 6, 9	1, 5, 6, 9	1, 2, 3	1, 2, 3, 4, 5, 6, 7
3	◆ witness statements (comments on your role in establishing an improvement culture)	3, 6, 9	-	-	-
5	◆ personal statements (reflections on your role in establishing an improvement culture)	1, 3, 7, 8	1, 5, 6	1, 2, 3	1, 2, 3, 4, 5, 6, 7

	<b>Procedure and activities associated with quality improvement that you have been involved in developing:</b>				
1	◆ procedure manuals relating to quality assurance, control and improvement	2, 5	1, 3, 5	2	2, 3, 4, 5
2	◆ quality control charts, scatter graphs, bar charts, Pareto charts, fishbone/cause and effect diagrams, flow charts and similar data analysis that you have prepared	2, 5	2, 3, 4, 7	2	2, 5, 6, 7
3					
4	◆ summaries of research, surveys and discussions with customers and other information you have prepared and used to assess customers' requirements and their satisfaction with products and services	1, 2, 4	3, 5	1, 2	4, 6, 7
5					
6	◆ agendas and notes or records of meetings concerned with quality improvement systems and procedures that you have organised	1, 3, 6, 7, 9	5, 6	1, 2, 3	1, 2, 3, 4
7	◆ quality improvement groups, quality circles and other forums you have organised to identify opportunities for, and initiate, improvements	1, 3, 6, 7, 9	2, 3, 4, 5, 6, 7	1, 2, 3	1, 2, 3, 4
	◆ witness statements (comments on your role in establishing improvement processes)	1, 3, 4, 5, 6, 7, 9	-	-	-
	◆ personal statements (reflections on your role in establishing improvement processes)	1, 3, 4, 7, 8	2, 3, 4, 5, 6, 7	1, 2, 3	1, 2, 3, 4

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## **SVQ in Management level 5 (G82025) — 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](http://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
	<b>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:</b>				
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
	<b>Assessment of your personal learning style and its implications:</b>				
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
	<b>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:</b>				
	◆ qualification certificates and transcripts		1	1	6
5	◆ personality and skill inventory reports	8	1, 5	1	6, 7
6	◆ 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
	◆ 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	<b>Evidence of having undertaken training and development activity to meet identified development needs and reflect preferred learning style:</b>				
	◆ 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	<b>Records of feedback (both formal and informal) you have received on your performance and achievement of your objectives:</b>				
	◆ records of appraisal or performance review meetings	4, 5, 7	1, 10, 12, 13	-	1, 3, 4, 8, 11, 12
	◆ emails, 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](http://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
	<b>Records of your participation in formal and informal networking organisations:</b>				
	◆ 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
	◆ address books and outputs from electronic contacts system	4	1	–	8
	◆ contributions to chat rooms, bulletin boards, weblogs, or webrings	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
	<b>Information or resources you obtained from or supplied to contacts in your personal network:</b>				
	◆ emails, 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
	◆ witness statements (comments on your role in seeking and providing information)	1, 3, 5, 6, 7, 8	–	–	–
	◆ personal statements (reflections on your role in seeking and providing information)	1, 3, 10	6, 7	1	2, 3, 6, 7, 8
	<b>Organised records of your personal contacts</b>				
	◆ annotated contacts list	4	1		8
	◆ outputs from electronic contacts system	4	1		8
	<b>Records of business developments you made through your contacts:</b>				
	◆ reports and correspondence you have written	1, 2, 3, 4, 6, 8	1, 2, 3, 4	1	1, 2, 3, 6, 7, 8
	◆ witness statements	1, 2, 3, 6, 7, 8	–	–	–
	◆ personal statements	1, 2, 3, 4, 6, 8, 9, 10	1, 2	1	1, 2, 3, 6, 7, 8

## B2 Map the environment in which your organisation operates (DR69 04)

### Unit summary

#### What is the Unit about?

This Unit is about making sure you have a clear and up-to-date picture of the environment in which your organisation operates and can produce information which could be used for planning and operational purposes. The ‘environment’ includes the ‘external’ operating environment — for example, customers and their needs, market trends, new technologies and methods, legislation, and the activities of competitors and partners. It also includes the ‘internal’ operating environment — for example, resources available to and the culture of the organisation.

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority **or** a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### Who is the Unit for?

The Unit is recommended for senior managers.

#### Links to other Units

This Unit is linked to Units **B3 Develop a strategic business plan for your organisation (DR45 04)** and **B4 Put the strategic business plan into action (DR7G 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 *A1 Review the business (D8X9 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](http://www.sfedico.uk)).

#### Skills

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

- ◆ thinking strategically
- ◆ networking
- ◆ analysing
- ◆ decision-making
- ◆ communicating
- ◆ presenting information
- ◆ consulting
- ◆ monitoring
- ◆ evaluating
- ◆ scenario building
- ◆ information management

## **B2 Map the environment in which your organisation operates (DR69 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Obtain information on customers and competitors from a wide variety of sources and actively use the information to support planning and decision making.
- 2 Monitor and evaluate trends and developments inside and outside your organisation.
- 3 Identify and prioritise the strengths and weaknesses of your organisation and opportunities and threats in your organisation's external environment.
- 4 Explore and assess a range of future scenarios within the environment in which your organisation operates.
- 5 Consult with all relevant colleagues and other key stakeholders on future market and organisational development in order to inform and support organisational decisions.
- 6 Organise information and knowledge in a way that supports effective planning.

### **Behaviours which underpin effective performance**

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You analyse and structure information to develop knowledge that can be shared.
- 3 You develop systems to gather and manage information and knowledge effectively, efficiently and ethically.
- 4 You identify strengths, weaknesses, opportunities and threats to current and future work.
- 5 You identify systemic issues and trends and recognise their impact upon current and future work.
- 6 You anticipate likely future scenarios based on realistic analysis of trends and developments.
- 7 You articulate the assumptions made and risks involved in understanding a situation.

## **B2 Map the environment in which your organisation operates (DR69 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 Different sources of information on customers and competitors and how to use them effectively.
- 2 How to measure and review organisational performance.
- 3 How to analyse organisational culture.
- 4 How to undertake a strengths, weaknesses, opportunities and threats (SWOT) analysis.
- 5 How to undertake an analysis of the political, economic, social, technological, legal and environmental (PESTLE) factors in the external environment.
- 6 How to analyse stakeholder interests.
- 7 How to build future scenarios and assess their implications.

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

- 1 Sources of information on trends and developments in your sector, including those at a global level and how to access these.
- 2 Current and emerging trends and developments in your sector internationally, nationally and locally.
- 3 Legal, regulatory and ethical requirements in your sector.

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

- 1 Relevant factors in the international, national and local market in which your organisation works.
- 2 Your organisation's actual and potential customer base.
- 3 The needs and expectations of your actual and potential customers and other key stakeholders.
- 4 Your actual and potential competitors, including their activities and relative performance levels.
- 5 Your actual and potential partners.
- 7 Your organisation's culture.
- 8 Your organisation's performance and the factors that influence this.

## B2 Map the environment in which your organization operates (DR69 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 5 6	<b>Information on customers and competitors that you have collected, analysed and used in plans</b>				
	◆ statistical analyses of sales and customer feedback data to calculate trends, seasonal fluctuations and other variation	1, 2, 3, 5, 6, 7	1, 2	1, 2	1, 2, 3, 4, 8
	◆ summaries or reports of feedback from and discussions with sales personnel, customer service staff and other colleagues	1, 2, 3, 5, 6, 7	1, 2	1, 2, 3	1, 2, 3, 4, 6, 8
	◆ reports on competitor activity	1, 2, 3, 5, 6, 7	1, 2	1, 2, 3	1, 2, 3, 4, 8
	◆ proposals for commissioning market research	3	1, 2	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8
	◆ summaries or reports of market research and economic, market and industry analyses	1, 2, 4, 5, 7	1, 2	1, 2, 3	1, 2, 3, 4, 8
	◆ sales forecasts, business or operational plans and budgets	1, 2, 5, 6, 7	1, 2	1, 2, 3	1, 2, 3, 4, 8
3 4 6	<b>Organisational and environmental strategic reviews, analyses and forecasts that you have participated in, evaluated and used in plans:</b>				
	◆ SWOT, PESTLE, BCG Matrix, Anzoff Matrix, 'what if' and other, similar, current and future scenario analyses	2, 4, 5, 6, 7	1, 2, 3, 4, 5, 6, 7	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8
	◆ time series and regression analyses of quantitative data	1, 2, 3, 5, 7	1, 2, 7	1, 2	1, 2, 3, 4, 8
	◆ sales forecasts, business or operational plans and budgets	1, 2, 6, 7	1, 2, 7	1, 2, 3	1, 2, 3, 4, 8
	◆ benchmark and best practice studies	2, 3, 7	1, 2, 3, 4, 6	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8

## B3 Develop a strategic business plan for your organisation (DR45 04)

### Unit summary

#### What is the Unit about?

This Unit is about providing your organisation with a clear sense of direction and long-term plans that will help it move in that direction.

Managers and leaders need to focus on the future and provide a clear vision of where the organisation is going and the route it is going to follow to get there.

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority **or** a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### Who is the Unit for?

This Unit is recommended for senior managers.

#### Links to other Units

This Unit is linked to Units **B2 Map the environment in which your organisation operates (DR69 04)**, **B4 Put the strategic business plan into action (DR7G 04)** and **B7 Provide leadership for your organisation (DR70 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 *A2 Develop your plans for the business (D85K 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](http://www.sfedico.uk)).

#### Skills

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

- ◆ thinking strategically
- ◆ leadership
- ◆ analysing
- ◆ planning
- ◆ risk management
- ◆ innovating
- ◆ delegating
- ◆ prioritising
- ◆ setting objectives
- ◆ networking
- ◆ involving others
- ◆ communicating
- ◆ decision-making
- ◆ balancing competing needs and interests
- ◆ consulting
- ◆ negotiating
- ◆ influencing and persuading

## **B3 Develop a strategic business plan for your organisation (DR45 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Establish a clear, achievable and compelling vision which sets out where the organisation should be going.
- 2 Identify and prioritise strategic objectives that are consistent with the vision of the organisation.
- 3 Balance risk with desired Outcomes.
- 4 Balance innovation with tried and tested solutions.
- 5 Ensure that your plan is flexible and open to change.
- 6 Develop policies and values that will guide the work of others towards your vision.
- 7 Delegate responsibility for achieving goals and allocate resources effectively.
- 8 Identify measures and methods for monitoring and evaluating the plan.
- 9 Balance the needs and expectations of key stakeholders and win their support.

### **Behaviours which underpin effective performance**

- 1 You constantly seek to improve performance.
- 2 You generate and recognise imaginative and innovative solutions.
- 3 You reflect regularly on your own and other's experiences, and use these to inform future action.
- 4 You balance risks against the benefits that may arise from taking risks.
- 5 You balance agendas and build consensus.
- 6 You consider the impact of your own actions on others.
- 7 You take opportunities when they arise to achieve longer-term aims.
- 8 You create a sense of common purpose.
- 9 You find practical ways to overcome barriers.
- 10 You show sensitivity to stakeholders needs and interests and manage these effectively.

## **B3 Develop a strategic business plan for your organisation (DR45 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 The importance of long and medium-term planning to the success of an organisation.
- 2 The principles of strategic management and business planning.
- 3 What a written strategic business plan should cover.
- 4 The importance of creativity and innovation in strategic management.
- 5 How to identify potential risks in relation to the achievement of objectives.
- 6 How to develop strategic objectives which are SMART (Specific, Measurable, Achievable, Realistic, and Time-bound).
- 7 How to delegate responsibility and allocate resources to support a strategic plan.
- 8 The importance of consulting with colleagues and other stakeholders during the development of the plan and how to do effectively.
- 9 How to develop measures and methods for monitoring and evaluating performance against the strategic business plan.

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

- 1 Legal, regulatory and ethical requirements in your sector.
- 2 Market developments in your sector.

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

- 1 The market in which your organisation works.
- 2 Your organisation's actual and potential customer base.
- 3 The needs and expectations of your actual and potential customers.
- 4 Your actual and potential competitors and partners, and their strategies and plans.
- 5 New and available market opportunities.
- 6 Your organisation's ability to respond to market opportunities.
- 7 Colleagues and other key stakeholders, and their needs and expectations.
- 8 Processes for consultation within your organisation.
- 9 Source of information that can aid monitoring and evaluation.

## B3 Develop a strategic business plan for your organisation (DR45 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1	<b>Vision and value statements, policies, objectives and plans that you have developed:</b>				
2	◆ policy statements and similar documents	1, 3, 5, 7, 8, 10	1	1	1, 2, 3, 4, 5, 6
5	◆ strategic, business, operational and action plans	1, 3, 5, 7, 8, 9, 10	1, 2, 3, 6, 7	1, 2	1, 2, 3, 4, 5, 6
6	◆ records of consultative meetings with stakeholders and others	5, 6, 7, 8, 9, 10	2, 8		7, 8
7	◆ personal statements (reflections on your role in developing policy and plans)	3, 4, 5, 6, 10	1, 2, 3, 4, 8	1, 2	
9	<b>Your assessment of risks and the likely Outcomes of plans, and monitoring and reporting procedures</b>				
2	◆ risk assessments, sensitivity analyses and cost/benefit studies of proposed actions	1, 2, 4, 9	5	1, 2	1, 2, 3, 4, 5, 6
3	◆ contingency plans and 'what if' scenarios	1, 2, 4, 9	5	1, 2	1, 2, 3, 4, 5, 6
4	◆ monitoring and reporting procedures, exception and variance analyses	1, 2, 4	9	1, 2	9
5	◆ personal statements (reflections on the risks associated with proposals)	1, 2, 3, 4	5	1, 2	1, 2, 3, 4, 5, 6
7	<b>Your active support for innovation and creativity:</b>				
8	◆ proposals for innovative solutions to problems	1, 2, 3, 4, 9	3		6, 7
8	◆ facilitation of creative ideas generation/problem-solving activities	1, 2, 3, 4, 9	3		6, 7
9	◆ evaluations of creative proposals/problem solutions	1, 2, 3, 4, 9	3		6, 7

## B4 Put the strategic business plan into action (DR7G 04)

### Unit summary

#### What is the Unit about?

Once a strategic business plan has been developed and agreed, it needs to be put into action. This means: ‘selling’ the plan to the managers and other staff involved in putting it into practice; having agreed standards for measuring success; carefully monitoring the implementation of the plan and making adjustments along the way, a process that may need a lot of flexibility and openness to change.

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority **or** a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### Who is the Unit for?

The Unit is recommended for senior managers.

#### Links to other Units

This Unit is linked to Units **B3 Develop a strategic business plan for your organisation (DR45 04)** and **B7 Provide leadership for your organisation (DR70 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 *D1 Carry out your business plan (D8VV 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](http://www.sfedi.co.uk)).

#### Skills

Listed below are the main generic ‘skills’ which need to be applied in putting the strategic business plan into action. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ thinking strategically
- ◆ planning
- ◆ monitoring
- ◆ leadership
- ◆ innovating
- ◆ problem solving
- ◆ risk management
- ◆ communicating
- ◆ delegating
- ◆ networking
- ◆ involving others
- ◆ presenting information
- ◆ evaluating
- ◆ consulting
- ◆ influencing and persuading

## **B4 Put the strategic business plan into action (DR7G 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Make sure the people involved understand and support the plan, and their responsibilities in relation to it.
- 2 Use agreed methods and measures to monitor implementation of the plan.
- 3 Identify variations from agreed standards and the reasons for these.
- 4 Adjust the plan or the people and resources in a way that is consistent with the organisation's overall vision and objectives.
- 5 Inform the people involved of adjustments to the plan and help them make changes to their own plans.
- 6 Record how the plan has been put into practice, evaluated and adjusted, in a way that will help future planning.
- 7 Identify good practice and areas for improvement and communicate these to colleagues and key stakeholders.

### **Behaviours which underpin effective performance**

- 1 You work to turn unexpected events into opportunities rather than threats.
- 2 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 3 You constantly seek to improve performance.
- 4 You respond positively and creatively to setbacks.
- 5 You show sensitivity to stakeholders' needs and interests and manage these effectively.
- 6 You work towards a clearly defined vision of the future.
- 7 You take opportunities when they arise to achieve longer-term aims.
- 8 You take and implement difficult and/or unpopular decisions, if necessary.

## **B4 Put the strategic business plan into action (DR7G 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 Principles and methods of strategic management and business planning.
- 2 The importance of communicating the plan to people and ensuring understanding and how to do so effectively.
- 3 How to monitor and review implementation of and performance against the plan.
- 4 How to assess and manage risk.
- 5 How to further develop and adjust the plan.
- 6 How to adjust the way you allocate people and resources to implement the plan.
- 7 The importance of identifying ways in which future planning can be improved.

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

- 1 Legal, regulatory and ethical requirements in your sector.
- 2 Market developments in your sector.

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

- 1 The agreed strategic business plan for your organisation.
- 2 The market in which your organisation works.
- 3 Customer feedback, financial and other management information.
- 4 Your organisation's structure and business processes.
- 5 Your organisation's culture.
- 6 Colleagues and other key stakeholders, and their needs and expectations.
- 7 The processes for communication within your organisation.

## B4 Put the strategic business plan into action (DR7G 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	<b>Strategic plans that you have developed and implemented:</b>				
1	◆ notes, minutes, action plans or other records of meetings to discuss the implementation of the strategic plan	5, 6, 7, 8	1, 2, 7	1, 2	1, 2, 3, 4, 5, 6, 7
4	◆ plans, briefing documents, newsletters, intranet sites, presentations (eg PowerPoint slides) and notes for briefing meetings to promote the plan and advise of progress and changes	5, 6, 7, 8	1, 2, 7	1, 2	1, 2, 3, 4, 5, 6, 7
5	◆ budgets, operational and action plans, objectives and targets to implement the strategic plan that you have developed or agreed with others	5, 6, 7, 8	1, 2, 6, 7	1, 2	1, 2, 3, 4, 5, 6, 7
6	◆ plans/proposals, investment appraisals and risk and sensitivity assessments to acquire or dispose of resources in the light of the agreed plan	3, 5, 6, 7, 8	1, 3, 4, 5, 6, 7	1, 2	1, 2, 3, 4, 5, 6, 7
	<b>Your monitoring and review of the implementation of the strategic plan:</b>				
2	◆ analyses of performance data, variance and exception reports that you have prepared for stakeholders	1, 2, 3, 4, 5, 6, 7, 8	1, 3, 5, 6, 7	1, 2	1, 2, 3, 4, 5, 6, 7
3	◆ reports, newsletters, intranet sites, presentations (eg PowerPoint slides) and notes for briefing meetings on progress against objectives in the strategic plan that you have prepared for stakeholders	1, 2, 3, 4, 5, 7, 8	1, 2, 3, 7	1, 2	1, 2, 3, 4, 5, 6, 7
4	◆ proposals you have made for actions following review of the strategic plan	1, 2, 3, 4, 5, 6, 7, 8	1, 3, 5, 6, 7	1, 2	1, 2, 3, 4, 5, 6, 7
5					
6					
7					

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

## **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
<b>Policies, systems, procedures and reports you have originated or instigated:</b>					
1 2 3 5	◆ 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
<b>Records of actions you have taken to implement policy and address any risks identified:</b>					
3 4 5 6 7 8	◆ 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

## **B9 Develop the culture of your organisation (DR4J 04)**

### **Unit summary**

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

Every organisation, whatever its size or history, has a culture (simply defined as ‘the way we do things around here’). The culture of an organisation is based on assumptions and values about business, working life and relationships. These values influence the way people behave towards each other and customers, and how they relate to their work. There may be no such thing as a ‘right’ or ‘wrong’ culture. However, the culture of an organisation has to be in line with its overall vision and strategy. If culture and strategy do not match, it’s unlikely the vision will be achieved.

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority **or** a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

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

The Unit is recommended for senior managers.

#### **Links with other Units**

This Unit is linked to a number of Units in the overall suite of National Occupational Standards for management and leadership, particularly **B7 Provide leadership for your organisation (DR70 04)**, **C3 Encourage innovation in your organisation (DR4R 04)**, **C4 Lead change (DR5C 04)**, **C5 Plan change (DR6J 04)**, **E7 Ensure an effective organisational approach to health and safety (DR4X 04)** and **F10 Develop a customer focussed organisation (DR43 04)**.

#### **Skills**

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

- ◆ thinking strategically
- ◆ leading by example
- ◆ learning
- ◆ managing conflict
- ◆ communicating
- ◆ valuing and supporting others
- ◆ monitoring
- ◆ motivating
- ◆ building consensus
- ◆ influencing and persuading

## **B9 Develop the culture of your organisation (DR4J 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Agree values and assumptions that encourage behaviour that is consistent with your organisation's overall vision and strategy and the needs and interests of key stakeholders.
- 2 Make sure your personal behaviour, actions and words consistently reinforce these values and assumptions.
- 3 Communicate agreed values to people across your organisation and motivate them to put these into practice.
- 4 Put in place policies, programmes and systems to support agreed values.
- 5 Counter messages that conflict with agreed values.
- 6 Continuously monitor and adjust values and assumptions, and the way they are applied.

### **Behaviours which underpin effective performance**

- 1 You constructively challenge the status quo and seek better alternatives.
- 2 You find practical ways to overcome barriers.
- 3 You show an awareness of your own values, motivations and emotions.
- 4 You show empathy with others' needs, feelings and motivations and take an active interest in their concerns.
- 5 You make time available to support others.
- 6 You clearly agree what is expected of others and hold them to account.
- 7 You create a sense of common purpose.
- 8 You deploy a range of legitimate strategies and tactics to influence people.
- 9 You recognise the opportunities presented by the diversity of people.

## **B9 Develop the culture of your organisation (DR4J 04)**

### **Knowledge and understanding**

You need to know and understand:

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

- 1 The concept of culture as applied to organisations.
- 2 Different definitions of organisational culture.
- 3 The importance of values in underpinning individual and organisational performance.
- 4 Internal and external factors that influence organisational culture, including national cultures.
- 5 Different types of organisational culture.
- 6 The relationship between organisational culture, strategy and performance.
- 7 The principles and methods of managing culture change within organisations.

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

- 1 Legal, regulatory and ethical requirements in your sector.
- 2 Dominant types of organisational culture in your sector and their strengths and limitations.

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

- 1 Your organisation's vision and strategy.
- 2 Current organisational culture.
- 3 Values, assumptions and behaviours that are consistent and inconsistent with your vision and strategy.
- 4 Needs and interests of key stakeholders.
- 5 Effective methods of communicating values, and supporting the way they are applied in your organisation.
- 6 Effective ways of dealing with messages and behaviour that conflict with agreed values and assumptions.

## B9 Develop the culture of your organisation (DR4J 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	<b>Policies, systems and procedures you have originated or instigated and actions you have taken to develop, communicate and encourage action consistent with the organisation's values and principles:</b>				
1	◆ Records of training, consultations, working groups, project teams, committees and other forums you have organised and/or participated in to develop and review the organisation's values, principles, assumptions and behaviours	1, 2, 3, 4, 6, 7, 8, 9	1, 2, 3, 4, 5, 6, 7	1, 2	1, 2, 3, 4
2					
3	◆ Newsletters, correspondence, intranet and internet pages, presentations and other communications to the people you work with that you have been responsible for to encourage awareness of and commitment to the values, principles, assumptions and behaviours appropriate to the organisation's vision and values	1, 2, 3, 4, 6, 7, 8, 9	1, 2, 3, 4, 5, 6, 7	1, 2	1, 2, 3, 4, 5, 6
4					
5	◆ Documentation related to systems and procedures, strategies, plans, projects and other actions you have taken or initiated to encourage behaviour consistent with the organisation's values, principles and vision	1, 2, 6, 7, 8, 9	1, 2, 3, 4, 5, 6, 7	1, 2	1, 2, 3, 4, 5
6	◆ Personal statements and records of actions you have taken to monitor that behaviour is consistent with the organisation's desired values and principles, and responses to situations where it has failed to do so	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2, 3, 4, 5, 6, 7	1, 2	1, 2, 3, 4, 5, 6

# B10 Manage risk (DR5X 04)

## Unit summary

### What is the Unit about?

This Unit is about taking the lead in establishing and operating an effective risk management process across your organisation. This involves systematically identifying, evaluating and prioritising potential risks and communicating information to enable appropriate decisions and actions to be taken. It also involves developing an organisational culture in which individuals are risk aware but are not afraid of taking decision and undertaking activities which involve acceptable levels of risk.

For the purposes of this Unit, ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority **or** a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

### Who is the Unit for?

The Unit is recommended for senior managers.

### Links to other Units

This Unit is linked to a number of Units in the overall suite of National Occupational Standards for management and leadership where risk is a factor that needs to be considered in planning and undertaking activities.

### Skills

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

- ◆ evaluating
- ◆ reviewing
- ◆ consulting
- ◆ presenting information
- ◆ decision-making
- ◆ monitoring
- ◆ communicating
- ◆ influencing and persuading
- ◆ leadership
- ◆ contingency planning
- ◆ prioritising
- ◆ planning
- ◆ scenario building
- ◆ information management
- ◆ involving others
- ◆ thinking systematically

## **B10 Manage risk (DR5X 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Ensure that your organisation has a written risk management policy, including setting out responsibilities for risk management, which is clearly communicated across the organisation and to other relevant parties.
- 2 Establish, and periodically review, risk criteria for your organisation, seeking and taking account of the views of relevant people across the organisation and stakeholders.
- 3 Evaluate significant current and planned organisational activities and identify potential risks, the nature of the risks, the probability of occurrence and consequences.
- 4 Produce a risk profile for your organisation and, taking account of the organisation's risk criteria and other relevant information, prioritise the identified risks.
- 5 Communicate information on identified risks to relevant people across the organisation and, where appropriate, to stakeholders, to enable decisions and actions to be taken in terms of accepting or treating the risks.
- 6 Collect and evaluate information from across the organisation on how identified risks have been or are being dealt with, including contingency plans which have been put in place.
- 7 Develop an organisational culture in which people are risk aware but are prepared to take acceptable risks and to make and learn from mistakes.
- 8 Ensure that there is senior management commitment to the risk management process.
- 9 Ensure that sufficient resources are allocated across the organisation to support and enable effective risk management.
- 10 Monitor and review the effectiveness of the risk management process in your organisation, identifying potential improvements and making changes where necessary.

### **Behaviours which underpin effective performance**

- 1 You constantly seek to improve performance.
- 2 You show sensitivity to stakeholders' needs and interests and manage them effectively.
- 3 You identify people's information needs.
- 4 You identify the implications or consequences of a situation.
- 5 You use communication styles that are appropriate to different people and situations.
- 6 You balance risks against the benefits that may arise from taking risks.
- 7 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 8 You are vigilant for potential risks and hazards.
- 9 You take personal responsibility for making things happen.
- 10 You balance agendas and build consensus.
- 11 You create a sense of common purpose.

## **B10 Manage risk (DR5X 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 Types of risk and the factors which drive different types of risk.
- 2 Key stages in the risk management process.
- 3 The importance of protecting the interests of stakeholders and how to identify their views in relation to risk.
- 4 The importance of showing senior management commitment to risk management.
- 5 How to develop a written risk management policy and what it should cover.
- 6 How to communicate the written risk management policy to people who work for the organisation and other relevant parties.
- 7 How and when to revise the written risk management policy including taking views from across the organisation and other relevant parties.
- 8 What risk criteria might cover and the importance of seeking and taking account of the views of relevant people across the organisation and stakeholders.
- 9 How and where to identify current and planned organisational activities.
- 10 Ways of identifying and clearly describing potential risks in relation to current and planned activities, the nature of the risks, the probability of occurrence and consequences.
- 11 Why it is important and how to communicate information on identified risks to relevant people across the organisation and, where appropriate, to stakeholders.
- 12 The type of decisions and actions that might be taken in relation to identified risks.
- 13 Why it is important and how to collect and evaluate information on how identified risks have been or are being dealt with, including contingency plans.
- 14 Ways of developing an organisational culture in which people are risk aware but are prepared to take acceptable risks in undertaking activities.
- 15 The type of resources required to raise risk awareness across the organisation and with stakeholders and implement the risk management policy effectively.
- 16 How to establish effective systems for monitoring the risk management process of an organisation.

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

- 1 The sector(s) in which your organisation operates.
- 2 Sector-specific legislation, regulations, guidelines and codes of practice.
- 3 Current and emerging political, economic, social, technological, legal and environmental developments in the sectors(s) in which your organisation operates.
- 4 Typical risks encountered in the sector(s) in which your organisation operates.

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

- 1 The vision, values, objectives and plans of your organisation.
- 2 Your organisation's products and services.
- 3 Other relevant parties with an interest in risk management in your organisation.
- 4 Mechanisms for consulting with and the views of relevant people across the organisation and stakeholders in relation to risk.
- 5 The written risk management policy of the organisation, including allocated responsibilities for risk management, and how it is communicated to people who work for the organisation and to other relevant parties.
- 6 Risk criteria of your organisation.
- 7 Significant current and planned organisational activities and the related potential risks, including probability of occurrence and consequences.
- 8 The risk profile of your organisation and prioritised risks.
- 9 Relevant people across the organisation and, where appropriate, stakeholders, to whom information on identified potential risks should be communicated.
- 10 Decisions and actions taken across the organisation in relation to identified potential risks, including any contingency plans which have been put in place.
- 11 Your organisation's culture in relation to risk.
- 12 How senior management's commitment to risk management has been demonstrated.
- 13 Resources made available across the organisation to support risk management.
- 14 Systems in place for monitoring and reviewing the effectiveness of the risk management process in your organisation.
- 15 Identified improvements and changes made to the risk management process in your organisation.

## B10 Manage risk (DR5X 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
<b>Policies and risks assessments you have originated or instigated:</b>					
1 2 3 4 5 8	◆ Records of training, consultations, working groups, project teams, committees and other forums you have organised and/or participated in to develop, review, secure senior management support for and implement policies in relation to any actual or potential risks the organisation and its people may face	1, 2, 4, 7, 9, 10, 11	1, 2, 3, 4, 5, 7, 8, 9, 14	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 9
	◆ Policy statements you have developed, initiated and/or agreed in relation to actual or potential risks the organisation and its people may face	1, 2, 4, 7, 9, 10, 11	1, 2, 3, 4, 5, 7, 8, 9, 14	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 9
	◆ Risk assessments you have carried out and risks profiles you have prepared, proposals you have made in relation to these risks and records of action you have taken to reduce exposure to or eliminate any risks facing the organisation, its people or others	1, 4, 6, 7, 8, 9	1, 2, 8, 9, 10, 11, 12	1, 2, 3, 4	2, 3, 5, 6, 7, 8, 9, 10
<b>Records of actions you have taken to eliminate or reduce risks the organisation and its people face:</b>					
3 5 7 9	◆ Budgets, actions plans, systems, procedures, roles descriptions and training you have initiated or agreed, personnel you have appointed, and other actions you taken to ensure that the performance of the organisation and its people minimises exposure to or eliminates any risks they may face	1, 3, 4, 5, 6, 7, 8, 9, 11	1, 3, 10, 11, 12, 14, 15	1, 2, 3, 4	2, 5, 6, 7, 8, 9, 10, 11, 13, 15
	◆ Newsletters, procedure manuals, correspondence and other communications you have prepared, instigated or agreed, and presentations you have made, to raise awareness of risks the organisation and its people may face and the actions needed to be taken in response	1, 2, 3, 5, 7, 9, 10, 11	1, 3, 4, 6, 11, 14	1, 2, 3, 4	2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12
<b>Records of actions you have taken to monitor incidents arising from the risks the organisation and its people face, and actions you have taken:</b>					
2 3 5 6 7 8 10	◆ Systems and procedures you have developed and introduced to monitor and review behaviour and record incidents, and action you have taken as result of this information to minimise exposure to or eliminate any risks facing the organisation, its people or others	1, 4, 7, 8, 9	1, 2, 9, 10, 12, 13, 14, 16	1, 2, 3, 4	5, 6, 7, 8, 9, 10, 11, 13, 14, 15
	◆ Personal statements (reflections on your role in developing policy and senior management commitment, assessing risks, putting systems and procedures in place, monitoring and taking action in relation to incidents, and reviewing policy and strategies)	2, 9	1, 2, 3, 5, 6, 13	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 8, 9, 11, 12

# B12 Promote equality of opportunity and diversity in your organisation (DR6T 04)

## Unit summary

### What is the Unit about?

This Unit is about taking a lead in actively promoting equality of opportunity and diversity in your organisation. There are a multitude of organisational benefits from doing this ranging from releasing the full potential of the workforce to being seen by customers, suppliers, potential employees and the wider community as a fair, forward looking and ethical employer. There is also the need to comply with equality legislation and any relevant codes of practice.

The Unit involves committing senior management to promoting equality of opportunity and diversity and backing this up by ensuring that a policy and an action plan exist and are communicated and implemented across the organisation. It also involves monitoring and reviewing progress in order to identify further actions and changes to practice.

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority or a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

### Who is the Unit for?

The Unit is recommended for senior managers.

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

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

## **B12 Promote equality of opportunity and diversity in your organisation (DR6T 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Ensure senior management commitment to promoting equality of opportunity and diversity, including making it a priority area in terms of informing the organisation's overall vision, values, objectives and planning and decision-making.
- 2 Ensure that your behaviour, words and actions and those of people working for the organisation support a commitment to equality of opportunity and diversity.
- 3 Identify the organisation's and your own responsibilities and liabilities under equality legislation and any relevant codes of practice.
- 4 Review the diversity and needs of the organisation's current customers and potential customers and identify areas where needs are not being satisfied and where the diversity of customers should be improved.
- 5 Review the diversity of the workforce, at all levels, in comparison to the local and/or national population, as appropriate, and the organisation's current and potential customers and identify areas for improvement.
- 6 Ensure that the organisation has a written equality and diversity policy and that this is clearly communicated to all people who work for the organisation and other relevant parties.
- 7 Ensure that the equality and diversity policy is supported by an action plan, which prioritises areas for improvement and identifies required resources, and that the plan is communicated and implemented across the organisation.
- 8 Carry out benchmarking to identify good practice in relation to promoting equality of opportunity and diversity and what lessons can be learnt and applied to your organisation.
- 9 Ensure ongoing consultation with people who work for the organisation or their representatives and other relevant parties on equality and diversity issues.
- 10 Seek and make use of specialist expertise in relation to equality and diversity issues.
- 11 Ensure that systems are in place to monitor, review and report on progress in relation to equality of opportunity and diversity within your organisation and that the findings are used to identify required actions and changes to practice.
- 12 Monitor wider developments in relation to equality and diversity and assess their implications for your organisation.

### **Behaviours which underpin effective performance**

- 1 You constructively challenge the status quo and seek better alternatives.
- 2 You model behaviour that shows respect, helpfulness and co-operation.
- 3 You use communication styles that are appropriate to different people and situations.
- 4 You recognise the opportunities presented by the diversity of people.
- 5 You understand individuals' needs, feelings and motivations and take an active interest in their concerns.
- 6 You encourage and support others to make the best use of their abilities.
- 7 You use a range of leadership styles appropriate to different people and situations.
- 8 You show a clear understanding of different customers and their needs.
- 9 You treat individuals with respect and act to uphold their rights.
- 10 You show integrity, fairness and consistency in decision making.
- 11 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.

## **B12 Promote equality of opportunity and diversity in your organisation (DR6T 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 and how to use it to persuade and influence others.
- 4 The probable effects of not promoting equality of opportunity and diversity in an organisation.
- 5 Why it is important to ensure senior management commitment to promoting equality of opportunity and diversity and how this can be demonstrated.
- 6 How and where to identify the organisation's and your personal responsibilities and liabilities under equality legislation and any relevant codes of practice.
- 7 Why it is important to make equality and diversity a priority area and how to do so effectively.
- 8 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.
- 9 How to recognise when the behaviour, words and actions of others does and does not support a commitment to equality of opportunity and diversity.
- 10 The importance of reviewing the diversity and needs of an organisation's current and potential customers in order to identify areas for improvement and how to do so effectively.
- 11 The importance of reviewing the diversity of an organisation's workforce, at all levels, in order to identify areas for improvements and how to do so effectively.
- 12 How to develop an effective written equality and diversity policy and what it should cover.
- 13 How to communicate the organisation's equality and diversity policy to all people who work for the organisation and other relevant parties.
- 14 What should be covered in an action plan for the promotion of equality and diversity and how it should be communicated across the organisation and to other relevant parties.
- 15 The type of support and resources required across the organisation to promote equality of opportunity and diversity and ways in which this can be provided.

- 16 How to carry out benchmarking to identify good practice in relation to promoting equality and diversity.
- 17 Sources of specialist expertise in relation to equality and diversity.
- 18 How and when to consult with people who work for the organisation or their representatives on equality and diversity issues.
- 19 How to establish systems for monitoring, reviewing and reporting on progress in relation to equality of opportunity and diversity within an organisation.
- 20 How/where to obtain information on wider developments in relation to equality and diversity and how to assess their implications for your organisation.

### **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 overall vision, values, objectives, plans and culture of the organisation.
- 2 The planning and decision-making processes within the organisation.
- 3 Your organisation's current and potential customers and their needs.
- 4 The diversity of your organisation's workforce.
- 5 Appropriate comparators for reviewing the diversity of your organisation's workforce.
- 6 Other relevant parties with an interest in equality and diversity in your organisation.
- 7 The organisation's written equality and diversity policy and action plan and how they are communicated to people who work for the organisation and to other relevant parties.
- 8 Mechanisms for consulting with people who work for the organisation or their representatives on equality and diversity issues.
- 9 Employment policies and practices within the organisation – including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions.
- 10 Organisations to benchmark against in terms of their approach to promoting diversity.
- 11 Sources of specialist expertise in relation to equality and diversity used by your organisation.
- 12 Systems in place for effective monitoring, reviewing and reporting on progress in relation to equality of opportunity and diversity.

## B12 Promote equality of opportunity and diversity in your organisation (DR6T 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: • possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	<b>Policies, systems, procedures and reports you have originated or instigated in relation to equality of opportunity and diversity:</b>				
1 2 3 6 8 9	◆ records of training, consultations, working groups, project teams, committees and other forums you have organised and/or participated in to raise awareness, develop, review and implement policies in relation to equality of opportunity and diversity across the organisation	1, 2, 3, 4, 7 10, 11	1, 2, 3, 4, 5, 6, 7, 8, 12, 13, 17, 20	1, 2, 3	1, 2, 6, 7, 8, 9, 11
	◆ reviews you have initiated or conducted of the organisation's legal, social and ethical responsibilities in relation to equality of opportunity and diversity	2, 4, 7, 8, 11	1, 2, 4, 5, 6, 7, 8, 10, 11, 12, 17, 18, 20	1, 2, 3	1, 2, 3, 4, 6, 7, 8, 9, 11, 12
	◆ studies you have initiated or undertaken of best practice across the organisation and other organisations in the same sector and elsewhere	2, 4, 7, 8, 11	1, 2, 3, 4, 5, 6, 7, 16, 17	1, 2, 3	5, 6, 10, 11
	◆ equality of opportunity and diversity values and policy statements you have developed, initiated and/or agreed for the organisation	1, 3, 4, 7, 10 11	1, 2, 3, 4, 5, 6, 7, 12, 13	1, 2	1, 2, 7, 9
	<b>Records of actions you have taken to implement policy and address any problems identified:</b>				
1 2 3 4 5 7 10 11 12	◆ monitoring systems you have designed or introduced, reviews of equality of opportunity and diversity in the organisation's practices and Outcomes 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, 3, 4, 5, 6, 8, 10, 11	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 14, 17, 18, 19, 20	1, 2, 3	2, 3, 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, 3, 4, 5, 6, 7, 8, 10, 11	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 14, 17, 18, 19	1, 2, 3	2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12
	◆ 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)	1, 2, 4, 5, 6, 7, 10, 11	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3	1, 3, 4, 7, 11

## 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
	<b>Policies, plans and presentations you have been responsible for producing to communicate your vision for the future and your strategy for implementing it:</b>				
1 3 4 5	◆ 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
	<b>Records of actions you have taken and meetings you have held to support people through the change:</b>				
	◆ 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
1 2 3 6	◆ 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	<b>Systems you have designed to monitor the progress of planned change and actions you have taken in response to problems encountered:</b>				
	◆ 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	<b>Your communications with stakeholders and others on the progress of the change process:</b>				
	◆ 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, emails, 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
	<b>Reviews of current procedures, systems, structures or roles you have undertaken and proposals for change you have made:</b>				
1 2 4	◆ 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
	◆ 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
	◆ 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
	◆ 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
	<b>Plans for changes that you have been responsible for producing</b>				
1 3 4 5 6 8	◆ 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
	◆ 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
	◆ 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
	◆ specifications of systems and procedures you have proposed to monitor performance against these metrics	4, 7	2	-	2, 3
	<b>Plans for ensuring effective communication during the change process:</b>				
3 6 7	◆ your proposals and plans for team briefings, newsletter, displays, bulletin boards, intranet pages, email lists and other methods for communicating the need for and change and the progress of the change process	2, 4	1, 9	-	4
	◆ 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

## 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	<b>Designs or specifications for new work processes, procedures, systems, structures and roles that you have developed and implemented:</b>				
	◆ 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	<b>Records of actions you have taken, decisions you have made and meetings you have held to facilitate the change:</b>				
	◆ 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 emails, 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	<b>Records and communications to others on the progress of the planned change:</b>				
	◆ 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, emails, 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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## 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
	<b>Records of activities and agreements with work colleagues and stakeholders that you have completed successfully:</b>				
	◆ notes and other records of information you have collected on developments in the organisation and its environment that will be of interest to colleagues and stakeholders	7, 11	2, 3, 6, 7, 20	1, 2, 5	5
	◆ records of new stakeholders you have met or have identified	3, 7	1, 2, 3	5	3
1 2 3 4	◆ 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
5 6 10	◆ emails, 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	-	-	-

<b>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:</b>					
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
	◆ emails, 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, emails 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, emails 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	-	-	-

## D4 Plan the workforce (DR6M 04)

### Unit summary

#### What is the Unit about?

This Unit is about taking a lead in identifying the workforce requirements of your organisation and how these will be satisfied. It involves considering the strategic objectives and plans of the organisation to decide whether the workforce should be expanded, maintained or contracted.

It also involves considering whether there is an appropriate mix of people to achieve the organisation's objectives, and whether any problems with this can be sorted out by recruiting staff, moving staff to other positions or making staff redundant.

'Workforce' covers any person who works for the organisation. Colleagues do not have to be directly employed as there is a wide range of contractual arrangements which could be used to provide the people the organisation needs, and part of the planning process is to decide how this is managed.

For the purposes of this Unit, an 'organisation' can mean a self-contained entity such as a private sector company, a charity or a local authority **or** a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### Who is the Unit for?

The Unit is recommended for senior managers.

#### Links with other Units

This Unit is closely linked to Unit **B3 Develop a strategic business plan for your organisation (DR45 04)**, **B4 Put the strategic business plan into action (DR7G 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 *J1 Review your staffing (D8XA 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](http://www.sfedi.co.uk)).

#### Skills

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

- ◆ planning
- ◆ thinking strategically
- ◆ prioritising
- ◆ contingency planning
- ◆ information management
- ◆ monitoring
- ◆ evaluating
- ◆ decision making
- ◆ communicating
- ◆ analysing
- ◆ thinking creatively
- ◆ balancing competing needs and interests

## **D4 Plan the workforce (DR6M 04)**

### **Outcomes of effective performance**

You must be able to do the following:

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

### **Behaviours which underpin effective performance**

- 1 You recognise the opportunities presented by the diversity of people.
- 2 You are vigilant for potential risks.
- 3 You identify systemic issues and trends and recognise their effect on current and future work.
- 4 You anticipate likely future scenarios based on realistic analysis of trends and developments.
- 5 You take decisions in uncertain situations or based on incomplete information when necessary.
- 6 You take and implement difficult and/or unpopular decisions, if necessary.
- 7 You work towards a clearly defined vision of the future.
- 8 You use communication styles that are appropriate to different people and situations.

## **D4 Plan the workforce (DR6M 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

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

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

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

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

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

## D4 Plan the workforce (DR6M 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3 4 6 8 9	<b>Workforce reviews that you have organised or prepared:</b>				
	◆ analyses of strategic, business and/or operational plans to forecast likely future employment requirements (numbers of people, skills levels, employment patterns, etc)	4, 7	2, 4, 5, 7, 8	2, 3, 4, 5	1, 5, 7
	◆ analyses of recruitment and employment data and of the relevant population from which recruits are drawn to identify statistical disparities in the job applications, selection, employment, retention and promotion to identify any evidence of poor employment practice, possible discrimination or unintentional barriers to particular groups	1, 2, 3	2, 4, 5	1, 2, 3, 4, 5	2, 3, 4, 6, 7
	◆ surveys of the current workforce to identify their experiences and perceptions of, and their attitudes to, their employment conditions	1, 2, 3	2, 4, 5	1, 2, 3, 5	2, 3, 4, 5, 6, 7
	◆ surveys or records of debriefings of (successful and unsuccessful) applicants to identify their views of the employment prospects in the organisation	1, 3	2, 4, 5	1, 2, 3, 5	6, 7
	◆ reports or other Outcomes of reviews you have undertaken of the systems for recording and monitoring employment (eg collecting and analysing data on recruitment, retention, development, promotion, timekeeping, attendance, etc)	2, 3, 5, 6	2, 4, 5	2, 4	2, 3, 4, 7
	◆ notes, minutes or other records of meetings you have had with colleagues and consultants to review the organisation's workforce planning strategy	1, 2, 3, 4, 7	1, 2, 4, 5	1, 2, 3, 4, 5	2, 3, 4, 5, 6, 7
	◆ briefings, notes of meetings, letters and other documents you have produced to commission external consultants or specialist staff to review employment practices and future workforce needs	1, 2, 8	1, 3	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7
	◆ personal statements (reflecting on your role in analysing and reviewing current employment practices and future workforce needs)	1, 2, 3, 7	1, 2, 3, 4, 5	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7

4 5 6 7 8 9 10 11	<b>Workforce plans that you have organised or prepared:</b>				
	◆ proposals for future workforce reform or restructuring, recruitment or redundancy, employee development, and other changes to bring the workforce profile into line with strategic, business or operational plans	1, 2, 4, 5, 6, 7, 8	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7
	◆ reports or proposals you have prepared to propose improvements to the organisation's recruitment, workforce development and succession planning strategy or employment conditions to bring them into line with future workforce requirements and with legal and social responsibilities	1, 2, 3, 4, 5, 7, 8	2, 3, 4, 5, 6, 7, 8	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7
	◆ notes, minutes or other records of meetings to discuss future workforce strategy and plans or proposals to align the workforce to future needs	1, 2, 3, 4, 5, 6, 7	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7
	◆ briefings, notes of meetings, letters and other documents you have produced to commission external consultants or specialist staff to plan future employment practices and workforce needs	1, 4, 7, 8	1, 3	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6,
	◆ newsletters, records of presentations, notes or other records of meetings with workforce representatives and other communications you have prepared to communicate future workforce strategy to employees	6, 8	1, 4, 5, 6, 8	1, 2, 3, 4, 5	1, 2, 7
◆ personal statements (reflecting on your role in planning future employment practices and future workforce needs)	1, 2, 3, 4, 7	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3, 4, 5	1, 2, 3, 4, 5, 6, 7	

## 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](http://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
	<b>Identification of development needs, plans to meet development needs and monitoring and review of development activity:</b>				
1	◆ notes, memos, emails or other records of feedback and performance appraisals/reviews, and of discussions or identification of learning and development preferences and needs (including learning styles, personal constraints, learning disabilities and difficulties that affect learning)	3, 4, 5, 6, 7, 8, 9, 10	1, 4, 5, 6, 7, 8, 12, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 8, 10, 11, 12
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					
8	◆ 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
9					
10	◆ notes, memos, emails or other records of meeting or discussions you have had with colleagues to review their learning and its effect on their performance	3, 4, 5, 6, 8, 10	1, 2, 3, 14, 15	1, 2, 3	1, 2, 3, 4, 5, 10, 11, 12
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	-	-	-

## E3 Obtain additional finance for the organisation (DR6E 04)

### Unit summary

#### What is this Unit about?

This Unit is about identifying the need for and obtaining additional finance to fund the organisation's proposed activities. The organisation may already be generating some surplus income through the ongoing supply of its products and/or services. This may be insufficient, however, to fund activities such as investment in new equipment or proposed changes to products and/or services and it is in instances such as these where additional finance might be required.

A key aspect of this Unit is identifying types of finance and funding providers which are appropriate to the particular needs of the organisation.

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

For the purposes of this Unit, an 'organisation' can mean a self-contained entity such as a private sector company, a charity or a local authority or a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### Who is this Unit for?

The Unit is recommended for senior managers.

#### Links with other Units

This Unit is linked to Units **B3 Develop a strategic business plan for your organisation (DR45 04)** and **B4 Put the strategic business plan into action (DR7G 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 *G3 Get finance for the business (D8WE 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](http://www.sfedi.co.uk)).

#### Skills

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

- ◆ thinking strategically
- ◆ questioning
- ◆ information management
- ◆ evaluating
- ◆ presenting information
- ◆ communicating
- ◆ decision making
- ◆ risk management
- ◆ prioritising
- ◆ contingency planning
- ◆ monitoring
- ◆ involving others
- ◆ planning
- ◆ forecasting
- ◆ influencing and persuading
- ◆ problem solving
- ◆ leadership
- ◆ reviewing
- ◆ negotiating

## **E3 Obtain additional finance for the organisation (DR6E 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Identify the additional finance required to fund the organisation's proposed activities.
- 2 Seek and make effective use of specialist financial expertise.
- 3 Evaluate the costs, benefits and risks of the current types and providers of finance used by the organisation and other potential types and providers of finance.
- 4 Select the types of finance which are most appropriate to the needs of the organisation, taking account of levels of acceptable risk and views of stakeholders, and identify possible providers.
- 5 Present fully-costed proposals and recommendations for obtaining additional finance to relevant people in the organisation and, where appropriate, any key stakeholders, and discuss and agree on potential providers of finance.
- 6 Ensure timely submission of clear proposals or bids or applications to potential providers of finance and seek regular updates on progress.
- 7 Put formal agreements in place with providers for agreed amounts of finance at agreed times and, as appropriate, agreed costs and repayment schedules.
- 8 Identify any shortfall in the level of additional funding obtained and take appropriate action.
- 9 Put contingency plans in place to deal with any problems in the additional finance being made available and any changes to the level of additional finance required.
- 10 Monitor the effectiveness of the agreements for providing additional finance, identifying and making changes where necessary and identifying improvements for the future.

### **Behaviours which underpin effective performance**

- 1 You reflect regularly on your own and others' experiences, and use these to inform future action.
- 2 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 3 You show sensitivity to stakeholders' needs and interests and manage these effectively.
- 4 You identify the implications or consequences of a situation.
- 5 You act within the limits of your authority.
- 6 You identify and work with people and organisations that can provide support for your work.
- 7 You constructively challenge the status quo and seek better alternatives.
- 8 You are vigilant for potential risks.
- 9 You identify and raise ethical concerns.
- 10 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 11 You work to a clearly defined vision of the future.

## **E3 Obtain additional finance for the organisation (DR6E 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 Why organisations might need additional finance for their proposed activities.
- 2 Where to obtain and how to evaluate information in order to identify an organisation's requirement for additional finance.
- 3 Sources of specialist financial expertise and how to make effective use of them.
- 4 Different types of finance.
- 5 Different providers of finance.
- 6 How to evaluate the costs, benefits and risks of different types and providers of finance.
- 7 Criteria for selecting types and providers of finance which are appropriate to organisational needs and the views of stakeholders.
- 8 The importance of risk in obtaining additional finance and ways in which the level of risk can be identified and managed.
- 9 How to work out the full cost of obtaining finance from providers.
- 10 The importance of consulting with relevant people in the organisation and key stakeholders on proposals and recommendations for obtaining additional finance.
- 11 The importance of submitting clear proposals or bids or applications to potential providers of finance and allowing sufficient time for their submission and consideration.
- 12 The type of formal agreements that should be put in place with providers of finance and what they should cover.
- 13 The type of actions that might need to be taken in the event of a shortfall in additional funding.
- 14 Why it is necessary to put contingency plans in place in relation to obtaining additional finance and the type of contingencies that might occur.
- 15 How to monitor the effectiveness of agreements put in place for providing additional finance.
- 16 The changes that might need to be made to agreements for additional finance.

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

- 1 The types and providers of finance that tend to be used in your industry or sector, and why they are preferred.
- 2 Guidelines and codes of practice and any legislative, regulatory and ethical requirements in relation to types and providers of funding in your industry or sector.

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

- 1 The vision, objectives and plans of the organisation.
- 2 The proposed activities of the organisation, including those which require additional finance.
- 3 The organisation's stakeholders and their views in relation to the financing of the organisation's activities.
- 4 The current types and providers of finance used by the organisation and other potential types and providers of finance and their associated costs, benefits and risks.
- 5 The particular needs of the organisation in terms of securing additional finance, including the organisation's attitude to risk.
- 6 Relevant people in the organisation and any key stakeholders who should be consulted on proposals and recommendations for obtaining additional finance.
- 7 Proposals or bids or applications submitted to providers of finance and how they have been progressed.
- 8 Formal agreements with providers of additional finance to the organisation.
- 9 The contingency plans that have been put in place in relation to additional finance.
- 10 The specialist financial expertise currently used by your organisation and other potential sources of expertise.
- 11 The systems in place for monitoring the effectiveness of the agreements for additional finance and identifying changes to agreements and improvements for the future.

## E3 Obtain additional finance for the organisation (DR6E 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
<b>Assessments of the organisation's additional financial requirements:</b>					
1 2 3 4 5 6	◆ investment schedules, income/revenue and expenditure forecasts, assessments of future capital expenditure and cash flow forecasts that you have prepared	3, 5, 8, 9, 11	1, 2, 9		1, 2, 5, 6
	◆ notes, minutes or other records of meetings or consultations, and emails, letters and other communications, with stakeholders, colleagues and external specialists to identify the requirements for additional finance, the costs and benefits of types and sources of finance, and the risks of, and criteria for deciding on, the type, level and source of finance	1, 2, 3, 4, 5, 6, 7, 8, 9, 11	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2	1, 2, 3, 4, 5, 6, 10
	◆ risk and uncertainty assessments, cost/benefit analyses, decision tree analysis, comparisons and appraisals of alternative sources/ways of financing requirements, etc	3, 4, 5, 8, 11	4, 5, 6, 7, 8, 9	1, 2	2, 3, 4, 9
	◆ costed proposals or recommendations for types and levels of finance to meet identified financing requirements, with associated risk, sensitivity and other analyses that you have prepared, and notes or minutes of meetings or presentations you have made to discuss, review and agree your proposals	2, 3, 4, 5, 6, 7, 8, 9, 11	4, 5, 6, 7, 8, 9, 10	1, 2	1, 2, 3, 4, 5, 6
	◆ personal statements (your reflections on the process of identifying financial requirements, evaluating types and levels of finance, and reaching agreement on your proposals)	1, 3, 4, 7, 8, 9, 11	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2	1, 2, 3, 4, 5, 6
<b>Records of negotiations and agreements for provision of finance:</b>					
5 6 7 8 9 10	◆ notes, minutes or other records of meeting with providers of finance (or their intermediaries)	2, 3, 4, 5, 6, 8, 9, 10, 11	4, 5, 6, 7, 11	1, 2	2, 4, 5, 10
	◆ emails, memos, letters or reports you have written to review and make recommendations about appropriate providers and the terms and conditions of their financial support for the organisation, and any contingency plans or insurance that should be put in place	1, 2, 3, 4, 5, 8, 9, 10, 11	4, 5, 7, 8	1, 2	2, 4, 5, 6, 10
	◆ letters, proposals, submissions or other documents you have prepared and submitted to obtain finance and to make contingency arrangements in the case of a shortfall or to mitigate any risks	2, 4, 5, 8, 11	4, 5, 8, 11, 12, 13, 14	1, 2	2, 4, 5, 7, 8, 9, 11
	◆ reviews of financing agreements that you have undertaken and recommendations to revise procedures or decision criteria in future financing arrangements	1, 3, 4, 9	4, 5, 15, 16	1, 2	5, 6, 7, 8, 10, 11
	◆ personal statement (your reflections on the process of agreeing finance for your organisation)	1, 2, 3, 4, 8, 9, 10	4, 5, 8, 10, 14, 15, 16	1, 2	3, 5, 6, 11

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## E4 Promote the use of technology within your organisation (DR6W 04)

### Unit summary

#### What is this Unit about?

This Unit is about your role in making sure that the organisation gets the technology it needs and uses it in the best way possible. Technology might mean information or communications technology, equipment, machinery and so on. It does not necessarily mean using complicated technology or the latest invention. Instead it is about assessing the use of technology and improving it, which might mean making better use of what is already in place or even shifting to a lower-tech solution if that is appropriate.

You are not expected to be a technology specialist but you would be expected to be able to work with specialists as appropriate.

For the purposes of this Unit, an ‘organisation’ can mean a self-contained entity such as a private sector company, a charity or a local authority or a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

#### Who is this Unit for?

The Unit is recommended for senior managers

#### Links with other Units

This Unit is linked to Units **B2 Map the environment in which your organisation operates (DR69 04)**, **B3 Develop a strategic business plan for your organisation (DR45 04)**, **B4 Put the strategic business plan into action (DR7G 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 promoting the use of technology in your organisation. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ thinking strategically
- ◆ involving others
- ◆ questioning
- ◆ communicating
- ◆ problem solving
- ◆ thinking systematically
- ◆ monitoring
- ◆ reporting
- ◆ contingency planning
- ◆ consulting
- ◆ information management
- ◆ benchmarking
- ◆ networking
- ◆ reviewing
- ◆ planning
- ◆ innovating
- ◆ leadership

## **E4 Promote the use of technology within your organisation (DR6W 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Identify the approach(es) to and current use of technology within your organisation and any plans to discard or introduce technology or use existing technology for different purposes.
- 2 Consult with relevant people across the organisation and other relevant parties in order to identify the successful use of technology
- 3 Consult with relevant people across the organisation and other relevant parties to identify opportunities for introducing technology or using existing technology for different purposes.
- 4 Ensure that the organisation has a strategy for using technology and that it fits with the overall vision, values, objectives and plans of the organisation.
- 5 Communicate the strategy for using technology across the organisation and to other relevant parties.
- 6 Ensure that the use of technology is driven by customer needs.
- 7 Carry out benchmarking to identify good practice in relation to the use of technology and what lessons can be learnt and applied to your organisation.
- 8 Establish systems to monitor implementation of the strategy and report on the overall performance of the organisation in relation to the use of technology.
- 9 Seek and make use of specialist expertise to assist in developing, implementing and reviewing the strategy for using technology and monitoring overall performance of the organisation.
- 10 Ensure that resources and support are provided across the organisation to enable colleagues to make the best use of the available technology.
- 11 Ensure that contingency plans are in place in case technology fails.

### **Behaviours which underpin effective performance**

- 1 You constructively challenge the status quo and seek better alternatives.
- 2 You take personal responsibility for making things happen.
- 3 You anticipate likely future scenarios based on realistic analysis of trends and developments.
- 4 You articulate the assumptions made and risks involved in understanding a situation.
- 5 You take timely decisions that are realistic for the situation.
- 6 You balance risks against the benefits that may arise from taking risks.
- 7 You constantly seek to improve performance.
- 8 You use communication styles that are appropriate to different people and situations.
- 9 You create a sense of common purpose.

## **E4 Promote the use of technology within your organisation (DR6W 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 Different types of technology.
- 2 How to keep up to date with the key developments in technology.
- 3 The main factors to consider when assessing the use and/or introduction of new technology, including the full costs and benefits.
- 4 The importance of consulting with colleagues and other relevant parties in relation to technology.
- 5 What an effective strategy for using technology should cover.
- 6 The importance of contingency planning in relation to the ongoing use and/or introduction of technology and how to do so effectively.
- 7 Different techniques and methods for communicating the organisations approach to and strategy for using technology.
- 8 How to benchmark your organisation's use of strategy against other organisations.
- 9 Sources of specialist expertise in relation to technology.
- 10 How to establish systems for reviewing the implementation of the strategy for using technology and identifying areas for improvement.
- 11 The type of resources and support needed to enable colleagues to make the best use the available technology.

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

- 1 Trends and developments in your industry/sector in relation to technology.
- 2 The types of technology that are available to your industry/sector and their main features, benefits and drawbacks.
- 3 Legal requirements, government policies and industry or sector guidelines relating to using technology.
- 4 Financial or other incentives or support that may be available for investing in technology in your industry/sector.

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

- 1 The approach(es) to and current use of technology within your organisation.
- 2 Plans to discard or introduce technology or use existing technology for different purposes.
- 3 Who needs to be consulted across the organisation in relation to technology.
- 4 Other relevant parties with an interest in your organisation's use of technology.
- 5 The overall vision, values, objectives and plans of the organisation.
- 6 Your organisation's specific strategy in relation to using technology, including contingency plans.
- 7 The needs of your customers.
- 8 The role of technology in your organisation's culture and how to build on this.
- 9 Systems in place for effective monitoring and reporting on the use of technology.
- 10 The organisations that are similar to your own and the technology they use.
- 11 The specialists who can advise your organisation on using technology.
- 12 What technology has already been tried in your organisation and what the Outcomes were.

## E4 Promote the use of technology within your organisation (DR6W 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	<b>Reviews and development of the use of technology in your organisation that you have conducted:</b>				
	◆ data that you have collected and analysed on the use and functionality of technology in your organisation and new technology in the market	1, 3, 7	1, 2, 3, 4	1, 2, 3, 4	1, 2
1	◆ emails, memos and letters that you have sent to colleagues and external consultants to collect information and commission research into the requirements of customers, employees and others for the use of technology, establish benchmarks for the use of technology, and the current strategy, operation and functionality of technology in your own and comparable organisations	1, 2, 3, 4, 6, 7, 8, 9	1, 2, 3, 4, 8	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 7, 8, 9, 11, 12
2	◆ notes, minutes and other records of meetings that you have organised with colleagues and external consultants to review the requirements of customers, employees and others for the use of technology, establish benchmarks for the use of technology, and the current strategy, operation and functionality of technology in your own and comparable organisations	1, 2, 3, 4, 6, 7, 8, 9	1, 2, 3, 4, 8	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 7, 8, 9, 11, 12
3	◆ details of a strategy that you have developed for the use of technology in the organisation, including policy statements, standards, benchmarks and other criteria for assessing the use and development of new technologies	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 3, 5, 6	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 7, 8
4	◆ newsletters, websites, emails and other communications that you have originated, and presentations that you have made, to promote your strategy to colleagues and stakeholders for using existing technology and introducing new technology	7, 8, 9	1, 5, 7	1, 2, 3	2, 4, 6, 7, 8, 12
5	◆ systems and procedures that you have developed to provide support for employees in the introduction and use of new technology	2, 3, 5, 7	1, 2, 9, 11	3	1, 2, 6, 8, 11
6	◆ systems and procedures that you have developed to monitor the operation and functionality of technology, and your contingency plans in case of failure	3, 6	8, 10	1, 2, 3	1, 2, 3, 6, 8, 9, 11
7	◆ personal statement (your reflections on the process of reviewing the use of technology, the introduction of new technology, and the support for users in your organisation)	3, 4, 5, 6, 7	1, 2, 3, 4, 6, 8, 11	1, 2, 3, 4	1, 2, 3, 4, 5, 6, 7, 8
8					
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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
1 2 3 4 5 6 7	<b>Terms of reference and plans for projects that you have agreed:</b>				
	◆ notes or minutes of meetings you have organised, records of presentations you have made, and emails, 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
	◆ 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
	◆ project budget reconciliations and exception reports you have prepared	5, 6	2, 3	1, 2	4, 6
	◆ 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, emails, 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	

## F4 Develop and review a framework for marketing (DR48 04)

### Unit summary

#### What is this Unit about?

This Unit is about developing a framework which describes your organisation's customers and how your organisation intends to market its products or services (or both). This Unit is for non-marketing specialists, and includes identifying where specialist expertise may be needed.

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

#### Who is this Unit for?

The Unit is recommended for senior managers.

#### Links with other Units

This Unit is linked to **F9 Build your organisation's understanding of its market and customers (DR41 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 Plan how to improve your sales and marketing (D8X3 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](http://www.sfedi.co.uk)).

#### Skills

Listed below are the main generic 'skills' which need to be applied in developing and reviewing a framework for marketing. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ thinking strategically
- ◆ thinking with a focus on customers
- ◆ setting objectives
- ◆ decision making
- ◆ planning
- ◆ consulting
- ◆ involving others
- ◆ thinking creatively
- ◆ communicating
- ◆ reviewing
- ◆ problem solving
- ◆ information management
- ◆ evaluating
- ◆ prioritising

## **F4 Develop and review a framework for marketing (DR48 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Identify and assess the customer groups and needs you want to serve and the benefits to the customer of using your products and/or services.
- 2 Set out your aims, targets and conditions for success.
- 3 Evaluate the need for branding or a special identity, including values, to capture a niche position in the market or a premium price.
- 4 Identify the specific products and/or services you are going to sell and how they are going to be priced.
- 5 Identify the ways in which you are going to sell your products and/or services and communicate with customers.
- 6 Identify the main phases of activity that you are going to go through to get started, and any priority actions.
- 7 Identify the areas in which you will need specialist expertise help in marketing and/or selling.
- 8 Identify the type and quantity of physical and financial resources needed and where to get them.
- 9 Identify any risks associated with marketing and selling your products and/or services and how to manage these.
- 10 Identify a process for regularly reviewing and updating the framework.

### **Behaviours which underpin effective performance**

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You seek out and act on new business opportunities.
- 3 You prioritise objectives and plan work to make best use of time and resources.
- 4 You develop systems to gather and manage information and knowledge effectively, efficiently and ethically.
- 5 You identify clearly the value and benefits to people of a proposed course of action.
- 6 You anticipate likely future scenarios based on a realistic analysis of trends and developments.
- 7 You demonstrate a clear understanding of different customers and their needs.

## **F4 Develop and review a framework for marketing (DR48 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 How to identify different customer groups and their needs.
- 2 How to relate the benefits of using your products and/or services to identified customer needs.
- 3 The importance of setting clear, demanding but achievable marketing aims and targets and conditions for success and how to do so effectively.
- 4 Principles of and techniques used for branding a product or service.
- 5 Principles which underpin pricing strategies.
- 6 Different channels for selling your product and/or service, their advantages and disadvantages, costs and benefits.
- 7 Different methods for communicating with customers and the associated advantages and disadvantages, costs and benefits.
- 8 Types of specialist marketing and sales expertise.
- 9 The types and sources of physical and financial resource which might be required to support the marketing/selling of products and/or services.
- 10 The type of risks associated with particular marketing and selling approaches and ways in which these risks can be managed.
- 11 The importance of regularly reviewing and, if necessary, revising the overall framework and how to do so effectively.

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

- 1 The sector(s) and market(s) in which your organisation works.
- 2 Legal, regulatory and other restrictions that may affect your plans.

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

- 1 Your organisation's products and/or services, associated technology and processes.
- 2 Your organisation's overall vision, objectives and plans.
- 3 Information on your market(s), including competitors, and customers.
- 4 Available resources to support the framework.
- 5 Who and how to consult in developing the framework.
- 6 Your organisation's attitude to risk.
- 7 Specialist expertise available to your organisation.

## F4 Develop and review a framework for marketing (DR48 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	<b>Market and product/brand analyses you have conducted</b>				
	◆ summaries of market research and secondary research, sales, customer/market profiles, market penetration, competitor, pricing and similar analyses that you have prepared	2, 4, 6, 7	1	1, 2	1, 2, 3
	◆ product and brand reviews, feature/benefit analyses and similar evaluations of the organisation's products/services	1, 2, 4, 6, 7	1, 2	1, 2	1, 2, 3
	◆ Ansoff, BCG, SWOT and similar analyses of the product/market relationship	1, 2, 4, 6, 7	1, 2	1, 2	1, 2, 3
	◆ notes or minutes of meetings you have organised, and emails, memos, letters and other communications you have written, to discuss and agree with colleagues and specialist service providers, an analysis of the organisation's products/brands and market position, marketing aims, objectives and critical success factors	2, 3, 5, 7	3, 8	1, 2	1, 2, 3, 5, 7
5 6 7 8 9 10	<b>Proposals you have made for a developing a new marketing framework:</b>				
	◆ proposals for developing the organisation's products/brand, pricing, selling, promotion, distribution channel and after sales/customer service strategies to achieve marketing objectives	2, 3, 5, 7	2, 4, 5, 6, 7	1, 2	1, 2, 3, 4, 5, 7, 7
	◆ market forecasts, sales targets and marketing budgets you have prepared	2, 3, 5, 6	3, 9	1, 2	4, 6
	◆ risks assessments and identification of critical success factors	6	10	1, 2	6
	◆ action plans, schedules and contingency plans you have developed for introducing your proposed market frameworks	6	3, 10	1, 2	4, 6
	◆ systems and procedures you have developed for monitoring and reviewing the effectiveness of the marketing framework	1, 4	11	1, 2	-
	◆ personal statement (your reflections on the development of a marketing framework)	5, 6, 7	1, 2, 3, 9, 10, 11	1, 2	1, 2, 3

## **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.sfedi.co.uk](http://www.sfedi.co.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
	<b>Qualitative and quantitative analyses that you have prepared of the current market, customer behaviour and likely future demand:</b>				
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, emails, 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
	<b>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:</b>				
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, emails, 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

# F10 Develop a customer focussed organisation (DR43 04)

## Unit summary

### What is this Unit about?

This Unit is about ensuring that your organisation puts customers first. The organisation's vision, values, processes and systems, for example, should all be clearly driven by and geared to satisfying customer needs.

In this Unit, 'customer' refers to both internal and external customers.

For the purposes of this Unit, 'organisation' can mean a self-contained entity such as a private sector company, a charity or a local authority **or** a significant operating Unit, with a relative degree of autonomy, within a larger organisation.

### Who is this Unit for?

The Unit is recommended for senior managers.

### Links with other Units

This Unit is linked to Unit **F9 Build your organisation's understanding of its market and customers (DR41 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](http://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.sfedi.co.uk](http://www.sfedi.co.uk)).

### Skills

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

- ◆ communicating
- ◆ thinking strategically
- ◆ thinking with a focus on customers
- ◆ evaluating
- ◆ monitoring
- ◆ motivating
- ◆ leadership
- ◆ empowering
- ◆ building consensus
- ◆ reviewing

## **F10 Develop a customer focussed organisation (DR43 04)**

### **Outcomes of effective performance**

You must be able to do the following:

- 1 Establish a shared vision and understanding of how staff in your organisation will work with customers.
- 2 Establish a set of customer-based values and beliefs which develops suitable skills, behaviours and attitudes leading to an environment that puts the customer first.
- 3 Ensure that customer-focussed processes and systems exist throughout the organisation.
- 4 Ensure that there are schemes in place that maintain staff loyalty and commitment to providing a level of service that beats customers' expectations.
- 5 Establish partnerships, where appropriate, with other organisations to maintain and improve services to customers.
- 6 Ensure that joint activities are undertaken with customers in order to identify and make improvements to the level of customer service provided by your organisation.
- 7 Measure, periodically, the level of customer service your organisation is providing.

### **Behaviours which underpin effective performance**

- 1 You constantly seek to improve performance.
- 2 You find practical ways to overcome barriers.
- 3 You show a clear understanding of different customers and their needs.
- 4 You give people opportunities to provide feedback and you respond appropriately.
- 5 You develop systems to gather and manage information and knowledge effectively, efficiently and ethically.
- 6 You articulate a vision that generates excitement, enthusiasm and commitment.
- 7 You model behaviour that shows respect, helpfulness and co-operation.
- 8 You advocate customers' interests within your organisation.

## **F10 Develop a customer focussed organisation (DR43 04)**

### **Knowledge and understanding**

You need to know and understand the following:

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

- 1 The principles of effective customer service.
- 2 The factors that make customers satisfied.
- 3 The importance of achieving customer satisfaction.
- 4 How to measure the level of customer service being provided.
- 5 The benefits of forming partnerships to maintain and improve customer service.
- 6 Best practice in customer service outside your own sector.
- 7 Techniques and reward strategies for motivating staff.
- 8 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.
- 3 Where to make effective strategic partnerships.
- 4 The legal and regulatory framework within which you work, including customer and consumer rights, relevant codes of practice and ethical code.

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

- 1 Your organisation's products and/or services.
- 2 The overall vision, objectives and associated plans of your organisation.
- 3 Your organisation's customers.
- 4 The strengths and weaknesses of your organisation in terms of satisfying customers.
- 5 How a change in your market, structure, products or services will affect your customers.
- 6 The activities and services of your competitors or similar organisations, and how this may affect your products, services and processes.

## F10 Develop a customer focussed organisation (DR43 04)

### Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2 3	<b>Plans, procedures, records of meetings and other communications that clearly articulate your vision for customer service and show how it is to be translated into action:</b>				
	◆ mission, values, vision or policy statements, operational objectives and plans that you have been actively involved in developing that express the organisation's commitment to its customers	3, 6, 8	1, 2, 3	1, 4	1, 2, 3, 4, 5, 6
	◆ customer expectations and requirements surveys, benchmarking and best practice surveys and analyses, that you have commissioned to establish customer service standards	3, 5, 8	1, 2, 3, 4, 6	4	1, 3, 4, 5, 6
	◆ systems and procedures that you have introduced to enable customer service to be achieved	2, 3, 8	1, 2, 6, 8	–	1, 4
	◆ newsletters, intranet pages, emails, memos, systems and procedure specifications and other documents you have initiated, and notes, presentations and materials from team briefings and other meetings and discussions you have led to communicate the organisation's customer focus commitment and ensure its practical implementation	3, 6, 7, 8	1, 2, 3	–	2
	◆ personal statement (reflections on your role in describing the vision for customer service, defining the standards of service required, and ensuring the people, systems and procedures are in place to achieve your vision)	3, 6, 8	1, 2, 3	4	1, 2, 3, 4, 5, 6
3 6 7	<b>Customer service monitoring and review reports you have commissioned and evaluated to assess customer focus and service levels:</b>				
	◆ monitoring reports (eg 'mystery shopper') and customer feedback surveys and analyses that you have commissioned to measure customer service performance	1, 3, 4, 5	1, 2, 4	4	1, 3, 4, 5, 6
	◆ analyses of data on customer churn and loyalty/repurchase rates you have prepared	1, 5	1, 2, 4	4	1, 3, 4, 5, 6
	◆ proposals, emails, memos, action plans and other records of action you have taken in response to surveys and analyses of customer service performance	1, 2, 4, 5	1, 2, 3, 8	–	1, 3, 4, 5, 6
	◆ personal statement (reflections on your role in monitoring customer service standards in your organisation)	1, 3, 4, 5	1, 2, 4	4	1, 3, 4, 5, 6

3 4	<b>Staff reward systems, development activities and other strategies you have organised to bring about a customer focussed organisation:</b>				
	◆ training needs analyses, skills matrices and other systems to identify staff development needs	1, 2, 8	1, 3, 8	–	4
	◆ plans and evaluations of customer service training activities	1	1, 3, 8	–	-
	◆ recruitment strategies, role descriptions, induction and training and development activities that you have initiated to ensure that the organisation’s employees have the knowledge and skills they need to provide the level of customer service required	1	1, 3, 7, 8	–	4
	◆ descriptions of the employee performance review and appraisals systems, job enrichment or improvement systems, performance related rewards and incentives schemes and other initiatives you have developed to encourage the level of customer service required	1	1, 3, 7, 8	–	–
◆ personal statement (reflections on your role in ensuring that employees are able and committed to meeting and surpassing customer service standards in your organisation)	1, 2, 8	1, 3, 7, 8	–	4	
5 6	<b>Records of activities you have organised that are designed to bring about improvements in customer service and meet or surpass customer expectations:</b>				
	◆ notes and minutes of meetings, emails and letters, partnership agreements and contracts, customer service standards and procedure specifications with other organisations (eg order fulfilment and call centres) that you have organised, to ensure that they can provide the level of customer service required	1, 2, 3, 7	1, 2, 3, 5	1, 2, 3, 4	3, 4, 5, 6
	◆ agenda, notes or reports of meetings of staff and external organisations that you have organised and participated in to review customer service and identify opportunities for improvement	1, 2, 4, 7, 8	1, 2, 3, 5	1, 2, 3, 4	3, 4, 5, 6
◆ personal statement (reflections on your role in ensuring that partnerships with other organisations deliver customer service to the required standard)	1, 2, 4, 7, 8	1, 2, 3, 5	1, 2, 3, 4	3, 4, 5, 6	