



# **Assessment Guidance for the SVQ2 Team Leading SCQF level 5 (GC49 22)**

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# General introduction

The National Occupational Standards (NOS) making up the Scottish Vocational Qualifications (SVQs) in Management and Team Leading were developed by the Management Standards Centre (MSC). MSC was the government recognised standards-setting body for management and leadership. This role is now under the remit of Skills CFA. The NOS are designed to act as a benchmark of best practice.

Skills CFA has produced an Assessment Strategy for the SVQs in Management and Team Leading 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 SQA's website

[http://www.sqa.org.uk/sqa/files\\_ccc/M&L%20Assessment%20Strategy%20\(26April2011\).pdf](http://www.sqa.org.uk/sqa/files_ccc/M&L%20Assessment%20Strategy%20(26April2011).pdf)

The SVQ2 Team Leading SCQF level 5 is a nationally recognised qualification awarded by the Scottish Qualifications Authority (SQA) in partnership with 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 SVQ2 Team Leading SCQF level 5, 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 SVQ2 Team Leading SCQF level 5 are shown in page 19.

## About SVQs and the SCQF

Scottish Vocational Qualifications (SVQs) are work-based qualifications which set the level of occupational competence for each sector of the economy and are usually delivered in the workplace or in partnership with a college or other training provider. The qualifications have been designed by standards-setting bodies made up of experienced practitioners who represent employers, professional bodies, trade unions, education and voluntary organisations.

Each standards-setting body is responsible for developing national standards which define *what* employees (or potential employees) must be able to do, *how well*, and *in what circumstances*, to show that they are competent in their work.

Each SVQ which a standards-setting body develops has to fit into a broad framework which allows qualifications in the UK and throughout Europe to be compared.

There are SVQs for nearly all occupations in Scotland and they are available at SVQ levels 1–5. SVQs are currently notionally placed in the SCQF as the individual SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ. SVQs are a means of recognising the skills and knowledge people need in employment, ie job competence. Successful completion of an SVQ provides clear evidence that the learner works to nationally recognised occupational standards.

Each Unit defines one aspect of a job or work-role, and says what it is to be competent in that aspect of the job. To be awarded a full SVQ, learners must achieve each of the SVQ Units which make it up by demonstrating that they are competent in that aspect of the job.

The Units which make up the SVQ can also be taken as freestanding awards. Some SVQs or SVQ Units are incorporated into other awards or programmes including Professional Development Awards (PDAs), and Modern Apprenticeships.

The Units making up the SVQ in Team Leading have been credit rated and levelled on the Scottish Credit and Qualifications Framework (SCQF). The overall SCQF level for the SVQ2 Team Leading is SCQF level 5. An explanation of the SCQF levels is shown below. Further information on the SCQF can be found on [www.scqf.org.uk](http://www.scqf.org.uk)

### **Explanation of levels**

#### **SVQ1 (SCQF level 4)**

Competence involves the application of knowledge and skills in the performance of a range of varied work activities, most of which may be routine or predictable.

#### **SVQ2 (SCQF level 5)**

Competence involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. At this level, there will be activities, which are complex or non-routine and there is some individual responsibility and autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.

**SVQ3**  
**(either SCQF level 6 or 7)**

Competence involves the application of knowledge and skills in a broad range of varied work activities, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often present.

**SVQ4**  
**(either SCQF level 8 or 9)**

Competence involves the application of knowledge and skills in a broad range of complex technical or professional work activities, performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.

**SVQ5**  
**(SCQF level 11)**

Competence involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal accountability.

## 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 overview**
- ◆ **Skills**
- ◆ **Performance Criteria**
- ◆ **Behaviours**
- ◆ **Knowledge and Understanding**
- ◆ **Evidence Requirements**

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

Each Unit consists of:

**Unit overview** — this provides information on what the Unit is about, who the Unit is intended for and links with other Units. This section of the Unit is for guidance.

**Skills** — this section lists the main generic skills which are needed to perform effectively.

**Performance Criteria** — this section describes the activities managers are expected to perform.

**Behaviours** — 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.

# Assessment Strategy for the SVQs in Management and Team Leading

This section of the document is based on the final Assessment Strategy developed by Skills CFA 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 SQA's website [http://www.sqa.org.uk/sqa/files\\_ccc/M&L%20Assessment%20Strategy%20\(26April2011\).pdf](http://www.sqa.org.uk/sqa/files_ccc/M&L%20Assessment%20Strategy%20(26April2011).pdf)

## 1 External quality control

Skills CFA has included a number of measures in the assessment strategy to achieve external quality control of assessment. These relate to Awarding Bodies (ABs) and include the need for ABs to have appropriate risk management processes in place. SQA will apply its normal risk rating strategy to ensure that any risk to National Standards and wrongful certification is minimised by the use of a structured approach to risk identification and subsequent targeting of SQA's support and monitoring activity.

## 2 Assessing performance

The SVQs in Management and Team Leading 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 Performance Criteria
- ◆ possess and are capable of applying all the required items of Knowledge and Understanding

Assessment of all Units at any level of Management and Team Leading SVQs may be based on either candidate performance at work or through simulation. However, simulation can only be used in exceptional circumstances and must be approved by SQA (See Section 3 below).

Units which have been imported by Skills CFA in their Management and Team Leading SVQs will be assessed in compliance with the imported assessment strategies.

### 3 Simulation of SVQ Units

Simulation is only permitted in exceptional circumstances where natural work evidence is unlikely to occur. It should be used sparingly and should only form a small part of the evidence for the qualification. It should **not** be used for any part of the leadership and management role that involves the direct supervision of others.

Where a centre believes simulation is necessary for a candidate to achieve the award, it must seek prior approval from SQA before it is used. Evidence of agreement for the use of simulation must be retained for External Verification purposes.

### 4 Occupational expertise to assess performance, and verify assessments

Candidates work achievements must be assessed or verified **at work** by:

- (a) **Assessors** or **verifiers** who have achieved, or are working towards achievement of, the appropriate regulatory body approved qualifications for assessment or verification (see section 5 below for details);

**OR**

- (b) A trainer, supervisor or manager, elected by an employer, who must either:

- (i) Have achieved, or be working towards achieving, appropriate regulatory body approved Unit qualifications for assessment, moderation or verification;

**OR**

- (ii) Seek guidance and approval from their awarding body to demonstrate that the;

- ◆ Organisation has appropriate processes in place to facilitate assessment or verification functions;
- ◆ Trainer, supervisor or manager is able to map their assessment or verification skills and knowledge 100% to the National Occupational Standards upon which the qualifications above are based. This is known as the employer direct model in Scotland.

**Assessors** must be occupationally competent to make Management and Team Leading assessment judgements about the level and scope of individual candidate performance at work; and occupationally competent to make assessment judgements about the quality of assessment and the assessment process.

**Internal Verifiers** must be occupationally competent to make Management and Team Leading verification judgements about the quality of assessment and the assessment process.

Skills CFA and SQA requires all assessors, and verifiers to maintain current Management and Team Leading competence to deliver these functions. Skills CFA recognises this can be achieved in many ways but must be recorded in individual continual professional development (CPD) records that are maintained in Management and Team Leading assessment centres.

## **5 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, L&D9DI *Assess Workplace Competence Using Direct and Indirect Methods* or be in possession of A1\* *Assess Candidates Using a Range of Methods* or D32\* and D33\*. Internal verifiers must hold or be working towards the Verifier Unit, L&D11 *Internally Monitor and Maintain the Quality of Workplace Assessment* or be in possession of V1\* *Conduct Internal Quality Assurance of the Assessment Process* or of D34\*.

\* plus CPD: working in line with current standards.

## 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 Performance Criteria 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 only allowed in exceptional circumstances and centres must seek prior approval from SQA before using simulation for assessment purposes.

To help identify relevant, tangible, evidence, the *Evidence Requirements* of each Unit list a wide range of possible items of evidence, and show which *Performance Criteria* 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 *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 *Performance Criteria* required, and show which *Knowledge and Understanding* are also apparent.

A Personal Statement may accompany the evidence for each Unit. The *Evidence Requirements* identify certain *Performance Criteria* 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 performance in achieving certain Performance Criteria and linking performance to *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 Performance Criteria 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:

PC	Evidence of Outcomes: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
1	<b>Your evaluation of the current and future requirements of your work role, based on both formal and informal sources:</b> ◆ job descriptions ◆ notes of conversations ◆ personal statements ◆ corporate plans, objectives	1, 2, 3, 5 1, 3, 5, 13 2, 5, 7 3	1, 2 1, 2 1 1	1, 11 9, 12 1, 3, 4 2, 4, 9

Identifies the performance criteria this set of evidence is likely to demonstrate

The general set of evidence

Specific items of evidence that candidates may have produced

The General, Industry specific and Context specific Knowledge and Understanding that may be shown through this evidence

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

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

Most of the Units have Evidence Requirements in this format. However, Units developed by other standards-setting bodies and more recent Skills CFA Units have a slightly different format.

# Types of evidence

## Observation

The assessor records judgements of observed practice, showing the skills demonstrated by a candidate, and records how Performance Criteria 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 Performance Criteria 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 Performance Criteria 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 Performance Criteria and Knowledge and Understanding.

## Accreditation of prior learning (APL)

Prior achievements of the candidate can be used to evidence the Performance Criteria 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 Performance Criteria and Knowledge



# Using the Evidence Requirements in the Management and Team Leading 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 performance 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 Performance Criteria and the Knowledge and Understanding. The *Evidence Requirements* produced illustrate 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 (SCQF level 5), for example, claims for competence may contain little reflection but at level 5 (SCQF level 11) 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 (SCQF level 11) can be expected to provide detailed statements (either in writing or orally) but those at level 2 (SCQF level 5) may be very brief and could be transcripts provided by the assessor.

### **3 Access to evidence**

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

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

### **4 Confidentiality**

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

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

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## Getting candidates started

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

At the start, the assessor and candidate should meet and draw up an assessment plan.

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

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

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

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

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## Structure for the SVQ2 Team Leading SCQF level 5

Candidates will need to complete four mandatory Units and two optional Units in order to achieve the full qualification.

### Mandatory Units (all of the following):

Skills CFA code	SQA code	Units	SCQF level	SCQF credit
M&LA1	DR64 04	Manage your own resources	6	7
M&LD1	FD3H 04	Develop productive working relationships with colleagues	6	9
M&LD5	FM52 04	Allocate and check work in your team	5	12
M&LE5	FM5E 04	Ensure your own actions reduce risks to health and safety	5	4

### Optional Units (two of the following):

Skills CFA code	SQA code	Units	SCQF level	SCQF credit
M&LB5	FM4J 04	Provide leadership for your team	7	9
M&LC1	FM4N 04	Encourage innovation in your team	6	11
M&LD8	F2GX 04	Help team members address problems affecting their performance	6	5
M&LD12	F2GY 04	Participate in meetings	5	2
M&LD14	FM57 04	Initiate and follow disciplinary procedure	6	6
M&LD15	FM58 04	Initiate and follow grievance procedure	6	6
M&LF5	FM5T 04	Resolve customer service problems	5	6
M&LF6	FM5V 04	Monitor and solve customer service problems	6	6
M&LF7	FM5W 04	Support customer service improvements	5	5
M&LF8	FM5X 04	Work with others to improve customer service	6	8
M&LDA3	H41M 04	Induct individuals into their roles	6	4
M&LDB5	H41N 04	Manage team communications	5	3
M&LDB9	H41P 04	Promote staff wellbeing	6	5
M&LDC1	H41R 04	Identify individuals' learning needs and styles	6	4

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## **SVQ2 Team Leading SCQF level 5 — Mandatory Units**

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## **M&LA1    Manage your own resources**

### **Overview**

#### **What this Unit is 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 where gaps have been identified.

#### **Who this Unit is for**

The Unit is recommended for team leaders.

#### **Links to other Units**

This Unit is linked to Unit A2. Manage your own resources and professional development in the overall suite of National Occupational Standards for Management and Leadership.

## **M&LA1    Manage your own resources**

### **Skills**

Listed below are the main generic 'skills' that 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

## **M&LA1    Manage your own resources**

### **Performance Criteria**

*You must be able  
to:*

- 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.

## **M&LA1    Manage your own resources**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 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 seek new sources of support when necessary.

## M&LA1 Manage your own resources

### Knowledge and Understanding

*You need to know and understand:*

### 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 that 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.

## **M&LA1    Manage your own resources**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

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



## **M&LA1    Manage your own resources**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

## M&LA1 Manage your own resources

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Your evaluation of the requirements of your work role, based on both formal and informal sources:</b>			
PC1	◆ your job description	2	-	1
	◆ notes of conversations with managers and colleagues about their expectations	2, 9	1	1, 2, 3
	◆ personal statement (reflections on role tasks and responsibilities)	2	1	1, 2
	<b>Your personal work objectives and records of achievement against these objectives</b>			
PC2 PC9	◆ notes, minutes, reports or other records of performance review or appraisal meetings, team meetings or other meetings at which you agreed your work objectives	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	5, 9, 10	1	1, 2, 3, 4, 5
	◆ witness statements (comments on your achievement of agreed objectives)	-	-	-
	<b>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:</b>			
PC3	◆ qualification certificates and transcripts	5	-	-
PC4	◆ personality and skill inventories and assessment centre reports	5, 9	-	5
PC6	◆ appraisal/performance review records and notes or other records of informal feedback	1, 2, 4, 5, 9	1	4, 5
PC7	◆ development plans	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)	1, 5, 6, 7, 9	1	5, 6, 7, 8
	<b>Evidence of having undertaken training and development activity to meet identified development needs:</b>			
PC5	◆ attendance certificates and post-course evaluation reports	-	1	7, 8, 9
	◆ witness statements (comments on your learning and its application to the work role)	-	-	-
	◆ personal statements (reflections on learning and its application to the work role)	8	1	7, 8, 9

PC	Evidence of Performance Criteria: ♦ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
PC8	<b>Work schedules, time plans or similar records of work activity that shows task plans and reviews:</b>			
	♦ proprietary time planner systems and self-designed schedules or plans that you have prepared	<b>3, 4, 10, 11</b>	-	<b>1, 2</b>
	♦ outputs of electronic systems (eg MS Schedule) that you have prepared	<b>3, 4, 10, 11</b>	-	<b>1, 2</b>

## **M&LD1    Develop productive working relationships with colleagues**

### **Overview**

#### **What this Unit is 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, including your manager.

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

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

#### **Links to other Units**

This Unit is linked to all other Units in the overall suite of National Occupational Standards for Management and Leadership where developing productive relationships with colleagues may be required.

## **M&LD1    Develop productive working relationships with colleagues**

### **Skills**

Listed below are the main generic 'skills' that 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

## **M&LD1    Develop productive working relationships with colleagues**

### **Performance Criteria**

*You must be able to:*

- 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 and, particularly in situations of matrix management, their managers' requirements.
- 3 Understand and take account of the priorities, expectations and authority of colleagues in decisions and actions.
- 4 Create an environment of trust and mutual respect where you have no authority, or shared authority, over those you are working with.
- 5 Understand difficult situations and issues from your colleague's perspective and provide support, where necessary, to move things forward.
- 6 Fulfil agreements made with colleagues and let them know.
- 7 Advise colleagues promptly of any difficulties or where it will be impossible to fulfil agreements.
- 8 Identify and sort out conflicts of interest and disagreements with colleagues in ways that minimise damage to work being carried out.
- 9 Exchange information and resources with colleagues to make sure that all parties can work effectively.
- 10 Provide feedback to colleagues on their performance and seek feedback from colleagues on your own performance in order to identify areas for improvement.

## **M&LD1    Develop productive working relationships with colleagues**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 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.

## **M&LD1    Develop productive working relationships with colleagues**

### **Knowledge and Understanding**

*You need to know and understand:*

### **General Knowledge and Understanding**

- 1    The benefits of developing productive working relationships with colleagues.
- 2    The importance of creating an environment of trust and mutual respect where you have no authority, or shared authority, over those you are working with.
- 3    The importance of understanding difficult situations and issues from your colleague's perspective and providing support, where necessary, to move things forward.
- 4    Principles of effective communication and how to apply them in order to communicate effectively with colleagues.
- 5    How to identify disagreements with colleagues and the techniques for sorting them out.
- 6    How to identify conflicts of interest with colleagues and the measures that can be used to manage or remove them.
- 7    How to take account of diversity and inclusion issues when developing working relationships with colleagues.
- 8    The importance of exchanging information and resources with colleagues.
- 9    How to get and make use of feedback on your performance from colleagues.
- 10  How to provide colleagues with useful feedback on their performance.



## **M&LD1    Develop productive working relationships with colleagues**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

## **M&LD1    Develop productive working relationships with colleagues**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

## M&LD1 Develop productive working relationships with colleagues

### Evidence Requirements

PC	Evidence of Performance Criteria: ♦ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
<b>Records of activities and agreements with work colleagues that you have completed successfully:</b>				
PC1 PC2	♦ 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, 4, 5, 6, 7, 8, 9, 10	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
PC3 PC4	♦ 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, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
PC6 PC7	♦ personal statements (reflections on the nature and effectiveness of your relationships with work colleagues and your fulfilment of your commitments to them)	1, 2, 4, 5, 6, 7, 8, 9, 10	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8
PC10	♦ witness statements (comments by colleagues on the nature and effectiveness of your relationships with them and your fulfilment of your commitments to them)	-	-	-
<b>Records of relationship difficulties or conflicts at work that you have successfully addressed and feedback you have given and received:</b>				
PC1 PC2 PC3	♦ notes, minutes or other records of formal and informal meetings with colleagues relating to relationship difficulties or conflicts	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
PC5 PC7	♦ e-mails, memos and other correspondence with colleagues relating to relationship difficulties or conflicts	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
PC5 PC7	♦ 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, 9, 10	2, 3	5, 6, 7, 8
PC8 PC9	♦ 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	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	2, 3	5, 6, 7
PC10	♦ personal statements (reflections on your ability to deal effectively with relationship difficulties or conflicts)	1, 2, 3, 4, 5, 6, 7, 8, 9	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8
	♦ witness statements (comments by colleagues on your ability to deal effectively with relationship difficulties or conflicts)	-	-	-

## **M&LD5    Allocate and check work in your team**

### **Overview**

#### **What this Unit is 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, D1. Develop productive working relationships with colleagues, D6 Allocate and monitor the progress and quality of work in your area of responsibility, D7. Provide learning opportunities for colleagues** and **D8. Help team members address problems affecting their performance** in the overall suite of National Occupational Standards for Management and Leadership.

## **M&LD5    Allocate and check work in your team**

### **Skills**

Listed below are the main generic 'skills' that 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

## **M&LD5    Allocate and check work in your team**

### **Performance Criteria**

*You must be able  
to:*

- 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 Recognise and seek to find out about differences in expectations and working methods of any team members from a different country or culture and promote ways of working that take account of their expectations and maximise productivity.
- 6 Encourage team members to ask questions, make suggestions and seek clarification in relation to the work they have been allocated.
- 7 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.
- 8 Support team members in identifying and dealing with problems and unforeseen events.
- 9 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.
- 10 Monitor the team for conflict, identifying the cause(s) when it occurs and dealing with it promptly and effectively.
- 11 Identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with team members.
- 12 Recognise successful completion of significant pieces of work or work activities by team members and the overall team and advise your manager.
- 13 Use information collected on the performance of team members in any formal appraisal of performance.

## **M&LD5    Allocate and check work in your team**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 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.

## **M&LD5    Allocate and check work in your team**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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 sustainable resources and ensure their effective use when planning the work of a team.
- 5 How to identify and take due account of health and safety issues in the planning, allocation and checking of work.
- 6 Why it is important to allocate work across the team on a fair basis and how to do so.
- 7 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.
- 8 The values, ethics, beliefs, faith, cultural conventions, perceptions and expectations of any team members from a different country or culture and how your own values, ethics, beliefs, faith, cultural conventions, perceptions, expectations, use of language, tone of voice and body language may appear to them.
- 9 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.
- 10 Effective ways of regularly and fairly checking the progress and quality of the work of team members.
- 11 How to provide prompt and constructive feedback to team members.
- 12 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 and improve their performance, and for recognising their achievements.
- 13 The additional support and/or resources which team members might require to help them complete their work and how to assist in providing this.



## **M&LD5    Allocate and check work in your team**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

## **M&LD5    Allocate and check work in your team**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

## M&LD5 Allocate and check work in your team

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Records of work allocation to your team and its members:</b>			
	◆ notes of meetings with your manager, schedules and other documents recording the work required from your team, and any priorities	2, 3, 4, 5, 11	1	1, 2, 3, 4
PC1 PC2	◆ detailed work schedules, timetables and other plans for individual and team work activities, tasks, production targets or other ways of defining workloads	3, 4, 5, 11	1, 2	1, 2, 3, 4, 5, 6, 8, 9
PC3 PC4	◆ notes of team briefings to allocate individual and team work activities, tasks, targets, etc	1, 5, 6, 7, 9, 11	1, 2	1, 2, 3, 4, 5, 6, 7,
PC5 PC6	◆ 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, 4, 5, 6, 11	1, 2	1, 2, 3, 4, 5, 6, 7, 8, 9
	◆ witness statements (comments on the process of work allocation and perceptions of its fairness, appropriateness and clarity)	-	-	-

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
PC5 PC6 PC7 PC8 PC9 PC10 PC11 PC12 PC13	<b>Records of the quality and quantity of the team's output:</b>			
	◆ records of the monitoring of work output/production for quality, consistency with specifications, etc (eg quality control charts, etc) that you have collected	1, 8, 9, 12, 13,	1	1, 2, 3, 4.
	◆ records of individual and team work output or production records, production/operational reports that you have prepared, etc	1, 8, 9, 12, 13,	1, 2	1, 2, 3, 4, 5, 6, 8
	◆ 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, 8, 12, 13	1	1, 2, 3, 5, 6, 7, 8, 9, 10, 11, 12
	◆ notes, e-mails, memos or other records of formal or informal feedback or performance appraisal of team members	1, 6, 7, 8, 9, 10, 13	1, 2	1, 2, 5, 6, 7, 8, 9, 10, 11, 12
	◆ personal statement (reflections on your own role in dealing with problems or critical incidents affecting the team and its performance, and how you encourage the team and individual members to work to the best of their ability to achieve or exceed targets for quality and quantity of products or services)	4, 8, 12, 13	1, 2	1, 2, 5, 6, 7, 8, 9, 10, 11, 12
◆ witness statements (comments on your own role in dealing with problems or critical incidents affecting the team and its performance, and how you encourage the team and individual members to work to the best of their ability to achieve or exceed targets for quality and quantity of products or services)	-	-	-	

## **M&LE5    Ensure your own actions reduce risks to health and safety**

### **Overview**

#### **People with a role which involves:**

*This Unit is for*

- ◆ reviewing the workplace, activities and organisation to identify and evaluate the health and safety hazards to employees, other people who may be affected, and physical resources
- ◆ assessing the nature and extent of the hazards of the workplace, activities and organisation to determine the health and safety risks to employees, other people who may be affected, and physical resources
- ◆ determining relevant risk control measures and safe systems of work prioritising risks
- ◆ prioritising risks
- ◆ implementing risk control measures
- ◆ making sure that the risk control measures meet health and safety statutory requirements and industry best practice.

## **M&LE5    Ensure your own actions reduce risks to health and safety**

### **Performance Criteria**

*You must be able  
to:*

### **Identify and evaluate hazards to health and safety**

- 1 Inspect the workplace to identify and evaluate the hazards to the safety of the employees, other people who may be affected, and physical resources.
- 2 Observe work activities to identify and evaluate the hazards to the safety of the employees, other people who may be affected, and physical resources.
- 3 Examine proposed and new workplaces, equipment, processes or activities in order to identify and evaluate the hazards to the safety of the employees, other people who may be affected and physical resources.
- 4 Inspect the workplace to identify and evaluate the hazards to the health of the employees and other people who may be affected.
- 5 Observe work activities to identify and evaluate the hazards to the health of the employees and other people who may be affected.
- 6 Examine proposed and new workplaces, equipment, processes and activities in order to identify and evaluate the hazards to the health of the employees and other people who may be affected.
- 7 Select and use appropriate measuring equipment.
- 8 Keep appropriate records of the hazards.

## **M&LE5    Ensure your own actions reduce risks to health and safety**

### **Performance Criteria**

*You must be able to:*

### **Determine safety and health risks**

- 1 Determine risks to safety in the workplace to employees, other people who may be affected, and physical resources.
- 2 Determine risks to health in the workplace to employees and other people who may be affected, taking into account existing control measures, the population at risk, the nature of the harm and the likelihood of the occurrence.
- 3 Select and use suitable techniques to determine and analyse risks.
- 4 Decide the tolerability and/or acceptability of risk.
- 5 Select and use appropriate instruments and survey techniques to determine the exposure of employees and other people who may be affected.
- 6 Keep appropriate records of the risks.

## **M&LE5    Ensure your own actions reduce risks to health and safety**

<b>Performance Criteria</b>	<b>Determine and implement risk control measures and safe systems of work</b>
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*You must be able to:*

- 1 Identify and evaluate the existing risk control measures and current systems of work in your organisation.
- 2 Recognise your own limits and, where necessary, bring in specialist or other assistance.
- 3 Identify any additional or improved risk control measures that may be needed in your organisation.
- 4 Identify and take into consideration the risk control measures required by health and safety statutory requirements relevant to your organisation and industry best practice.
- 5 Involve managers, employee representatives and/or employees in consultation about the risk controls.
- 6 Identify the resources needed, and cost- effectiveness, of the risk control measures needed.
- 7 Assist in the implementation of risk control measures in your organisation.
- 8 Make sure that all those people affected receive the necessary training to gain the competence required for the implementation of risk control measures.
- 9 Keep appropriate records of risk control measures.



## **M&LE5    Ensure your own actions reduce risks to health and safety**

### **Knowledge and Understanding**

### **The nature and role of the identification of health and safety hazards within the organization**

*You need to know and understand:*

- 1 Health and safety hazards
- 2 Risk assessment techniques
- 3 Physical resources
- 4 Instruments and survey techniques which may be used to determine the exposure of people who may be affected

## **M&LE5    Ensure your own actions reduce risks to health and safety**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Principles and concepts**

- 1    The analysis techniques suitable for determining risks.

## **M&LE5    Ensure your own actions reduce risks to health and safety**

### **Knowledge and Understanding**

*You need to know and understand:*

### **External factors influencing the identification of health and safety hazards**

- 1 Health and safety statutory requirements.
- 2 Tolerability/acceptability of risk.
- 3 Quality management requirements for documentation.

**M&LE5    Ensure your own actions reduce risks to health and safety**

**Knowledge and Understanding**

**The nature and role of health and safety risk control measures within the organisation**

*You need to know and understand:*

- 1 Risk control measures, including safe systems of work.

## **M&LE5    Ensure your own actions reduce risks to health and safety**

### **Knowledge and Understanding**

### **External factors influencing health and safety risk control methods**

*You need to know and understand:*

- 1 Risk control hierarchies.
- 2 The risk control measures required by health and safety legislation and industry best practice.

## **M&LE5    Ensure your own actions reduce risks to health and safety**

### **Glossary**

**This section provides explanations and definitions of some of the terms used in this Unit.**

#### **Control(s)**

The means by which the risks identified are eliminated or reduced to acceptable levels.

#### **Employer**

Wherever/whoever has responsibility for the workplace/work activity.

#### **Hazard\***

A hazard is something with the potential to cause harm (this can include articles, substances, plant or machines, methods of work, the working environment and other aspects of work management).

*\*Definition taken from: HSE 'Management of health and safety at work — Approved Code of Practice & Guidance'. Reference L21 (ISBN 0-7176-2488-9)*

#### **Learner**

Any person in a workplace environment and undertaking learning, including those following a vocational or academic course.

#### **Legislation**

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.

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.

#### **Other people**

Refers to everyone covered by the Health and Safety at Work Act including: visitors, members of the public, colleagues, contractors, clients, customers, patients and students.

#### **Personal presentation**

This includes personal hygiene, use of personal protective equipment, clothing and accessories suitable to the particular workplace.

### **Physical resources**

Property, equipment, plant and machinery, etc.

### **Risk\***

A risk is the likelihood of potential harm from that hazard being realised.

The extent of the risk depends on:

- (a) the likelihood of that harm occurring
- (b) the potential severity of that harm, ie of any resultant injury or adverse health effect; and
- (c) the population which might be affected by the hazard, ie the number of people who might be exposed.

*\*Definition taken from: HSE 'Management of health and safety at work — Approved Code of Practice & Guidance'. Reference L21 (ISBN 0-7176-2488-9)*

### **Resources**

This includes: information, documentation, time, control measures, equipment and support (including specialist assistance).

### **Manager/Supervisor**

One who controls and or directs the work of others.

### **Workplace**

The single or multiple areas in which you carry out your work.

### **Workplace Instructions/Policies & Procedures**

An organisation's instructions, method statements, safe systems of work, guidelines and processes on how to behave and perform tasks in the workplace.

### **Policies**

- ◆ A statement which directs the present and future decisions of an organisation.
- ◆ It is intended to influence and determine decisions, actions, and other matters.
- ◆ Typically, a policy designates a required process or procedure within an organisation.
- ◆ They are often initiated because of some external requirement.

### **Procedures**

- ◆ A series of steps following in a regular definite order that implements a policy.
- ◆ A series of steps or instructions, describing a way of doing things.

- ◆ A series of steps to be performed in a regular definite order under specified conditions.
- ◆ Documented processes that are used when work affects more than one function or department of an organisation.
- ◆ A series of clearly defined steps (and decisions) that explains or describes how one goes about completing a task.

This includes the documentation prepared by the employer about the procedures to be followed for health, safety and welfare matters. This may be the employer's safety policy, general health and safety statements and written safety procedures covering aspects of the workplace that should be drawn to the attention of employees and that of everyone covered by the Health and Safety at Work, etc Act 1974 (visitors, members of the public, colleagues, contractors, clients, customers, patients, students).

Instructions covering, for example:

- (a) the use of safe working methods and equipment b. the safe use of hazardous substances
- (b) smoking, eating, drinking and drugs
- (c) what to do in the event of an emergency, ie. personal presentation
- (d) personal presentation



## M&LE5 Ensure your own actions reduce risks to health and safety

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
PC1 PC2 PC3 PC4 PC5 PC6 PC7 PC8	<b>Records of your actions to evaluate hazards to health and safety</b>	All		
	<ul style="list-style-type: none"> <li>◆ notes of minutes of meetings with colleagues and those with specialist expertise that you have organised, to identify and assess hazards, review and improve procedures and behaviour to reduce hazards, and review and develop systems to record accidents and incidents that help to identify hazards</li> <li>◆ analyses of data on accidents and incidents that illustrate hazards to health and safety</li> <li>◆ inspection reports and notes of inspections, including observations and examinations of equipment, that you have conducted to identify health and safety hazards</li> <li>◆ reports, e-mails, etc that you have prepared and sent relating to health and safety hazards</li> <li>◆ risk assessment you have prepared and reports on hazards that you have submitted to appropriate people in your organisation</li> <li>◆ systems specifications and instructions you have prepared and e-mails, memos and other communications you have sent to people in your area of responsibility, to monitor accidents and incidents that indicate hazards to health and safety</li> <li>◆ personal statement (reflections on your own actions to identify and evaluate health and safety hazards)</li> </ul>			

PC	<b>Evidence of Performance Criteria:</b> ♦ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
PC1 PC2 PC3 PC4 PC5 PC6	<b>Records of your actions to determined health and safety risks:</b>	All		
	♦ notes of minutes of meetings with colleagues and those with specialist expertise that you have organised, to identify and assess risks in your area of responsibility, review and improve procedures and behaviour to reduce risks, and review and develop systems to record accidents and incidents that present a risk to health and safety ♦ analyses of data on accidents and incidents that present a risk to health and safety ♦ risk assessment you have prepared and reports on hazards and risks that you have submitted to appropriate people in your organisation ♦ systems specifications and instructions you have prepared and e-mails, memos and other communications you have sent to people in your area of responsibility, to monitor accidents and incidents that present a risk to health and safety ♦ personal statement (reflections on your own actions to identify, monitor and reduce risks to health and safety)			

PC	Evidence of Performance Criteria: ♦ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Records of your actions to determine and implement risk control measures and safe systems of work:</b>			
PC1 PC2 PC3 PC4 PC5 PC6 PC7 PC8 PC9	<ul style="list-style-type: none"> <li>♦ notes of minutes of meetings with colleagues and those with specialist expertise that you have organised, to determine and implement risk control measures</li> <li>♦ reports, notes you have prepared on risk control measures, including resources they would need, and how they should be implemented and monitored</li> <li>♦ meetings, training events etc that you have organised to assist in determining and implementing risk control measures</li> <li>♦ records that you have kept on risk control measures</li> <li>♦ systems specifications and instructions you have prepared and e-mails, memos and other communications you have sent to people to ensure that risks are controlled and that safe systems of work are maintained</li> <li>♦ personal statement (reflections on your own actions to determine and implement risk control measures and safe systems of work)</li> </ul>	All		

**NB — This Unit is in a slightly different format. It has three sections each of which has distinct PC but no behaviours. There are also three sections of knowledge requirements which effectively apply across all three PC. The table covers each of the three sections.**

## **SVQ 2 Team Leading SCQF level 5 — Optional Units**

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## **M&LB5 Provide leadership for your team**

### **Overview**

#### **What this Unit is 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 **B6. Provide leadership in your area of responsibility**, **C1. Encourage innovation in your team**, **D1. Develop productive working relationships with colleagues**, **D5. Allocate and check work in your team** and **D9. Build and manage teams** in the overall suite of National Occupational Standards for Management and Leadership.

## **M&LB5 Provide leadership for your team**

### **Skills**

Listed below are the main generic 'skills' that 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

## **M&LB5 Provide leadership for your team**

### **Performance Criteria**

*You must be able  
to:*

- 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, diversity and inclusion issues 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.



## **M&LB5 Provide leadership for your team**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 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.

## **M&LB5 Provide leadership for your team**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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, diversity and inclusion issues 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.

## **M&LB5 Provide leadership for your team**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

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

## **M&LB5 Provide leadership for your team**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

## M&LB5 Provide leadership for your team

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Plans and objectives you have agreed with your team:</b>			
PC1	◆ 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, 8,	1	1, 2, 3, 4
PC2	◆ individual and team objectives and work plans or schedules you have agreed	2, 3, 4	1	1, 2, 4
PC3	◆ 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, 6, 7, 8	1	1, 2, 3, 4
PC11	◆ personal statement (commentary on how you involved team members in agreeing demanding but realistic individual and team objectives and work plans) ◆ witness statements by team members (how you encourage them to set demanding but realistic objectives and accept responsibility for achieving them)	1, 2, 3, 4, 5, 6, 8	1	1, 2, 3, 4
	<b>Records of the performance of the team and its members:</b>			
PC3	◆ data on the quantity and quality of individual and team performance, showing achievement of objectives and plans	2, 3, 4, 7	1	1, 2, 4
PC4	◆ notes or other records of meetings, showing how individual and team problems have been resolved	3, 5, 6, 7, 8, 9	1	3, 4
PC8	◆ personal statement (commentary on how you motivated individuals, encouraged them to take responsibility, and dealt with individual and team problems)	1, 3, 4, 5, 6, 7, 8	1	1, 2, 3, 4
PC9	◆ witness statements by team members (how you helped them to overcome problems and motivated them to achieve objectives and take on responsibility for activities)			
PC10				
PC11				

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Records of how you encouraged creativity and innovation in the team:</b>			
	◆ notes and materials produced during creative ideas-generation activities	5, 6, 7, 8, 9	1	1, 3, 4
PC2 PC5 PC6 PC7 PC8 PC9 PC10	◆ records of agreement by managers to introduce innovative ideas developed by the team	3, 9	1	4
	◆ data on performance improvements arising directly from innovations proposed by the team	3, 6, 9	1	4
	◆ records of own appraisal or performance review meetings with manager regarding your role in encouraging creativity and innovation in the team	6, 8, 9	1	3
	◆ personal statement (commentary on how you led the team in developing creative ideas and innovation)	1, 5, 6, 9	1	1, 2, 3, 4
	◆ witness statements by team members (how you led them to develop creative ideas and innovation)			

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## **M&LC1 Encourage innovation in your team**

### **Overview**

#### **What this Unit is 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** and **C2. Encourage innovation in your area of responsibility** in the overall suite of National Occupational Standards for Management and Leadership.



## **M&LC1    Encourage innovation in your team**

### **Skills**

Listed below are the main generic 'skills' that 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
- ◆ Leadership
- ◆ Team-building
- ◆ Problem-solving
- ◆ Motivating
- ◆ Monitoring
- ◆ Decision-making
- ◆ Providing feedback
- ◆ Learning
- ◆ Valuing and supporting others
- ◆ Risk management
- ◆ Thinking creatively

## **M&LC1 Encourage innovation in your team**

### **Performance Criteria**

*You must be able  
to:*

- 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 ongoing 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.

## **M&LC1    Encourage innovation in your team**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 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.

## M&LC1 Encourage innovation in your team

### Knowledge and Understanding

*You need to know and understand:*

### 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 identify sustainable resources and ensure their effective use to support creativity and innovation.
- 15 How to learn from mistakes.
- 16 How to recognise the achievements of the originators/developers of ideas that have been successfully implemented.

## **M&LC1 Encourage innovation in your team**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

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

## **M&LC1 Encourage innovation in your team**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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 who to submit formal proposals and plans to.
- 4 The needs of your customers.
- 5 Opportunities to work with other teams in your organisation.

## M&LC1 Encourage innovation in your team

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
<b>Examples of creative ideas and innovation that you have enabled your team to generate or propose:</b>				
PC1 PC2 PC3 PC4 PC5 PC6 PC8 PC10 PC11 PC12	◆ 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, 5, 7, 8, 9, 11, 12, 14, 15	1	2, 3
	◆ proposals that your team has made for innovative products, services or processes	2, 6, 7, 8, 9, 10, 11, 12	1	1, 2, 3, 4, 5
	◆ notes of meetings you have had with, or presentations you have made to, managers customers, suppliers and others	1, 2, 6, 7, 8, 9, 10, 11	1	1, 2, 3, 5
	◆ personal statement (reflections on your role in leading or encouraging the team to be creative and develop innovative products, services or processes)	1, 2, 3, 4, 7, 8, 9, 10, 11, 12, 13, 14	1	1, 2, 3, 4, 5
	◆ witness statements (commentaries on your role in leading or encouraging the team to be creative and develop innovative products, services or processes)	-	-	-

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Examples and recognitions of innovations that your team has proposed that have been implemented:</b>			
PC3	◆ innovative product, service or process specifications arising from proposals made by your team	1, 8, 9, 10, 11, 13, 14, 15	1	1, 2, 3, 4
PC4	◆ action plans to introduce innovative products, services or processes	1, 6, 9, 10, 11, 13, 14, 15	1	1, 2, 3, 4, 5
PC6	◆ records of prizes, bonuses, awards and other recognition that the team and its members have received for developing innovative products, services or processes	4, 15	1	-
PC7	◆ personal statement (reflections on your role in leading the team in introducing innovative products, services or processes that they have proposed)	1, 2, 3, 6, 7, 8, 9, 10, 11, 13, 14 15, 16	1	1, 2, 3, 4, 5
PC9	◆ witness statements (commentaries on your role in leading the team in introducing innovative products, services or processes that they have proposed)	-	-	-
PC11				
PC12				



## **M&LD8 Help team members address problems affecting their performance**

### **Overview**

#### **What this Unit is 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 to other Units**

This Unit is linked to Units **B8. Ensure compliance with legal, regulatory, ethical and social requirements**, **D5. Allocate and check work in your team**, **D6. Allocate and monitor the progress and quality of work in your area of responsibility**, **D9. Build and manage teams**, **D10. Reduce and manage conflict in your team** and **D13. Support individuals to develop and maintain their performance** in the overall suite of National Occupational Standards for Management and Leadership.

## **M&LD8 Help team members address problems affecting their performance**

### **Skills**

Listed below are the main generic 'skills' that 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

## **M&LD8 Help team members address problems affecting their performance**

### **Performance Criteria**

*You must be able to:*

- 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.

## **M&LD8 Help team members address problems affecting their performance**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 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.

## **M&LD8 Help team members address problems affecting their performance**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

**M&LD8 Help team members address problems affecting their performance**

**Knowledge and Understanding**

*You need to know and understand:*

**Industry/sector specific Knowledge and Understanding**

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

## **M&LD8 Help team members address problems affecting their performance**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

## M&LD8 Help team members address problems affecting their performance

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
<b>Identification of a possible performance problem with a team member:</b>				
PC1 PC2	◆ records of individual performance, such as time logs, attendance records, records of output and quality	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	3, 5, 6, 10, 11	-	1, 2
	◆ notes of own observations of a team member's performance	3, 5, 6, 10, 11	-	1, 2
	◆ personal statement (your reflections on your role in identifying a team member's performance problems)	3, 5, 6, 10, 11	-	1, 2
<b>Records of meetings to resolve a team member's performance problems:</b>				
PC3 PC4 PC5 PC6 PC7 PC8	◆ notes, e-mails, memos and other records of informal meetings to discuss a team member's performance	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, 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	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, 10, 11	1	1, 2, 3, 4
	◆ witness statement (comments on your role in resolving problems with a team member's performance)	-	-	-



## M&LD12 Participate in meetings

### Overview

#### What this Unit is 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 for managers at all levels.

#### Links to other Units

This Unit is linked to Units **D11. Lead meetings**, **D17. Build and sustain collaborative relationships with other organisations**, **E10. Take effective decisions** and **E11. Communicate information and knowledge** in the overall suite of National Occupational Standards for Management and Leadership.

## **M&LD12 Participate in meetings**

### **Skills**

Listed below are the main generic 'skills' that 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

## M&LD12 Participate in meetings

### Performance Criteria

*You must be able  
to:*

- 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.

## **M&LD12 Participate in meetings**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 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 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.

## M&LD12 Participate in meetings

### Knowledge and Understanding

*You need to know and understand:*

### 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 present 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.

## **M&LD12 Participate in meetings**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

- 1 Industry/sector requirements for participating in meetings.

## **M&LD12 Participate in meetings**

### **Knowledge and Understanding**

*You need to know and understand:*

### **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.

## M&LD12 Participate in meetings

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Records of your participation in meetings:</b>			
PC1	◆ notes of discussions and e-mails and memos showing your consultation with others about the meeting	1, 2, 3	-	1, 2
PC2				
PC3	◆ copies of agenda and preparatory reading with notes of issues to be raised	1, 2, 4	-	1
PC4	◆ papers you have presented, copies of any visual aids you have used and notes and minutes of the meeting showing your contribution	2, 5, 6, 7, 8, 9	1	1
PC5				
PC6	◆ copies of reports, e-mails or memos you have prepared and notes or copies of presentations used in briefings about the meeting	7, 8, 9, 10	-	2
PC7				
PC8	◆ personal statement (your reflections on your participation in meetings)	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1	1, 2
PC9	◆ witness statement (comments on your participation in meetings)	-	-	-



## M&LD14 Initiate and follow disciplinary procedure

### Overview

#### What this Unit is about

This Unit is about initiating and following your organisation's disciplinary procedure in response to misconduct or unsatisfactory performance of a member of your team.

All employing organisations are required to have disciplinary and grievance procedures. As a minimum, these must meet the requirements laid down in relevant employment legislation. However, many organisations have developed more detailed and extensive disciplinary procedures and associated rules to reflect their specific contexts and requirements.

This Unit describes the minimum standard of performance expected of managers when they are implementing disciplinary procedures in line with legal and organisational requirements. To meet this standard, managers need both sound technical knowledge of the procedures and well-developed cognitive and interpersonal skills.

#### Who is the Unit for?

The Unit is for line managers who have to deal with misconduct or unsatisfactory performance of members of their team. It is **not** designed for human resources specialists who are required to develop disciplinary procedures and provide specialist support to line managers who are implementing them.

#### Links to other Units

This Unit is linked to Unit **D15. Initiate and follow grievance procedure** in the overall suite of National Occupational Standards for Management and Leadership.

## **M&LD14 Initiate and follow disciplinary procedure**

### **Skills**

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

- ◆ Acting assertively
- ◆ Analysing
- ◆ Communicating
- ◆ Decision-making
- ◆ Empathising
- ◆ Interviewing
- ◆ Monitoring
- ◆ Presenting information
- ◆ Questioning
- ◆ Reporting
- ◆ Researching

## **M&LD14 Initiate and follow disciplinary procedure**

### **Performance Criteria**

*You must be able  
to:*

- 1 Keep individuals fully informed about the standards of conduct and performance expected of them and your organisation's current procedure for dealing with misconduct or unsatisfactory performance.
- 2 Seek support from colleagues or human resources or legal specialists on any aspects of implementing disciplinary procedures about which you are unsure.
- 3 Carry out necessary investigations promptly to establish the facts relating to any misconduct or unsatisfactory performance.
- 4 Take preventative measures to resolve issues and deal with cases of minor misconduct or unsatisfactory performance informally, where you consider that an informal approach is likely to resolve the situation effectively.
- 5 Follow your organisation's formal disciplinary procedure in serious cases of misconduct or unsatisfactory performance.
- 6 Keep full and accurate records throughout the disciplinary process and store these confidentially as long as, but no longer than, necessary.

## **M&LD14 Initiate and follow disciplinary procedure**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.
- 2 You present information clearly, concisely, accurately and in ways that promote understanding.
- 3 You keep people informed of plans and developments.
- 4 You give feedback to others to help them improve their performance.
- 5 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 6 You act within the limits of your authority.
- 7 You consult with internal and/or external experts when necessary.
- 8 You say no to unreasonable requests.
- 9 You confront performance issues and resolve them directly with the people involved.
- 10 You keep confidential information secure.
- 11 You work to develop an atmosphere of professionalism and mutual support.
- 12 You take and implement difficult and/or unpopular decisions, if necessary.

## M&LD14 Initiate and follow disciplinary procedure

### Knowledge and Understanding

*You need to know and understand:*

### General Knowledge and Understanding

- 1 The importance of fully informing individuals about the standards of conduct and performance expected of them and your organisation's current procedure for dealing with misconduct or unsatisfactory performance.
- 2 How to carry out investigations to establish facts relating to any misconduct or unsatisfactory performance.
- 3 Informal approaches to dealing with cases of minor misconduct or unsatisfactory performance, and when this type of approach is likely to resolve the situation effectively.
- 4 The differences between misconduct, gross misconduct and unsatisfactory performance, and how each should be handled.
- 5 The importance of following your organisation's formal disciplinary procedure in serious cases of misconduct or unsatisfactory performance.
- 6 The importance of communicating clearly, concisely and objectively, and how to do so.
- 7 How to keep full and accurate records throughout the disciplinary process and store these confidentially as long as, but no longer than, necessary.

## **M&LD14 Initiate and follow disciplinary procedure**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

- 1 Industry/sector requirements for supporting individuals to improve their performance.

## **M&LD14 Initiate and follow disciplinary procedure**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Context specific Knowledge and Understanding**

- 1 Your organisation's procedures for dealing with misconduct or unsatisfactory performance.
- 2 The standards of conduct and performance expected of individuals.
- 3 Sources of advice, guidance and support from colleagues, human resources or legal specialists.
- 4 The limits of your own knowledge, skills and competence.
- 5 Your organisation's policies and procedures for keeping full and accurate records.

## M&LD14 Initiate and follow disciplinary procedure

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Records of your involvement in disciplinary procedures:</b>			
	◆ notes of briefings and meetings; e-mails and memos; handbooks, procedure manuals and other guidance which you have prepared for team members on disciplinary procedures and systems	1, 4	1	1, 2
PC1 PC2 PC3	◆ notes of meetings with individuals such as performance reviews, supervision meetings, 1 2 1s and of disciplinary investigations	2, 3, 5, 6, 7	1	1, 2, 4, 5
PC4	◆ memos, e-mails from specialists on conduct of disciplinary procedures	2, 3, 5, 6, 7	1	3
PC5 PC6	◆ letters, memos, e-mails from, and notes of conversations with colleagues or managers regarding an individual's performance and behaviour	2, 3, 5, 6, 7	1	3
	◆ notes, records of disciplinary procedures in which you have been involved	2, 3, 4, 5, 6, 7	1	1, 4, 5
	◆ personal statement (your reflections on your role in initiating and following disciplinary procedures)	1, 2, 3, 4, 5, 6, 7	-	1,2, 3, 4, 5



## M&LD15 Initiate and follow grievance procedure

### Overview

#### What this Unit is about

This Unit is about initiating and following your organisation's grievance procedure in response to a concern, problem or complaint raised by a member of your team.

All employing organisations are required to have disciplinary and grievance procedures. As a minimum, these must meet the requirements laid down in relevant employment legislation. However, many organisations have developed more detailed and extensive grievance procedures to reflect their specific contexts and requirements.

This Unit describes the minimum standard of performance expected of managers when they are implementing grievance procedures in line with legal and organisational requirements. To meet this standard, managers need both sound technical knowledge of the procedures and well-developed cognitive and interpersonal skills.

#### Who is the Unit for?

The Unit is for line managers who have to deal with potential or actual grievances raised by members of their team. It is **not** designed for human resources specialists who are required to develop grievance procedures and provide specialist support to line managers who are implementing them.

#### Links to other Units

This Unit is linked to Unit **D14. Initiate and follow disciplinary procedure** in the overall suite of National Occupational Standards for Management and Leadership.

## **M&LD15 Initiate and follow grievance procedure**

### **Skills**

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

- ◆ Acting assertively
- ◆ Assessing
- ◆ Communicating
- ◆ Decision-making
- ◆ Empathising
- ◆ Managing conflict
- ◆ Presenting information
- ◆ Questioning
- ◆ Reporting
- ◆ Researching

## M&LD15 Initiate and follow grievance procedure

### Performance Criteria

*You must be able  
to:*

- 1 Keep individuals fully informed about your organisation's current procedure for raising grievances.
- 2 Seek support from colleagues or human resources or legal specialists on any aspects of implementing grievance procedures about which you are unsure.
- 3 Identify potential grievances and take preventative measures to resolve issues where possible.
- 4 If an individual raises a concern, problem or complaint with you, seek to resolve the situation informally, if you consider that an informal approach is likely to resolve the situation effectively.
- 5 Follow your organisation's formal grievance procedure, if an individual raises a grievance with you in writing.
- 6 Keep full and accurate records throughout the grievance process and store these confidentially as long as, but no longer than, necessary.

## M&LD15 Initiate and follow grievance procedure

### Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.
- 2 You present information clearly, concisely, accurately and in ways that promote understanding.
- 3 You keep people informed of plans and developments.
- 4 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 5 You act within the limits of your authority.
- 6 You consult with internal and/or external experts when necessary.
- 7 You show integrity, fairness and consistency in decision-making.
- 8 You keep confidential information secure.
- 9 You push for concrete information in an ambiguous situation.
- 10 You identify the implications or consequences of a situation.

## **M&LD15 Initiate and follow grievance procedure**

### **Knowledge and Understanding**

*You need to know and understand:*

### **General Knowledge and Understanding**

- 1 The importance of fully informing individuals about your organisation's current procedure for raising grievances.
- 2 Informal approaches to dealing with concerns, problems or complaints raised with you, and when this type of approach is likely to resolve the situation effectively.
- 3 The importance of following your organisation's formal grievance procedure, and when to do so.
- 4 How to conduct a meeting with an individual to discuss their grievance.
- 5 How to investigate the grievance fully.
- 6 The importance of communicating clearly, concisely and objectively, and how to do so.
- 7 How to keep full and accurate records throughout the grievance process and store these confidentially as long as, but no longer than, necessary.

## **M&LD15 Initiate and follow grievance procedure**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

- 1 Industry/sector requirements for implementing grievance procedures.

## **M&LD15 Initiate and follow grievance procedure**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Context specific Knowledge and Understanding**

- 1 Your organisation's procedure for dealing with grievances.
- 2 Sources of advice, guidance and support from colleagues, human resources or legal specialists.
- 3 Your organisation's policies and procedures for keeping full and accurate records.

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## M&LD15 Initiate and follow grievance procedure

### Evidence Requirements

PC	Evidence of Performance Criteria: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Records of your actions in dealing with grievances:</b>			
	◆ notes of briefings and meetings; e-mails and memos; handbooks, procedure manuals and other guidance which you have prepared for team members on grievances	1,2, 3	1	1
PC1 PC2	◆ notes of meetings with individuals such as performance reviews, supervision meetings, 1 2 1s and of grievance investigations	1, 2, 3, 4, 5, 6, 7	1	1
PC3 PC4 PC5 PC6	◆ letters, memos, e-mails from, and notes of conversations with colleagues or managers regarding an individual's performance and behaviour			2
	◆ notes, records of grievances with which you have been involved	1, 2, 3, 4, 5, 6, 7		1, 3
	◆ witness statements (from individuals involved in grievance procedure)	1, 2, 3, 4, 5, 6, 7		1, 3
	◆ personal statement (your reflections on your role in initiating and following grievance procedures)	1, 2, 3 4, 5, 6, 7		1, 3

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## **M&LF5    Resolve customer service problems**

### **Overview**

#### **What this Unit is about**

This Unit is all about what to do when it is difficult to meet customer expectations.

Even if the service you give is excellent, some customers will experience problems. Part of your job is to help to resolve those problems. A problem is anything that means customer expectations are not being met. This may be because your customer's expectations involve more than you can offer or because your service procedures have not been followed.

Some problems are reported by customers and sometimes you spot the problem first and resolve it before your customer has even noticed.

As soon as you are aware of a problem, you need to consider the options and then choose a way to put it right.

This Unit is particularly important in customer service because many customers judge how good the customer service of your organisation is by the way problems are handled.

#### **Key words and phrases for this Unit**

- ◆ listening
- ◆ recognise repeated problems
- ◆ share feedback
- ◆ choose amongst options
- ◆ work with others
- ◆ resolve problems
- ◆ check progress
- ◆ give explanations

## **M&LF5    Resolve customer service problems**

### **Behaviours**

### **Element 1 — Spot customer service problems**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Listen carefully to your customers about problems they have raised.
- 2 Ask your customers about the problem to check your understanding.
- 3 Recognise repeated problems and alert the appropriate authority.
- 4 Share customer feedback with others to identify potential problems before they happen.
- 5 Identify problems with systems and procedures before they begin to affect your customers.

## **M&LF5    Resolve customer service problems**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 2 — Pick the best solution to resolve customer service problems**

- 1 Identify the options for resolving a customer service problem.
- 2 Work with others to identify and confirm the options to resolve a customer service problem.
- 3 Work out the advantages and disadvantages of each option for your customer and your organisation.
- 4 Pick the best option for your customer and your organisation.
- 5 Identify for your customer other ways that problems may be resolved if you are unable to help.

## **M&LF5    Resolve customer service problems**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 3 — Take action to resolve customer service problems**

- 1 Discuss and agree the options for solving the problem with your customer.
- 2 Take action to implement the option agreed with your customer.
- 3 Work with others and your customer to make sure that any promises related to solving the problem are kept.
- 4 Keep your customer fully informed about what is happening to resolve problem.
- 5 Check with your customer to make sure the problem has been resolved to their satisfaction.
- 6 Give clear reasons to your customer when the problem has not been resolved to their satisfaction.

## **M&LF5    Resolve customer service problems**

### **Knowledge and Understanding**

*You need to know and understand:*

### **General Knowledge and Understanding**

- 1    Organisational procedures and systems for dealing with customer service problems.
- 2    How to defuse potentially stressful situations.
- 3    How to negotiate.
- 4    The limitations of what you can offer your customer.

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## M&LF5 Resolve customer service problems

### Evidence Requirements

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
1	<b>Records of your capacity to spot customer service problems:</b>			
	◆ e-mails and other communications with customers about the service they receive and your responses to feedback	1		
	◆ notes of formal and informal meetings and discussions with customers	2, 3, 4		
	◆ records of measures of customer service in your area and notes on discussion of them with team members, colleagues and others including conclusions drawn from them and actions taken	1		
	◆ e-mails, notes, papers, recommendations, etc you have written on the operation of customer service systems and procedures	1		
	◆ personal statements (reflections on your own actions to identify customer service problems)	1, 2, 3, 4		
2	<b>Records of your actions to solve customer service problems:</b>			
	◆ notes of minutes of meetings with team members, colleagues and others on ways to solve customer service problems	1		
	◆ e-mails, notes, papers, recommendations, etc you have written on solutions to customer service problems	1		
	◆ e-mails and other communications with customers about your responses to customer service problems	2, 3, 4		
	◆ personal statements (reflections on your own actions to identify customer service problems)	1, 2, 3, 4		

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
3	<b>Records of your actions to resolve customer service problems:</b>			
	◆ notes of minutes of meetings with team members, colleagues and others on actions to resolve customer service problems	1		
	◆ e-mails, notes, papers, recommendations, etc you have written on actions to resolve customer service problems	1, 2		
	◆ e-mails and other communications with customers about your responses to customer service problems	2, 3, 4		
	◆ personal statements (reflections on your own actions to identify customer service problems)	1, 2, 3, 4		

**NB — This Unit is in a slightly different format. It has three elements each of which has a number of behaviours. There are no PC. There are also general knowledge requirements which apply across all three elements. The table covers each of the three elements.**

## **M&LF6    Monitor and solve customer service problems**

### **Overview**

#### **What this Unit is about**

Your job involves delivering and organising excellent customer service. However good the service provided, some of your customers will experience problems and you will spot and solve other problems before your customers even know about them.

This Unit is all about the part of your job that involves solving immediate customer service problems. It is also about changing systems to avoid repeated customer service problems.

Remember that some customers judge the quality of your customer service by the way that you solve customer service problems. You can impress customers and build customer loyalty by sorting out those problems efficiently and effectively. Sometimes a customer service problem presents an opportunity to impress a customer in a way that would not have been possible if everything had gone smoothly.

#### **Key words and phrases for this Unit**

- ◆ solve problems
- ◆ work with others
- ◆ keep customers informed
- ◆ repeated problems
- ◆ choose amongst options
- ◆ avoid problems
- ◆ inform
- ◆ monitor changes
- ◆ adjust changes

## **M&LF6    Monitor and solve customer service problems**

### **Behaviours**

### **Element 1 — Solve immediate customer service problems**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1    Respond positively to customer service problems following organisational guidelines.
- 2    Solve customer service problems when you have sufficient authority.
- 3    Work with others to solve customer service problems.
- 4    Keep customers informed of the actions being taken.
- 5    Check with customers that they are comfortable with the actions being taken.
- 6    Solve problems with service systems and procedures that might affect customers before they become aware of them.
- 7    Inform managers and colleagues of the steps taken to solve specific problems.

## **M&LF6    Monitor and solve customer service problems**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 2 — Identify repeated customer service problems and options for solving them**

- 1 Identify repeated customer service problems.
- 2 Identify the options for dealing with a repeated customer service problem and consider the advantages and disadvantages of each option.
- 3 Work with others to select the best option for solving a repeated customer service problem, balancing customer expectations with the needs of your organisation.

## **M&LF6    Monitor and solve customer service problems**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 3 — Take action to avoid the repetition of customer service problems**

- 1 Obtain the approval of somebody with sufficient authority to change organisational guidelines in order to reduce the chance of a problem being repeated.
- 2 Action your agreed solution.
- 3 Keep your customers informed in a positive and clear manner of steps being taken to solve any service problems.
- 4 Monitor the changes you have made and adjust them if appropriate.

## **M&LF6    Monitor and solve customer service problems**

### **Knowledge and Understanding**

*You need to know and understand:*

### **General Knowledge and Understanding**

- 1 Organisational procedures and systems for dealing with customer service problems.
- 2 Organisational procedures and systems for identifying repeated customer service problems.
- 3 How the successful resolution of customer service problems contributes to customer loyalty with the external customer and improved working relationships with service partners or internal customers.
- 4 How to negotiate with and reassure customers while their problems are being solved.

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## M&LF6 Monitor and solve customer service problems

### Evidence Requirements

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
1	<b>Records of your activities and actions to solve immediate customer service problems:</b>			
	◆ e-mails and other communications with customers about the service they receive and your responses to feedback	All		
	◆ notes of formal and informal meetings and discussions with customers	All		
	◆ notes on meetings, and discussions with team members, colleagues and others on ways to solve immediate customer service problems	All		
	◆ e-mails, notes, papers, recommendations, etc you have written to senior managers and others on the operation of customer service systems and procedures including solutions to problems	All		
	◆ personal statements (reflections on your own actions to monitor and solve immediate customer service problems)	All		
2	<b>Records of your activities and actions to identify and solve repeated customer service problems:</b>			
	◆ records of measures of customer service in your area and notes on discussion of them with team members, colleagues and others including conclusions drawn from them and actions taken	All		
	◆ e-mails, notes, papers, recommendations, etc you have written on potential and actual customer service problems and their solution	All		
	◆ notes of minutes of meetings with team members, colleagues and others on ways to solve customer service problems	All		
	◆ personal statements (reflections on your own actions to identify and solve repeated customer service problems)	All		

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
3	<b>Records of your activities and actions to avoid repeated customer service problems:</b>			
	◆ customer service guidelines and procedures that you have written	All		
	◆ notes of minutes of meetings with team members, colleagues and others on actions to avoid repeated customer service problems	All		
	◆ e-mails, notes, papers, recommendations, etc you have written on actions to resolve customer service problems	All		
	◆ details of training that you have organised to address customer service problems	All		
	◆ plans you have developed to address customer service issues	All		
	◆ e-mails and other communications with customers about customer service and changes in how you provide it	All		
	◆ records of measures of customer service in your area and notes or commentaries on them including conclusions drawn from them and actions taken	All		
◆ personal statements (reflections on your own actions to identify customer service problems)	All			

**NB — This Unit is in a slightly different format. It has three elements each of which has a number of behaviours. There are no PC. There are also general knowledge requirements which apply across all three elements. The table covers each of the three elements.**

## **M&LF7 Support customer service improvements**

### **Overview**

#### **What this Unit is about**

Organisations change the way they deliver service to their customers because customer expectations rise and because other organisations improve the services they offer. Often the most important ideas about how to improve customer service come from people dealing directly with customers.

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.

This Unit is all about how you provide support for changes that your organisation has introduced. In addition, it covers how you present your own ideas for improvements to someone in your organisation who can authorise trying out the change.

#### **Key words and phrases for this Unit**

- ◆ communicate changes positively
- ◆ customer service improvements
- ◆ customer feedback
- ◆ collect information
- ◆ use feedback
- ◆ present possibilities for change
- ◆ improve service
- ◆ share ideas
- ◆ implement changes
- ◆ monitor change

## **M&LF7 Support customer service improvements**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 1 — Use feedback to identify potential customer service improvements**

You need to show that you:

- 1 Gather informal feedback from your customers. Use customer feedback procedures to collect information from your customers.
- 2 Use the information from your customers to develop a better understanding of their customer service experience.
- 3 Identify ways the service you give could be improved based on information you have gathered.
- 4 Share your ideas for improving customer service with colleagues.

## **M&LF7 Support customer service improvements**

### **Behaviours**

### **Element 2 — Implement changes in customer service**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 5 Identify a possible change that could be made to improve customer service.
- 6 Present your idea for improving customer service to a colleague with the appropriate authority to approve the change.
- 7 Carry out changes to customer service procedures based on your own idea or proposed by your organisation.
- 8 Keep your customers informed of changes to customer service.
- 9 Give customers a positive impression of changes that have been made.
- 10 Work positively with others to support customer service changes.

## **M&LF7    Support customer service improvements**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 3 — Assist with the evaluation of changes in customer service**

- 1 Discuss with others how changes to customer service are working.
- 2 Work with others to identify any negative effects of changes and how these can be avoided.

## **M&LF7 Support customer service improvements**

### **Knowledge and Understanding**

*You need to know and understand:*

### **General Knowledge and Understanding**

- 1 How customer experience is influenced by the way service is delivered.
- 2 How customer feedback is obtained.
- 3 How to work with others to identify and support change in the way service is delivered.
- 4 Why it is important to give a positive impression to your customer about the changes made by your organisation even if you disagree with them.

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## M&LF7 Support customer service improvements

### Evidence Requirements

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
1	<b>Records of your activities and actions to use feedback to identify potential customer service improvements:</b>			
	◆ records of measures of customer service in your area and notes on discussion of them with team members, colleagues and others including conclusions drawn from them and actions taken	All		
	◆ e-mails and other communications with customers about the service they receive and your responses to feedback	All		
	◆ notes of formal and informal meetings and discussions with customers	All		
	◆ notes on formal and informal meetings and discussions with colleagues on potential customer service improvements	All		
	◆ e-mails, notes, papers, analyses, presentations, recommendations, etc you have written on potential customer service improvements	All		
	◆ personal statements (reflections on your own actions to identify customer service problems)	All		

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
2	<b>Records of your activities and actions to use implement changes in customer service:</b>			
	◆ notes of meetings, e-mails and other communications with your manager and other colleagues on implementation of changes in customer service	All		
	◆ plans you have developed to change systems and procedures of customer service	All		
	◆ notes of minutes of meetings with team members and colleagues on implementing changes to customer service	All		
	◆ e-mails, notes, papers, recommendations, etc you have written on implementation of changes in customer service	All		
	◆ e-mails and other communications with customers about changes in customer service	All		
	◆ personal statements (reflections on your own actions to implement changes in customer service)	All		

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
3	<b>Records of your activities and actions to assist in the evaluation of changes in customer service:</b>			
	◆ records of measures of customer service before and after any changes in customer service	All		
	◆ notes of minutes of meetings with team members, colleagues and others on impact of changes in customer service	All		
	◆ e-mails, notes, papers, recommendations, etc you have written on changes in customer service	All		
	◆ e-mails and other communications with customers about changes in customer service	All		
	◆ personal statements (reflections on your own actions to evaluate changes in customer service)	All		

**NB — This Unit is in a slightly different format. It has three elements each of which has a number of behaviours. There are no PC. There are also general knowledge requirements which apply across all three elements. The table covers each of the three elements**

## **M&LF8    Work with others to improve customer service**

### **Overview**

#### **What this Unit is about**

Teamwork is a key component of delivering and improving excellent customer service. The people you work with to improve customer service may include one or more of the following: team members; colleagues; suppliers; service partners; supervisors; managers; team leaders.

The delivery of excellent customer service depends on your skills and those of others. It involves communicating with each other and agreeing how you can work together to give a more effective service. You need to work together positively. You must also monitor your own and the team's performance and change the way you do things if that improves customer service.

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

#### **Key words and phrases for this Unit**

- ◆ work with others
- ◆ improve customer service
- ◆ contribute ideas
- ◆ co-operate with others
- ◆ keep commitments
- ◆ monitor own performance
- ◆ monitor joint performance

## **M&LF8    Work with others to improve customer service**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 1 — Improve customer service by working with others**

- 1    Contribute constructive ideas for improving customer service.
- 2    Identify what you have to do to improve customer service and confirm this with others.
- 3    Agree with others what they have to do to improve customer service.
- 4    Co-operate with others to improve customer service. Keep your commitments made to others.
- 5    Make others aware of anything that may affect plans to improve customer service.

## **M&LF8    Work with others to improve customer service**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 2 — Monitor your own performance when improving customer service**

- 1    Discuss with others how what you do affects customer service performance.
- 2    Identify how the way you work with others contributes towards improving customer service.

## **M&LF8    Work with others to improve customer service**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

### **Element 3 — Monitor joint performance when improving customer service**

- 1 Discuss with others how teamwork affects customer service performance.
- 2 Identify with others how customer service teamwork could be improved.
- 3 Take action with others to improve customer service performance.

## **M&LF8    Work with others to improve customer service**

### **Knowledge and Understanding**

*You need to know and understand:*

### **General Knowledge and Understanding**

- 5 Who else is involved either directly or indirectly in the delivery of customer service.
- 6 The roles and responsibilities of others in your organisation.
- 7 The roles of others outside your organisation who have an impact on your services or products.
- 8 What the goals or targets of your organisation are in relation to customer service and how these are set.
- 9 How your organisation identifies improvements in customer service.



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## M&LF8 Work with others to improve customer service

### Evidence Requirements

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
1	<b>Records of your activities and actions to improve customer service by working with others:</b>			
	◆ notes on formal and informal meetings and discussions with colleagues and others on customer service improvements	1, 2, 3, 4		
	◆ plans you have developed to improve systems and procedures of customer service	1, 2, 3, 4		
	◆ e-mails, notes, papers, recommendations, etc you have written on implementation of changes in customer service	1, 2, 3, 4		
	◆ e-mails and other communications with customers about improving the customer service they receive	1		
	◆ notes on presentations you have given on improving customer service	1, 2, 4		
	◆ details of training that you have organised to improve customer service	1, 2, 4		
	◆ personal statements (reflections on your own actions to improve customer service)	1, 2, 3, 4		
◆ witness statements (on your own actions to improve customer service)	1, 2, 3, 4			

Element	Evidence of Elements: ◆ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
2	<b>Records of your activities and actions to monitor your own performance when improving customer service:</b>			
	◆ records notes, etc of performance reviews carried out with your manager	1		
	◆ e-mails, notes of meetings and other information giving feedback from your manager, team members, colleagues and others, including customers, on your actions to improve customer service	1, 2, 3, 4		
	◆ personal statements (reflections on your own actions to monitor your performance when improving customer service)	1, 2, 3, 4		

Element	Evidence of Elements: ♦ possible examples of evidence	Knowledge and Understanding		
		General	Industry specific	Context specific
	<b>Records of your activities and actions to monitor joint performance when improving customer service:</b>			
	♦ e-mails, notes of meetings and other information giving feedback from your manager, team members, colleagues and others, including customers, on how you and others have worked to improve customer service	1, 2, 4		
	♦ notes of meetings, etc with colleagues and others to consider performance on improving customer service	1, 2, 4		
	♦ personal statements (reflections on your own actions to monitor joint performance when improving customer service)	1, 2, 4		
	♦ witness statements (on your own actions to monitor joint performance when improving customer service)	1, 2, 4		

**NB — This Unit is in a slightly different format. It has three elements each of which has a number of behaviours. There are no PC. There are also general knowledge requirements which apply across all three elements. The table covers each of the three elements.**

## **M&LDA3 Induct individuals into their roles**

### **Overview**

#### **What this Unit is about**

This standard is about inducting individuals — who may be new recruits or people already in the organisation — into new work roles.

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

This standard is not intended for human resources specialists. It is relevant to managers and leaders who are responsible for inducting individuals into new work roles in their organisation or their particular area of responsibility.

#### **Links to other Units**

This standard links closely to *CFAM&LDA2 Recruit, select and retain people*, *CFAM&LDA4 Manage the redeployment of people*, *CFAM&LDB1 Build teams* and all the standards in key area *DC Develop and support individuals*.

## **M&LDA3 Induct individuals into their roles**

### **Skills**

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

- ◆ Communicating
- ◆ Evaluating
- ◆ Inspiring
- ◆ Involving others
- ◆ Obtaining feedback
- ◆ Presenting information
- ◆ Prioritising
- ◆ Providing feedback
- ◆ Valuing and supporting others

## M&LDA3 Induct individuals into their roles

### Performance Criteria

*You must be able  
to:*

- 1 Engage appropriate people within your organisation and other key stakeholders in inducting people into their roles.
- 2 Ensure you comply with your organisation's induction, equality, diversity and inclusion policies.
- 3 Seek and make use of specialist resources, where required.
- 4 Welcome individuals and explain the unique contribution they are expected to make to achieving the objectives of the organisation and their work area.
- 5 Explain to individuals the purpose and importance of a structured induction programme.
- 6 Establish individuals' needs for information about your organisation, organisational policies and practices, their work roles and people they will work with.
- 7 Establish any specific learning and development needs to enable individuals to perform their duties safely and effectively.
- 8 Provide individuals with an induction programme to meet their information, learning and development needs.
- 9 Take account of individuals' diverse needs when designing their induction programmes.
- 10 Introduce individuals to the people they will work with, explaining respective roles and how they will interface.
- 11 Encourage individuals to take responsibility for monitoring their progress and completing their induction programmes.
- 12 Provide support, supervision and feedback to enable individuals to perform effectively as soon as possible.
- 13 Obtain feedback and engage individuals in evaluating the effectiveness of their induction programmes and identifying any areas for improvement.

## M&LDA3 Induct individuals into their roles

### Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Seize opportunities presented by the diversity of people.
- 2 Identify people's information needs.
- 3 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding.
- 4 Present information clearly, concisely, accurately and in ways that promote understanding.
- 5 Make time available to support others.
- 6 Support others to make effective use of their abilities.
- 7 Give feedback to others to help them maintain and improve their performance.
- 8 Inspire others with the desire to learn.
- 9 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 10 Watch out for potential risks and hazards.
- 11 Agree challenging but achievable objectives.
- 12 Prioritise objectives and plan work to make the effective use of time and resources.
- 13 Clearly agree what is expected of others and hold them to account.
- 14 Make appropriate information and knowledge available promptly to those who need it and have a right to it.



## M&LDA3 Induct individuals into their roles

### Knowledge and Understanding

*You need to know and understand:*

### General Knowledge and Understanding

- 1 How to engage employees and other stakeholders in induction processes.
- 2 How to identify individuals' information, learning and development needs.
- 3 The purpose and importance of a structured induction programme.
- 4 What an induction programme should cover.
- 5 How to identify and take account of individuals' diverse needs in induction programmes.
- 6 How to encourage individuals to take responsibility for their progress.
- 7 How to provide the support, supervision and feedback individuals need.
- 8 How and when to review individuals' progress towards achieving the objectives in their induction programmes.
- 9 How to obtain and make use of feedback.
- 10 The importance of evaluating the effectiveness of induction programmes and identifying areas for improvement.

## **M&LDA3 Induct individuals into their roles**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

- 1 Employment practices in your sector.
- 2 Legal, regulatory and ethical requirements in your sector.
- 3 Working culture and practices in your sector.

## M&LDA3 Induct individuals into their roles

### Knowledge and Understanding

*You need to know and understand:*

### Context specific Knowledge and Understanding

- 1 Your organisation's induction policy.
- 2 Your organisation's equality, diversity and inclusion policy.
- 3 Specialist resources available to support induction and how to make use of them.
- 4 Individuals within your area of responsibility, their roles, responsibilities, competences and potential.
- 5 The diverse needs of your workforce.
- 6 Training and development opportunities and resources available.

## M&LDA3 Induct individuals into their roles

### Evidence Requirements

To achieve this Unit you must provide evidence that you have consistently met all the Performance Criteria and have the necessary Knowledge and Understanding and skills to induct individuals into their roles.

Evidence must be provided:

- ◆ from a genuine work situation
- ◆ in line with all relevant legislative requirements

Simulation must not be used, except in exceptional circumstances where natural work evidence is unlikely to occur. Agreement must be gained from SQA for the use of any simulation and evidence of this decision retained for external verification. If simulation is used, it should be used sparingly and should only form a small part of the evidence for the qualification.

Evidence for this Unit may include:

- ◆ observation
- ◆ product evidence, eg induction plan, induction programme, minutes of meetings, notes of discussion with colleagues, etc
- ◆ personal statements
- ◆ witness testimony
- ◆ questioning
- ◆ professional discussion

### Assessing Knowledge and Understanding

Knowledge and Understanding are key components of competent performance. Where Knowledge and Understanding (and the handling of contingency situations) is not apparent from performance evidence, it must be assessed by other means and be supported by suitable evidence.

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## **M&LDB5 Manage team communications**

### **Overview**

#### **What this Unit is about**

This standard is about managing communication with teams, within teams and between different teams.

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

This standard is relevant to managers and leaders who are responsible for ensuring effective team communication.

#### **Links to other Units**

This standard links closely to *CFAM&LBA3 Lead your team*, *CFAM&LDB1 Build teams*, *CFAM&LDB6 Support remote/virtual teams* and *CFAM&LFA5 Manage projects*.

## **M&LDB5 Manage team communications**

### **Skills**

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

- ◆ Communicating
- ◆ Evaluating
- ◆ Information management
- ◆ Involving others
- ◆ Monitoring
- ◆ Obtaining feedback
- ◆ Reflecting
- ◆ Reviewing
- ◆ Thinking strategically

## M&LDB5 Manage team communications

### Performance Criteria

*You must be able to:*

- 1 Discuss and agree with team members their communication needs, including:
  - 1.1 the information they need from you, other team members and other people, and when they need it
  - 1.2 the information they need to provide to you, other team members and other people, and when they need to provide it
  - 1.3 when they need to discuss their work and issues arising with you, other team members and other people
  - 1.4 the media and styles of communication which they find effective.
- 2 Agree with team members regular communication methods which meet their communication needs and make effective use of time and resources, including technology.
- 3 Agree with team members whom they should contact for specific purposes.
- 4 Agree with team members effective communication methods to be used in urgent or exceptional circumstances.
- 5 Ensure team members receive the information they need, when they need it.
- 6 Ensure team members provide you, other team members and other people with the information they need, when they need it.
- 7 Provide timely opportunities for team members to discuss their work and issues arising with you, other team members and other people.
- 8 Review the effectiveness of communication methods with team members and other people at regular intervals and in light of significant changes, and take appropriate action to sustain or improve effective communication.



## M&LDB5 Manage team communications

### Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Seek opportunities to improve performance.
- 2 Identify people's information needs.
- 3 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding.
- 4 Identify people's preferred ways of communicating.
- 5 Use communication media and styles appropriate to different people and situations.
- 6 Present information clearly, concisely, accurately and in ways that promote understanding.
- 7 Keep people informed of plans and developments in a timely way.
- 8 Clearly agree what is expected of others and hold them to account.
- 9 Use cost-effective, time-effective and ethical means to gather, store and retrieve information.
- 10 Encourage others to share information and knowledge within the constraints of confidentiality.
- 11 Identify the range of elements in a situation and how they relate to each other.
- 12 Take timely decisions that are realistic for the situation.

## M&LDB5 Manage team communications

### Knowledge and Understanding

*You need to know and understand:*

### General Knowledge and Understanding

- 1 Principles and methods of effective communication and how to apply them.
- 2 The range of media (eg face-to-face, paper, telephone, e-mail, internet) and styles of communication (eg written, spoken, visual, demonstration) that can be used and their relative benefits in different circumstances.
- 3 Technologies that can support team communication.
- 4 How to discuss and agree communication needs with team members.
- 5 How to review the effectiveness of communication methods with team members.
- 6 The importance of providing team members with opportunities to discuss their work and issues arising, and how to do so.

## **M&LDB5 Manage team communications**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

- 1 Industry/sector requirements for consultation with employees and their representatives.

## **M&LDB5 Manage team communications**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Context specific Knowledge and Understanding**

- 1 Individuals in your area of work, their roles, responsibilities, competences and potential.
- 2 Organisational requirements for reporting and providing information.
- 3 Technologies and other resources available within your organisation that can facilitate communication.
- 4 Whom team members should contact for specific purposes.
- 5 The types of urgent or exceptional circumstances that may arise.

## M&LDB5 Manage team communications

### Evidence Requirements

To achieve this Unit you must provide evidence that you have consistently met all the Performance Criteria and have the necessary Knowledge and Understanding and skills to manage team communications.

Evidence must be provided:

- ◆ from a genuine work situation
- ◆ in line with all relevant legislative requirements

Simulation must not be used, except in exceptional circumstances where natural work evidence is unlikely to occur. Agreement must be gained from SQA for the use of any simulation and evidence of this decision retained for external verification. If simulation is used, it should be used sparingly and should only form a small part of the evidence for the qualification.

Evidence for this Unit may include:

- ◆ observation
- ◆ product evidence, eg minutes of meetings, notes of discussion with colleagues, e-mails, letters, etc
- ◆ personal statements
- ◆ witness testimony
- ◆ questioning
- ◆ professional discussion

### Assessing Knowledge and Understanding

Knowledge and Understanding are key components of competent performance. Where Knowledge and Understanding (and the handling of contingency situations) is not apparent from performance evidence, it must be assessed by other means and be supported by suitable evidence.

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## **M&LDB9 Promote staff wellbeing**

### **Overview**

#### **What this Unit is about**

This standard is about promoting the wellbeing of your staff.

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

This standard is relevant to managers and leaders who have staff reporting to them and the authority to take action to promote their wellbeing.

#### **Links to other Units**

This standard links closely to all the other standards in key area *DB Manage teams* and also to *CFAM&LEB1 Provide healthy, safe, secure and productive working environments and practices*.

## **M&LDB9 Promote staff wellbeing**

### **Skills**

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

- ◆ Communicating
- ◆ Empathising
- ◆ Evaluating
- ◆ Leadership
- ◆ Leading by example
- ◆ Obtaining feedback
- ◆ Planning
- ◆ Problem solving
- ◆ Reviewing
- ◆ Risk management
- ◆ Setting objectives
- ◆ Stress management
- ◆ Team building
- ◆ Valuing and supporting others



## M&LDB9 Promote staff wellbeing

### Performance Criteria

*You must be able  
to:*

- 1 Engage staff, their representatives and other key stakeholders in promoting staff wellbeing.
- 2 Review key indicators and use these to measure improvements in staff wellbeing.
- 3 Evaluate levels of staff wellbeing through analysis of available quantitative and qualitative data.
- 4 Develop a wellbeing culture and implement specific initiatives to enhance staff wellbeing in identified areas.
- 5 Ensure objectives and workloads of staff are achievable within the working hours available.
- 6 Provide staff with the training, support and supervision they need to be able to fulfil their responsibilities effectively both now and in the future.
- 7 Make yourself available to discuss confidentially with staff problems affecting their wellbeing.
- 8 Recognise indications that staff have problems affecting their wellbeing and take prompt and effective action to alleviate the problems, where possible.
- 9 Consult with, or refer staff to, specialists, where their problems are outside your area of competence or authority.

## M&LDB9 Promote staff wellbeing

### Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Seize opportunities presented by the diversity of people.
- 2 Try out new ways of working.
- 3 Show empathy with others' needs, feelings and motivations and take an active interest in their concerns.
- 4 Make time available to support others.
- 5 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- 6 Act within the limits of your authority.
- 7 Refer issues outside the limits of your authority to appropriate people.
- 8 Watch out for potential risks and hazards.
- 9 Show integrity, fairness and consistency in decision making.
- 10 Address performance issues promptly and resolve them directly with the people involved.
- 11 Model behaviour that shows, and inspires others to show, respect, helpfulness and co-operation.
- 12 Identify the implications or consequences of a situation.

## M&LDB9 Promote staff wellbeing

### Knowledge and Understanding

*You need to know and understand:*

### General Knowledge and Understanding

- 1 How to engage staff, their representatives and other key stakeholders in promoting staff wellbeing.
- 2 Key indicators (such as attendance, retention, working hours, productivity, job satisfaction, innovative suggestions) and measures of staff wellbeing.
- 3 Quantitative data (such as absenteeism, staff turnover, accident records, overtime) which can be used to evaluate levels of staff wellbeing.
- 4 Qualitative information (such as supervisory meetings, appraisals, exit interviews, staff surveys, body language) which can be used to evaluate levels of staff wellbeing.
- 5 How to analyse quantitative data and qualitative information to evaluate levels of staff wellbeing.
- 6 Initiatives that can be implemented to reduce stress and enhance staff wellbeing.
- 7 How to calculate achievable objectives and workloads for staff.
- 8 The importance of providing staff with opportunities to discuss issues affecting their wellbeing.
- 9 How to recognise indications that staff are having problems affecting their wellbeing.
- 10 The range of actions you can take to alleviate problems affecting staff wellbeing.

## **M&LDB9 Promote staff wellbeing**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

- 1 Industry/sector requirements for consultation with employees and their representatives.
- 2 Industry/sector requirements for enhancing staff wellbeing.

## **M&LDB9 Promote staff wellbeing**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Context specific Knowledge and Understanding**

- 1 Data available in your organisation that can inform an assessment of staff wellbeing.
- 2 Individuals within your area of work, their roles, responsibilities, competences and potential.
- 3 Sources of specialist expertise.
- 4 Your organisation's vision, strategy, values and culture.
- 5 Your organisation's stakeholders and their interests.

## **M&LDB9 Promote staff wellbeing**

### **Evidence Requirements**

To achieve this Unit you must provide evidence that you have consistently met all the Performance Criteria and have the necessary Knowledge and Understanding and skills to promote staff wellbeing.

Evidence must be provided:

- ◆ from a genuine work situation
- ◆ in line with all relevant legislative requirements

Simulation must not be used, except in exceptional circumstances where natural work evidence is unlikely to occur. Agreement must be gained from SQA for the use of any simulation and evidence of this decision retained for external verification. If simulation is used, it should be used sparingly and should only form a small part of the evidence for the qualification.

Evidence for this Unit may include:

- ◆ observation
- ◆ product evidence, eg minutes of meetings, notes of discussion with colleagues, results of staff survey, evaluation of key indicators, etc
- ◆ personal statements
- ◆ witness testimony
- ◆ questioning
- ◆ professional discussion

### **Assessing Knowledge and Understanding**

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## **M&LDC1 Identify individuals' learning needs and styles**

### **Overview**

#### **What this Unit is about**

This standard is about helping individuals to identify the knowledge, skills and competence they need to develop in order to meet the demands of their current and future work roles and to fulfil their personal aspirations. It also covers helping individuals to identify how they learn and the types of learning activity which are most effective for them.

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

This standard is relevant to managers and leaders who have people reporting to them.

#### **Links to other Units**

This standard links closely with all the other standards in key area *DC Develop and support individuals* and also with *CFAM&LAA2 Develop your knowledge, skills and competence, which is about self-development*.



## **M&LDC1 Identify individuals' learning needs and styles**

### **Skills**

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

- ◆ Communicating
- ◆ Decision-making
- ◆ Empowering
- ◆ Evaluating
- ◆ Influencing
- ◆ Inspiring
- ◆ Planning
- ◆ Presenting information
- ◆ Prioritising
- ◆ Problem solving
- ◆ Providing feedback
- ◆ Valuing and supporting others

## **M&LDC1 Identify individuals' learning needs and styles**

### **Performance Criteria**

*You must be able  
to:*

- 1 Agree with individuals the knowledge, skills and competence required to meet the demands of their current and potential future work roles.
- 2 Encourage individuals to seek feedback on their performance from those who are able to provide objective, specific and valid feedback.
- 3 Provide opportunities and tools for individuals to make an accurate assessment of their current levels of knowledge, skills and competence and of their potential.
- 4 Evaluate with individuals any additional, or higher levels of, knowledge, skills and competence they need for their current work roles, potential future work roles and their personal aspirations.
- 5 Identify and evaluate any learning difficulties or particular needs individuals may have.
- 6 Support individuals in prioritising their needs and specifying their learning objectives.
- 7 Provide opportunities and tools for individuals to identify the learning style or combination of styles which they find most effective and the types of learning activities appropriate to these styles.
- 8 Encourage individuals to focus on their prioritised learning needs and to take account of their learning styles when selecting learning activities and planning their development.
- 9 Seek advice and support from learning and development specialists, when required.

## **M&LDC1 Identify individuals' learning needs and styles**

### **Behaviours**

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Seize opportunities presented by the diversity of people.
- 2 Show empathy with others' needs, feelings and motivations and take an active interest in their concerns.
- 3 Support others to make effective use of their abilities.
- 4 Support others to realise their potential and achieve their personal aspirations.
- 5 Develop knowledge, understanding, skills and performance in a systematic way.
- 6 Inspire others with the desire to learn.
- 7 Check the accuracy and validity of information.
- 8 Identify the implications or consequences of a situation.

## M&LDC1 Identify individuals' learning needs and styles

### Knowledge and Understanding

*You need to know and understand:*

### General Knowledge and Understanding

- 1 The differences between knowledge, skills and competence.
- 2 The importance of objective, specific and valid feedback in identifying learning needs.
- 3 Tools for assessing knowledge, skills and competence.
- 4 How to analyse the gaps between current levels of knowledge, skills and competence and the levels required.
- 5 How to prioritise learning needs.
- 6 How to establish SMART (Specific, Measurable, Agreed, Realistic, Time-bound) learning objectives.
- 7 Learning styles and how to identify individuals' preferred learning styles.
- 8 The types of learning activities appropriate for different learning styles.
- 9 How to develop learning and development plans based on a sound analysis of learning needs and styles.

## **M&LDC1 Identify individuals' learning needs and styles**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Industry/sector specific Knowledge and Understanding**

- 1 Industry/sector requirements for learning and professional development.

## **M&LDC1 Identify individuals' learning needs and styles**

### **Knowledge and Understanding**

*You need to know and understand:*

### **Context specific Knowledge and Understanding**

- 1 The knowledge, skills and competence requirements for different roles within your area of responsibility.
- 2 Individuals within your area of responsibility, their roles, responsibilities, competences and potential.
- 3 Your organisation's personal and professional development policy and practices.
- 4 Learning opportunities available in your organisation.
- 5 Tools used in your organisation to identify individual learning needs and styles.
- 6 Sources of specialist advice and support.

## **M&LDC1 Identify individuals' learning needs and styles**

### **Evidence Requirements**

To achieve this Unit you must provide evidence that you have consistently met all the Performance Criteria and have the necessary Knowledge and Understanding and skills to identify individuals' learning needs and styles.

Evidence must be provided:

- ◆ from a genuine work situation
- ◆ in line with all relevant legislative requirements

Simulation must not be used, except in exceptional circumstances where natural work evidence is unlikely to occur. Agreement must be gained from SQA for the use of any simulation and evidence of this decision retained for external verification. If simulation is used, it should be used sparingly and should only form a small part of the evidence for the qualification.

Evidence for this Unit may include:

- ◆ observation
- ◆ product evidence, eg minutes of meetings, notes of discussion with colleagues, training needs analysis, record of feedback, etc
- ◆ personal statements
- ◆ witness testimony
- ◆ questioning
- ◆ professional discussion

### **Assessing Knowledge and Understanding**

Knowledge and Understanding are key components of competent performance. Where Knowledge and Understanding (and the handling of contingency situations) is not apparent from performance evidence, it must be assessed by other means and be supported by suitable evidence.

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