



Assessment Guidance for the SVQ in Business and Administration at level 4

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Introduction

This document has been provided to assist Assessors and Verifiers with the delivery of SVQs in Business and Administration at level 4.

The guidance contained in this document is intended to be used in conjunction with existing assessment guidance for the SVQs that were accredited in 2005. 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.

Level 4 Units

Unit 401	Carry Out Your Responsibilities at Work 4	DP7G 04
Unit 402	Work Within Your Business Environment 4	DP7F 04
Unit 403	Manage an Office Facility	DP7W 04
Unit 404	Manage Contracts	DP7Y 04
Unit 405	Negotiate and Agree Budgets	DP87 04
Unit 406	Monitor and Review The Implementation Of Corporate Objectives, Strategies and Policies	DP85 04
Unit 407	Inform and Facilitate Corporate Decision Making	DP7R 04
Unit 408	Evaluate Internal and External Factors and Promote Partnership Working	DP7N 04
Unit 409	Manage Risk	DP83 04
Unit 410	Create and Manage Information Systems	DP7J 04
Unit 411	Manage Projects	DP82 04
Unit 412	Chair Meetings	DP7H 04
Unit 413	Promote Innovation and Change	DP6R 04
Unit 414	Develop Productive Working Relationships with Colleagues and Stakeholders (MSC)	DP7M 04
Unit 415	Allocate and Monitor the Progress and Quality Of Work in your Area Of Responsibility (MSC)	DP6H 04
Unit 416	Recruit, Select and Keep Colleagues (MSC)	DP6X 04
Unit 417	Provide Learning Opportunities for Colleagues (MSC)	DP6W 04
Unit 418	Provide Leadership in Your Area Of Responsibility (MSC)	DP6V 04
Unit 305	Manage and Evaluate Customer Relations	DP7X 04
Unit 310	Research, Analyse and Report Information	DP70 04

These Units have been chosen to exemplify the standards at this level.

Each Unit contains guidance relating to the following aspects of each Unit:

- ◆ A general overview of each Unit
- ◆ Information on whether simulation is permitted or not
- ◆ Information on contingencies
- ◆ Guidance on types of evidence
- ◆ Possible sources of evidence
- ◆ Possible cross referencing opportunities to other Units

Links to Core Units

The document aims to support and exemplify the good practice of using the Optional Units to generate evidence for the Core Units.

The guidance given in the document is not intended to be prescriptive — there may very well be other evidence appropriate to the job role of the candidate. This evidence may provide links to other Units.

Key Terminology and Guide to Best Practice

Performance evidence

This is first hand evidence of how a candidate works in relation to the standards. It includes the output of performance (work products) and observation of performance. The use of performance evidence is the principal method of demonstrating valid and reliable competence.

Assessor observation

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.

Work Products

Work products are also valuable and reliable items of performance evidence. Work products should be annotated to place the evidence in context. This annotation could be recorded on a storyboard, written on the evidence or within the professional discussion.

Supporting evidence

This evidence supports the key performance evidence. Supporting evidence includes: questioning, professional discussion and witness testimony. Supporting evidence plays an important role in the triangulation of evidence.

Questioning

Questioning is normally used to fill knowledge gaps. This includes both written and oral questioning. Responses to oral questions should be recorded. Much of the knowledge will be covered by performance evidence and additional written or oral questioning may not be required. If questions are required they may be asked in the form of written or oral questions. Oral questions could be asked by assessors 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.

Professional discussion

Professional Discussions are structured, well planned, in depth discussions recorded in writing by the assessor or captured on audio or digital video.

Witness Testimony

This is a written confirmation by a colleague or line manager. This may be a separate document or a short statement written on a piece of work product or as part of an observation. Witness testimony can be used to support the validity, authenticity, currency and reliability of the evidence.

Contingencies

These are performance indicators which candidates may find difficult to evidence through performance evidence. If this is the case, responses to 'what if' scenarios, personal statements, responses through a storyboard or through oral or written questions can be used to generate evidence. Contingencies have been identified within the standards and previous assessment guidance.

Triangulation

Combining different sorts of evidence — performance evidence and supporting evidence — to ensure authenticity, validity, sufficiency, currency and reliability. Triangulation will also help ensure consistent performance over time.

Clusters

Clusters are groups of related performance indicators (PIs). Each cluster of PIs relates to a specific area of the overall competence, eg in Unit 311 *Plan, Organise and Support Meetings*, PI cluster 1-9 relates to activities preparing for meetings and PI cluster 10-12 relates to activities at the meeting.

Assessors and candidates should look at the cluster rather than the PIs individually when approaching evidence. It is important for assessors, candidates and internal verifiers to be aware of which PIs have been identified as contingencies.

Level 4 Units

Unit 401: Carry Out Your Responsibilities at Work 4

SQA Code DP7G 04

General Overview

This Core Unit 401 is about communicating effectively, accepting responsibility for own work and its delivery, improving own performance and behaving in a way that encourages effective working.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 9 If no problems occur during the assessment period a professional discussion may be used to confirm competence.

PI 12 If no codes of practice are in place during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Evidence generated from Optional Units
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

2	5	6	7	8	21
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	3	4	9	10	11	12	13	14	15	16	17	18	19	20
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Cross Referencing

While gathering evidence for this Unit evidence may be generated from Optional Units.

Unit 402: Work Within Your Business Environment 4

SQA Code DP7F 04

General Overview

This Core Unit 402 is about working effectively within your organisation, supporting its purpose and values, applying employment rights and responsibilities, supporting sustainability, respecting diversity, protecting security and confidentiality and managing risk.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 9 If the organisation has no stated mission a professional discussion may be used to confirm competence.

PI 3

& 5 If the organisation has no stated values a professional discussion may be used to confirm competence.

PI 9 If no guidance is needed a professional discussion may be used to confirm competence.

PI 20 If no procedures are in place a professional discussion may be used to confirm competence.

PI 23 If no concerns arises a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Evidence generated from Optional Units
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

13

The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	2	3	4	5	6	7	8	9	10	11	12	14	15	16
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Cross Referencing

While gathering evidence for this Unit evidence may be generated from Optional Units.

Unit 403: Manage an Office Facility

SQA Code DP7W 04

General Overview

This Optional Unit 403 is about providing and maintaining office equipment, resources, and facilities to meet the needs of users.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 8 If no problems occur during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Minutes of meetings relating to use of office resources, office systems and procedures
- ◆ Risk assessments
- ◆ Action plans
- ◆ Appraisals/Reviews
- ◆ Any evidence of communication with customers, suppliers and employees
- ◆ Health and Safety Reports within own areas of responsibilities
- ◆ Any evidence of new systems
- ◆ Any records of equipment checks
- ◆ Induction programmes
- ◆ Training 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

2	5	8	9
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	3	4	6	7	10	11	12	13	14	15
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units – 401, 402, 310, 404, 405, 406, 408, 409, 410, 411, 413, 414, 415, 416, 417, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 403, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 403, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 404: Manage Contracts

SQA Code DP7Y 04

General Overview

This Optional Unit 404 is about selecting contractors and monitoring and evaluating their work.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 9 If no examples of non-compliance occur during the assessment period a professional discussion may be used to confirm competence.

PI 10 If no breaches of contract occur during the assessment period a professional discussion may be used to confirm competence

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Project requirements
- ◆ Specifications
- ◆ Invitations to tender
- ◆ Minutes/Discussions relating to contracts issued
- ◆ Evaluation of responses
- ◆ Selection of contractors
- ◆ Contract monitoring records
- ◆ Compliance checks (including any actions to rectify non-compliance)
- ◆ Evaluation reports – identifying strengths and areas for improvement
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

3	7	9	10	11
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	2	4	5	6	8	12
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units – 401, 402, 305, 310, 403, 405, 408, 409, 411, 414, 415, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 404, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 404, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 405: Negotiate and Agree Budgets

SQA Code DP87 04

General Overview

This Optional Unit 405 is about identifying the financial resources you need, negotiating and obtaining them, and managing a budget efficiently.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 6 If no corrective action is necessary during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Resource plans
- ◆ Costings relating to proposed budgets

- ◆ Draft budgets
- ◆ Agreed budgets
- ◆ Ongoing monitoring of set budgets
- ◆ Evidence of any corrective action taken
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

3	4	6
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	2	5	7	8
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 310, 403, 404, 408, 409, 411, 414, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 405, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 405, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 406: Monitor and Review the Implementation of Corporate Objectives, Strategies and Policies

SQA Code DP85 04

General Overview

This Optional Unit 406 is about analysing and interpreting data using appropriate indicators and measures to provide an overall understanding of corporate performance.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

No contingencies

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Minutes of meetings relating to the implementation of corporate objectives, strategies and policies
- ◆ System designs
- ◆ Identification and agreement of performance
- ◆ Monitoring records
- ◆ Evaluation of system being monitored/Evaluation reports
- ◆ Collection of performance information
- ◆ Presentation of findings
- ◆ Identification of areas of improvement in corporate performance
- ◆ Options for improvement and timescales identified
- ◆ Minutes of meeting relating to the analysis and evaluation of corporate performance
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

2	3	4	5	6	7	8	10	11	12	13	14	15	16	17	18	19	20	21	22	24
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	9	23
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units – 401, 402, 403, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 406, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 406, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 407: Inform and Facilitate Corporate Decision Making

SQA Code DP7R 04

General Overview

This Optional Unit 407 is about promoting effective corporate governance by presenting information and advice to decision makers.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

No contingencies

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Corporate governance roles and responsibilities

- ◆ Corporate governance documentation – records/action plans
- ◆ Any communication from the corporate governance body
- ◆ Minutes of meetings relating to governance roles, social and ethical responsibilities
- ◆ Documentation relating to organisation’s social and ethical responsibilities
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

3	4	5	6	7	9	10	12	13	14
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The following items may have to be evidenced through questioning or other supplementary evidence (storybook/personal statement).

1	2	8	11	15
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 406, 408, 414, 415, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 407, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 407, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 408: Evaluate Internal and External Factors and Promote Partnership Working

SQA Code DP7N 04

General Overview

This Optional Unit 408 is about monitoring and evaluating changes in the internal and external environment in which the organisation operates and advising decision-makers on their relevance and implications – including developing possible partnership working.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 5 If no specialist advice is necessary during the assessment period a professional discussion may be used to confirm competence

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Minutes of meetings relating to your role in identifying internal and external factors affecting the organisation
- ◆ Evidence relating to your role in carrying out SWOT and PEST analysis
- ◆ Your role in identifying and analysing trends
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

4	5	6	7	8	12	13	14	15
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	2	3	9	10	11
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units – 401, 402, 310, 413, 414, 415, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 408, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 408, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 409: Manage Risk

SQA Code DP83 04

General Overview

This Optional Unit 409 is about taking a lead in establishing and operating a risk management process across your organisation.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

No contingencies.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Minutes of discussions relating to the review of risk criteria
- ◆ Carrying out risk assessments/action plans/implementation plans
- ◆ Communicating risk management policy across the organisation
- ◆ Establishing risk criteria for the organisation — taking into account the views of relevant people in the organisation
- ◆ Production of a risk profile for the organisation

- ◆ Evidence of developing an organisational culture in which people are risk aware but willing to take risks and learn from mistakes
- ◆ Evidence of senior management commitment to the risk management process and the allocation of sufficient resources to enable effective risk management
- ◆ Monitoring the effectiveness of the risk management process
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

1	2	5	6	7	9	10	12	15	16	22	23	24	29	30	33	34	35
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The following items may have to be evidenced through questioning or other supplementary evidence (storybook/personal statement).

3	4	8	11	13	14	17	18	19	20	21	25	26	27	28	31	32
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units – 401, 402, 310, 408, 410, 411, 413, 414, 415, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 403, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 403, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 409, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty,

	respect and consideration ♦ Support other people
13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.

Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 409, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 410: Create and Manage Information Systems

SQA Code DP7J 04

General Overview

This Optional Unit 410 is about creating and managing information systems.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 6 If no problems occur during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Information needs analysis
- ◆ System specification

- ◆ Developing an information system – Budgets/Implementation Plan
- ◆ Providing training on the information system – Training Plans/Training Evaluations
- ◆ Monitoring the use of the information system – Monitoring records
- ◆ Problem logs
- ◆ Evaluating the information system – Evaluation reports
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

2	3	5	6
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	4	7	8	9	10	11
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 310, 403, 411, 413, 417, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 410, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 410, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 411: Manage Projects

SQA Code DP82 04

General Overview

This Optional Unit 411 is about planning, running and evaluating projects to achieve planned outcomes.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 7 If no unexpected events arise during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Copies of minutes where project has been discussed and actioned
- ◆ Project specification
- ◆ Implementation plans
- ◆ Monitoring plans
- ◆ Evaluation reports

- ◆ Project report on strengths and areas of improvement
- ◆ Appraisals
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

4	5	7	9
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The following items may have to be evidenced through questioning or other supplementary evidence (storybook/personal statement).

1	2	3	6	8
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 305, 310, 403, 404, 405, 407, 409, 410, 413, 414, 415, 416, 417, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 411, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 411, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 412: Chair Meetings

SQA Code DP7H 04

General Overview

This Optional Unit 412 is about planning, organising and running formal and informal meetings to achieve their purpose.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 11 If no formal voting and approval procedures are in place during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Agenda/Chairman's Agenda
- ◆ Attendance lists
- ◆ Meeting papers
- ◆ Draft minutes
- ◆ Minutes/Action minutes
- ◆ Feedback/Evaluation sheets
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

2	3	5	14	18
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	4	6	7	8	9	10	11	12	13	15	16	17
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 403, 404, 411, 414, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 412, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 412, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 413: Promote Innovation and Change

SQA Code DP6R 04

General Overview

This Optional Unit 413 is about planning, implementing, and promoting change and new ways of working in your area of responsibility.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 10 If no problems occur during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Identification of areas for innovation and change
- ◆ Risk assessments
- ◆ Cost analysis
- ◆ Action plans – objectives/targets, timescales and resources
- ◆ Implementation plans
- ◆ Minutes of meetings – communicating your plans for change
- ◆ Monitoring the change process
- ◆ Evaluating the change – Evaluation reports
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	2	4	5	6	7	8	9	10
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 310, 403, 406, 408, 409, 410, 411,414, 415, 416, 417,418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 413, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 413, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 414: Develop Productive Working Relationships with Colleagues and Stakeholders

SQA Code DP7M 04

General Overview

This Optional Unit 414 is about working effectively and developing productive working relationships with people inside and outside your organisation

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 7 If no difficulties arise during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Minutes of meetings
- ◆ Appraisals
- ◆ Communication of:
 - Risk management policy
 - Innovation and change
 - Action plans
- ◆ Providing training
- ◆ Giving Presentations
- ◆ Evidence of conflict resolution
- ◆ Evidence of consultation with colleagues
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

4	6	7	8	9
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	2	3	5	10	11	12	13	14
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units— 401, 402, 305, 310, 403, 404, 405, 408, 409, 411, 412, 413, 415, 416, 417, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 414, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 414, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 415: Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility

SQA Code DP6H 04

General Overview

This Optional Unit 415 is about allocating and monitoring the progress and quality of work in your area of responsibility.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 1 If no clarification is necessary during the assessment period a professional discussion may be used to confirm competence.

PI 7 If no problems or unforeseen events occur during the assessment period a professional discussion may be used to confirm competence.

PI 8 If no additional support or resources are required during the assessment period a professional discussion may be used to confirm competence.

PI 10 If no unacceptable or poor performance is identified during the assessment period a professional discussion may be used to confirm competence.

PI 12 If the organisation has no formal appraisal procedures a professional discussion may be used to confirm competence.

PI 13 If no updates are required during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Appraisals
- ◆ Work allocations
- ◆ Minutes of team meetings
- ◆ Briefing records
- ◆ Monitoring records
- ◆ Training 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

1	4	9	10	11	15	16	17	24	25	26	32
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

2	3	5	6	7	8	12	13	14	18	19	20	21	22	23	27	28	29	30	31
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Cross Referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 305, 310, 403, 404, 406, 408, 409, 410, 411, 413, 414, 416, 417, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 415, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 415, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 416: Recruit, Select and Keep Colleagues

SQA Code DP6X 04

General Overview

This Optional Unit 416 is about recruiting and selecting people to undertake identified activities or work roles within your area of responsibility.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

- PI 1 If no colleagues are leaving the area of responsibility during the assessment period a professional discussion may be used to confirm competence.

- PI 2 If no staff turnover problems occur during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include

- ◆ Assessor observation
- ◆ Exit interviews
- ◆ Staff turnover records
- ◆ Records of meetings
- ◆ Skills audits/skills scans/gap analysis
- ◆ Training plans
- ◆ Job descriptions
- ◆ Person specifications
- ◆ Job adverts
- ◆ Workforce planning records
- ◆ Application forms
- ◆ Interview notes
- ◆ Test results
- ◆ Communications with potential employees
- ◆ Appointment records
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

2	3	5	6	12	19	20	21	22	23
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	4	7	8	9	10	11	13	14	15	16	17	18	24	25	26	27
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Cross referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 403, 410, 413, 414, 417, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 416, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 416, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 417: Providing Learning Opportunities for Colleagues

SQA Code DP6W 04

General Overview

This Optional Unit 417 is about supporting colleagues in identifying their learning needs and helping to provide opportunities to address these needs.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 3 If no gaps are identified during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Appraisals
- ◆ Skills scans
- ◆ Personal Development Plans
- ◆ Training plans
- ◆ Workforce planning records
- ◆ Training evaluations
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

4	5	6	9	11	14	22	23	24	26	31
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	2	3	7	8	10	12	13	15	16	17	18	19	20	21	25	27	28	29	30
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Cross referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 403, 410, 413, 414, 415, 416, 418.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 417, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty,

	respect and consideration ♦ Support other people
13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.

Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 417, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 418: Provide Leadership in your Area of Responsibility

SQA Code DP6V 04

General Overview

This Optional Unit 418 is about helping and motivating people to achieve their objectives and work towards your organisation's vision.

A key piece of evidence could be Observation and Work Product supported by a storyboard 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. Further details are given below.

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

Simulation

Simulation is not allowed for this Unit.

Contingencies

PI 3 If no difficulties or challenges arise during the assessment period a professional discussion may be used to confirm competence.

PI 7 If no need for support and advice arises during the assessment period a professional discussion may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Records of meetings relating to overall vision for your area of responsibility/objective setting meetings
- ◆ Staff audits
- ◆ Records of individual staff discussions
- ◆ Appraisals
- ◆ Work allocations
- ◆ Personal Development Plans
- ◆ CPD records
- ◆ Feedback forms
- ◆ 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. If, due to job role, performance evidence is not forthcoming then the items below may have to be evidenced through questioning or other supplementary evidence.

3	5
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The following items may have to be evidenced through questioning or other supplementary evidence (storyboard/personal statement).

1	2	4	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
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Cross referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units — 401, 402, 403, 404, 405, 406, 408, 409, 410, 411, 412, 413, 414, 415, 416, 417.

Core Unit 401 (DP7G 04) Carry out your responsibilities at work 4

Performance Indicators	Reasons for Link
1-6	<p>While evidence is being gathered for Unit 418, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Actively focus on information that other people are communicating ◆ Direct discussions to achieve objectives ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Identify sources of accurate and reliable information ◆ Critically evaluate information ◆ Organise and clearly present information
7-12	<ul style="list-style-type: none"> ◆ Negotiate realistic targets for their work ◆ Negotiate resources they need and select effective working methods ◆ Solve problems when they arise ◆ Meet your deadlines or renegotiate targets and plans ◆ Take responsibility for their own work and accept responsibility for any mistakes ◆ Follow agreed guidelines, procedures and codes of practice
19-22	<ul style="list-style-type: none"> ◆ Set high standards for their work and show drive and commitment ◆ Cope with pressure and overcome difficulties ◆ Assert their own needs and rights ◆ Actively seek new challenges ◆ Adapt readily to change and support others during change ◆ Treat other people with honesty, respect and consideration ◆ Support other people

13-18	Any involvement in Performance Appraisal could provide evidence for these PIs rather than trying to link these specifically to this Unit.
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Core Unit 402 (DP7F 04) Work Within Your Business Environment 4

Performance Indicators	Reasons for Link
10-14	<p>While evidence is being gathered for Unit 418, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
15-19	<ul style="list-style-type: none"> ◆ Establish and maintain a working environment that values diversity ◆ Interact
1-5, 6-9 and 20	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This could be exemplified during a professional discussion and/or evidenced through performance appraisal and/or exemplified by witness testimony.</p> <p>Where they have applied their employment rights and responsibilities could also be exemplified through professional discussion.</p>

Unit 305: Manage and Evaluate Customer Relations

SQA Code DP7X 04

General overview

This optional Unit is about delivering, evaluating and improving services to meet customer needs. Customers may be internal or external to the organisation but may not include the candidate's supervisor or line manager.

A key piece of evidence will be performance evidence (observation and work product) supported by a comprehensive storyboard, by 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. Further details are given below.

Remember all evidence must be triangulated — observation, work product and supplementary evidence (professional discussion, witness testimony and questioning).

Simulation

Simulation is not permitted for this Unit.

Contingencies

PI 6 If no problems or complaints arise during the assessment period, professional discussion or dedicated tasks may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include:

Identify customer needs and expectations (PI Cluster 1–3)

- ◆ Assessor observation
- ◆ A list of your customers and the service you provide to them
- ◆ Letters/Notes/e-mails of discussions with customers identifying their needs and agreeing timescales
- ◆ Copy of organisation's quality manual for dealing with customers (front page + index only)
- ◆ Copy of certificate or evidence of attendance at customer care training
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

Deliver services (PI Cluster 4–6)

The types of evidence that may be used could include:

- ◆ Notes/e-mails of discussions with customers confirming product and service met expectations as well as timescale
- ◆ Copy of any quality standard awards your organisation has achieved ie Investors in People
- ◆ Copy of organisation's complaints procedures (front page + index only)
- ◆ Letters/e-mails of any customer complaints and how they were dealt with
- ◆ CPD plan
- ◆ Assessor observation
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

Monitor and evaluate services (PI Cluster 7–9)

The types of evidence that may be used could include:

- ◆ Records of communications with customers, colleagues and suppliers (letters, e-mails, notes of telephone calls, minutes of meetings)
- ◆ Feedback reports
- ◆ Customer feedback logs
- ◆ Customer complaint logs
- ◆ Customer satisfaction survey(s)
- ◆ Evaluation report(s)
- ◆ Analysed customer information
- ◆ Assessor observation
- ◆ 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.

8	9	10
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The following may have to be evidenced through professional discussion, dedicated task or incorporation into storyboard.

1	2	3	4	5	6	7	11
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Cross referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units.

110	213	216	301	302	314	315	318	320	321
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Core Unit 301 (DP7E 04) Carry Out Your Responsibilities at Work 3

Performance Indicators	Reasons for Link
1–7	<p>While evidence is being gathered for Unit 305, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Provide accurate, clear and structured information to different audiences ◆ Question any points they are unsure of ◆ Make useful contributions to discussions ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Select and read written material ◆ Identify and extract the main points ◆ Provide accurate and clear written information
8–10	<ul style="list-style-type: none"> ◆ Negotiate and agree realistic targets for their work ◆ Prioritise targets ◆ Agree achievable timescales ◆ Plan how they will make the best use of their time and other resources
11	<ul style="list-style-type: none"> ◆ Identify and solve problems as they arise using appropriate support where necessary
12–13	<ul style="list-style-type: none"> ◆ Keep other people informed of their progress ◆ Try to meet their deadlines or renegotiate targets/timescales in good time
14–15	<ul style="list-style-type: none"> ◆ Take responsibility for their own work and accept responsibility for any mistakes they make ◆ Follow organisational procedures
22–28	<ul style="list-style-type: none"> ◆ Set a high standard for their work ◆ Show that they can cope with pressure and overcome any difficulties ◆ Show that they can be assertive when necessary ◆ Show a willingness to take on new challenges ◆ Adapt readily to change ◆ Offer other people help and support and treat people with honesty, respect and consideration

16-22	Any involvement in Performance Appraisal could provide evidence for this cluster rather than trying to link this cluster specifically to the day to day activities relating to researching, analysing and reporting information.
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Core Unit 302 (DP7C 04) Work Within Your Business Environment 3

Performance Indicators	Reason for Link
4	<p>While evidence is being gathered for Unit 305, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Work with outside organisations and individuals in a way that protects and improves the image of their organisation
8	<ul style="list-style-type: none"> ◆ Carry out their responsibilities in a way that is consistent with their contract of employment
11–15	<ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
16 and 17	<ul style="list-style-type: none"> ◆ Interact with other people in a way that is sensitive to their needs and respects any diversity ◆ Learn from other people and use this to improve the way they work and interact with other people
19, 20 and 21	<ul style="list-style-type: none"> ◆ Maintain the security and confidentiality of information in a way that is consistent with their organisation's procedures and legal requirements ◆ Report any concerns they have about security and confidentiality
16–18 and 19–21	<p>It may be possible to link these PIs to this Unit. However a regular security check of the candidate's work area and workstation may afford better evidence.</p>
1–3 and 5–7 and 9–10	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This would have to be exemplified during a professional discussion and/or evidenced through performance</p>

	<p>appraisal and/or exemplified by witness testimony.</p> <p>Likewise through professional discussion you could exemplify circumstances where they have applied their employment rights and responsibilities.</p>
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Unit 310: Research, Analyse and Report Information

SQA Code DP70 04

General overview

This optional Unit is about researching, analysing and reporting information. It covers the activities required to research, record, analyse and report information for colleagues at work. It is suitable if the candidate is regularly expected to find out information either electronically or using paper-based sources and present it appropriately.

A key piece of evidence will be performance evidence (observation and work product) supported by a comprehensive storyboard, by 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. Further details are given below.

Remember all evidence must be triangulated — observation, work product and supplementary evidence (professional discussion, witness testimony and questioning).

Simulation

Simulation is not permitted for this Unit.

Contingencies

PI 8 If no feedback is necessary during the assessment period, professional discussion or dedicated tasks may be used to confirm competence.

Performance Indicators

The types of evidence that may be used could include:

Research information (PI Cluster 1–5)

- ◆ Assessor observation
- ◆ Copy of correspondence notes/memos/e-mails of discussions with colleagues identifying their research requirements, the sources to be used and deadline date
- ◆ Screenprint of the search criteria used
- ◆ Records of information researched
- ◆ Notes taken during research
- ◆ Draft report
- ◆ Witness testimony
- ◆ Professional discussion/oral questioning/written questioning

Analyse and report information (PI Cluster 6–9)

The types of evidence that may be used could include:

- ◆ Assessor observation
- ◆ Analysed findings
- ◆ Records of research and extracting research
- ◆ Copies of finalised documents together with e-mail/memo confirming deadlines were met
- ◆ Bibliographies
- ◆ Feedback reports
- ◆ 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.

2	4	6	7
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The following may have to be evidenced through professional discussion, dedicated task or incorporation into storyboard.

1	3	5
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Cross referencing

While gathering evidence for this Unit evidence may be generated for parts of the following Units.

110	213	216	217	301	302	312	314	315	318	320	321
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Core Unit 301 (DP7E 04) Carry Out Your Responsibilities at Work 3

Performance Indicators	Reasons for Link
1–7	<p>While evidence is being gathered for Unit 310, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Provide accurate, clear and structured information to different audiences ◆ Question any points they are unsure of ◆ Make useful contributions to discussions ◆ Give others the opportunity to contribute their ideas and opinions and take these into account ◆ Select and read written material ◆ Identify and extract the main points ◆ Provide accurate and clear written information
8–10	<ul style="list-style-type: none"> ◆ Negotiate and agree realistic targets for their work ◆ Prioritise targets ◆ Agree achievable timescales ◆ Plan how they will make the best use of their time and other resources
11	<ul style="list-style-type: none"> ◆ Identify and solve problems as they arise using appropriate support where necessary
12–13	<ul style="list-style-type: none"> ◆ Keep other people informed of their progress ◆ Try to meet their deadlines or renegotiate targets/timescales in good time
14–15	<ul style="list-style-type: none"> ◆ Take responsibility for their own work and accept responsibility for any mistakes they make ◆ Follow organisational procedures
22–28	<ul style="list-style-type: none"> ◆ Set a high standard for their work ◆ Show that they can cope with pressure and overcome any difficulties ◆ Show that they can be assertive when necessary ◆ Show a willingness to take on new challenges ◆ Adapt readily to change ◆ Offer other people help and support and treat people with honesty, respect and consideration

16-22	Any involvement in Performance Appraisal could provide evidence for this cluster rather than trying to link this cluster specifically to the day to day activities relating to researching, analysing and reporting information.
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Core Unit 302 (DP7C 04) Work Within Your Business Environment 3

Performance Indicators	Reason for Link
4	<p>While evidence is being gathered for Unit 310, it may also be possible for the candidate to provide appropriate evidence for the Core Unit, if s/he can:</p> <ul style="list-style-type: none"> ◆ Work with outside organisations and individuals in a way that protects and improves the image of their organisation
8	<ul style="list-style-type: none"> ◆ Carry out their responsibilities in a way that is consistent with their contract of employment
11–15	<ul style="list-style-type: none"> ◆ Keep waste to a minimum and follow procedures for recycling and the disposal of hazardous materials ◆ Follow procedures for the maintenance of equipment ◆ Continuously review working methods, including the use of technology and identify and take forward ways of improving efficiency ◆ Choose sources of equipment and materials that provide best value for money ◆ Support colleagues so that they can maximise their performance and their value to the organisation
16 and 17	<ul style="list-style-type: none"> ◆ Interact with other people in a way that is sensitive to their needs and respects any diversity ◆ Learn from other people and use this to improve the way they work and interact with other people
19, 20 and 21	<ul style="list-style-type: none"> ◆ Maintain the security and confidentiality of information in a way that is consistent with their organisation's procedures and legal requirements ◆ Report any concerns they have about security and confidentiality
16–18 and 19–21	<p>It may be possible to link these PIs to this Unit. However a regular security check of the candidate's work area and workstation may afford better evidence.</p>
1–3 and 5–7 and 9–10	<p>If the candidate is working within their contract of employment and her/his job description it could be inferred that s/he is working to achieve their organisation's purpose and values. This would have to be exemplified during a professional discussion and/or evidenced through performance</p>

	<p>appraisal and/or exemplified by witness testimony.</p> <p>Likewise through professional discussion you could exemplify circumstances where they have applied their employment rights and responsibilities.</p>
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