



# **Assessment Guidance for the SVQ Business and Administration SCQF level 8 (GM31 24)**

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# About this guide

This guide provides some practical examples of how to assess your candidates for the **SVQ Business and Administration SCQF level 8**. You may be able to think of other ways of assessing your candidates and recording your decisions about their competence.

Using assessments based on these examples does not guarantee successful verification — it is still your responsibility to ensure that internal quality assurance procedures are followed.

# Introduction

This document has been provided to assist assessors and internal verifiers with the delivery of **SVQ Business and Administration SCQF level 8**.

It should be noted that this document will be updated throughout periodically in line with incremental change.

Whilst the guidance contained in this document is not mandatory, it illustrates the standard and range of evidence the external verifier expects to see.

## 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 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 HNCs and Modern Apprenticeships.

## Explanation of levels

<b>SVQ1 (SCQF level 4)</b>	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.
<b>SVQ2 (SCQF level 5)</b>	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.
<b>SVQ3 (either SCQF level 6 or 7)</b>	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.
<b>SVQ4 (either SCQF level 8 or 9)</b>	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.
<b>SVQ5 (SCQF level 11)</b>	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. SVQs may be at differing SCQF levels and have differing amount of credit points, depending on the structure and context of the SVQ.

For further information on SCQF go to [www.scqf.org.uk](http://www.scqf.org.uk).

# Target candidate group

Candidates will normally be business professionals with responsibility for any combination of the following (this list is not exhaustive):

- Systems and processes
- Staffing resource
- Budgets
- Projects
- Consultants
- Contracts
- Communication
- Engaging with stakeholders
- Policies
- Recruitment
- Developing knowledge/training
- Business change

It is envisaged that suitable candidates will have fairly broad roles and responsibilities in relation to the above and may not be specialists in any of these or other areas. They are likely to hold Officer/Managerial or Executive job titles but the qualification is open to anyone with a job role that allows them to provide the necessary performance evidence from the workplace as defined in the Units and Assessment Strategy.

# General Information

The Assessment Strategy developed by Skills CFA, provides information on the qualification for Assessors, Internal verifiers and External Qualification Verifiers.

Assessors and internal verifiers in centres are required to demonstrate to SQA that they have the appropriate occupational and assessment competence to assess and verify the SVQ — see SQA's website: **[www.sqa.org.uk](http://www.sqa.org.uk)**

Assessors and internal verifiers are expected to obtain an appropriate qualification in assessment and verification as defined by the Assessment Strategy.

## Roles and responsibilities

Assessment of an SVQ depends on clarity, focus and planning. Both you and the candidate should be clear on your roles in the assessment process before you begin.

### Assessor's role

- ◆ ensure candidates understand **what** is to be assessed and **how** it is to be assessed
- ◆ ensure the conditions and resources required for assessment are available
- ◆ help candidates to identify and gather evidence
- ◆ help candidates to present or signpost evidence
- ◆ observe and record candidates' performance
- ◆ authenticate the evidence candidates provide
- ◆ judge evidence and make assessment decisions
- ◆ identify gaps or shortfalls in candidates' competence
- ◆ provide feedback to candidates throughout the assessment process
- ◆ record achievement

### Candidates' role

- ◆ prepare for assessment — become familiar with the standards and understand what is to be assessed and how the assessment will be carried out
- ◆ help to identify sources of evidence and how these could be assessed
- ◆ carry out activities, collate work products, answer questions, write personal statements etc.
- ◆ signpost evidence to the standards
- ◆ make evidence available in an organised manner when required by assessor, internal verifier and/or external verifier
- ◆ reflect upon and act on feedback from the assessor

### Internal verifier's role

The internal verifier has a key role in ensuring the integrity and quality of the assessment process. An internal verifier is responsible for providing a quality check on assessment decisions, usually on a sample basis. Samples may be greater or smaller depending on the experience of the assessor and taking into account other risk factors. The internal verifier is not re-assessing the evidence but judging the validity and reliability of the assessment decisions sampled.

The internal verifier function is responsible for ensuring the validity of internal assessments and the reliability of assessors' judgements. This responsibility has several components:

- ◆ checking assessment instruments to ensure validity
- ◆ sampling assessment decisions
- ◆ maintaining assessment and verification records
- ◆ managing standardisation activity
- ◆ Identifying possible CPD needs and continuous improvement opportunities
- ◆ providing general support to assessors

Depending on the size of the centre and the respective responsibilities allocated, individual internal verifiers will contribute to these areas but may not have sole responsibility for them.

For more information on internal verification refer to *Internal Verification: A Guide for Centres offering SQA Qualifications* (Pub code FA5291), available at [www.sqa.org.uk](http://www.sqa.org.uk)

## **Starting an SVQ – first steps**

It is best practice to arrange an initial induction meeting with the candidate to help familiarise with the requirements of an SVQ. Candidates may have previously completed an SVQ or be completely new to the process. The candidate's previous experience and familiarity - or lack thereof – with SVQs will influence the next stage of planning. Experienced candidates may be confident in moving straight to assessment planning, whereas initial assessment plans may need to be more limited and tentative for new candidates finding their way.

Regardless of a candidate's previous experience, there may be a degree of training and/or learning required before he or she is ready to begin gathering evidence for assessment. This is most likely to be the case with younger, less experienced candidates who have recently left school and/or Modern Apprentices. However, ultimately this is down to the circumstances of the individual candidate.

It is also important to establish a working relationship with the employer to maximise the candidate's access to opportunities to gather evidence, and to avoid as much as possible, any barriers arising that could impede progress. It is important that employers understand that an SVQ is a competence-based qualification requiring assessment in the workplace via observation and products of work. They should therefore be prepared to consent to the assessor having some access to the workplace for assessment, and the use of products of real-life work as evidence for the SVQ. Establishing this at the outset will go some way to preventing difficulties at a later stage regarding confidentiality and any other sensitivities or expectations an employer may have.

An initial induction meeting may cover the following:

- ◆ An overview of the SVQ – i.e. its purpose (to certificate competence in a job role) and how this influences the way they are assessed. This need not be a detailed explanation at this stage (too much detail may overwhelm the candidate), rather cover the basic principle that performance evidence is used to demonstrate competence and supporting evidence for knowledge (not explicit from performance). A NOS unit may be used as an example and you may wish to outline some of the different forms of performance and supporting evidence.
- ◆ A discussion of the candidate's role - this will help identify suitable optional units (it is not necessary to identify all of them at the outset). It may also offer opportunities to identify colleagues who could potentially provide supporting evidence in the form of witness statements, or even by providing mentoring support.

- ◆ An initial assessment of the candidate's knowledge, skills and experience – this will help identify any learning/training needs that may be required for the candidate to achieve. Experienced candidates may be able to progress to assessment without much preparation, whereas candidates new to their job role may require a period of training before they can demonstrate the level of competence required. This is usually the case with Modern Apprentices.

## **Planning assessment**

Assessment plans are an important means of ensuring the assessment process runs as smoothly and efficiently as possible. This is especially critical at the outset and particularly in the case of inexperienced candidates. Assessment plans should identify when and how assessment will be carried out. Candidates need to have a clear understanding of what is being assessed, what methods will be used and what evidence they have agreed to produce.

Assessment planning can help candidates to relate their routine work place activities to the standards within the SVQ units and therefore avoid the pitfall of generating evidence that is not relevant to the qualification.

Although assessment planning is vital, it provides a framework to guide candidates in the generation of evidence – assessment plans should not be inflexible. They should not be considered assessment tasks to be rigidly adhered to and either passed or failed. Real-life workplaces are a fluid and dynamic environment, and unforeseen opportunities to gather evidence are likely to arise. These should be capitalised on as much as possible.

In developing an assessment plan, assessors should:

- ◆ have a thorough knowledge of the SVQ
- ◆ get to know the candidate and their workplace
- ◆ plan realistically around the candidate's role, working pattern and circumstances
- ◆ identify opportunities for gathering relevant evidence
- ◆ use feedback to inform subsequent plans and establish any training needs

## **Assessment planning meeting**

At an assessment planning meeting, the following should be agreed and recorded between the assessor and candidate:

- ◆ what is to be assessed
- ◆ the assessment method
- ◆ a date for when the evidence will be submitted to the assessor

Assessment plans are working documents — they can be updated and changed according to progress. Their purpose is to guide the candidate by providing a framework for working through the qualification, therefore if assessment methods vary and/or dates are moved, this is not an issue providing the evidence complies with the relevant standard(s) and Assessment Strategy.

When planning assessment, make the most of opportunities to *integrate* assessment. This means planning to assess an *activity* that draws on the contents of different Units. It can be an efficient and cost-effective way of assessing your candidate's competence.

## **Beginning assessment**

Don't try to cover the mandatory Units first. The mandatory units consist mainly of softer generic knowledge and skills embedded throughout the routine activities associated with the job role (e.g. making decisions, managing own performance etc.). The optional units are designed around focused specific competences (design administrative services, managing financial resources etc.). This means that evidence towards the mandatory units will naturally occur from assessment of the optional units and so any assessment of the mandatory units prior to completion of optional units will inevitably lead to overassessment.

It is usually a good idea to begin assessment by asking the candidate to provide performance evidence for a unit (or units) without reference to the Knowledge. This is because the candidate is likely to generate some knowledge evidence implicitly via their performance evidence. If the candidate begins with knowledge evidence he/she runs the risk that this evidence is later covered implicitly via performance and therefore is an unnecessary duplication. Once the performance evidence has been evaluated, the assessor and candidate can identify the outstanding knowledge requirements that remain to be met.

## **Assessment – recommended approaches**

The following recommended approaches are likely to help you achieve positive outcomes in assessing the Business and Administration SVQ:

- ◆ be candidate-led rather than provider-driven — organise assessment according to each candidate's circumstances rather than pre-determined programmes or templates
- ◆ always prioritise naturally-occurring evidence (the majority of performance evidence should always be generated in the workplace)
- ◆ employ a holistic approach – assessment focused on *activities* (rather than units) that provides evidence towards more than one Unit.
- ◆ use a range of assessment methods and evidence, driven by candidates' activities in the workplace i.e. *Triangulation*
- ◆ use Performance Evidence to cover Knowledge where possible

- ◆ use questions to supplement (rather than duplicate) observation — there is no need to separately evidence Knowledge that has been clearly demonstrated through performance
- ◆ consider competence over time holistically (usually by Unit) rather than by individual Performance Indicator – covering PIs multiple times will inevitably lead to overassessment, although hitting most PIs more than once is likely to occur naturally)

## **Be flexible**

Although assessment planning is important, it should not be overly rigid. Assessment planning is about providing a framework for candidates to gather evidence, not a series of mandatory assessment tasks. It is rarely possible to foresee everything that may arise in a fluid and dynamic business environment, therefore assessors should be prepared to deviate from plans in the interests of capitalising on unforeseen opportunities to gather evidence towards outwith the plan e.g. if a problem or unexpected customer query arises.

A good Observation will often include questioning to capture Knowledge that may not be completely explicit from the practice. It is recommended that Work Products and Personal Statements be combined where possible, for example, through the use of screenshots embedded within the document to illustrate documents/emails etc at the point referred to (see, *Examples of Practice*). Different forms of assessment blended in this way are very powerful means of providing high quality evidence that in turn gives us a high degree of confidence in judgements of competence. This is a very good example of Triangulation.

## **Assessing Knowledge**

Knowledge is an integral aspect of competence and should be assessed in the context of performance as much as possible. Assessment of knowledge in isolation from performance threatens the validity of competence-based assessment. In reality, knowledge is used to support performance, not the other way around. Knowledge that is decoupled from performance is less meaningful and increases the risk of a rote memory approach that fails to consolidate understanding and is forgotten after a short period of time.

Having said this, it is unlikely that all aspects of Knowledge will occur naturally in the course of completing an SVQ, so it is acceptable to use questions, both verbal and written – or even case studies – to evidence Knowledge. A useful way of evidencing Knowledge in context is for candidates to produce Personal Statements/Reflective Accounts written in the context of work they have completed. Again, it is not always possible for this to be produced in context, therefore it is acceptable for Knowledge to be evidenced generically; however the Assessor is required to take a holistic view in judging whether the candidate has demonstrated a sound understanding of the required Knowledge or simply memorised some information.

## Presenting evidence

Good referencing and presentation helps all concerned – candidate, assessor, IV and EV. It helps candidates see progress and can therefore boost morale and motivation. It helps IVs to be clear on Assessor's judgements. It makes it easier for the EV to be clear on centre's assessment judgements and therefore puts the centre on a solid foundation when EV visits take place. Ultimately, the onus is on the centre and candidate to demonstrate that the standards have been met in a way that is verifiable, so clear referencing and presentation is in everyone's interests.

When collating evidence, quality rather than quantity – triangulation is better than lots of the same type of evidence - and complexity for the sake of it should be avoided. Candidate Portfolio pro-formas are available on SQA website to assist in the collection and referencing of evidence.

## Evidence in Situ

There may be situations where evidence cannot be stored in a candidate's portfolio. In such cases evidence may be kept in situ – that is stored in its original location in the workplace rather than the candidate's portfolio.

In the context of Business and Administration, SQA would normally expect this to be used only in situations where there is a compelling need for confidentiality, and where redaction of sensitive data would remove too much of the context of the evidence for robust assessment judgements to be made with confidence.

Such evidence should be referenced appropriately to provide a robust quality audit trail. **Evidence held in situ must be made available to assessors, internal verifiers and external verifiers as required to ensure the validity of the assessment process.**

## Examples of Practice

Exemplification of a variety of assessment approaches for SVQs in Business and Administration are available on SQA's Understanding Standards website - [http://www.understandingstandards.org.uk/Subjects/SVQ/BusinessAdministration/svg\\_ba\\_home](http://www.understandingstandards.org.uk/Subjects/SVQ/BusinessAdministration/svg_ba_home)

# Key terminology & guidance

<b>Types of evidence</b>
<b>Performance evidence</b>
This is first hand evidence of how a candidate works in relation to the standards. It includes the output of performance ( <b>work products</b> ) and <b>observation</b> of performance. The use of performance evidence is the principal method of demonstrating valid and reliable competence.
<b>Assessor observation</b>
Observation of the candidate in the workplace — carried out by a qualified and occupationally competent assessor. This evidence is both valuable and reliable. At the right or left hand side of each observation record, assessors should reference the task being observed to the performance indicators. This indication is a crucial part of the assessment process and is an essential aid to the internal verification process. An observation should contain information about the context of the assessment.
<b>Work product</b>
Work products are also valuable and reliable items of performance evidence. Work products are outputs of performance such as documents, e-mails, records/reports, etc and should be annotated to place the evidence in context. This annotation could be recorded on a personal statement, written on the evidence or within a professional discussion.
<b>Supporting evidence</b>
This evidence supports the key performance evidence. Supporting evidence includes — personal statement/personal statement, questioning, professional discussion and witness testimony. Supporting evidence plays an important role in the triangulation of evidence. Triangulated evidence is more valid and reliable than lots of the same types of evidence e.g. using only Work Products – as it gives a fuller picture of the candidate’s activities and therefore competence.
<b>Personal statement/Storyboard/Reflective account</b>
A personal statement is a technique used to place evidence in context and to demonstrate knowledge. Some centres use the terms <i>Storyboard</i> or <i>Reflective account</i> . The terms are interchangeable — the important feature is that they are a candidate’s own written description of their role in producing the evidence and/or their Knowledge. They can be written to cover parts of a Unit, parts of several Units, an entire unit or even more two or more whole Units; however it is good practice to target personal statements/personal statements at Knowledge that has not been demonstrated through performance rather than starting with a ‘catch all’ approach from the outset.

<b>Questioning</b>
Questioning is normally used to fill knowledge gaps. This includes both written and verbal questioning. Responses to verbal questions should be recorded. Knowledge is likely to be covered by performance evidence, therefore additional written or verbal questioning may only be required for small parts of some Units. If questions are required they may be asked in written or verbal form. Assessors could ask verbal questions during an observation, during a professional discussion or as work product is being considered by the assessor. The assessor should use his/her judgement to decide the most appropriate opportunity to collect this type of evidence.
<b>Professional discussion</b>
Professional discussions are structured, planned, in depth discussions recorded in writing or captured on audio or digital video between the assessor and candidate. The assessor will plan in advance the areas to be covered and will guide the conversation to ensure it remains relevant to these areas. As professional discussion takes the form of a conversation, it may allow the candidate to be more expressive in their response, and therefore to cover more Knowledge, than to conventional questioning. Professional discussion is unlikely to take place during the course of an observation as it requires pre-planning — direct questioning is more likely to be appropriate under those circumstances.
<b>Witness testimony</b>
Witness testimony is confirmation by a colleague or line manager attesting to the candidate's competence and/or the authenticity of evidence. This may be a written document, a statement added to a piece of work product or as a discussion recorded by the assessor in audio, video or written form. Witness testimony can often be arranged to coincide with an observation of the candidate. It can be used to support the validity, authenticity, currency and reliability of the evidence. It can also be used to highlight competence of a candidate performing a task over a period of time.
<b>Simulation</b>
Whilst permissible, simulation should always be used as a last resort and must be regarded as a way to fill gaps. Using simulation to evidence entire units is not acceptable. If a unit or any part of a unit is simulated it must be undertaken in a 'realistic working environment' (RWE). units which have been imported into the Business and Administration SVQ must be assessed in compliance with the Assessment Strategy from the relevant area. Simulation can be used where candidates face barriers to gathering evidence through normal workplace activity in a unit which forms part of their normal role in the workplace (eg where a customer service complaint/equipment problem does not naturally occur).

## General assessment issues

### Units with Words Per Minute Criteria (WPM) (Prepare Text from Notes/Shorthand/Recorded Audio Instruction)

Some units incorporate a requirement for candidates to input text or take shorthand at a relevant rate in words per minute. It would be best practice to measure this speed using a timed exercise. The word count is based on five keystrokes per word with the candidate input being measured over a 5 minute period with no more than five input errors. Where a candidate makes more than five errors in completing this exercise, a re-assessment needs to take place.

### Separating training from assessment

Materials used for training, or evidence of the outcomes of training, are not evidence of competence and should not be included in a Business and Administration SVQ portfolio of evidence. Only evidence of the candidate's practice in the workplace which has been assessed as meeting the standards should be presented in the SVQ portfolio. Evidence of Knowledge may be derived from personal statement, questioning and professional discussion (see above).

### How much is enough evidence?

The evidence presented against each unit must clearly demonstrate the candidate's ability to perform the activity competently across a breadth of scope consistently to the required standard over time. All Performance Indicators and Knowledge should be referenced by at least one piece of appropriate evidence. For performance —supporting evidence may be used to fill small gaps. Performance over time is not about performing the same tasks several times, rather having different forms of evidence that complement each other over a period of time. In practice it is likely that there will be overlap in certain areas of the qualification in terms of tasks performed and evidence acquired, that will allow some PIs and Knowledge to be referenced more than once.

### Use of confidential information as evidence (Evidence in situ)

Some units naturally rely on confidential and sensitive work product to confirm competence (eg HR records, customer financial records, medical files, etc). Where this is the case, steps must be taken to ensure the sensitive/confidential content is redacted. For some units there may be a bulk of sensitive or confidential information where redacting the content would remove too much of the context for a reliable assessment judgement. In these instances it may be more appropriate to sign-post this evidence in the candidate portfolio and leave the evidence in its normal location (in situ). Where evidence in situ is used, assessors must ensure that a clear and detailed explanation of the evidence itself is included in the portfolio together with details of where the original evidence is located, eg 'HR records maintained by the candidate which include — updates of personal details, grievance records, disciplinary records, training records, holiday and sickness leave — can be found in the filing cabinet in room 6.2 the HR Office'.

In situ evidence must be available to the Internal verifier on request and External Verifier when the unit is selected for verification. Where used it must be discussed with the External Verifier at the visit planning stage so that suitable arrangements for can be made for the evidence to be available

**Triangulation**

Combining different types of evidence — performance evidence and supporting evidence — to ensure authenticity, validity, sufficiency, currency and reliability. Triangulation also helps ensure consistent performance over time as evidence is gathered at different points in time. Triangulated evidence is more valid and reliable than lots of the same types of evidence e.g. using only Work Products – as it gives a fuller picture of the candidate’s activities and therefore competence.

# Structure of the SVQ

This section lists the units which form the SVQ Business and Administration SCQF level 8.

## SVQ Business and Administration SCQF level 8 (GM31 24)

**Total number of units that the candidate needs to achieve for the qualification is eight.**

All three Mandatory units must be completed and at least two units from **Group B**, the remaining three units may be selected from **Group B, Group C** or **Group D**.

<sup>a</sup> Either unit HL46 04 Develop and Establish Systems and Procedures to Review Organisational Performance **or** HL47 04 Assist in Improving Organisational Performance may be selected, but not both.

SQA number	Unit number	Unit title	SCQF level	SCQF credit
<b>Group A mandatory units — 3</b>				
FE74 04	S401	Manage and be Accountable for Own Performance in a Business Environment	7	5
FE75 04	S402	Manage Work in a Business Environment	8	7
H181 04	S431	Use Information to take Effective Decisions	8	4
<b>Group B optional units — Select 2–5</b>				
H98D 04	S419	Explore Ideas for Innovation in a Business Environment	8	6
FE16 04	S407	Propose and Design Administrative Services	8	8
FE1A 04	S411	Chair Meetings	8	4
H98C 04	S413	Design and Develop an Information System	8	7
FE1M 04	S414	Manage and Evaluate Information Systems	8	6
FE1E 04	S417	Invite Tenders and Select Contractors	8	6
HL44 04	S418	Monitor and Evaluate the Performance of Contractors	8	6
FE14 04	S405	Negotiate in a Business Environment	8	7
FE12 04	S403	Evaluate and Solve Business Problems	8	6
HL45 04	S432	Monitor and Evaluate Trends and Events that Affect Organisations	8	6
HL46 04	S433	Develop and Establish Systems and Procedures to Review Organisational Performance <sup>a</sup>	8	6
HL47 04	S434	Assist in Improving Organisational Performance <sup>a</sup>	8	6

SQA number	Unit number	Unit title	SCQF level	SCQF credit
<b>Group C optional units — Select 0–3</b>				
H9Y8 04	S435	Build and Maintain Effective Customer Relations	8	8
FE3V 04	S436	Develop a Customer Service Strategy for a Part of an Organisation	8	11
HL48 04	S437	Engage Audiences Through Digital, Including Social Media	8	5
HL49 04	S438	Engage Internal Audiences	8	6
HL3Y 04	S439	Develop and Maintain Your Professional Networks	9	10
H8GY 04	S428	Provide Leadership in Your Area of Responsibility	8	9
H8H3 04	S440	Ensure Compliance With Legal, Regulatory, Ethical and Social Requirements	9	12
HK2A 04	S420	Plan Change	9	15
FM4X 04	S422	Implement Change	8	11
H5XR 04	S426	Recruit, Select and Retain People	9	14
H58V 04	S430	Develop and Sustain Productive Working Relationships with Stakeholders	9	12
H5K4 04	S441	Manage the Use of Financial Resources	8	14
H58W 04	S424	Manage Physical Resources	8	5
H7CD 04	S425	Manage the Environmental and Social Impacts of Your Work	8	4
HL41 04	S442	Develop Knowledge and Make it Available	9	4
FM5P 04	S443	Manage Business Processes	9	15
H8H0 04	S444	Manage Projects	8	11

<b>Group D optional units — Select 0–1</b>				
FE15 04	S406	Manage an Office Facility	7	6
FE18 04	S409	Implement, Monitor and Maintain Administrative Services	7	7
FE76 04	S412	Manage Communications in a Business Environment	7	3
FE1C 04	S415	Prepare Specifications for Contracts	7	5
H683 04	S445	Build Teams	7	8
H58X 04	S446	Manage People’s Performance at Work	7	14
HL43 04	S447	Coach Individuals	7	6
H41Y 04	S448	Develop and Sustain Collaborative Relationships with Other Departments	7	5
H68K 04	S416	Manage Budgets	7	11
H8H2 04	S449	Provide Healthy, Safe, Secure and Productive Working Environments and Practices	7	7
H8GX 04	S450	Communicate Information and Knowledge	7	3

# Mandatory units

# **Unit S401: Manage and be Accountable for Own Performance in a Business Environment**

**SQA Code FE74 04**

## **General overview**

This mandatory unit is about accepting responsibility for your own work and its delivery as well as improving your own performance.

The optional units chosen will be the main source of evidence for this unit. Careful planning in the choice of optional units and careful thought relating to the type of evidence needed for this unit is crucial.

## **Performance indicators**

### **Plan and be accountable for your work**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Work diaries
- ◆ Action plans
- ◆ To do lists
- ◆ Personal Development Plan (PDP)
- ◆ Continuous Professional Development Plan (CPD)
- ◆ Minutes of one-to-one, team and management meetings
- ◆ Appraisals
- ◆ Reviews
- ◆ Reflect on and learn from mistakes
- ◆ Resource plan
- ◆ Risk assessment
- ◆ Targets
- ◆ Budgets
- ◆ Reports
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Behave in a way that supports effective working**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Personal Development Plan (PDP)
- ◆ Continuous Professional Development Plan (CPD)
- ◆ Minutes of one-to-one, team and management meetings
- ◆ Appraisals
- ◆ Reviews
- ◆ Change management: development records, implementation plans, monitoring records and evaluation reports
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Improve your own performance**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Personal Development Plan (PDP)
- ◆ Continuous Professional Development Plan (CPD)
- ◆ Minutes of one-to-one, team and management meetings
- ◆ Appraisals
- ◆ Reviews
- ◆ Training plans
- ◆ Action plans
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S402: Manage Work in a Business Environment

**SQA Code FE75 04**

## **General overview**

This mandatory unit is about working effectively within your organisation, supporting its purpose and values, supporting sustainability, respecting diversity, protecting security and confidentiality and managing risk.

The optional units chosen will be the main source of evidence for this unit. Careful planning in the choice of optional units and careful thought relating to the type of evidence needed for this unit is crucial.

## **Performance indicators**

### **Work to achieve your organisation's purpose and values**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ A description of your organisation including its mission, values and purpose
- ◆ Details of the individuals (internal and external) that the candidate works with
- ◆ Job description detailing role and responsibilities
- ◆ A diagram of the candidate's role set
- ◆ The decision-making responsibilities of the candidate
- ◆ Details of the decision-making processes that exist and the line management responsibilities and relationships within the candidate's organisation
- ◆ The policies, procedures, systems and values of your organisation that are relevant to your job
- ◆ Evidence of any improvements made to objectives, policies, systems, procedures and values
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Support sustainability**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Organisational policies and procedures supporting sustainability
- ◆ Induction checklists
- ◆ Procedures for the maintenance of equipment established by the candidate
- ◆ Technology efficiency reviews
- ◆ Office equipment maintenance records
- ◆ Office equipment reviews and evaluations
- ◆ Office waste reviews and evaluations
- ◆ Office waste monitoring records
- ◆ Team development plans
- ◆ Training programme
- ◆ Minutes of one-to-one, team and management meetings
- ◆ Personal Development Plans (PDP)
- ◆ Continuous improvement records
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Support diversity**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Organisational policies and procedures supporting diversity
- ◆ Induction checklists
- ◆ Minutes of one-to-one, team and management meetings
- ◆ Training records
- ◆ Recruitment action plans
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Maintain security and confidentiality**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Organisational policies and procedures in relation to the security of property and confidentiality of information
- ◆ Risk assessments
- ◆ System control records
- ◆ Minutes of one-to-one, team and management meetings
- ◆ Security records
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Assess and manage risk**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Risk assessments
- ◆ Risk management records
- ◆ Identification of hazards
- ◆ Action plans
- ◆ Implementation plans
- ◆ Monitoring records
- ◆ Evaluation reports
- ◆ Minutes of one-to-one, team and management meetings
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S431: Use Information to take Effective Decisions

SQA Code H8H1 04

## General overview

This unit is about taking sound decisions based upon a valid analysis of the best available information.

The unit is relevant to all managers and leaders.

This involves:

- ◆ Identifying those who may be affected by the decision and their interests.
- ◆ Engaging, where appropriate, those who are able to contribute to the decision-making process or will be affected by the decision.
- ◆ Establishing the objectives of the decision to be taken — clarifying what you are trying to achieve by taking the decision and checking that everyone involved agrees.
- ◆ Identifying the information you need to take the decision and the sources of this information.
- ◆ Obtaining sufficient relevant information to allow you to take the decision and verifying its accuracy and reliability.
- ◆ Taking timely action to remedy inadequate, unreliable, contradictory or ambiguous information.
- ◆ Analysing the information to identify facts, patterns and trends that may impact on your decision.
- ◆ Identifying and evaluating the range of options open to you.
- ◆ Drawing conclusions supported by reasoned arguments and reliable information, clearly stating any assumptions you have made and risks that may be involved.

## Performance indicators

### Taking decisions:

- ◆ in line with your objectives
- ◆ within the scope of your authority
- ◆ consistent with values, policies and guidelines
- ◆ in time for necessary action to be taken

### Obtaining help and advice if:

- ◆ you do not have adequate information
- ◆ the decision is outside your area of responsibility or scope of authority
- ◆ your decisions are likely to conflict with values, policies and guidelines

## **Communicating your decision and rationale clearly**

The evidence presented against this unit may show you:

- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding
- ◆ complying with, and ensuring others comply with, legal requirements, industry regulations, organisational policies and professional codes
- ◆ acting within the limits of your authority
- ◆ showing integrity, fairness and consistency in decision-making
- ◆ checking the accuracy and validity of information
- ◆ seeking concrete information in an ambiguous situation
- ◆ seeking to understand people's needs and motivations
- ◆ identifying the range of elements in a situation and how they relate to each other
- ◆ building a plausible picture from limited data
- ◆ specifying the assumptions made and risks involved in understanding a situation
- ◆ testing a variety of options before taking a decision
- ◆ taking timely decisions that are realistic for the situation
- ◆ taking decisions in uncertain situations or based on incomplete information when necessary
- ◆ taking and implementing difficult and/or unpopular decisions, if necessary

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Accounts)
- ◆ Records of negotiation — statement agreeing objectives
- ◆ Letters, emails, memos
- ◆ Work product showing the scientific decision making process in action – identifying each stage
- ◆ Records of resolving difficulties/setbacks/providing support to others
- ◆ Professional Discussion
- ◆ Minutes of Meetings
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Analysis/comparison of information
- ◆ Log of sources of information

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Optional units

# Unit S419: Explore Ideas for Innovation in a Business Environment

SQA Code H98D 04

## General overview

This unit is about generating, developing and testing out ideas for innovation when working in a business environment. It includes identifying and researching possible ways of improving working practices, products or services, evaluating the ideas and adapting them based on the feedback of others. It is for administrators who have some responsibility for proposing improvements within their role.

This involves:

- ◆ Constructively questioning existing ways of working within the organisation.
- ◆ Researching and identifying possible innovations to working methods, services or products.
- ◆ Gathering information to develop own ideas.
- ◆ Evaluating ideas based on agreed criteria, including complying with organisational aims and objectives.
- ◆ Identifying the costs and benefits of own ideas, including the resources needed and the likely impact on others.
- ◆ Evaluate the potential of own ideas with colleagues, including whether they have been tried before and what would be different this time.
- ◆ Asking appropriate questions to extend own thinking and question own assumptions.
- ◆ Communicating and selling ideas to others.
- ◆ Taking feedback into account and showing a willingness to adapt.
- ◆ Deciding whether or not own ideas are viable.
- ◆ Putting forward a formal proposal to persuade decision-makers.
- ◆ Recognising when it is appropriate to take acceptable risks.
- ◆ Showing a willingness to learn from mistakes.

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Account)
- ◆ Records of negotiation
- ◆ Statement indicating the innovation to be tackled
- ◆ Letters, emails, memos
- ◆ Records showing the gathering of evidence
- ◆ Minutes of meetings
- ◆ Records highlighting the costs and benefits of idea
- ◆ Records of presenting idea to colleagues
- ◆ Records of feedback from colleagues
- ◆ Witness Testimony
- ◆ Professional Discussion
- ◆ Appraisal
- ◆ Proposal document
- ◆ Analysis of benefits/risks

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S407: Propose and Design Administrative Services

SQA Code FE16 04

## General overview

This optional unit is about proposing, agreeing and designing administrative services to meet specified needs.

## Performance indicators

The types of evidence that may be used could include:

### Make proposals for administrative services

- ◆ Assessor observation
- ◆ The organisation's administrative services policies and procedures
- ◆ The legal and regulatory requirements relevant to the organisation's administrative services
- ◆ Roles and responsibilities of staff responsible for making decisions on the organisation's administrative services policies and procedures
- ◆ The users of the organisation's administrative services
- ◆ Evaluation report of current administrative services including findings and recommendations
- ◆ Draft administrative services specifications in line with legal and organisational requirements
- ◆ Budget specifications
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

### Design administrative services

- ◆ Consultation report on draft design options including evaluation of all design options' strengths and weaknesses
- ◆ Agreed design options consistent with specifications and budgets, conforming to organisational and legal requirements
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## Knowledge and understanding

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S411: Chair Meetings

**SQA Code FE1A 04**

## **General overview**

This optional 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.

## **Performance indicators**

The types of evidence that may be used could include:

### **Before the meeting**

- ◆ Assessor observation
- ◆ Notes agreeing purpose and time of meeting
- ◆ Agendas/chair agendas
- ◆ Invitations to attend
- ◆ Meeting papers
- ◆ Briefing papers identifying key issues
- ◆ Venue details
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

### **During the meeting**

- ◆ Assessor observation
- ◆ Professional discussion/oral questioning/written questioning

### **After the meeting**

- ◆ Assessor observation
- ◆ Approval of draft minutes
- ◆ Minutes of meeting including actions
- ◆ Evidence of actions being implemented (e-mail confirmation)
- ◆ Feedback forms
- ◆ Evaluation records and learning points for improvement
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S413: Design and Develop an Information System

SQA Code H98C 04

## General overview

This optional unit is about designing, developing and testing information systems to meet organisational and users' needs.

## Performance indicators

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Agendas and minutes of meetings identifying and agreeing user needs, resources and budgets
- ◆ System specifications
- ◆ Implementation plans
- ◆ Copy of 'test log' detailing the information system being tested
- ◆ Copies of correspondence confirming the information system meets agreed specifications, users' needs and came in on budget
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## Knowledge and understanding

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S414: Manage and Evaluate Information Systems

SQA Code FE1M 04

## General overview

This optional unit is about managing, monitoring and evaluating information systems to meet organisational and users' needs.

## Performance indicators

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Training plans (including legislative and organisation requirements)
- ◆ Training records
- ◆ Training evaluation records
- ◆ Monitoring records
- ◆ Information system problems log
- ◆ Evaluation feedback/reports including recommendations
- ◆ Implementation of evaluation recommendations
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## Knowledge and understanding

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S417: Invite Tenders and Select Contractors

**SQA Code FE1E 04**

## **General overview**

This optional unit is about inviting, receiving, recording and evaluating tenders and selecting and awarding contracts.

## **Performance indicators**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Tender information pack (including specifications)
- ◆ Invitations to tender
- ◆ Record of tenders received
- ◆ Records of evaluation of tenders against criteria
- ◆ Agendas and minutes of management meetings
- ◆ Copies of correspondence to unsuccessful contractors (including feedback)
- ◆ Records of communication negotiating with successful suppliers
- ◆ Copies of contracts detailing specifications in line with legislative, regulative and organisational requirements
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S418: Monitor and Evaluate the Performance of Contractors

SQA Code HL44 04

## General overview

This unit is about monitoring and evaluating contractors' performance against agreed objectives of the contract.

This involves:

### Monitoring the performance of contractors:

- ◆ developing and maintaining relationships with contractors
- ◆ communicating with contractors and others involved
- ◆ checking compliance with contract, taking into account legal, regulatory and organisational requirements
- ◆ making sure contract objectives are being met
- ◆ agreeing action to rectify non-compliance
- ◆ dealing with breaches of contract within acceptable timescales

### Evaluating the performance of contractors:

- ◆ agreeing sources of information for evaluation
- ◆ gathering and analysing information
- ◆ identifying and reporting on contractors' strengths and areas for improvement

It is good practice to have a range of supporting evidence across the portfolio — questioning, professional discussion and witness testimony, rather than relying on any one form of evidence entirely. Annotation of work product is an excellent way of contextualising evidence and can also be an opportunity to cover Knowledge.

This is known as triangulation of evidence and is an effective way of demonstrating performance over time without duplicating tasks.

While gathering evidence, please refer to the mandatory units and use opportunities as they arise to map evidence against them. A balance should be struck between seeking such opportunities and allowing evidence to be gathered naturally to ensure the most efficient holistic approach.

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Account)
- ◆ Letters, emails, memos showing communication with contractors relating to developing relationships and communicating with contractors and checking compliance and rectifying non compliance.
- ◆ Guidelines, procedures and codes of practice relating to compliance with contractors, these should be annotated to clearly show which specific parts are relevant and how you will implement them.
- ◆ Records/Work Product showing your resolution of difficulties/setbacks
- ◆ Records/Work Product showing action you have taken to rectify non compliance
- ◆ Records/Work Product relating to your evaluation of contractors' performance
- ◆ Minutes of Meetings
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Feedback from others

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S405: Negotiate in a Business Environment

SQA Code FE14 04

## General overview

This optional unit is about preparing a negotiation brief and negotiating with a third party to achieve planned objectives.

## Performance indicators

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Job description detailing role and responsibilities
- ◆ A diagram of the candidate's role set
- ◆ The negotiation responsibilities of the candidate
- ◆ Details of the negotiation processes that exist and the line management responsibilities and relationships within the candidate's organisation
- ◆ Negotiation briefs and roles of the candidate and other colleagues and stakeholders
- ◆ Record of the objectives the other negotiator(s) may be trying to achieve
- ◆ Research detailing the strength of the other negotiator(s) position prior to negotiations taking place
- ◆ Records of communications with colleagues and stakeholders which show that the candidate communicates effectively and takes account of their views and needs in relation to negotiation
- ◆ Records of communications with colleagues and stakeholders which show that the candidate has fulfilled agreements with colleagues and stakeholders (or notified them promptly if this is impossible) and has exchanged information and resources to facilitate effective negotiation
- ◆ Records of communications with colleagues and stakeholders which show that the candidate can justify the decisions made by using evidence, argument, questioning and assertiveness
- ◆ Problem log with solutions
- ◆ Clear and accurate records of the negotiations and outcomes
- ◆ Evaluation reports including learning points to improve future negotiation skills
- ◆ Agendas and minutes of meetings
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## Knowledge and understanding

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S403: Evaluate and Solve Business Problems

SQA Code FE12 04

## General Overview

This optional unit is about identifying, analysing, assessing, planning, solving and evaluating business problems.

## Performance indicators

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ The organisation's mission and objectives
- ◆ Correspondence/minutes of meetings discussing business problem(s)
- ◆ Record of prioritising business problems in relation to importance/complexity/impact/urgency
- ◆ Communication records
- ◆ Risk assessments
- ◆ Strengths, weaknesses, opportunities and threats (SWOT) analysis
- ◆ Political, environmental, social and technological (PEST) analysis
- ◆ Brainstorming results
- ◆ Action plan to solve business problem(s)
- ◆ Agendas and minutes of meetings discussing implementation of action plan
- ◆ Correspondence detailing implementation
- ◆ Implementation plans
- ◆ Updated implementation plans
- ◆ Resource plans
- ◆ Presentations on implementation
- ◆ Review and updated action plan
- ◆ Evaluation report including identification of other approaches
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## Knowledge and understanding

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S432: Monitor and Evaluate Trends and Events that Affect Organisations

SQA Code HL45 04

## General overview

This unit is about monitoring, evaluating and prioritising changes in the internal and external environment in which the organisation operates. It includes advising decision-makers on their relevance and implications for the organisation, taking account of legal and regulatory requirements and ethical responsibilities and seeking specialist advice where appropriate. It is for administrators who monitor and evaluate trends and events that may affect the organisation as part of their role.

This involves:

- ◆ making sure there are systems in place to identify and record internal and external factors
- ◆ evaluating and prioritising internal and external factors for their relevance to the organisation
- ◆ analysing and evaluating trends and events for their implications for the organisation
- ◆ identifying, evaluating and prioritising current and emerging legal and regulatory requirements which are relevant to the organisation
- ◆ when necessary, obtaining specialist advice on interpretations of relevant legal and regulatory requirements
- ◆ communicating information to relevant people in good time to inform decision-making
- ◆ agreeing, with decision-makers, the relevance of trends and events and actions needed
- ◆ making sure any actions meet legal and regulatory requirements and ethical responsibilities

It is good practice to have a range of supporting evidence across the portfolio — questioning, professional discussion and witness testimony, rather than relying on any one form of evidence entirely. Annotation of work product is an excellent way of contextualising evidence and can also be an opportunity to cover Knowledge.

This is known as triangulation of evidence and is an effective way of demonstrating performance over time without duplicating tasks.

While gathering evidence, please refer to the mandatory units and use opportunities as they arise to map evidence against them. A balance should be struck between seeking such opportunities and allowing evidence to be gathered naturally to ensure the most efficient holistic approach.

## **Possible sources of evidence:**

- ◆ Storyboard (Reflective Account)
- ◆ Letters, emails, memos showing communication with contractors relating to developing relationships and communicating with contractors and checking compliance and rectifying non compliance.
- ◆ Guidelines, procedures and codes of practice relating to internal and external factors, these should be annotated to clearly show which specific parts relate to your organisation and how you will implement them.
- ◆ Records/Work Product relating to systems which record internal and external factors which impact on your organisation.
- ◆ Records/Work Product relating to systems you have put in place to deal with these internal and external factors.
- ◆ Work Product relating to your analysis and evaluation of trends
- ◆ Work Product relating to policies relating to current and emerging legal and regulatory factors
- ◆ Records/Work Product relating to your seeking of specialist advice on legal and regulatory factors
- ◆ Minutes of Meetings
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Feedback from others

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidence from performance could be addresses via a combination of personal statement questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S433: Develop and Establish Systems and Procedures to Review Organisational Performance

**SQA Code HL46 04**

## **General overview**

This unit is about developing and establishing organisational performance monitoring systems and procedures. It includes identifying, prioritising and agreeing key performance factors, helping users to implement the procedures, evaluating the procedures and recommending changes. It is for administrators who develop and establish the systems and procedures needed to review organisational performance.

This involves:

- ◆ agreeing and recommending formal and informal organisational performance monitoring systems and procedures
- ◆ identifying, prioritising and agreeing key performance factors
- ◆ agreeing qualitative and quantitative organisational performance indicators and measures
- ◆ identifying and evaluating the effects of organisational performance monitoring systems and procedures on organisational structures and systems
- ◆ negotiate and agree the implementation of organisational performance monitoring systems and procedures
- ◆ helping users to implement organisational performance monitoring systems and procedures
- ◆ evaluating organisational performance monitoring systems and procedures
- ◆ recommending changes to organisational performance monitoring systems and procedures with relevant decision-makers

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Account)
- ◆ Work Product relating to the initial agreement and recommendation of formal and informal organisational performance monitoring systems.
- ◆ Work Product relating to the implementation of organisational performance monitoring systems
- ◆ Records of evaluation of performance monitoring systems
- ◆ Records of setbacks of performance monitoring systems
- ◆ Letters, emails, etc to support the above
- ◆ Minutes of Meeting
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Feedback from other users

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S434: Assist in Improving Organisational Performance

SQA Code HL47 04

## General overview

This unit is about assisting in improving organisational performance. It includes identifying, developing, implementing and evaluating improvements in corporate performance, in line with legal and regulatory requirements. It is for administrators who assist in improving organisational performance as part of their role.

This involves:

- ◆ analysing and interpreting opportunities for improving organisational performance
- ◆ developing options for improving organisational performance and analysing resource and organisational implications
- ◆ presenting options aimed at leading to positive change
- ◆ confirming agreed changes are carried out within agreed timescales and resources
- ◆ making sure legal and regulatory requirements are followed when analysing opportunities for improving organisational performance
- ◆ making sure ethical responsibilities are met when recommending opportunities for improving organisational performance
- ◆ monitoring and evaluating the impact and effectiveness of changes to inform future decision-making

It is good practice to have a range of supporting evidence across the portfolio — questioning, professional discussion and witness testimony, rather than relying on any one form of evidence entirely. Annotation of work product is an excellent way of contextualising evidence and can also be an opportunity to cover Knowledge.

This is known as triangulation of evidence and is an effective way of demonstrating performance over time without duplicating tasks.

While gathering evidence, please refer to the mandatory units and use opportunities as they arise to map evidence against them. A balance should be struck between seeking such opportunities and allowing evidence to be gathered naturally to ensure the most efficient holistic approach.

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Account)
- ◆ Letters, memos, emails
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Work Product relating to your analysis and interpretation of opportunities to improve organisational performance, this should be annotated to clearly show your part in this process.
- ◆ Work Product relating to your development and presentation of options to improve organisational performance and your analysis of resource implications, this should be annotated to clearly show your part in this process.
- ◆ Records/Work Product confirming agreed changes were carried out within agreed timescales and resources.
- ◆ Records showing your adherence to meeting ethical responsibilities.
- ◆ Records showing your monitoring and evaluation of the impact and effectiveness of changes.
- ◆ Feedback from others.

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S435: Build and Maintain Effective Customer Relations

**SQA Code H9Y8 04**

## **General overview**

This unit is part of the Customer Service Theme of Delivery. This Theme covers Customer Service behaviours and processes that have most effect on the customer experience during Customer Service delivery. Remember that customers include everyone you provide a service to. They may be external to your organisation or they may be internal customers.

Building and developing effective customer relations is a vital aspect of customer service. Strong customer relations will help your organisation to identify and understand your customers' expectations, encourage a way of working that is based on partnership and mutual trust, and establish and maintain customer loyalty. The unit is about establishing and maintaining effective customer relations. For some organisations this means encouraging loyalty and repeat business from large numbers of customers. For others it is all about nurturing and relating to a smaller number of valued customers who make an important strategic contribution to your organisation's success. This unit is for you only if you are in a position to influence the way your organisation determines the level of service offered to different customers.

This involves:

## **Establish effective customer relations**

- ◆ Identifying the types of customers with whom you should build longer term customer relations and promoting loyalty
- ◆ Communicating with these customers so that they know they are important to your organisation
- ◆ Explaining your role, the purpose of making contact and the mutual benefits of building a longer term relationship with customers
- ◆ Making it clear that you welcome two-way communication about customer expectations

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

- ◆ Keeping customers informed and accepting criticism from customers openly and constructively
- ◆ Regularly assessing whether customer expectations are being consistently met
- ◆ Using your influence and authority in your own organisation to ensure that customer needs and expectations are being met and, where possible, exceeded
- ◆ Collecting feedback from customers and staff to ensure that solutions are being provided that result in customer satisfaction
- ◆ Analysing customer relations and proposing changes that will develop longer term loyalty to people with authority in your organisation.

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Account)
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Feedback from customers and your response (this may include feedback via social media and web review evidence (Facebook, Twitter, Trip Advisor, ebay, Amazon, communications from organisation's website, etc)
- ◆ Feedback from staff
- ◆ Personal Statements
- ◆ Witness Testimony
- ◆ Professional Discussion
- ◆ Appraisals
- ◆ Promotional materials
- ◆ Loyalty campaigns
- ◆ Feedback tracking and analysis
- ◆ Staff meeting agendas
- ◆ Staff training materials

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S436: Develop a Customer Service Strategy for a Part of an Organisation

**SQA Code FE3V 04**

## **General overview**

This unit is part of the Customer Service Theme of Development and Improvement. This Theme covers activities and approaches that play a vital part in customer service by seeking and implementing improvements and developments. Remember that customers include everyone you provide a service to. They may be external to your organisation or they may be internal customers.

If organisations want to be consistently successful in customer service over a period of time, they need a customer service strategy. Managers and other senior staff can contribute to this through their knowledge of the organisation's customers and their expertise in customer service. This contribution is also based on what they know of other organisations and published research into trends in customer service. This unit does not assume you have full responsibility for your organisation's customer service strategy but that you take a major role in the development of strategy for a particular part of your organisation.

This involves:

## **Research and evaluate your organisation's business and customer service strategy**

You must be able to:

- ◆ identify your organisation's values, aims and objectives
- ◆ identify the role of a given part of the organisation in achieving the strategy
- ◆ evaluate the implications of the strategy for customer service in this part of the organisation
- ◆ confirm the implications of the strategy for customer service with colleagues
- ◆ collect information on and analyse customer expectations
- ◆ match customer expectations with the customer service implications of the business strategy for a given part of your organisation

## **Help to identify current and future best practice in customer service**

You must be able to:

- ◆ identify other organisations which represent models of good practice in customer service
- ◆ evaluate the key features of customer service in these organisations and the principles that underpin their approaches
- ◆ identify and analyse current research on trends and developments in customer service
- ◆ identify and analyse relevant legal and regulatory requirements, codes of practice and ethical considerations
- ◆ explore the implications of your research for the part of the organisation you are working in
- ◆ discuss the outcomes of your research with colleagues

## **Identify and recommend the key features of a customer service strategy**

You must be able to:

- ◆ identify values, aims and objectives that are consistent with your research
- ◆ identify contact processes and channels for customer service that are consistent with your values, aims and objectives
- ◆ identify how you will evaluate the effectiveness of the strategy
- ◆ discuss with colleagues the key features of a customer service strategy
- ◆ construct a customer service strategy for the chosen part of the organisation and agree it with colleagues and managers

## **Knowledge and understanding**

You need to know and understand:

- ◆ the importance of having a customer service strategy for a given part of the organisation
- ◆ how to access information on your organisation's overall business strategy and analyse its implications
- ◆ sources of information you can use to find out about your customers and their expectations
- ◆ the benefits of using information about customers and their expectations available through social media
- ◆ the importance of customer loyalty and customer service practices that can help to retain loyalty
- ◆ how to identify other organisations which might represent models of best practice in customer service
- ◆ sources of research on trends and developments in customer service
- ◆ how to develop values, aims and objectives relevant to customer service
- ◆ procedures for making recommendations within your organisation.

## SQA evidence requirements to support this unit

This unit is designed to assess the skills and knowledge of candidates in the workplace. Candidate evidence should be generated under workplace conditions (either paid or voluntary) and evidence must be generated with different customers on different occasions over a sufficient period of time.

Observation should be the primary and preferred source of evidence of competent performance wherever possible. Observation of candidate performance will be supported by other methods of assessment which may include:

- ◆ witness testimony
- ◆ questioning
- ◆ candidate statement
- ◆ professional discussion
- ◆ product and photographic evidence,
- ◆ relevant active documentation, reports, presentations and
- ◆ other valid evidence which relates directly to learner performance under workplace conditions

A combination of performance and knowledge evidence is required to enable the assessor to confirm that the learner is competent.

Simulation should only be used in exceptional circumstances and it should only be for small parts of the unit. Simulated assessments **must** be undertaken in a realistic working environment (RWE). A RWE is 'an environment which replicates the key characteristics in which the skill to be assessed is normally employed'. The RWE must provide conditions that are the same as the normal day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working. Guidelines for using RWE can be found in the Assessment Strategy for Customer Service SVQs at link: <http://www.sqa.org.uk/sqa/16732.html>

SQA's Guide to Assessment is designed to provide support for everyone who assesses for SQA qualifications. It looks at the principles of assessment, and brings together information on assessment in general as well as on best practice in assessment. The Guide to Assessment can be downloaded free from SQA's website [www.sqa.org.uk](http://www.sqa.org.uk)

# Unit S437: Engage Audiences Through Digital, Including Social Media

**SQA Code HL48 04**

## General overview

This unit is about engaging audiences through the use of digital, including social media. It includes identifying the target audience and how to access them, ensuring that the appropriate response devices are in place and responding to negative messages or comments from the target audience. It is for public relations professionals who use digital, including social media, to engage audiences, either within an in-house context or on behalf of client organisations.

This involves:

- ◆ confirming the objectives for the use of digital, including social media and the messages to be communicated
- ◆ establishing the tone of voice to be used in communications and ensuring that this is communicated within the organisation
- ◆ identifying the target audience and how to access them
- ◆ assessing the benefits and risks of different types of electronic tools, platforms and social media and select those best suited to the audience
- ◆ creating content that makes appropriate use of the channels or platforms selected and will engage the target audience's participation
- ◆ ensuring that content is accurate and justifiable
- ◆ ensuring clear links to allow the audience to access further information or take appropriate action and include appropriate response devices
- ◆ developing and making appropriate responses to negative messages or comments received
- ◆ creating data collection and reporting systems to fulfil agreed monitoring requirements, in line with data protection and privacy legislation
- ◆ liaising with systems specialists where necessary
- ◆ monitoring and evaluating the outcomes of the use of digital, including social media and adjust public relations strategies and actions accordingly

It is good practice to have a range of supporting evidence across the portfolio — questioning, professional discussion and witness testimony, rather than relying on any one form of evidence entirely. Annotation of work product is an excellent way of contextualising evidence and can also be an opportunity to cover Knowledge.

This is known as triangulation of evidence and is an effective way of demonstrating performance over time without duplicating tasks.

While gathering evidence, please refer to the mandatory units and use opportunities as they arise to map evidence against them. A balance should be struck between seeking such opportunities and allowing evidence to be gathered naturally to ensure the most efficient holistic approach.

### **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Account)
- ◆ Letters, memos, emails
- ◆ Minutes of Meetings
- ◆ Create Policy relating to the use of digital communication including social media
- ◆ Work Product relating to content transmitted
- ◆ Work Product relating to appropriate responses to negative messages or comments received
- ◆ Records/Work Product relating to data collection and reporting systems
- ◆ Records/Work Product relating to your monitoring and evaluation of digital communications across all platforms used.

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

### **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S438: Engage Internal Audiences

**SQA Code HL49 04**

## **General overview**

This standard is about engaging audiences within an organisation. It includes identifying the communication requirements of business functions and key internal stakeholder groups, ensuring that internal communications are co-ordinated, providing support to those dealing with the media or external stakeholders and monitoring the outcomes of public relations activity. It is for public relations professionals who engage internal audiences either within an in-house context, or on behalf of client organisations.

This involves:

- ◆ identifying the organisation's structure and key internal stakeholder groups and establishing their communication requirements.
- ◆ developing and presenting a persuasive business case for meeting internal communication requirements, obtaining support from internal stakeholder groups.
- ◆ agreeing communication objectives and plans with the organisation's business functions and internal stakeholder groups which are in line with the organisation's overall strategy.
- ◆ ensuring that internal communications are co-ordinated and support the organisation's overall strategy.
- ◆ providing appropriate support to the organisation's business functions and key internal stakeholder groups in dealing with the media or external stakeholders.
- ◆ ensuring that managers and employees communicate in line with published public relations guidelines.
- ◆ monitoring and evaluating the effectiveness of communication activity and adjusting strategies and plans accordingly.

It is good practice to have a range of supporting evidence across the portfolio – questioning, professional discussion and witness testimony, rather than relying on any one form of evidence entirely. Annotation of work product is an excellent way of contextualising evidence and can also be an opportunity to cover Knowledge.

This is known as triangulation of evidence and is an effective way of demonstrating performance over time without duplicating tasks.

While gathering evidence, please refer to the mandatory units and use opportunities as they arise to map evidence against them. A balance should be struck between seeking such opportunities and allowing evidence to be gathered naturally to ensure the most efficient holistic approach.

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Account)
- ◆ Updated organisation chart showing key internal stakeholders
- ◆ Letters, memos, emails
- ◆ Reflections to evidence:
  - the agreement of communication objectives with internal stakeholders
  - ensuring the coordination of these internal communications
  - establishing a support mechanism to deal with the media or external stakeholders
  - evaluation of policy created to engage with internal audiences
- ◆ Records/Work Product relating to your monitoring and evaluation of communication activity.
- ◆ Records/Work Product relating to your supporting others in dealing with the media or external stakeholders.
- ◆ Minutes of meetings
- ◆ Professional Discussion

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S439: Develop and Maintain Your Professional Networks

SQA Code HL3Y 04

## General overview

This unit is about developing your professional networks to support both your current and future work.

The unit is relevant to all managers and leaders.

This involves:

- ◆ Establishing professional networks of contacts which meet your current and future needs for information and resources.
- ◆ Ensuring that key members of your professional networks have an accurate idea of your knowledge, skills and competence and are aware of the benefits of networking with you.
- ◆ Establishing boundaries of confidentiality between yourself and members of your professional networks
- ◆ Agreeing guidelines for exchanging information and resources, where necessary.
- ◆ Developing your professional networks to reflect your changing interests and needs.
- ◆ Using technology effectively to develop and maintain your professional networks
- ◆ Making active use of the information and resources gained through your professional networks.
- ◆ Introducing people and organisations with common interests to each other.

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Accounts)
- ◆ Letters, email, memos
- ◆ Observation of preliminary discussion of the establishment of a network
- ◆ Computer printouts highlighting the use of technology
- ◆ Minutes of meetings
- ◆ Witness Testimony from your professional networks
- ◆ Statement re confidentiality between yourself and your professional networks
- ◆ Statement re guidelines for exchanging information and any Work Product that supports the use of these guidelines
- ◆ Work Product showing how you used the information gained through your professional networks
- ◆ Professional Discussion
- ◆ Appraisals
- ◆ Agreements or contracts outlining boundaries of confidentiality
- ◆ Venn diagram showing relationship/interaction of contacts in specific areas of interest.

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S428: Provide Leadership in Your Area of Responsibility

SQA Code H8GY 04

## General overview

This unit is about providing direction to people in a clearly and formally defined area or part of an organization and motivating/supporting them to achieve the vision and objectives for the area. This standard is imported from the MSC Management and Leadership suite.

This involves:

- ◆ Creating a vision of where your area is going and clearly and enthusiastically communicating it, together with supportive objectives and operational plans, to the people working within your area.
- ◆ Ensuring that people working within your area understand and can see how the vision, objectives and operational plans link to the vision and objectives of the overall organisation.
- ◆ Steering your area successfully through difficult challenges, including conflict, diversity and inclusion issue within the area.
- ◆ Creating and maintaining a culture within your area which encourages and recognizes creativity and innovation.
- ◆ Developing a range of leadership styles and selecting and applying them to appropriate situations and people.
- ◆ Communicating regularly, making effective use of a range of different communication methods, with all the people working within your area and showing that you listen to what they say.
- ◆ Giving people in your area support and advice when they need it especially during periods of setback and change.
- ◆ Motivating and supporting people in your area to achieve their work and development objectives and providing recognition when they are successful.
- ◆ Empowering people in your area to develop their own ways of working and take their own decisions within agreed boundaries.
- ◆ Encouraging people to take the lead in their own areas of expertise and show willingness to follow this lead.
- ◆ Winning, through your performance, the trust and support of people within your area for your leadership and getting regular feedback on your performance.

A key piece of evidence could be a comprehensive storyboard supported by performance evidence (observation and work product) and supplementary evidence (professional discussion, witness testimony and questioning). Good practice would be to include those items of knowledge not evident from performance into the storyboard.

If a storyboard is not used to place the evidence in context then the work product mentioned above would have to be well annotated and personal statements used. Items of knowledge not evident from performance could be addressed in the personal statements or through the use of appropriate questions.

While gathering evidence against this unit, please refer to the Core units and try to gather evidence to cover these.

Remember all evidence must be triangulated — observation, work product, witness testimony and supplementary evidence.

## **Performance indicators**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Letters, memos and e-mails relating to the organisation's vision
- ◆ Draft plans
- ◆ Team minutes
- ◆ Appraisals
- ◆ Evidence relating to the creation and maintenance of organisation's culture
- ◆ Evidence of encouraging and recognising creativity and innovation
- ◆ Evidence of motivating and supporting people in your area of responsibility
- ◆ Personal statement
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S440: Ensure Compliance With Legal, Regulatory, Ethical and Social Requirements

**SQA Code H8H3 04**

## **General overview**

This unit is about being clear about your organisation's legal, regulatory, ethical and social requirements, providing policies and procedures to ensure compliance, monitoring compliance and taking action to rectify any breaches in compliance and avoid them being repeated.

The unit is for managers and leaders with specific responsibility for ensuring their organisation's compliance with legal, regulatory, ethical and social requirements.

This involves:

- ◆ Monitoring relevant national and international legal, regulatory, ethical and social requirements and the effect they have on your organisation, including what will happen if you don't meet them.
- ◆ Developing effective policies and procedures to make sure your organisation meets all the necessary requirements.
- ◆ Making sure people have a clear understanding of relevant policies and procedures and the importance of putting them into practice.
- ◆ Monitoring the way policies and procedures are put into practice and providing support, where required.
- ◆ Supporting people to report any concerns about not meeting the requirements.
- ◆ Identifying and correcting any failures to meet the requirements.
- ◆ Identifying reasons for not meeting requirements and adjusting the policies and procedures to reduce the likelihood of failures in the future.
- ◆ Providing full reports about any failures to meet the requirements to the relevant stakeholders.

## **Possible sources of evidence:**

The types of evidence that may be used include:

- ◆ Storyboard (Reflective Accounts)
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Reflection on national and international legal, regulatory, ethical and social requirements and how they affect your organisation
- ◆ Policy developed to meet the above
- ◆ Evaluations of introduction of policy
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Monitoring of policies and procedures
- ◆ Training/Induction Pack introducing staff to requirements
- ◆ Confirmation that staff understand the requirements and their role in upholding them.
- ◆ Evaluation of effectiveness of policies and procedures

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S420: Plan Change

**SQA Code HK2A 04**

## **General overview**

This optional unit is about identifying and developing opportunities for change and planning change for a team.

## **Performance indicators**

### **Identify and develop opportunities for change**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Minutes of meetings detailing new products and/or services; improvements to existing products and/or services; improvements to existing practices, procedures, systems, ways of working within the team or those of the wider organisation or customers or suppliers
- ◆ Communications — notes, memos, minutes of meetings, reports identifying (internal/external) triggers for change
- ◆ Action plans detailing (SMART) objectives, budgets and timescales
- ◆ Research reports
- ◆ Resource plans
- ◆ Risk assessments
- ◆ Cost analysis
- ◆ Budgets
- ◆ Targets
- ◆ Personal statement detailing how to engage teams and individuals in the whole change process and encourage them to feel they are contributing to the process; the impact of change and innovation on teams and individuals and how to manage this impact to achieve positive outcomes
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

### **Plan for change**

- ◆ Assessor observation
- ◆ Communications (notes, memos, minutes of meetings, reports) detailing plans for change
- ◆ Change plans (identifying vision, goals, objectives, timescales and resources)
- ◆ Updated plans (reflecting changes)
- ◆ Communicate change using e-mails, letters, meeting notes, memos
- ◆ Presentations
- ◆ Log of problems identified and solutions used
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S422: Implement Change

**SQA Code FM4X 04**

## **General overview**

This unit is about putting into practice your plans to change processes, systems, structures, roles or cultures.

The unit is for managers and leaders who are responsible for implementing change programmes across the organisation or in their particular area of responsibility.

This involves:

- ◆ Putting into practice the strategies and plans for change in line with the available resources
- ◆ Designing new work processes, procedures, systems, structures and roles to achieve the vision behind the change
- ◆ Identifying assessing and dealing with problems and barriers to change
- ◆ Monitoring, documenting and communicating progress to all involved
- ◆ Recognising and rewarding people and teams who achieve results
- ◆ Maintaining the momentum for change
- ◆ Making sure is effective and meets the requirements of the organisation

The evidence presented against this unit may show you:

- ◆ recognising changes in circumstances promptly and adjusting plans and activities accordingly.
- ◆ finding practical ways to overcome barriers.
- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding.
- ◆ making time available to support others.
- ◆ clearly agreeing what is expected of others and holding them to account.
- ◆ recognising when there are conflicts, acknowledge the feelings and views of all parties, and redirecting people's energy towards a common goal.
- ◆ working towards a clearly defined vision of the future.
- ◆ recognising the achievements and the success of others.

## **Possible sources of evidence:**

The types of evidence that may be used include:

- ◆ Storyboard (Reflective Account)
- ◆ Copy of Plan for change
- ◆ Letters, emails, memos
- ◆ Observation of initial meeting re implementation plan
- ◆ Copy of any contingency arrangements
- ◆ Minutes of meetings
- ◆ Feedback evaluations from team members
- ◆ Witness Testimony
- ◆ Professional Discussion
- ◆ Appraisals
- ◆ Strategy document
- ◆ Analysis of problems and barriers to change
- ◆ Evaluation of change

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S426: Recruit, Select and Retain People

**SQA Code H5XR 04**

## **General overview**

This unit is about recruiting and selecting people to undertake identified activities or work roles within your area of responsibility.

The unit is not intended for human resources specialists. It is relevant to managers and leaders who are responsible for recruiting and selecting people for their organisation or their particular area of responsibility.

This involves:

- ◆ Engaging appropriate people within your organisation and other key stakeholders in recruiting and selecting people.
- ◆ Ensuring you comply with your organisation's recruitment and selection policies and procedures.
- ◆ Seeking and making use of specialist resources, where required.
- ◆ Reviewing, on a regular basis, the work required in your area of responsibility, identifying any shortfall in the number of people or their knowledge, skills and competence.
- ◆ Identifying and evaluating the options for addressing any identified shortfalls and deciding on the best options to follow.
- ◆ Ensuring the availability of up-to-date job descriptions and person specifications where there is a need to recruit.
- ◆ Establishing the stages in the recruitment and selection process for identified vacancies, the methods that will be used, the associated timings and who is going to be involved.
- ◆ Ensuring that any information on vacancies is fair, clear and accurate before it goes to potential applicants.
- ◆ Drawing up fair, clear and appropriate criteria for assessing and selecting applicants, taking into account their knowledge, skills and competence and their potential to work effectively with colleagues.
- ◆ Ensuring the recruitment and selection process is carried out fairly, consistently and effectively.
- ◆ Keeping applicants fully informed about the progress of their applications, in line with organisational policy.
- ◆ Offering positions to applicants who best meet the selection criteria.
- ◆ Providing clear, accurate and constructive feedback to unsuccessful applicants, in line with organisational policy.
- ◆ Evaluating whether the recruitment and selection process has been successful and identifying any areas for improvements.
- ◆ Seeking to provide work opportunities that challenge individuals to make effective use of their knowledge, skills and competences and develop their potential.

- ◆ Reviewing individuals' performance and development systematically and providing feedback designed to improve their performance.
- ◆ Recognising individuals' performance and recognising their achievements in line with your organisation's policy.
- ◆ Helping individuals appreciate the opportunities for career and professional development within the organisation and taking advantage of them.
- ◆ Providing opportunities for individuals to discuss issues about their work or development with you.
- ◆ Identifying when individuals are dissatisfied with their work or development and seeking solutions with them that meet both the individual's and organisation's needs.
- ◆ Recognising when individuals' values, motivations and aspirations are incompatible with your organisation's vision, objectives and values and seeking alternative solutions with the individuals concerned.
- ◆ Discussing their reasons with individuals planning to leave your organisation and seeking to resolve any issues or misunderstandings.

The evidence presented against this unit may show you:

- ◆ seizing opportunities presented by the diversity of people
- ◆ identifying people's information needs
- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding
- ◆ keeping people informed of plans and developments in a timely way
- ◆ giving feedback to others to help them maintain and improve their performance
- ◆ complying with, and ensuring others comply with, legal requirements, industry regulations, organisational policies and professional codes
- ◆ acting within the limits of your authority
- ◆ showing integrity, fairness and consistency in decision-making
- ◆ protecting the confidentiality and security of information
- ◆ checking the accuracy and validity of information
- ◆ taking and implementing difficult and/or unpopular decisions, where necessary

## **Potential sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Account)
- ◆ Company policy on recruitment
- ◆ Job Analysis
- ◆ Job Descriptions
- ◆ Person specifications
- ◆ Copies of criteria for assessing and selecting appropriate applicants
- ◆ Letters, emails, memos
- ◆ Minutes of Meetings
- ◆ Evaluations of recruitment process
- ◆ Copies of Appraisals
- ◆ Copies of Grievances
- ◆ Exit interviews or exit evaluation forms for staff leaving the organisation
- ◆ Professional Discussion
- ◆ Copies of advertisements
- ◆ Interview schedules
- ◆ Equal opportunity monitoring
- ◆ Individual development/training plan
- ◆ Induction programme

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S430: Develop and Sustain Productive Working Relationships with Stakeholders

**SQA Code H58V 04**

## General overview

This unit is about developing and sustaining productive working relationships with stakeholders. These include colleagues within your own organisation, people within other organisations with which your organisation works and other external stakeholders.

The unit is relevant to managers and leaders who work with both internal and external stakeholders.

This involves:

- ◆ Identifying external stakeholders and the nature of their interest in the activities and performance of your organisation.
- ◆ Establishing working relationships with relevant internal and external stakeholders.
- ◆ Recognising and respecting the roles, responsibilities, interests and concerns of stakeholders and, particularly in situations of matrix management, their managers' requirements.
- ◆ Seeking to create a climate of trust and mutual respect, particularly where you have no authority, or shared authority, over those you are working with.
- ◆ Seeking to understand difficult situations and issues from stakeholders' perspectives and provide support, where necessary, to move things forward.
- ◆ Providing stakeholders with appropriate information to enable them to perform effectively.
- ◆ Consulting stakeholders in relation to key decisions and activities and taking account of their views, including their priorities, expectations and attitudes to potential risks.
- ◆ Fulfilling agreements made with stakeholders and letting them know.
- ◆ Advising stakeholders promptly of any difficulties or where it will be impossible to fulfil agreements.
- ◆ Identifying and resolving conflicts of interest and disagreements with stakeholders in ways that minimise damage to work and activities and to the stakeholders involved.
- ◆ Monitoring and reviewing the effectiveness of working relationships with stakeholders in order to identify areas for improvement.
- ◆ Seeking and providing feedback in order to improve your own and stakeholders' performance.
- ◆ Monitoring wider developments in order to identify issues of potential interest or concern to stakeholders in the future and to identify new stakeholders.

The evidence presented against this unit may show you:

- ◆ identifying people's preferred ways of communicating
- ◆ using communication media and styles appropriate to different people and situations
- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding
- ◆ keeping people informed of plans and developments in a timely way
- ◆ showing respect for the views and actions of others
- ◆ complying with and ensuring others comply with legal requirements, industry regulations, organisational policies and professional codes
- ◆ seeking to understand people's needs and motivations
- ◆ creating a sense of common purpose
- ◆ working towards win-win solutions
- ◆ taking account of the internal and external politics that impact on your own area of work
- ◆ clarifying your own and others' expectations of relationships
- ◆ modelling behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
- ◆ honouring your commitments to others
- ◆ recognising when there are conflicts, acknowledging the feelings and views of all parties, and redirecting people's energy towards a common goal
- ◆ taking account of the impact of your own actions on others
- ◆ recognising stakeholders' needs and interests and managing these effectively

### **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard/Reflective Account
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Contracts with stakeholders
- ◆ Evaluations
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Job descriptions
- ◆ Work product — processes supporting the work of stakeholders
- ◆ Feedback from stakeholders

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S441: Manage the Use of Financial Resources

**SQA Code H5K4 04**

## General overview

This unit is about managing financial resources in order to achieve the objectives for your organisation or your area of responsibility.

The unit is for managers and leaders who manage financial resources for their organisation or a major area of responsibility, project or programme of work.

This involves:

- ◆ Confirming your financial responsibilities, including the limits of your authority, with those to whom you report.
- ◆ Engaging key stakeholders in managing finance to achieve objectives for your organisation or area of responsibility.
- ◆ Gathering and evaluating available financial information and the objectives and associated plans and identifying priorities, potential problems and risks.
- ◆ Identifying and making use of opportunities to delegate responsibility for budgets for clearly defined activities to colleagues, providing them with the required ongoing support and resources.
- ◆ Discussing and, if appropriate, negotiating delegated budgets with colleagues and agree provisional budgets.
- ◆ Developing a realistic master budget for your organisation or area and submit it for approval by those with decision-making responsibility for budgets, clearly specifying assumptions made, risks involved and how these will be managed.
- ◆ Discussing and, if appropriate, negotiating the proposed master budget with those with decision-making responsibility and communicating the final budget to colleagues in your area.
- ◆ Establishing systems to monitor and evaluate performance against delegated budgets and the master budget and putting contingency plans in place.
- ◆ Identifying the causes of any significant variances between what was budgeted for and what actually happened and discussing and ensuring prompt corrective action is taken, obtaining agreement from those with decision-making responsibility, if required.
- ◆ Proposing revisions to the master budget, if necessary, in response to variances and/or significant or unforeseen developments and discussing and agreeing the revisions with those with decision-making responsibility.
- ◆ Providing ongoing information on the financial performance of your area to those with decision-making responsibility.
- ◆ Advising relevant people promptly if you have identified evidence of any potentially fraudulent activities.
- ◆ Reviewing the financial performance of your organisation or area and identifying improvements to be implemented in the future.

The evidence presented against this unit may show you:

- ◆ recognising changes in circumstances promptly and adjusting plans and activities accordingly
- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding
- ◆ keeping people informed of plans and developments in a timely way
- ◆ complying with, and ensuring others comply with, legal requirements, industry regulations, organisational policies and professional codes
- ◆ acting within the limits of your authority
- ◆ identifying and raising ethical concerns
- ◆ accurately calculating risks, and making provision so that unexpected events do not impede the achievement of objectives
- ◆ clearly agreeing what is expected of others and holding them to account
- ◆ monitoring the quality of work and progress against plans and taking appropriate corrective action, where necessary
- ◆ making effective use of existing sources of information
- ◆ checking the accuracy and validity of information
- ◆ communicating clearly the value and benefits of a proposed course of action
- ◆ working towards win-win solutions
- ◆ identifying the implications or consequences of a situation
- ◆ specifying the assumptions made and risks involved in understanding a situation
- ◆ taking and implementing difficult and/or unpopular decisions, if necessary

### **Possible sources of evidence:**

- ◆ Storyboard/Reflective Account
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Copies of Financial information used
- ◆ Copies of Delegated Budgets
- ◆ Copy of Master Budget
- ◆ Discussion on causes of significant variances
- ◆ Appraisals
- ◆ Monitoring of performance against budgets
- ◆ Proposals for contingency plans
- ◆ Results of investigations into variances

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S424: Manage Physical Resources

SQA Code H58W 04

## General overview

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

This involves:

- ◆ Inviting those who use resources to contribute to identifying the resources required and planning and monitoring their use.
- ◆ Evaluating past patterns of resource use and trends and developments likely to affect future demand for resources.
- ◆ Identifying the range and quantity of resources required for the planned activities in your area of responsibility, including likely contingencies.
- ◆ Identifying sustainable resources and ensuring their effectiveness and efficiency.
- ◆ Making the business case for the resources required.
- ◆ Agreeing appropriate adjustments to your planned activities, where the required resources cannot be obtained in full.
- ◆ Making arrangements with suppliers for resources to be available when required.
- ◆ Planning to use resources in ways that are efficient and minimise any adverse impact on the environment.
- ◆ Taking appropriate action to ensure security of resources and that they are used safely.
- ◆ Monitoring the quality of resources and patterns of resource use continuously.
- ◆ Taking timely corrective action to deal with any significant discrepancies between actual and planned resource use.
- ◆ Recognising changes in circumstances promptly and adjusting plans and activities accordingly.
- ◆ Prioritising objectives and planning work to make the best use of time and resources.
- ◆ Accurately calculating risks, and making provision so that unexpected events do not impede the achievement of objectives.
- ◆ Monitoring the quality of work and progress against plans and taking appropriate corrective action, where necessary.
- ◆ Making best use of existing sources of information.
- ◆ Clearly identifying the value and benefits to people of a proposed course of action.

- ◆ Presenting ideas and arguments convincingly and in ways that strike a chord with people.
- ◆ Identifying the range of elements in a situation and how they relate to each other.
- ◆ Identifying the implications or consequences of a situation.
- ◆ Taking timely decisions that are realistic for the situation.

A key piece of evidence could be a comprehensive storyboard supported by performance evidence (observation and work product) and supplementary evidence (professional discussion, witness testimony and questioning). Good practice would be to include those items of knowledge not evident from performance into the storyboard.

If a storyboard is not used to place the evidence in context then the work product mentioned above would have to be well annotated and personal statements used. Items of knowledge not evident from performance could be addressed in the personal statements or through the use of appropriate questions.

While gathering evidence against this unit, please refer to the Core units and try to gather evidence to cover these.

Remember all evidence must be triangulated — observation, work product, witness testimony and supplementary evidence.

## **Performance indicators**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Records of utilisation of resources, future requirements
- ◆ Details of options for changes in the resources employed
- ◆ Notes, e-mails, memos letters and reports
- ◆ Minutes of meetings
- ◆ Analyses of resource costs, availability
- ◆ Spreadsheets or computations relating to resource costs
- ◆ Notes of research for alternative sources for resources
- ◆ Draft budgets
- ◆ Financial forecasts
- ◆ Presentations/briefings
- ◆ Cost-benefit analyses
- ◆ Gantt charts/network diagrams/flow charts
- ◆ Comparison of actual and planned resource utilisation
- ◆ Personal statement
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S425: Manage the Environmental and Social Impacts of Your Work

**SQA Code H7CD 04**

## **General overview**

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

It involves organising work activities and using resources efficiently, understanding their impact on the environment and finding ways to reduce their negative and increase their positive impact. You may need to seek advice from environmental specialists when carrying out this function. This standard is imported from the MSC Management and Leadership suite.

This involves:

- ◆ Organising work activities and the use of resources in area of your responsibility so that they are efficient and effective, comply with legal requirements and environmental policies, minimise the negative and maximise the positive impact on the environment.
- ◆ Identifying the environmental impact of work activities and the use of resources in your area of responsibility.
- ◆ Reporting any identified risks to the environment promptly.
- ◆ Encouraging people in your area of responsibility to identify opportunities for, and contribute to, improving environmental performance.
- ◆ Identifying and implementing changes to work activities and the use of resources that reduces the negative and increases the positive impact on the environment.
- ◆ Communicating the environmental benefits resulting from changes to work activities and the use of resources.
- ◆ Obtaining specialist advice to help you identify and manage the environmental impact of your work activities and use of resources.
- ◆ Recognising changes in circumstances promptly and adjusting plans and activities accordingly.
- ◆ Presenting present information clearly, concisely, accurately and in ways that promote understanding.
- ◆ Keeping people informed of plans and developments.
- ◆ Complying with, and ensuring others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- ◆ Acting within the limits of your authority.
- ◆ Be vigilant for possible hazards.
- ◆ Making appropriate information and knowledge available promptly to those who need it and have a right to it.

- ◆ Encouraging others to share information and knowledge efficiently within the constraints of confidentiality.
- ◆ Making best use of available resources and proactively seeking new sources of support when necessary.
- ◆ Identifying the implications or consequences of a situation.

A key piece of evidence could be a comprehensive storyboard supported by performance evidence (observation and work product) and supplementary evidence (professional discussion, witness testimony and questioning). Good practice would be to include those items of knowledge not evident from performance into the storyboard.

If a storyboard is not used to place the evidence in context then the work product mentioned above would have to be well annotated and personal statements used. Items of knowledge not evident from performance could be addressed in the personal statements or through the use of appropriate questions.

While gathering evidence against this unit, please refer to the Core units and try to gather evidence to cover these.

Remember all evidence must be triangulated — observation, work product, witness testimony and supplementary evidence.

## **Performance Indicators**

The types of evidence that may be used could include:

- ◆ Assessor observation
  - Production and/or operational reports
  - Work schedules/records
  - Time sheets
- ◆ Stock reports and other data on work activities and resource utilisation
  - Risk assessments
  - COSHH records
  - Procedure manuals
  - Operational guidance and role profiles relating to the safe and secure use
- ◆ Handling and storage of resources that you have prepared
- ◆ Accident or incident reports
- ◆ Notes/minutes of meetings
- ◆ E-mails, memos and letters
- ◆ Briefings and/or presentations
- ◆ Personal statement
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S442: Develop Knowledge and Make it Available

SQA Code HL41 04

## General overview

This unit is about developing knowledge — relevant information and expertise — in your area of responsibility and making it available to those who need it and have a right to it.

This unit is relevant to who have responsibility for managing knowledge in their area of responsibility.

This involves:

- ◆ Engaging appropriate people in your area of responsibility in developing knowledge and making it available.
- ◆ Identifying where key knowledge is created, developed and shared in your area of responsibility and how it is made available to other departments or organisations.
- ◆ Identifying and access networks, communities and other sources of knowledge relevant to your area of responsibility.
- ◆ Implementing agreed standards and processes that support knowledge creation, development, sharing and capture and which ensure that valuable knowledge is recorded.
- ◆ Providing the systems and tools required to support the development, recording and sharing of knowledge.
- ◆ Providing the training, support and guidance required to allow people to use knowledge management systems and tools effectively.
- ◆ Identifying where work practices and behaviours hinder effective knowledge development and sharing and implement any changes required.
- ◆ Encouraging people to share knowledge and use knowledge management standards, systems, tools and processes.
- ◆ Evaluating the risks involved in knowledge management and take appropriate action to manage risks.
- ◆ Protecting intellectual property from unauthorised use.
- ◆ Monitoring the use of knowledge management standards, systems, tools and processes in your area of responsibility to ensure that knowledge developed through individual and group work activities is effectively captured and made available to those who may benefit from it.

It is good practice to have a range of supporting evidence across the portfolio — questioning, professional discussion and witness testimony, rather than relying on any one form of evidence entirely. Annotation of work product is an excellent way of contextualising evidence and can also be an opportunity to cover knowledge.

This is known as triangulation of evidence and is an effective way of demonstrating performance over time without duplicating tasks.

While gathering evidence, please refer to the mandatory units and use opportunities as they arise to map evidence against them. A balance should be struck between seeking such opportunities and allowing evidence to be gathered naturally to ensure the most efficient holistic approach.

## **Performance indicators**

The types of evidence that may be used could include:

- ◆ Storyboard/Reflective Account
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S443: Manage Business Processes

**SQA Code FM5P 04**

## General overview

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

The unit is relevant to managers and leaders who are responsible for managing business processes and is recommended for middle managers.

This involves:

- ◆ Engaging those involved and other key stakeholders in managing business processes.
- ◆ Designing business processes that deliver outcomes in line with organisational strategy.
- ◆ Identifying and making available the resources required for business processes.
- ◆ Ensuring business processes make effective, efficient and sustainable use of resources.
- ◆ Taking account of factors that may affect how business processes work.
- ◆ Linking business processes so that they interact across the organisation to form a complete system.
- ◆ Defining individuals' roles and responsibilities within business processes and identifying the training, support and supervision they need.
- ◆ Providing sufficient training, support and supervision to allow those involved to carry out their roles and responsibilities effectively.
- ◆ Developing and using efficient measures that provide sufficient information to allow people to manage business processes effectively.
- ◆ Reviewing business processes at regular intervals, and in light of significant changes in customer needs or organisational strategy, to identify how the processes can be made more efficient and effective.
- ◆ Designing processes that deliver outcomes based on your organisation's goals and aims.
- ◆ Ensuring processes and resources are sustainable and being used effectively.
- ◆ Identifying and providing the resources you need.
- ◆ Taking account of influences that may affect and shape how processes work.
- ◆ Linking processes so that they interact across the organisation to form a complete system.
- ◆ Providing information and support for staff and other stakeholders involved.
- ◆ Defining process responsibilities.
- ◆ Developing process measures that are affordable and provide enough information for people to decide how to manage the process.
- ◆ Establishing and using effective methods to review and improve the process.

The evidence presented against this unit may show you:

- ◆ keeping people informed of plans and developments.
- ◆ clearly agreeing with others what is expected of them and holding them to account.
- ◆ taking repeated or different actions to overcome obstacles and responding positively and creatively to setbacks.
- ◆ complying with, and ensuring others comply with, legal requirements, industry regulations, organisational policies and professional codes.
- ◆ monitoring the quality of work and progress against plans and taking appropriate, corrective action, where necessary.
- ◆ focusing personal attention on specific details that are critical to achieving successful results.
- ◆ identifying systemic issues and trends and recognising their impact upon current and future work.
- ◆ taking opportunities when they arise to achieve longer-term aims.

### **Potential sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard/Reflective Account
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Work Product relating to business processes which you have been involved in designing
- ◆ Evaluations (Reviews)
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Feedback from other stakeholders
- ◆ Feasibility study
- ◆ Input from other users (this may include questionnaires, copies of existing documents/processes)
- ◆ Costings (this may include a detailed list of existing resources, staff time, etc)
- ◆ Benefit/drawback defined against existing process
- ◆ Flowchart showing how new process integrates with existing process
- ◆ Procedural statement
- ◆ Flowchart defining responsibilities
- ◆ Implementation plan
- ◆ Statement defining mandatory considerations of new process

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S444: Manage Projects

**SQA Code H8H0 04**

## **General overview**

This unit is about managing projects for which you have been given responsibility.

This unit is relevant to managers and leaders who are required to manage projects.

This involves:

- ◆ Discussing and agreeing the key objectives and scope of the proposed project and the available resources with the project sponsors and other key stakeholders.
- ◆ Identifying how the proposed project fits with the overall vision, objectives and plans of the organisation and any programmes of work or other projects being undertaken.
- ◆ Developing, in consultation with project team members, a realistic and thorough plan for undertaking the project and achieving its objectives.
- ◆ Discussing and agreeing the project plan with the project sponsors and other key stakeholders, making changes where necessary.
- ◆ Briefing project team members on the project plan and their roles and responsibilities and provide ongoing support, encouragement and information.
- ◆ Putting processes and resources in place to manage potential risks arising from the project and deal with contingencies.
- ◆ Implementing the project plan, selecting and applying effective project management tools and techniques to monitor, control and review progress.
- ◆ Communicating progress to the project sponsor, other key stakeholders and project team members on a regular basis.
- ◆ Identifying, in the light of progress, problems encountered or changes to organisational objectives, any required changes to the project plan, obtaining agreement from project sponsors and other key stakeholders where necessary.
- ◆ Delivering project objectives on time and within budget.
- ◆ Confirming satisfactory completion of the project with the project sponsor and any key stakeholders.
- ◆ Evaluating the success of the project, identifying what lessons can be learned and shared.
- ◆ Celebrating the completion of the project, recognising the contributions of project team members.

## **Potential sources of evidence could include:**

- ◆ Assessor observation
- ◆ Storyboard/Reflective Account
- ◆ Letters, emails, memos
- ◆ A list of all project stakeholders
- ◆ Minutes of meetings detailing project purpose, aims, objectives, scope and timescale
- ◆ Roles and responsibilities of the project team
- ◆ Project specifications
- ◆ Project budgets
- ◆ Resource plans
- ◆ Research plans
- ◆ Action plans
- ◆ Reviewed, monitored and updated plans
- ◆ Stakeholder planning
- ◆ Risk assessments
- ◆ Contingency plans
- ◆ Project communication plan
- ◆ Project management records
- ◆ Budget reviews
- ◆ Interim project reports
- ◆ Final project report
- ◆ Project evaluation report including the degree to which the project met its aims and objectives, and the project's strengths and areas for improvement
- ◆ Witness Testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S406: Manage an Office Facility

**SQA Code FE15 04**

## **General overview**

This optional unit is about providing and maintaining office equipment, resources and facilities to meet the needs of office users.

## **Performance indicators**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ List of office equipment and resources
- ◆ Copy of correspondence notes/memos/(e-mails) of discussions with suppliers inviting competitive costs for new equipment and resources
- ◆ Copy of correspondence notes/memos/(e-mails) of discussions with suppliers ordering new equipment and resources
- ◆ Copy of correspondence notes/memos/(e-mails) of discussions with suppliers advising of repairs
- ◆ Copies of purchase orders, invoices
- ◆ Health, safety and security reports
- ◆ Risk assessment reports
- ◆ Problem log
- ◆ Maintenance records/schedules
- ◆ Guidance manuals for use of equipment
- ◆ Evaluation forms in relation to reviewing office systems and procedures
- ◆ Report on the findings of the office systems and procedures review detailing clear recommendations for improvement

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S409: Implement, Monitor and Maintain Administrative Services

**SQA Code FE18 04**

## **General overview**

This unit is about planning, implementing and monitoring administrative services to meet specified needs and recommend improvements where necessary.

This involves:

- ◆ Involving users in planning how administrative services will be implemented.
- ◆ Negotiating and agreeing plans for implementing administrative services.
- ◆ Communicating plans to those involved.
- ◆ Amending plans to take account of feedback and communicating any changes to those involved.
- ◆ Making sure those involved in the implementation understand the implications for their work.
- ◆ Checking plans conform to legal and regulatory requirements.
- ◆ Providing support to users to enable them to use administrative services and systems.
- ◆ Planning and taking action to minimise disruptions to work output and the working environment during the implementation.
- ◆ Implementing administrative services according to agreed plans.
- ◆ Checking that administrative services are being used correctly.
- ◆ Taking appropriate action where administrative services are not being used correctly.
- ◆ Using appropriate methods to encourage users to comment on administrative services and to suggest how they can be improved.
- ◆ Collecting valid and reliable information which is sufficient to allow evaluation of administrative services.
- ◆ Making improvements to the administrative services within own area of authority and in line with legal and regulatory requirements.
- ◆ Communicating improvements to all involved.
- ◆ Making recommendations for improvements to services which are beyond the limits of own authority.

A key piece of evidence could be a comprehensive storyboard supported by performance evidence (observation and work product) and supplementary evidence (professional discussion, witness testimony and questioning). Good practice would be to include those items of knowledge not evident from performance into the storyboard.

If a storyboard is not used to place the evidence in context then the work product mentioned above would have to be well annotated and personal statements used. Items of knowledge not evident from performance could be addressed in the personal statements or through the use of appropriate questions.

While gathering evidence against this unit, please refer to the Core units and try to gather evidence to cover these.

Remember all evidence must be triangulated — observation, work product, witness testimony and supplementary evidence.

## **Performance indicators**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Letters, memos and e-mails
- ◆ Copies of plans
- ◆ Evidence of administrative services being used to support plans
- ◆ Administrative Service Plans
- ◆ Implementation plans
- ◆ Records of amendment to plans
- ◆ Personal statement
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S412: Manage Communications in a Business Environment

SQA Code FE76 04

## General overview

This optional unit is about communicating and persuading in writing and verbally in a business environment.

The optional units chosen will be the main source of evidence for this unit. Careful planning in the choice of optional units and careful thought relating to the type of evidence needed for this unit is crucial.

## Performance indicators

### Plan communication

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Details of the methods of communication and situations in which the candidate has communicated
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

### Communicate in writing

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Evidence of the candidate's communications in writing appropriate to the different audiences, purposes and communication media
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

### Communicate verbally

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Evidence of the candidate's verbal communications appropriate to the different audiences, purposes and communication media
- ◆ Feedback
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S415: Prepare Specifications for Contracts

**SQA Code FE1C 04**

## **General overview**

This optional unit is about preparing specifications for contracts including agreement of the selection criteria.

## **Performance indicators**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Minutes of meetings detailing specifications for contracts and agreement of the selection criteria
- ◆ Contract specifications for products/services (in line with legislative, regulative and organisational requirements)
- ◆ Contract selection criteria for products/services (in line with legislative, regulative and organisational requirements)
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S445: Build Teams

**SQA Code H683 04**

## **General overview**

This unit is about forming a team and developing it through its various stages of growth. It covers teams set up for a particular project or to carry out a specific task and also teams that are ongoing. It is equally relevant to cases where the manager has to set up the team from scratch and to those situations where the manager inherits an existing team and needs to help it to function effectively.

The unit is relevant to managers and leaders who are responsible for leading teams either on an on-going basis or for a one-off project.

This unit concentrates on the development of a new or existing team, it is likely that evidence for this unit will come from a sustained project and clearly demonstrate the development of individuals within the team. Evidence presented should clearly demonstrate how the candidate has facilitated this development.

This involves:

- ◆ Clearly communicating the purpose of the team - what it has to achieve, and why a team rather than an individual approach is required.
- ◆ Identifying the diversity of expertise, knowledge, skills and attitudes required to achieve the team purpose.
- ◆ Identifying the knowledge, skills and competences of individual team members and agreeing their particular roles within the team.
- ◆ Using team selection and development processes to develop any knowledge, skills and competences lacking in the team.
- ◆ Agreeing with team members the behaviours that are likely to help the achievement of the team purpose and those that should be avoided because they are likely to hinder progress.
- ◆ Helping team members understand their unique contribution to the team, the contributions expected of fellow team members and how these complement and support each other.
- ◆ Providing opportunities for team members to get to know each other's strengths and weaknesses and build mutual respect and trust.
- ◆ Allowing time for the team to develop through its stages of growth.
- ◆ Helping the team seize opportunities presented by changes in the team composition and support the introduction of new team members.
- ◆ Encouraging team members to share problems with each other and solving these creatively together.
- ◆ Encouraging open communication between team members, including providing feedback designed to enhance the performance of fellow team members and the team as a whole.
- ◆ Reviewing the performance of the team at appropriate points and evaluating how well its purpose is being achieved.

- ◆ Celebrating team and individual successes together, and acknowledging when things go wrong, before refocusing the team's energy on achieving its purpose.
- ◆ Disbanding the team if and when its purpose has been achieved and it is no longer required for other purposes.

The evidence presented against this unit may show you:

- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding
- ◆ keeping people informed of plans and developments in a timely way
- ◆ supporting others to make effective use of their abilities
- ◆ clearly agreeing what is expected of others and holding them to account
- ◆ checking individuals' commitment to their roles and responsibilities
- ◆ creating a sense of common purpose
- ◆ communicating a vision that inspires enthusiasm and commitment
- ◆ identifying and working with people and organisations that can provide support for your work
- ◆ modelling behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
- ◆ recognising when there are conflicts, acknowledging the feelings and views of all parties, and redirecting people's energy towards a common goal

### **Potential sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Accounts)
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Appraisals
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Skills matrix showing individual strengths and weaknesses
- ◆ Development plans for individuals within the team
- ◆ Gantt chart/planner showing key stages/deadlines

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S446: Manage People's Performance at Work

SQA Code H58X 04

## General overview

This unit is about managing people's performance to ensure the objectives of your area of responsibility are achieved.

The unit is relevant to managers and leaders who are responsible for managing people's performance across the organisation or their area of responsibility.

This involves:

- ◆ Planning with individuals how overall objectives for your area of responsibility will be achieved, identifying any priorities or critical activities and making best use of the available resources.
- ◆ Delegating responsibilities to individuals on a fair basis taking account of:
  - their skills, knowledge and competence
  - their backgrounds and experience,
  - their existing workloads, and
  - opportunities for their development.
- ◆ Agreeing SMART (specific, measurable, agreed, realistic and time-bound) objectives with individuals, including the standard of performance expected.
- ◆ Agreeing with individuals how and when progress towards, and achievement of, objectives will be monitored, reviewed and evaluated.
- ◆ Ensuring individuals are committed to achieving their objectives and understand their unique contribution to team and organisational objectives.
- ◆ Discussing and agreeing with individuals effective methods for achieving their objectives and the resources, support and supervision they require.
- ◆ Providing individuals with the resources, support and supervision agreed and, where required, additional support and/or resources to deal with problems or unforeseen events.
- ◆ Monitoring progress against objectives and evaluate performance against the standard expected at agreed times.
- ◆ Providing individuals with prompt, specific feedback, designed to maintain and improve their performance.
- ◆ Identifying any unsatisfactory performance, discussing the causes and agreeing ways of improving performance with the individuals concerned.
- ◆ Reviewing objectives with individuals at agreed times and evaluating the extent to which they have been achieved.
- ◆ Recognising successful achievement of objectives in line with your organisation's policy.
- ◆ Reviewing plans, responsibilities and objectives periodically and in the light of changes in personnel and any significant changes to organisational plans and objectives.

- ◆ Communicating plans, responsibilities and objectives and any changes to these clearly to those affected.

The evidence presented against this unit may show you:

- ◆ seizing opportunities presented by the diversity of people
- ◆ recognising changes in circumstances promptly and adjusting plans and activities accordingly
- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding
- ◆ keeping people informed of plans and developments in a timely way
- ◆ supporting others to make effective use of their abilities
- ◆ giving feedback to others to help them maintain and improve their performance
- ◆ acting within the limits of your authority
- ◆ showing integrity, fairness and consistency in decision making
- ◆ prioritising objectives and planning work to make the effective use of time and resources
- ◆ clearly agreeing what is expected of others and holding them to account
- ◆ taking pride in delivering high quality work
- ◆ creating a sense of common purpose
- ◆ using a range of leadership styles appropriate to different people and situations

### **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Accounts)
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Appraisals
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Work product — trackers, plans, etc
- ◆ Logs of resources or support provided
- ◆ Development plans
- ◆ Analysis of performance against objectives

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S447: Coach Individuals

**SQA Code HL43 04**

## General overview

This unit is about helping individuals — either in your own team or from another work group — to develop and maintain their performance through coaching.

Coaching involves helping individuals improve their performance by:

- ◆ identifying their strengths and how they can use these most effectively, and
- ◆ analysing areas of their work where they are less than fully effective and
- ◆ identifying, developing, testing and refining new skills and alternative behaviours

The unit is relevant to managers and leaders who have a specific responsibility for coaching individuals.

This involves:

- ◆ Helping individuals identify and prioritise their needs for coaching.
- ◆ Ensuring that individuals' coaching requirements are in line with your organisation's objectives.
- ◆ Establishing with individuals:
  - the specific area(s) in which they want to develop their performance
  - their current standard of performance
  - the standard of performance they wish to achieve
  - why they want to develop their performance
  - the support they can expect from you, and the commitment you expect from them.
- ◆ Establishing with individuals:
  - the coaching you will provide
  - the timescale
  - the location, frequency and duration of meetings
  - points at which progress will be reviewed
  - how progress will be measured and assessed.
- ◆ Exploring with individuals the skills they need to develop and the behaviours they need to change in order to meet the desired standard of performance.
- ◆ Exploring with individuals obstacles which could hinder their progress and how to remove these obstacles.
- ◆ Planning with individuals how they can develop new skills and behaviours in a logical step-by-step sequence.
- ◆ Providing opportunities for individuals to develop new skills and experiment with alternative behaviours with confidence.
- ◆ Encouraging individuals to identify and seize opportunities to apply their newly-developed skills and behaviours to their work.

- ◆ Exploring with individuals any risks involved in applying their newly developed skills and behaviours to their work and helping them plan how to reduce these risks to levels acceptable to them and the organisation.
- ◆ Encouraging individuals to reflect on their progress and clarify their thoughts and feelings about it.
- ◆ Monitoring the individuals' progress in a systematic way.
- ◆ Providing specific feedback designed to improve individuals' skills, reinforcing effective behaviours and enhancing their motivation to achieve the desired standard of performance.
- ◆ Agreeing with individuals when they have achieved the desired standard of performance, or when they no longer require coaching.
- ◆ Encouraging and empowering individuals to take responsibility for developing and maintaining their own self-awareness, performance and impact

### **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard (Reflective Accounts)
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Coaching notes
- ◆ Appraisals
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Formal coaching contract or agreement
- ◆ Coaching plan or schedule
- ◆ Feedback from others on the performance of the individual
- ◆ SWOT/SOAR analysis
- ◆ PEST analysis

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S448: Develop and Sustain Collaborative Relationships with Other Departments

SQA Code H41Y 04

## General overview

This unit is about developing and sustaining collaborative relationships with other departments within your organisation.

The unit is relevant to managers and leaders who need to work in collaboration with other departments in their organisation.

This involves:

- ◆ Identifying departments within your organisation with which you need to work in order to achieve objectives.
- ◆ Evaluating opportunities to work collaboratively with other departments to improve overall organisational efficiency and effectiveness.
- ◆ Seeking to create a climate of trust and mutual respect, particularly where you have no authority, or shared authority, over those you are working with.
- ◆ Agreeing with other departments:
  - the aims and objectives of collaboration
  - the benefits each department expects from collaboration
  - the resources each department will commit to the collaboration
  - the actions each department will take and when
  - the expected outcomes and levels of service
  - the risks involved in the collaboration and how these will be managed
  - arrangements for communicating with each other and reporting progress
  - how and when you will review the effectiveness of your collaboration.
- ◆ Taking agreed actions at the agreed time; informing the other department if you are unable to do so and the reasons for this.
- ◆ Seeking to understand difficult situations and issues from the other department's perspective and providing support, where necessary, to move things forward.
- ◆ Reporting to, and receiving reports from, the other department according to arrangements agreed.
- ◆ Providing specific feedback to the other department in ways that help them to perform effectively and reinforce their commitment and enthusiasm for collaboration.

- ◆ Reviewing the effectiveness of your collaboration at agreed times and agreeing:
  - the extent to which the aims and objectives have been achieved the actions carried out by each department, any deviations from the actions agreed and reasons for these
  - any failures or mistakes, the reasons for these and ways of avoiding these failures or mistakes in the future
  - the resources committed by each department and ways in which these resource costs may be reduced in the future
  - the benefits to each department, the value of these benefits and how benefits may be increased in the future
  - the extent to which the expectations and service levels have been met
  - any changes to make your collaboration more effective in the future.

The evidence presented against this unit may show you:

- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding
- ◆ keeping people informed of plans and developments in a timely way
- ◆ showing respect for the views and actions of others
- ◆ acting within the limits of your authority
- ◆ communicating clearly the value and benefits of a proposed course of action
- ◆ seeking to influence the climate and culture of the organisation
- ◆ identifying and working with people and organisations that can provide support for your work
- ◆ clarifying your own and others' expectations of relationships
- ◆ modelling behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
- ◆ honouring your commitments to others
- ◆ specifying the assumptions made and risks involved in understanding a situation

## **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard/Reflective Account
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Departmental Reports
- ◆ Evaluations
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Organisation chart
- ◆ Procedures especially those showing collaboration between your department and others
- ◆ Plans and schedules
- ◆ Project agreements

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)  
Witness testimony  
Professional discussion  
Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S416: Manage Budgets

**SQA Code H68K 04**

## **General overview**

This optional unit is about controlling, monitoring and recording transactions for an agreed budget.

## **Performance indicators**

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Minutes of budget review meetings (including discussions on overspends)
- ◆ Reviews
- ◆ Copies of budget performance (recording transactions)
- ◆ Purchase orders
- ◆ Invoices
- ◆ Signed off budgets
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

## **Knowledge and understanding**

Depending on the type of evidence generated, some of the Knowledge and understanding may be covered by performance evidence.

# Unit S449: Provide Healthy, Safe, Secure and Productive Working Environments and Practices

**SQA Code H8H2 04**

## General overview

This unit is about ensuring that the physical environment and working practices in your area of responsibility comply with your organisation's health and safety policy statement and that physical resources are secure. It recognises that, in the drive for increased productivity, health, safety and security must not be compromised.

The unit is relevant to managers and leaders who are responsible for health and safety, security and productivity in their area of responsibility.

This involves:

- ◆ Identifying your personal responsibilities and liabilities under health and safety legislation.
- ◆ Ensuring your organisation's health and safety policy statement is clearly communicated to all people in your area of responsibility and other relevant people.
- ◆ Ensuring the working environments and practices in your area of responsibility comply with your organisation's health and safety policy statement and are reviewed at regular intervals and in light of significant changes.
- ◆ Ensuring regular consultation takes place with people in your area of responsibility or their representatives on health and safety issues.
- ◆ Ensuring that a system is in place for identifying health and safety hazards and assessing risks in your area of responsibility.
- ◆ Ensuring that a system is in place for identifying and assessing risks to the security of resources in your area of responsibility.
- ◆ Ensuring that prompt and effective action is taken to eliminate or control identified hazards and manage identified risks.
- ◆ Referring identified hazards and risks outside your level/area of authority to the appropriate people.
- ◆ Ensuring that the health and safety of people and the security of resources and information are prime considerations when designing or reviewing working environments and practices.
- ◆ Ensuring that sufficient resources are allocated across your area of responsibility to deal with health, safety and security issues.
- ◆ Seeking and making use of specialist expertise, where required.
- ◆ Ensuring that systems are in place for effective monitoring, measuring and reporting of health, safety and security performance in your area of responsibility.

- ◆ Demonstrating your personal commitment to health, safety, security and productivity through your actions.

The evidence presented against this unit may show you:

- ◆ recognising changes in circumstances promptly and adjusting plans and activities accordingly
- ◆ seeking opportunities to improve performance
- ◆ identifying people's preferred ways of communicating
- ◆ using communication media and styles appropriate to different people and situations
- ◆ keeping people informed of plans and developments in a timely way
- ◆ complying with, and ensuring others comply with, legal requirements, industry regulations, organisational policies and professional codes
- ◆ acting within the limits of your authority
- ◆ referring issues outside the limits of your authority to appropriate people
- ◆ watching out for potential risks and hazards
- ◆ identifying and raising ethical concerns
- ◆ taking personal responsibility for making things happen
- ◆ clearly agreeing what is expected of others and holding them to account
- ◆ protecting your own and others' work against negative impacts
- ◆ identifying the implications or consequences of a situation

## **Potential sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard/Reflective Account
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Health and Safety Audits
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Job description
- ◆ Health and Safety Procedures
- ◆ Distribution log of Health and Safety Policy
- ◆ Staff Confirmation agreeing they have read and understood the Health and Safety Policy
- ◆ Induction Pack
- ◆ Lone working policy or procedure
- ◆ Working in confined spaces policy or procedure
- ◆ Health and Safety Monitoring Checklist
- ◆ Form used to highlight potential hazards
- ◆ Risk Assessments
- ◆ COSHH statements
- ◆ Procedure for handling of identified risk, eg sharps, chemical spillage, etc
- ◆ Reporting procedures covering Health and Safety and associated documentation
- ◆ Reporting procedures covering Security and associated documentation
- ◆ Logs of staff training (manual handling, lone working, confined space working, etc)

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

## **Knowledge and understanding**

Personal statement (written/audio/video)

Witness testimony

Professional discussion

Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Unit S450: Communicate Information and Knowledge

SQA Code H8GX 04

## General overview

This unit is about communicating information and knowledge to a wide range of people.

The unit is relevant to all managers and leaders.

This involves:

- ◆ Identifying the information and knowledge people need and why they need them.
- ◆ Communicating information and knowledge only to those who have a right to them, in line with policies and legal requirements.
- ◆ Identifying how people prefer to receive information and knowledge and what media, languages, styles, timing and pace are most appropriate.
- ◆ Checking that the information and knowledge you are communicating are current, accurate and complete.
- ◆ Taking action to minimise any interference or disruption to your communication.
- ◆ Communicating in ways that help people to understand the information and knowledge you are communicating and their relevance.
- ◆ Using a variety of techniques to gain and maintain people's attention and interest and to help them retain information and knowledge.
- ◆ Adjusting and fine-tuning your communication in response to both verbal and non-verbal feedback.
- ◆ Stating the level of confidence that can be placed in the information and knowledge you are communicating; ie whether they are based on rigorously researched evidence, widely accepted facts or personal opinion.
- ◆ Where you have to use jargon, technical terms or abbreviations, explaining these carefully.
- ◆ Confirming that people have received and understood the information and knowledge you have communicated.

The evidence presented against this unit may show you:

- ◆ seizing opportunities presented by the diversity of people
- ◆ identifying people's information needs
- ◆ listening actively, asking questions, clarifying points and restating or rephrasing statements to check mutual understanding
- ◆ identifying people's preferred ways of communicating
- ◆ using communication media and styles appropriate to different people and situations
- ◆ presenting information clearly, concisely, accurately and in ways that promote understanding

- ◆ complying with, and ensuring others comply with, legal requirements, industry regulations, organisational policies and professional codes
- ◆ checking the accuracy and validity of information
- ◆ making appropriate information and knowledge available promptly to those who need it and have a right to it
- ◆ seeking to understand people's needs and motivations
- ◆ taking timely decisions that are realistic for the situation

### **Possible sources of evidence:**

The types of evidence that may be used could include:

- ◆ Storyboard/Reflective Account
- ◆ Letters, emails, memos
- ◆ Minutes of meetings
- ◆ Professional Discussion
- ◆ Witness Testimony
- ◆ Appraisals
- ◆ Inputs to websites, social media
- ◆ Log of sources used to research evidence, date
- ◆ Organisation chart
- ◆ Work product, eg Reports/presentations/training materials
- ◆ Other source material, eg questionnaires, surveys, etc
- ◆ Feedback from recipients of information or knowledge

Simulation and/or supporting evidence may be used by exception to fill small gaps where performance evidence does not occur naturally but the unit is part of the candidate's normal work duties. The use of simulation and/or supporting evidence for performance must be restricted to a small part of any unit.

### **Knowledge and understanding**

Personal statement (written/audio/video)  
 Witness testimony  
 Professional discussion  
 Verbal/written questioning

Some of the knowledge and understanding may be covered by performance evidence. 'How to' knowledge and understanding criteria are obvious examples where this is likely to be the case.

Knowledge items not evidenced from performance could be addressed via a combination of personal statement, questions, professional discussion, witness testimony and/or annotation of work product.

# Appendix 1: Blank recording forms

## Unit progress record

Qualification and level \_\_\_\_\_

Candidate \_\_\_\_\_

To achieve the whole qualification, you must prove competence in the **three mandatory** units and the **five optional** units.

### Unit checklist

<b>Mandatory</b>					
<b>Optional</b>					

### Mandatory units achieved

Unit number	Title	Assessor's signature	Date

### Optional units achieved

Unit number	Title	Assessor's signature	Date





**Unit**

**Element**

<b>Notes/comments</b>
-----------------------

The candidate has satisfied the assessor and internal verifier that the performance evidence has been met.

**Candidate's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**Assessor's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**Internal verifier's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

## Assessment plan

Units					
Elements					
Activities	Performance Criteria (PC)	Method of assessment/ sources of evidence	Date of assessment	Evidence already available	Links to other units (Performance Criteria and Range)
Questioning for Knowledge and understanding not apparent from performance to be identified from 2nd review					

Assessor's signature \_\_\_\_\_

1st review due \_\_\_\_\_

Candidate's signature \_\_\_\_\_

2nd review due \_\_\_\_\_

Date of agreement \_\_\_\_\_

Date of completion \_\_\_\_\_

**Personal statement**

<b>Date</b>	<b>Evidence index number</b>	<b>Details of statement</b>	<b>Links to other evidence (enter numbers)</b>	<b>Units, Elements, Performance Criteria, and Range covered</b>

**Candidate's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**Observation record**

**Unit/Element(s)** \_\_\_\_\_

**Candidate** \_\_\_\_\_

**Evidence index number** \_\_\_\_\_

**Date of observation** \_\_\_\_\_

<b>Skills/activities observed</b>	<b>Performance Criteria covered</b>

**Knowledge and understanding apparent from this observation**

**Other Units/Elements to which this evidence may contribute**

**Assessor comments and feedback to candidate**

I can confirm the candidate's performance was satisfactory.

**Assessor's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Candidate's signature** \_\_\_\_\_ **Date** \_\_\_\_\_

## Witness testimony

<b>SVQ title and level</b>	
<b>Candidate name</b>	
<b>Evidence index no</b>	
<b>Where applicable, evidence number to which this testimony relates</b>	
<b>Element(s)</b>	
<b>Range</b>	
<b>Date of evidence</b>	
<b>Witness name</b>	
<b>Designation/relationship to candidate</b>	
<b>Details of testimony</b>	

I can confirm the candidate's performance was satisfactory.

**Witness signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Witness** (please select the appropriate box):

- Holds A1/A2 or D32/D33 qualifications
- Is familiar with the SVQ standards to which the candidate is working

## Record of questions and candidate's answers

<b>Unit</b>	
<b>Element(s)</b>	
<b>Evidence index number</b>	
<b>Circumstances of assessment</b>	
<b>List of questions and candidate's responses</b>	
<b>Q</b>	
<b>A</b>	

**Assessor's signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**Candidate's signature** \_\_\_\_\_

**Date** \_\_\_\_\_