



Assessment Guidance for the SVQ in Team Leading at level 2 (G81V22)

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

The SVQ in Team Leading level 2 (G81V22) 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 those in their first managerial role who are likely to have a limited span of control and responsibility for small teams of people.

To achieve the SVQ in Team Leading level 2 (G81V22), candidates must achieve six Units in total — four mandatory and two optional Units.

The SVQ structure and full selection of Units that make up the SVQ in Team Leading level 2 (G81V22) 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 and Leadership 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 2, candidates would be expected to have responsibility for small teams of people, but with a limited span of control and a tightly defined area of responsibility.

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

Assessment Strategy for the SVQs in Management

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

1 Achieving external quality control of assessment

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

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

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

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

2 Assessment through performance in the workplace

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

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

3 Assessment by simulation

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

4 Occupational expertise requirements for assessors

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

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

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

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

5 Occupational expertise requirements for internal verifiers

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

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

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

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

6 Requirements for competence in undertaking assessment and verification of SVQs

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

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

Evidence Requirements

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

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

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

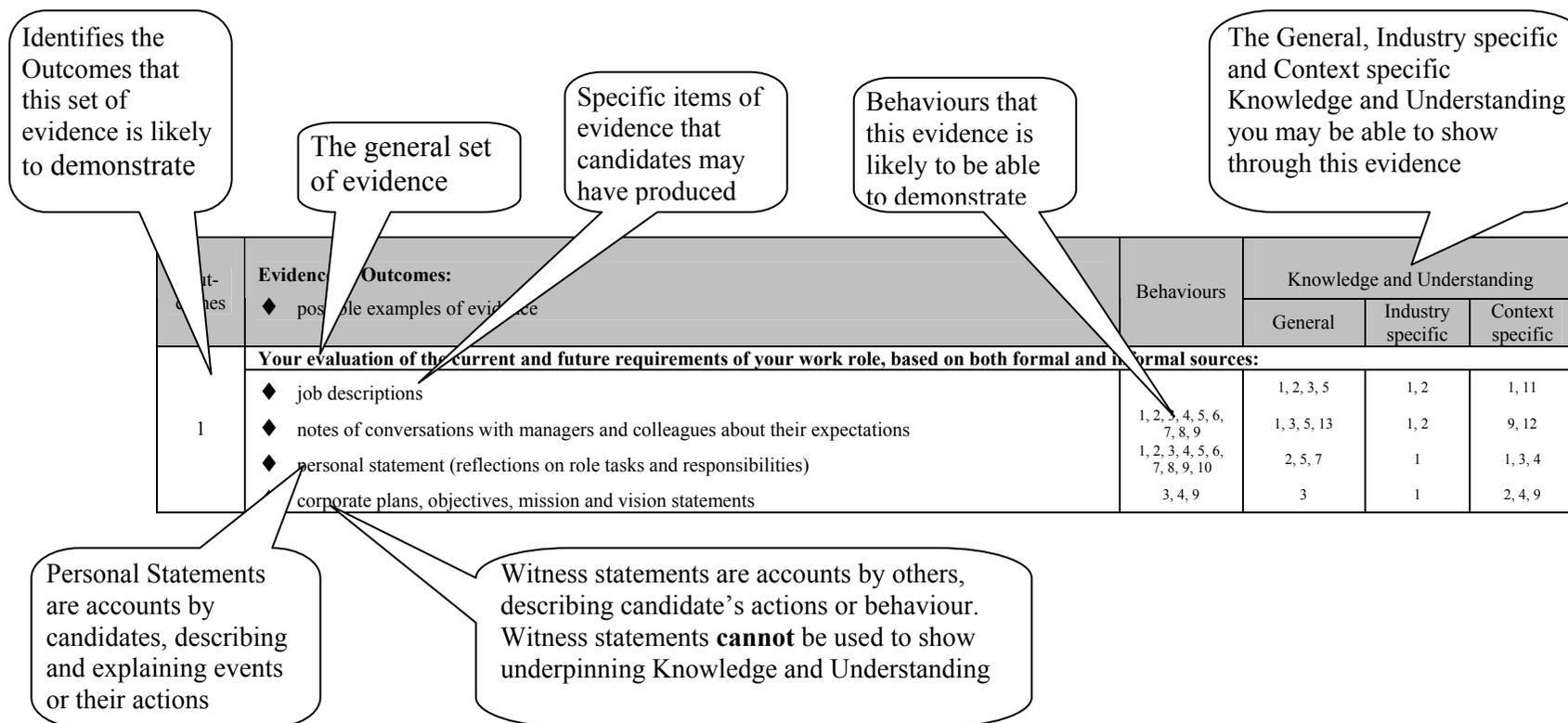
Please note, it is not necessary to produce each item of evidence listed — the Evidence Requirements identify examples of the evidence that might be produced. Similarly, the references to Behaviours and to Knowledge and Understanding suggest what the evidence **may** demonstrate. It is the candidate's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

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

The assessor must be given sufficient time to become familiar with the evidence. The physical evidence will provide the basis for a dialogue between the candidate and the assessor. This discussion will provide 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:



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 actions 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 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.

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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 Team Leading level 2 (G81V22)

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

Mandatory Units

- A1 Manage your own resources (DR64 04)
- B5 Provide leadership for your team (DR73 04)
- D1 Develop productive working relationships with colleagues (DR4A 04)
- E5 Ensure your own action reduce risks to health and safety (DR55 04)

Optional Units

- C1 Encourage innovation in your team (DR47 04)
- D5 Allocate and check work in your team (DR3W 04)
- D7 Provide learning opportunities for colleagues (DR7C 04)
- D8 Help team members address problems affecting their performance (F2GX 04)
- D12 Participate in meetings (F2GY 04)
- F5 Resolve customer service problems (DV02 04)
- F7 Support customer service improvements (DR7T 04)

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SVQ in Team Leading level 2 (G81V22) — Mandatory Units

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A1 Manage your own resources (DR64 04)

Unit summary

What is the Unit about?

This Unit is mainly about making sure you have the personal resources (particularly knowledge, understanding, skills and time) to undertake your work role and reviewing your performance against agreed objectives. It also covers identifying and undertaking activities to develop your knowledge, skills and understanding where gaps have been identified.

Who is the Unit for?

The Unit is recommended for team leaders.

Links to other Units

Unit is linked to Unit **A2 Manage your own resources and professional development (DR67 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 your own resources. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

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

A1 Manage your own resources (DR64 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Identify and agree the requirements of your work-role with those you report to.
- 2 Discuss and agree personal work objectives with those you report to and how you will measure progress.
- 3 Identify any gaps between the requirements of your work-role and your current knowledge, understanding and skills.
- 4 Discuss and agree, with those you report to, a development plan to address any identified gaps in your current knowledge, understanding and skills.
- 5 Undertake the activities identified in your development plan and discuss, with those you report to, how they have contributed to your performance.
- 6 Get regular and useful feedback on your performance from those who are in a good position to judge it and provide you with objective and valid feedback.
- 7 Discuss and agree, with those you report to, any changes to your personal work objectives and development plan in the light of performance, feedback received, any development activities undertaken and any wider changes.
- 8 Check, on a regular basis, how you are using your time at work and identify possible improvements.
- 9 Ensure that your performance consistently meets or goes beyond agreed requirements.

Behaviours which underpin effective performance

- 1 You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- 2 You prioritise objectives and plan work to make best use of time and resources.
- 3 You take personal responsibility for making things happen.
- 4 You take pride in delivering high quality work.
- 5 You agree achievable objectives for yourself and give a consistent and reliable performance.
- 6 You find practical ways to overcome barriers.
- 7 You make best use of available resources and proactively seek new sources of support when necessary.

A1 Manage your own resources (DR64 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 Why managing your resources (particularly knowledge, understanding, skills and time) is important.
- 2 How to identify the requirements of a work-role.
- 3 How to set work objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).
- 4 How to measure progress against work objectives.
- 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.
- 7 The type of development activities which can be undertaken to address identified gaps in knowledge, understanding and skills.
- 8 How to identify whether/how development activities have contributed to your performance.
- 9 How to get and make effective use of feedback on 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 How to record the use of your time and identify possible improvements.

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

- 1 The agreed requirements of your work-role including the limits of your responsibilities.
- 2 Your agreed personal work objectives.
- 3 The reporting lines in your organisation.
- 4 Your current knowledge, understanding and skills.
- 5 Identified gaps in your current knowledge, understanding and skills.
- 6 Your personal development plan.
- 7 Your organisation's policy and procedures in terms of personal development.
- 8 Available development opportunities and resources in your organisation.
- 9 Possible sources of feedback in your organisation.

A1 Manage your own resources (DR64 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1	Your evaluation of the requirements of your work role, based on both formal and informal sources:				
	◆ your job description	–	2	–	1
	◆ notes of conversations with managers and colleagues about their expectations	5	2, 9	1	1, 2, 3
	◆ personal statement (reflections on role tasks and responsibilities)	5	2	1	1, 2
2 9	Your personal work objectives and records of achievement against these objectives:				
	◆ notes, minutes, reports or other records of performance review or appraisal meetings, team meetings or other meetings at which you agreed your work objectives	1, 2, 5	3, 5, 9, 10	1	1, 2, 3, 4
	◆ notes, minutes, reports or other records of performance review or appraisal meetings, team meetings or other meetings, 360° appraisal Outcomes, and other formal or informal feedback on your performance	1, 2, 3, 5	5, 9, 10	1	1, 2, 3, 4, 5
	◆ witness statements (comments on your achievement of agreed objectives)	1, 2, 3, 5	–	–	–
3 4 6 7	Assessment of your current knowledge, understanding and skills, an analysis of how well these reflect the requirements of your work role and your development plan to address any needs:				
	◆ qualification certificates and transcripts	–	5	–	–
	◆ personality and skill inventories and assessment centre reports	–	5, 9	–	5
	◆ appraisal/performance review records and notes or other records of informal feedback	3, 4, 7	1, 2, 4, 5, 9	1	4, 5
	◆ development plans	3, 6, 7	1, 6, 7	1	5, 6, 7, 8
	◆ personal statement (reflections on relationship between knowledge, understanding and skills and the requirements of your work role)	4	1, 5, 6, 7, 9	1	5, 6, 7, 8
5	Evidence of having undertaken training and development activity to meet identified development needs				
	◆ attendance certificates and post-course evaluation reports	–	–	1	7, 8, 9
	◆ witness statements (comments on your learning and its application to the work role)	4, 6, 7	–	–	–
	◆ personal statements (reflections on learning and its application to the work role)	4, 6, 7	8	1	7, 8, 9
8	Work schedules, time plans or similar records of work activity that shows task plans and reviews				
	◆ proprietary time planner systems and self-designed schedules or plans that you have prepared	1, 2, 3, 5, 6, 7	3, 4, 10, 11	–	1, 2
	◆ outputs of electronic systems (eg MS Schedule) that you have prepared	1, 2, 3, 5, 6, 7	3, 4, 10, 11	–	1, 2

B5 Provide leadership for your team (DR73 04)

Unit summary

What is the Unit about?

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

Who is the Unit for?

The Unit is recommended for team leaders.

Links to other Units

This Unit is linked to Units **D1 Develop productive working relationships with colleagues (DR4A 04)**, **B6 Provide leadership in your area of responsibility (DR75 04)** and **D5 Allocate and check work in your team (DR3W 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 team. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ communicating
- ◆ planning
- ◆ team building
- ◆ leading by example
- ◆ providing feedback
- ◆ setting objectives
- ◆ motivating
- ◆ consulting
- ◆ problem solving
- ◆ valuing and supporting others
- ◆ monitoring
- ◆ managing conflict
- ◆ decision making
- ◆ following

B5 Provide leadership for your team (DR73 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Set out and positively communicate the purpose and objectives of the team to all members.
- 2 Involve members in planning how the team will achieve its objectives.
- 3 Ensure that each member of the team has personal work objectives and understands how achieving these will contribute to achievement of the team's objectives.
- 4 Encourage and support team members to achieve their personal work objectives and those of the team and provide recognition when objectives have been achieved.
- 5 Win, through your performance, the trust and support of the team for your leadership.
- 6 Steer the team successfully through difficulties and challenges, including conflict within the team.
- 7 Encourage and recognise creativity and innovation within the team.
- 8 Give team members support and advice when they need it especially during periods of setback and change.
- 9 Motivate team members to present their own ideas and listen to what they say.
- 10 Encourage team members to take the lead when they have the knowledge and expertise and show willingness to follow this lead.
- 11 Monitor activities and progress across the team without interfering.

Behaviours which underpin effective performance

- 1 You create a sense of common purpose.
- 2 You take personal responsibility for making things happen.
- 3 You encourage and support others to take decisions autonomously.
- 4 You act within the limits of your authority.
- 5 You make time available to support others.
- 6 You show integrity, fairness and consistency in decision-making.
- 7 You seek to understand people's needs and motivations.
- 8 You model behaviour that shows respect, helpfulness and co-operation.

B5 Provide leadership for your team (DR73 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

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

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

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

B5 Provide leadership for your team (DR73 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
Plans and objectives you have agreed with your team:					
1 2 3 11	◆ notes and other records of meetings with individuals and the team you have led to discuss and agree objectives and work plans	1, 2, 3, 4, 5, 6, 7	1, 2, 3, 4, 5, 6, 8,	1	1, 2, 3, 4
	◆ individual and team objectives and work plans or schedules you have agreed	1, 2, 4, 5, 6, 7	2, 3, 4	1	1, 2, 4
	◆ records of own appraisal or performance review meetings with manager regarding your role in agreeing individual and team objectives and work plans	2, 3, 4, 5, 6, 7, 8	2, 3, 4, 6, 7, 8	1	1, 2, 3, 4
	◆ personal statement (commentary on how you involved team members in agreeing demanding but realistic individual and team objectives and work plans)	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3, 4, 5, 6, 8	1	1, 2, 3, 4
	◆ witness statements by team members (how you encourage them to set demanding but realistic objectives and accept responsibility for achieving them)	1, 2, 3, 5, 6, 7, 8			
Records of the performance of the team and its members:					
3 4 5 6 8 9 10 11	◆ data on the quantity and quality of individual and team performance, showing achievement of objectives and plans	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	2, 3, 4, 7	1	1, 2, 4
	◆ notes or other records of meetings, showing how individual and team problems have been resolved	1, 2, 3, 4, 5, 6, 7, 8	3, 5, 6, 7, 8, 9	1	3, 4
	◆ personal statement (commentary on how you motivated individuals, encouraged them to take responsibility, and dealt with individual and team problems)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 3, 4, 5, 6, 7, 8	1	1, 2, 3, 4
	◆ witness statements by team members (how you helped them to overcome problems and motivated them to achieve objectives and take on responsibility for activities)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10			

Records of how you encouraged creativity and innovation in the team:					
2	◆ notes and materials produced during creative ideas-generation activities	1, 2, 3, 4, 5, 6, 7, 8	5, 6, 7, 8, 9	1	1, 3, 4
5	◆ records of agreement by managers to introduce innovative ideas developed by the team	1, 2, 3, 4, 5, 6, 7, 8	3, 9	1	4
6	◆ data on performance improvements arising directly from innovations proposed by the team	1	3, 6, 9	1	4
7	◆ records of own appraisal or performance review meetings with manager regarding your role in encouraging creativity and innovation in the team	1, 2, 3, 4, 6, 8	6, 8, 9	1	3
8	◆ personal statement (commentary on how you led the team in developing creative ideas and innovation)	1, 2, 3, 4, 5, 6, 7, 8	1, 5, 6, 9	1	1, 2, 3, 4
9	◆ witness statements by team members (how you led them to develop creative ideas and innovation)	1, 2, 3, 4, 5, 6, 7, 8			
10					

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D1 Develop productive working relationships with colleagues (DR4A 04)

Unit summary

What is the Unit about?

This Unit is about developing working relationships with colleagues, within your own organisation and within other organisations, that are productive in terms of supporting and delivering your work and that of the overall organisation.

‘Colleagues’ are any people you are expected to work with, whether they are at a similar position or in other positions.

Who is the Unit for?

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

Links with other Units

This Unit is closely linked to Unit **D2 Develop productive working relationships with colleagues and stakeholders (DR4F 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. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ communicating
- ◆ managing conflict
- ◆ empathising
- ◆ networking
- ◆ information management
- ◆ leading by example
- ◆ valuing and supporting others
- ◆ involving others
- ◆ providing feedback
- ◆ obtaining feedback
- ◆ stress management
- ◆ prioritising

D1 Develop productive working relationships with colleagues (DR4A 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Establish working relationships with all colleagues who are relevant to the work being carried out.
- 2 Recognise, agree and respect the roles and responsibilities of colleagues.
- 3 Understand and take account of the priorities, expectations, and authority of colleagues in decisions and actions.
- 4 Fulfil agreements made with colleagues and let them know.
- 5 Advise colleagues promptly of any difficulties or where it will be impossible to fulfil agreements.
- 6 Identify and sort out conflicts of interest and disagreements with colleagues in ways that minimise damage to the work being carried out.
- 7 Exchange information and resources with colleagues to make sure that all parties can work effectively.
- 8 Provide feedback to colleagues on their performance and seek feedback from colleagues on your own performance in order to identify areas for improvement.

Behaviours which underpin effective performance

- 1 You present information clearly, concisely, accurately and in ways that promote understanding.
- 2 You seek to understand people's needs and motivations.
- 3 You make time available to support others.
- 4 You clearly agree what is expected of others and hold them to account.
- 5 You work to develop an atmosphere of professionalism and mutual support.
- 6 You model behaviour that shows respect, helpfulness and co-operation.
- 7 You keep promises and honour commitments.
- 8 You consider the impact of your own actions on others.
- 9 You say no to unreasonable requests.
- 10 You show respect for the views and actions of others.

D1 Develop productive working relationships with colleagues (DR4A 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.
- 2 Principles of effective communication and how to apply them in order to communicate effectively with colleagues.
- 3 How to identify disagreements with colleagues and the techniques for sorting them out.
- 4 How to identify conflicts of interest with colleagues and the measures that can be used to manage or remove them.
- 5 How to take account of diversity issues when developing working relationships with colleagues.
- 6 The importance of exchanging information and resources with colleagues.
- 7 How to get and make use of feedback on your performance from colleagues.
- 8 How to provide colleagues with useful feedback on their performance.

Industry/sector specific knowledge and understanding

- 1 Regulations and codes of practice that apply in the industry or sector.
- 2 Standards of behaviour and performance in the industry or sector.
- 3 Working culture of the industry or sector.

Context specific knowledge and understanding

- 1 Current and future work being carried out.
- 2 Colleagues who are relevant to the work being carried out, their work roles and responsibilities.
- 3 Processes within the organisation for making decisions.
- 4 Line management responsibilities and relationships within the organisation.
- 5 The organisation's values and culture.
- 6 Power, influence and politics within the organisation.
- 7 Standards of behaviour and performance expected in the organisation.
- 8 Information and resources that different colleagues might need.
- 9 Agreements with colleagues.

D1 Develop productive working relationships with colleagues (DR4A 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
Records of activities and agreements with work colleagues that you have completed successfully:					
1	◆ notes, minutes or other records of formal and informal meetings with colleagues relating to agreements for action by you and your performance in relation to these agreements	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
2	◆ e-mails, memos and other correspondence with colleagues relating to actions you have agreed to undertake and your performance in relation to these agreements	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
3	◆ personal statements (reflections on the nature and effectiveness of your relationships with work colleagues and your fulfilment of your commitments to them)	5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8
4	◆ 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, 3, 4, 6, 7, 10	-	-	-
5	◆ 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, 3, 4, 6, 7, 10	-	-	-
8	◆ 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, 3, 4, 6, 7, 10	-	-	-
Records of relationship difficulties or conflicts at work that you have successfully addressed and feedback you have given and received:					
1	◆ notes, minutes or other records of formal and informal meetings with colleagues relating to relationship difficulties or conflicts	1, 2, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
2	◆ e-mails, memos and other correspondence with colleagues relating to relationship difficulties or conflicts	1, 2, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
3	◆ notes or other records of verbal feedback and copies of memos, e-mails and letters you have sent in which you have given feedback to colleagues	1, 2, 3, 4, 5, 6, 8, 10	1, 2, 3, 4, 5, 6, 8	2, 3	5, 6, 7, 8
5	◆ notes or other records of verbal feedback and copies of memos, e-mails and letters you have received in which colleagues have given feedback to you	10	1, 2, 3, 4, 5, 6, 7	2, 3	5, 6, 7
6	◆ personal statements (reflections on your ability to deal effectively with relationship difficulties or conflicts)	5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8
7	◆ witness statements (comments by colleagues on your ability to deal effectively with relationship difficulties or conflicts)	1, 2, 3, 4, 6, 7, 10	-	-	-
8	◆ witness statements (comments by colleagues on your ability to deal effectively with relationship difficulties or conflicts)	1, 2, 3, 4, 6, 7, 10	-	-	-

E5 Ensure your own actions reduce risks to health and safety (DR55 04)

Note: This Unit has been taken from the National Occupational Standards developed by ENTO, the standards-setting body for employment and associated areas. The format of the Unit is different to that used by the Management Standards Centre (MSC) for the Units the MSC has developed.

Elements in this Unit are:

- 1 Identify the hazards and evaluate the risks in your workplace
- 2 Reduce the risks to health and safety in your workplace

Unit overview

Fundamental to this Unit is an understanding of the terms ‘hazard’ and ‘risk’. They have been defined overleaf and it is VERY IMPORTANT that they are understood before undertaking the Unit.

This Unit is for:

Everyone at work — (whether paid, unpaid, full or part-time). The scope of the Health and Safety at Work Act 1974 covers ‘all persons’ whether employers, employees, self-employed, contractors, etc. Amongst other things the Act seeks to secure the health, safety and welfare of people whilst they work and protect other people against risks to health or safety arising from the activity of people at work. This Unit does not require the candidate to undertake a full risk assessment, it is about having an appreciation of significant risks in the workplace and knowing how to identify them and deal with them.

This Unit covers:

The health and safety duties for everyone in the workplace. It describes the competences required to ensure that:

- ◆ your own actions do not create any health and safety risks
- ◆ you do not ignore significant risks in your workplace, and
- ◆ you take sensible action to put things right, including: reporting situations which pose a danger to people in the workplace and seeking advice

This is what you need to show:

In element 1 you need to show that you understand the health and safety requirements and policies in the workplace, and that you check your own working practices and work area for any risk of you or others being harmed. You should be able to identify the risk arising from any hazards you have identified and know which you can deal with safely yourself, and those which you must report to the "responsible person" for attention.

Element 2 requires you to show you have taken steps to reduce those health and safety risks with which you might come into contact during the course of your work. It covers carrying out tasks safely and in accordance with instructions and workplace requirements.

This is what you need to do next:

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

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

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

Hazard ‘a hazard is something with potential to cause harm’.

Risk ‘a risk is the likelihood of the hazard's potential being realised’.

Almost anything may be a hazard, but may or may not become a risk. For example:

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

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

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

Workplace policies: This covers the documentation prepared by the employer on the procedures to be followed regarding health and safety matters. It could be the employer's safety policy statement, or general health and safety statements and written safety procedures covering aspects of the workplace that should be drawn to the employees' (and 'other persons') attention.

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

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

Responsible persons:

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

Key points regarding Health and Safety legislation and regulations

'Health and Safety at Work Act 1974'

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

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

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

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

According to the Act:

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

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

Other legislation

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

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

Knowledge Requirements:

Essential knowledge and understanding for this Unit:

To ensure your own actions reduce risks to Health and Safety you should know and understand the following aspects of health and safety legislation:

- (a) your legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974
- (b) your duties for health and safety as defined by any specific legislation covering your job role

To ensure your own actions reduce risks to Health and Safety you should know and understand the following relating to risks to health and safety:

- (a) what hazards may exist in your workplace
- (b) the particular health and safety risks which may be present in your own job role and the precautions you must take
- (c) the importance of remaining alert to the presence of hazards in the whole work place
- (d) the importance of dealing with or promptly reporting risks
- (e) the requirements and guidance on the precautions

Evidence Requirements:

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

Assessor guidance:

- ◆ in order to demonstrate competence the candidate must be able to show consistent competent performance
- ◆ in this Unit evidence from performance is required and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of the candidate's ability to perform competently across all the range items listed

Element 1: Identify the hazards and evaluate the risks in your workplace

Performance criteria:

You must ensure that:

- 1 you correctly name and locate the persons responsible for health and safety in the workplace
- 2 you identify which workplace policies are relevant to your working practices
- 3 you identify those working practices in any part of your job role which could harm yourself or other persons
- 4 you identify those aspects of the workplace which could harm yourself or other persons
- 5 you evaluate which of the potentially harmful working practices and the potentially harmful aspects of the workplace are those with the highest **risk** to you or to others
- 6 you report those hazards which present a high **risk** to the persons responsible for health and safety in the workplace
- 7 you deal with hazards with low **risks** in accordance with workplace policies and legal requirements

Range statement:

Risks resulting from:

- (i) the use and maintenance of machinery or equipment
- (ii) the use of materials or substances
- (iii) working practices which do not conform to laid down policies
- (iv) unsafe behaviour
- (v) accidental breakages and spillages
- (vi) environmental factors

Specific knowledge for this element:

You must know and understand:

- (a) agreed workplace policies relating to controlling risks to health and safety
- (b) responsibilities for health and safety in your job description
- (c) the responsible persons to whom to report health and safety matters

Evidence Requirements

Evidence must be provided to demonstrate competence in identifying hazards with reference to working activities or aspects of the workplace and acting upon your decisions as to whether the hazard presents a high or low risk.

Performance evidence must be provided against each of the Performance Criteria. The assessor will also need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this Unit.

You must show from the range that you have:

- ◆ identified a minimum of two types of **risks** resulting from those listed

Performance evidence must be provided from real working practices.

Element 2: Reduce the risks to health and safety in your workplace

Performance criteria:

You must ensure that:

- 1 you carry out your working practices in accordance with legal requirements
- 2 you follow the most recent **workplace policies** for your job role
- 3 you rectify those health and safety risks within your capability and the scope of your job responsibilities
- 4 you pass on any suggestions for reducing risks to health and safety within your job role to the responsible persons
- 5 your personal conduct in the workplace does not endanger the health and safety of yourself or other persons
- 6 you follow the **workplace policies** and suppliers' or manufacturers' instructions for the safe use of equipment, materials and products
- 7 you report any differences between **workplace policies** and suppliers' or manufacturers' instructions as appropriate
- 8 your personal presentation at work
 - ◆ ensures the health and safety of yourself and others,
 - ◆ meets any legal duties, and
 - ◆ is in accordance with **workplace policies**

Range statement:

Workplace policies covering:

- (i) the use of safe working methods and equipment
- (ii) the safe use of hazardous substances
- (iii) smoking, eating, drinking and drugs
- (iv) what to do in the event of an emergency
- (v) personal presentation

Specific knowledge for this element:

You must know and understand:

- (a) the specific workplace policies covering your job role
- (b) suppliers' and manufacturers' instruction for the safe use of equipment, materials and products
- (c) safe working practices for your own job role
- (d) the importance of personal presentation in maintaining health and safety in the workplace
- (e) the importance of personal conduct in maintaining the health and safety of yourself and others
- (f) your scope and responsibility for rectifying risks
- (g) workplace procedures for handling risks which you are unable to deal with

Evidence Requirements:

Evidence must be provided to demonstrate competence in reducing the risk to health and safety.

Performance evidence must be provided against each of the Performance Criteria. The Assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

You must show evidence that you have followed a minimum of four types of **workplace policies**.

Performance evidence must be provided from real working practices.

SVQ in Team Leading level 2 (G81V22) — Optional Units

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C1 Encourage innovation in your team (DR4T 04)

Unit summary

What is the Unit about?

This Unit is about encouraging and supporting the identification and practical implementation of ideas. The initial ideas will primarily come from members of your team, including yourself, and will focus on:

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

Who is the Unit for?

The Unit is recommended for team leaders.

Links to other Units

This Unit is linked to Units **B5 Provide leadership for your team (DR73 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 team. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- | | |
|-------------------|---------------------------------|
| ◆ communicating | ◆ decision making |
| ◆ leadership | ◆ providing feedback |
| ◆ team building | ◆ learning |
| ◆ problem solving | ◆ valuing and supporting others |
| ◆ motivating | ◆ risk management |
| ◆ monitoring | ◆ thinking creatively |

C1 Encourage innovation in your team (DR4T 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Motivate members of your team, including yourself, to identify ideas for new products and/or services and improvements.
- 2 Respond enthusiastically to ideas identified by members of your team and provide constructive feedback.
- 3 Encourage members of your team to share, discuss and work together in developing initial ideas.
- 4 Identify and pursue opportunities to work with other teams to generate and develop ideas.
- 5 Discuss and agree with members of your team those ideas which should be developed further, how they should be developed and the required resources.
- 6 Provide on-going support, encouragement and resources to members of your team who are developing and testing ideas and help to remove any identified obstacles.
- 7 Agree the practical implementation of ideas, based on the identified benefits, risks and required resources, when you have the authority to do so.
- 8 Support members of your team in submitting formal proposals and plans for the practical implementation of ideas to other people for approval.
- 9 Oversee practical implementation of ideas by your team and monitor and report on progress.
- 10 Encourage and develop the creativity of members of your team.
- 11 Encourage members of your team to take acceptable risks in pursuing innovation and to make and learn from mistakes.
- 12 Ensure that the originators and developers of any ideas which are successfully implemented receive recognition for their achievement.

Behaviours which underpin effective performance

- 1 You find practical ways to overcome barriers.
- 2 You encourage and support others to make the best use of their abilities.
- 3 You make time available to support others.
- 4 You display a curiosity to learn and try out new things.
- 5 You balance risks against the benefits that may arise from taking risks.
- 6 You act within the limits of your authority.
- 7 You constructively challenge the status quo and seek better alternatives.
- 8 You recognise the achievements and the success of others.

C1 Encourage innovation in your team (DR4T 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The benefits of innovation to your team, the overall organisation and its customers.
- 2 The key differences between creativity and innovation.
- 3 How to make time available for identifying and developing ideas.
- 4 How to motivate people to generate and develop ideas.
- 5 How to provide constructive feedback on ideas to individuals.
- 6 The importance of communication in innovation and how to encourage communication across your team.
- 7 The potential obstacles to creativity and whether/how they can be removed.
- 8 The reasons for selecting initial ideas for further development.
- 9 How initial ideas might be further developed and tested.
- 10 How to recognise and manage risk in innovation.
- 11 How to develop formal proposals and plans for the practical implementation of an idea and how to support others in doing this.
- 12 How to develop creativity in yourself and others.
- 13 The resources required for creativity and innovation, particularly time.
- 14 How to learn from mistakes.
- 15 How to recognise the achievements of the originators/developers of ideas which have been successfully implemented.

Industry/sector specific knowledge and understanding

- 1 The sector(s) in which your organisation works.

Context specific knowledge and understanding

- 1 Your organisation's strategy, if it has one, for innovation.
- 2 The limits of your authority.
- 3 Organisational guidelines and procedures for developing and implementing ideas, including whom to submit formal proposals and plans to.
- 4 The needs of your customers.
- 5 Opportunities to work with other teams in your organisation.

C1 Encourage innovation in your team (DR4T 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
Examples of creative ideas and innovation that you have enabled your team to generate or propose:					
1 2 3	◆ notes, reports and other materials emanating from creative ideas generation sessions that you have led your team and others to produce	1, 2, 3, 4, 6, 7	1, 2, 3, 4, 5, 7, 8, 9, 11, 12, 14	1	1, 2, 3, 4, 5
4	◆ proposals that your team has made for innovative products, services or processes	4, 5, 6, 7, 8	2, 6, 7, 8, 9, 10, 11, 12	1	1, 2, 3, 4, 5
5 6 8	◆ notes of meetings you have had with, or presentations you have made to, managers customers, suppliers and others	1, 2, 3, 5, 6, 7	1, 2, 6, 7, 8, 9, 10, 11	1	2, 4, 5
10 11	◆ personal statement (reflections on your role in leading or encouraging the team to be creative and develop innovative products, services or processes)	1, 4, 5, 6, 7	1, 2, 3, 4, 7, 8, 9, 10, 11, 12, 13	1	1, 2, 3, 4, 5
12	◆ witness statements (commentaries on your role in leading or encouraging the team to be creative and develop innovative products, services or processes)	1, 4, 5, 6, 7	–	–	–
Examples and recognitions of innovations that your team has proposed that have been implemented:					
3	◆ innovative product, service or process specifications arising from proposals made by your team	1, 7	1, 8, 9, 10, 11, 13, 14	1	1, 3, 4
4 6 7 9	◆ action plans to introduce innovative products, services or processes	1, 2, 3, 4, 5, 6	1, 6, 9, 10, 11, 13, 14	1	1, 3, 4, 5
11	◆ records of prizes, bonuses, awards and other recognition that the team and its members have received for developing innovative products, services or processes	2, 3, 8	4, 15	1	1, 2, 3
12	◆ personal statement (reflections on your role in leading the team in introducing innovative products, services or processes that they have proposed)	1, 4, 5, 6, 7	1, 2, 3, 6, 7, 8, 9, 10, 11, 13, 14, 15	1	1, 2, 3, 4, 5
	◆ witness statements (commentaries on your role in leading the team in introducing innovative products, services or processes that they have proposed)	1, 2, 3, 4, 6, 7, 8	–	–	–

D5 Allocate and check work in your team (DR3W 04)

Unit summary

What is the Unit about?

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

Who is the Unit for?

The Unit is recommended for team leaders.

Links to other Units

This Unit is linked to Units **B5 Provide leadership for your team (DR73 04)**, **D1 Develop productive working relationships with colleagues (DR4A 04)** and **D6 Allocate and monitor the progress and quality of work in your area of responsibility (DR3Y 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- ◆ communicating
- ◆ providing feedback
- ◆ planning
- ◆ reviewing
- ◆ motivating
- ◆ valuing and supporting others
- ◆ problem solving
- ◆ monitoring
- ◆ decision making
- ◆ prioritising
- ◆ team building
- ◆ managing conflict
- ◆ information management
- ◆ leadership
- ◆ coaching
- ◆ delegating
- ◆ setting objectives
- ◆ stress management

D5 Allocate and check work in your team (DR3W 04)

Outcomes of effective performance

You must be able to do the following:

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

Behaviours which underpin effective performance

- 1 You make time available to support others.
- 2 You clearly agree what is expected of others and hold them to account.
- 3 You prioritise objectives and plan work to make best use of time and resources.
- 4 You state your own position and views clearly and confidently in conflict situations.
- 5 You show integrity, fairness and consistency in decision-making.
- 6 You seek to understand people's needs and motivations.
- 7 You take pride in delivering high quality work.
- 8 You take personal responsibility for making things happen.
- 9 You encourage and support others to make the best use of their abilities.
- 10 You are vigilant for possible risks and hazards.

D5 Allocate and check work in your team (DR3W 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

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

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

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

D5 Allocate and check work in your team (DR3W 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
Records of work allocation to your team and its members:					
1	◆ notes of meetings with your manager, schedules and other documents recording the work required from your team, and any priorities	7, 8	2, 3, 4, 11	1	1, 2, 3, 4
2	◆ detailed work schedules, timetables and other plans for individual and team work activities, tasks, production targets or other ways of defining workloads	2, 3, 5, 7, 8, 10	3, 4, 5, 11	1, 2	1, 2, 3, 4, 5, 6, 8, 9
3	◆ notes of team briefings to allocate individual and team work activities, tasks, targets, etc	1, 2, 3, 4, 5, 6, 7, 9	1, 5, 6, 7, 9, 11	1, 2	1, 2, 3, 4, 5, 6, 7,
4	◆ personal statements (reflections on the process and reasoning behind work allocation, including work priorities, availability of resources, and the relative abilities and development needs of team members)	3, 5, 7, 8, 10	3, 4, 5, 6, 11	1, 2	1, 2, 3, 4, 5, 6, 7, 8, 9
5	◆ witness statements (comments on the process of work allocation and perceptions of its fairness, appropriateness and clarity)	1, 4, 5, 6, 9	-	-	-
Records of the quality and quantity of the team's output:					
5	◆ records of the monitoring of work output/production for quality, consistency with specifications, etc (eg quality control charts, etc) that you have collected	2, 5, 7, 8	1, 8, 9, 12, 13, 14, 15	1	1, 2, 3, 4.
6	◆ records of individual and team work output or production records, production/operational reports that you have prepared, etc	2, 5, 7, 8	1, 8, 9, 12, 13, 14, 15	1, 2	1, 2, 3, 4, 5, 6, 8
7	◆ notes, reports, recommendations to managers or other records of problems or critical incidents and action you have taken in relation to supplied materials; equipment, vehicles or facilities; product/service quality; health, safety or security; customers; or team members' work performance (including issues requiring disciplinary action, and training or coaching activity you have undertaken)	4, 5, 7, 8	4, 8, 12, 12, 14, 15	1	1, 2, 3, 5, 6, 7, 8, 9, 10, 11, 12
8	◆ notes, e-mails, memos or other records of formal or informal feedback or performance appraisal of team members	2, 5, 9	1, 6, 7, 8, 9, 10, 13, 15	1, 2	1, 2, 5, 6, 7, 8, 9, 10, 11, 12
9	◆ personal statement (reflections on your own role in dealing with problems or critical incidents affecting the team and its performance, and how you encourage the team and individual members to work to the best of their ability to achieve or exceed targets for quality and quantity of products or services)	1, 2, 3, 4, 5, 6, 7, 8, 9	4, 8, 12, 12, 14, 15	1, 2	1, 2, 5, 6, 7, 8, 9, 10, 11, 12
10	◆ witness statements (comments on your own role in dealing with problems or critical incidents affecting the team and its performance, and how you encourage the team and individual members to work to the best of their ability to achieve or exceed targets for quality and quantity of products or services)	1, 2, 4, 5, 6, 9	-	-	-
11					
12					

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* which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114 241 2155 or at the SFEDI website (www.sfedi.co.uk).

Skills

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

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

D7 Provide learning opportunities for colleagues (DR7C 04)

Outcomes of effective performance

You must be able to do the following:

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

Behaviours which underpin effective performance

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

D7 Provide learning opportunities for colleagues (DR7C 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

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

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

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

D7 Provide learning opportunities for colleagues (DR7C 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Identification of development needs, plans to meet development needs and monitoring and review of development activity:				
1	◆ notes, memos, e-mails or other records of feedback and performance appraisals/reviews, and of discussions or identification of learning and development preferences and needs (including learning styles, personal constraints, learning disabilities and difficulties that affect learning)	3, 4, 5, 6, 7, 8, 9, 10	1, 4, 5, 6, 7, 8, 12, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 8, 10, 11, 12
2	◆ details of support arrangements inside and outside the organisation (eg a training department's or external supplier's assessment services) that you have identified and arranged for a colleague to access	2, 3, 4, 5	1, 4, 12, 13, 16	1, 2, 3	5, 6, 8, 9, 10, 11, 12
3	◆ 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
4	◆ 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
5	◆ notes, memos, e-mails or other records of meeting or discussions you have had with colleagues to review their learning and its effect on their performance	3, 4, 5, 6, 8, 10	1, 2, 3, 14, 15	1, 2, 3	1, 2, 3, 4, 5, 10, 11, 12
6	◆ 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
7	◆ 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	-	-	-

D8 Help team members address problems affecting their performance (F2GX 04)

Unit summary

What is the Unit about?

This Unit is about helping members of your team address problems affecting their performance. These may be work-related problems or problems arising from their personal circumstances.

The Unit involves identifying problems affecting people's performance and discussing these in a timely way with the team members concerned to help them find a suitable solution to their problem. Sometimes you may need to refer the team member to specialist support services.

Who is the Unit for?

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

Links with other Units

This Unit is linked to Units **B8 Ensure compliance with legal, regulatory, ethical and social requirements (DR50 04)**, **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.

Skills

Listed below are the main generic 'skills' which need to be applied in helping team members address problems affecting their performance. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ◆ acting assertively
- ◆ communicating
- ◆ consulting
- ◆ decision-making
- ◆ empathising
- ◆ information management
- ◆ managing conflict
- ◆ monitoring
- ◆ problem solving
- ◆ providing feedback
- ◆ reviewing
- ◆ setting objectives
- ◆ team building
- ◆ valuing and supporting others

D8 Help team members address problems affecting their performance (F2GX 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Give team members opportunities to approach you with problems affecting their performance.
- 2 Identify performance issues and bring these promptly to the attention of the team members concerned.
- 3 Discuss problems with team members at a time and place appropriate to the type, seriousness and complexity of the problem.
- 4 Gather and check information to accurately identify the problem and its cause.
- 5 Discuss the range of alternative courses of action and agree with the team member a timely and effective way of dealing with the problem.
- 6 Refer the team member to support services or specialists, where necessary.
- 7 Keep a confidential record of your discussions with team members about problems affecting their performance.
- 8 Ensure your actions are in line with your organisation's policies for managing people.

Behaviours which underpin effective performance

- 1 You find practical ways to overcome barriers.
- 2 You show empathy with others' needs, feelings and motivations and take an active interest in their concerns.
- 3 You make time available to support others.
- 4 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 5 You show integrity, fairness and consistency in decision-making.
- 6 You confront performance issues and resolve them directly with the people involved.
- 7 You keep confidential information secure.
- 8 You check the validity and reliability of information.
- 9 You identify the implications or consequences of a situation.
- 10 You take timely decisions that are realistic for the situation.

D8 Help team members address problems affecting their performance (F2GX 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The importance in giving team members opportunities to approach you with problems affecting their performance.
- 2 How to encourage team members to approach you with problems affecting their performance.
- 3 The importance of identifying performance issues and bringing these promptly to the attention of the team members concerned.
- 4 The importance of discussing problems with team members at a time and place appropriate to the type, seriousness and complexity of the problem.
- 5 How to gather and check the information you need to identify the problem and its cause.
- 6 The importance of identifying the problem accurately.
- 7 The range of alternative courses of action to deal with the problem.
- 8 The importance of discussing and agreeing with the team member a timely and effective way of dealing with the problem.
- 9 When to refer the team member to support services or specialists.
- 10 The importance of keeping a confidential record of your discussions with team members about problems affecting their performance, and how to do so.
- 11 The importance of ensuring your actions are in line with your organisation's policies for managing people and their performance.

Industry/sector specific knowledge and understanding

- 1 Industry/sector requirements for helping team members address problems affecting their performance.

Context specific knowledge and understanding

- 1 The types of problems that your team members may encounter which can affect their performance.
- 2 Your role, responsibilities and limits of authority when dealing with team members' problems.
- 3 The range of support services or specialists that exist inside and outside your organisation.
- 4 Your organisation's policies for managing people and their performance.

D8 Help team members address problems affecting their performance (F2GX 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
1 2	Identification of a possible performance problem with a team member:				
	◆ records of individual performance, such as time logs, attendance records, records of output and quality	4, 5, 7, 8, 9,	3, 5, 6, 10, 11	—	1, 2
	◆ letters, memos, e-mails from, and notes of conversations with customers, colleagues or managers regarding a team member's performance	4, 5, 7, 8, 9	3, 5, 6, 10, 11	—	1, 2
	◆ notes of own observations of a team member's performance	2, 3, 4, 5, 6, 7	3, 5, 6, 10, 11	—	1, 2
	◆ personal statement (your reflections on your role in identifying a team member's performance problems)	2, 3, 4, 5, 6, 7, 8, 9, 10	3, 5, 6, 10, 11	—	1, 2
3 4 5 6 7 8	Records of meetings to resolve a team member's performance problems:				
	◆ notes, e-mails, memos and other records of informal meetings to discuss a team member's performance	1, 2, 3, 4, 5, 6, 7, 9, 10	1, 2, 3, 4, 5, 6, 7, 8, 10, 11	1	2, 3, 4
	◆ records of formal performance appraisal, performance management, competence or disciplinary meetings to review a team member's performance	1, 2, 3, 4, 5, 6, 7, 9, 10	1, 2, 3, 4, 5, 6, 7, 8, 10, 11	1	1, 2, 3, 4
	◆ details of support arrangements inside and outside the organisation (eg training or coaching opportunities) that you have identified and arranged for a colleague to access to improve performance	1, 2, 3, 6, 8, 9, 10	7, 8	1	3
	◆ personal statement (your reflections on your role in resolving problems with a team member's performance)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8, 10, 11	1	1, 2, 3, 4
	◆ witness statement (comments on your role in resolving problems with a team member's performance)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	—	—	—

D12 Participate in meetings (F2GY 04)

Unit summary

What is the Unit about?

This Unit is about participating in meetings in an active and constructive way.

It involves preparation before the meeting, perhaps researching information, consulting with others and clarifying your own objectives and opinions on the various agenda items. It also involves taking a positive stance within the meeting, presenting information and opinions clearly and concisely and acknowledging and building on the contributions of others, in order to arrive at the meeting's objectives. After the meeting, it may be necessary to communicate decisions to other people, in line with any protocol agreed at the meeting.

Who is the Unit for?

The Unit is recommended particularly for managers at all levels.

Links with other Units

This Unit is linked to Units **D11 Lead meetings (F2H2 04)**, **E10 Take effective decisions (F2H4 04)**, and **E11 Communicate information and knowledge (F2H5 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

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

D12 Participate in meetings (F2GY 04)

Outcomes of effective performance

You must be able to do the following:

- 1 Brief yourself on the content of the meeting, identify relevant information and clarify your opinions on various agenda items.
- 2 Consult with those who have an interest in the various agenda items in order to understand and be able to represent their opinions.
- 3 Clarify your objectives from the meeting — what you hope the meeting will achieve.
- 4 Present relevant information to the meeting clearly and concisely.
- 5 Present your opinions and the interests of those you are representing in a convincing way, providing evidence to support your case, if required.
- 6 Articulate any issues and problems emerging from discussions and propose and evaluate possible solutions.
- 7 Acknowledge and constructively discuss information and opinions provided by other people.
- 8 Clarify decisions taken on the various agenda items, where necessary.
- 9 Communicate decisions clearly and concisely and in a timely way to those who have an interest in the various agenda items, in line with any communication protocol agreed at the meeting.

Behaviours which underpin effective performance

- 1 You address multiple demands without losing focus or energy.
- 2 You show respect for the views and actions of others.
- 3 You present information clearly, concisely, accurately and in ways that promote understanding.
- 4 You keep people informed of plans and developments.
- 5 You state your own position and views clearly and confidently in conflict situations.
- 6 You make best use of existing sources of information.
- 7 You check the validity and reliability of information.
- 8 You state your own opinions, views and requirements clearly.
- 9 You present ideas and arguments convincingly and in ways that strike a chord with people.
- 10 You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.

D12 Participate in meetings (F2GY 04)

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The importance of briefing yourself on the content of the meeting.
- 2 How to identify relevant information for the meeting and clarify your opinions on various agenda items.
- 3 The importance of consulting those who have an interest in the various agenda items, and how to do so in order to understand and be able to represent their opinions.
- 4 The importance of setting your objectives for the meeting, and how to do so.
- 5 The importance of presenting relevant information and opinions to the meeting clearly and concisely, and how to do so.
- 6 How to represent your opinions and the interests of those you are representing in a convincing way.
- 7 The importance of identifying and articulating any issues and problems emerging from discussions, and how to contribute to resolving them.
- 8 The importance of acknowledging information and opinions provided by other people and how to discuss these constructively.
- 9 The importance of clarifying decisions taken on various agenda items, where necessary, and how to do so.
- 10 The importance of communicating decisions clearly and in a timely way to those who have an interest in the various agenda items, and how to do so in line with any communication protocol agreed at the meeting.

Industry/sector specific knowledge and understanding

- 1 Industry/sector requirements for participating in meetings.

Context specific knowledge and understanding

- 1 The types and sources of information relevant for the meeting.
- 2 People who have an interest in the various agenda items.

D12 Participate in meetings (F2GY 04)

Evidence Requirements

Outcomes	Evidence of Outcomes: ◆ possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Records of your participation in meetings:				
1	◆ notes of discussions and e-mails and memos showing your consultation with others about the meeting	1, 2, 4, 5, 6, 7	1, 2, 3	—	1, 2
2	◆ copies of agenda and preparatory reading with notes of issues to be raised	6, 7	1, 2, 4	—	1
3	◆ papers you have presented, copies of any visual aids you have used and notes and minutes of the meeting	1, 2, 3, 4, 5, 6, 7, 8, 9	2, 5, 6, 7, 8, 9	1	1
4	◆ showing your contribution				
5	◆ copies of reports, e-mails or memos you have prepared and notes or copies of presentations used in	2, 3, 4, 5, 6, 7, 8, 9	7, 8, 9, 10	—	2
6	◆ briefings about the meeting				
7	◆ personal statement (your reflections on your participation in meetings)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1	1, 2
8	◆ witness statement (comments on your participation in meetings)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	—	—	—
9					

F5 Resolve customer service problems (DV02 04)

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

Unit overview

The delivery of excellent customer service involves meeting and exceeding customer expectations.

However, even if your customer service overall is excellent, some customers will experience problems. Part of your job is to help to resolve those problems.

Some problems are reported by customers. In other situations, you spot the problem first and resolve it before your customer has even noticed that there might be a problem.

For this Unit you need to resolve both types of problem having looked at all the options.

This Unit is particularly important to customer service because many customers judge the customer service of your organisation by the way in which their problems are resolved.

NB: This is Unit 4 from the Customer Service National Occupational Standards at level 2.

F5 Resolve customer service problems (DV02 04)

Element 1: Identify customer service problems

You need to show that you:

- 1.1 gather and interpret information from your customers about problems they have raised
- 1.2 ask your customers appropriate questions to check your understanding of their problems
- 1.3 identify repeated problems and alert the appropriate authority
- 1.4 share customer feedback with others to help identify potential problems before they occur
- 1.5 work independently or with others to identify problems with systems and procedures before they begin to affect your customers

Element 2: Select the best solution to resolve customer service problems

You need to show that you:

- 2.1 identify the available options for resolving customer service problems
- 2.2 consult with others to identify and confirm the options available to resolve those problems
- 2.3 work out the advantages and disadvantages of each option for your customer and your organisation
- 2.4 select the best overall option for your customer and your organisation
- 2.5 suggest to your customer other ways that problems may be resolved if you are unable to help

Element 3: Implement the solution to customer service problems

You need to show that you:

- 3.1 discuss and agree the proposed option for solving the problem with your customers
- 3.2 take action to implement the option agreed with your customers
- 3.3 work with others and your customers to make sure that any commitments related to solving the problem are kept
- 3.4 keep your customers fully informed about what is happening to resolve problems
- 3.5 check with your customers to make sure the problem has been resolved to their satisfaction
- 3.6 give clear reasons to your customers when the problem has not been resolved to their satisfaction

Knowledge and Understanding

You will have an awareness of the basic legal and organisational responsibilities you need to apply when you are dealing with your customers.

You will need to show in your evidence that you have worked within the rules and regulations of your organisation and, where your knowledge of these is limited, you will need to show that you have gone to others for help or advice.

The rules and procedures you need to apply will depend on the industry and organisation you are working in. How much you need to know and understand will depend on your job role and your position in your organisation. You may need to ask somebody in your organisation or your assessor what these rules and regulations are and how they apply to your current job, or you may already know.

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

- 1 what your customers' rights are and how these rights limit what you are able to do for your customer.
- 2 the specific aspects of:
 - ◆ health and safety
 - ◆ data protection
 - ◆ equal opportunities
 - ◆ disability discrimination
 - ◆ legislation and regulationsthat affect the way the products or services you deal with can be delivered to your customers
- 3 industry, organisational and professional codes of practice and ethical standards that affect the way the products or services you deal with can be delivered to your customers.
- 4 any contractual agreements that your customers have with your organisation.
- 5 the products or services of your organisation relevant to your customer service role.
- 6 the guidelines laid down by your organisation that limit what you can do within your job.
- 7 the limits of your own authority and when you need to seek agreement with or permission from others.
- 8 any organisational targets relevant to your job, your role in meeting them and the implications for your organisation if those targets are not met.
- 9 how to communicate in a clear, polite, confident way and why this is important.

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

- 10 organisational procedures and systems for dealing with customer service problems.
- 11 how to defuse potentially stressful situations.
- 12 how to negotiate.
- 13 the limitations of what you are able to offer your customer.

Evidence Requirements

Simulation is not allowed for any performance evidence within this Unit. You must supply all the evidence from work you have carried out with customers in your workplace. Your customers can be internal or external to the organisation or a combination of both.

You must prove that you have dealt effectively with a series of customer service problems. You must produce evidence that shows you have done this over a period of time with different customers on different occasions.

Your evidence must include examples of solving problems involving each of the following:

- ◆ problems first identified by customers
- ◆ problems that you have identified before they affect your customer
- ◆ problems due to differences between your customers' expectations and what your organisation can offer
- ◆ problems due to a system or procedure failure
- ◆ problems due to a lack of resources or human error

Your evidence will need to show that you:

- ◆ have made positive efforts to keep your customers informed at all times while problems are being resolved
- ◆ supplied relevant information tactfully when customers have requested it
- ◆ supplied relevant information tactfully when customers have not requested it
- ◆ have used agreed organisational procedures when solving problems
- ◆ have made exceptions to usual practice with the agreement of others

All options you have considered must be based on the existing products or services offered by your organisation.

Your evidence must show that you have applied the knowledge and understanding requirements when you are dealing with your customers.

F7 Support customer service improvements (DR7T 04)

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

Unit overview

If you have chosen this Unit your organisation should be encouraging you to get involved with making changes to improve customer service.

Organisations change the way they deliver service to their customers because customer expectations rise and other organisations improve the services they offer.

Your job involves delivering customer service. If your organisation has decided to make changes it is your job to support them and to present them positively to your customers. Also, by listening to customer comments you may have your own ideas about how the service you deliver could be improved.

In this Unit you need to show how you provide support for changes that your organisation has introduced. In addition, you need to present your own ideas for improvements to someone in your organisation who will be able to judge whether your idea has possibilities for change and improvement.

NB: This is Unit 5 from the Customer Service National Occupational Standards at level 2.

F7 Support customer service improvements (DR7T 04)

Element 1 Use feedback to identify potential customer service improvements

You need to show that you:

- 1.1 gather informal feedback from your customers when you deal with them
- 1.2 use agreed customer feedback procedures to obtain information from your customers on their needs and expectations
- 1.3 use the information obtained from your customers to develop a better understanding of their needs and expectations
- 1.4 identify ways the service you give your customers could be improved based on the information you have gathered
- 1.5 discuss your ideas for improving customer service with others

Element 2 Contribute to the implementation of changes in customer service

You need to show that you:

- 2.1 identify a possible change that could be made to improve the service you give to your customers
- 2.2 present your idea for improving the service you give to the appropriate authority
- 2.3 carry out changes to customer service systems or procedures either based on your own idea or proposed by your organisation
- 2.4 keep your customers informed of changes to customer service in accordance with organisational guidelines
- 2.5 work positively with others to support the changes made by your organisation

Element 3 Assist with the evaluation of changes in customer service

You need to show that you:

- 3.1 discuss with others how changes to customer service are working
- 3.2 work with others to identify the negative aspects of changes and how these can be resolved

Knowledge and Understanding

You will have an awareness of the basic legal and organisational responsibilities you need to apply when you are dealing with your customers.

You will need to show in your evidence that you have worked within the rules and regulations of your organisation and, where your knowledge of these is limited, you will need to show that you have gone to others for help or advice.

The rules and procedures you need to apply will depend on the industry and organisation you are working in. How much you need to know and understand will depend on your job role and your position in your organisation. You may need to ask somebody in your organisation or your assessor what these rules and regulations are and how they apply to your current job, or you may already know.

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

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

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

- 10 how the customer experience is influenced by the way service is delivered
- 11 how customer feedback from customers is obtained
- 12 how to work with others to identify and support change in the way service is delivered

Evidence Requirements

Simulation is not allowed for any performance evidence within this Unit. You must supply all the evidence from work you have carried out with customers in your workplace. Your customers can be internal or external to the organisation or a combination of both.

You must prove that you have worked to support customer service improvement initiatives within your organisation.

You must also show that you:

- ◆ have supported improvements to customer service over a period of time
- ◆ have made positive contributions to improving customer service through both your individual efforts and by working with others

Your evidence is likely to result from two or three changes with which you have been actively involved. In each case you must be able to identify the part you played in:

- ◆ collecting customer feedback and linking it to change
- ◆ implementing the change
- ◆ gathering customer reactions to change

Your evidence will also need to show:

- ◆ how the changes have improved customer service
- ◆ how your customers have reacted to the changes

The changes which form the basis of your evidence may be either:

- ◆ changes in the products or services offered by your organisation
- or**
- ◆ changes in how products or services are supplied
- or**
- ◆ changes in how you and your colleagues behave when delivering products or services

Your evidence must show that you have applied the knowledge and understanding requirements when you are dealing with your customers.