SVQ 3 in Learning and Development at SCQF level 8 (GA29 23)

SVQ 4 in Learning and Development at SCQF level 9 (GA2C 24)

Award Frameworks and Unit Standards

Version: 02 (August 2019)

History of changes

It is anticipated that changes will take place during the life of the qualification, and this section will record these changes. This document is the latest version and incorporates the changes summarised below.

Version number	Description	Date	Authorised by
02	The removal of all references to the SQA unit FD44 04 (aka the L&D NOS L&D12 Externally Monitor and Maintain the Quality of Workplace Assessment) as this unit is not part of the qualification structure for SVQ Learning and Development at SCQF level 8 nor at SCQF level 9 as the document originally suggested.	05/08/19	Qualifications Manager

Contents

1 Introduction

Purpose of this document

This document contains the Unit standards for the revised SVQs in Learning and Development at levels 3 and 4 accredited in November 2010. These revised SVQs include Units for assessing and verifying.

2 Structure of the Learning and Development SVQs

SVQ 3 in Learning and Development at SCQF level 8

Candidates need to complete six Units to achieve the qualification. Candidates must complete all the mandatory Units and a minimum of one Unit from Group A (they can complete both Units). The remaining Units must be completed from Group B. **Please note that candidates may not take both L&9D and L&D9DI.**

Mandatory Units

All candidates must complete the following three Units:

Unit code	NOS	Unit title
FD3T 04	L&D4	Plan and Prepare Specific Learning and Development Opportunities
FD3Y 04	L&D8	Engage and Support Learners in the Learning and Development Process
FD42 04	L&D10	Reflect on, Develop and Maintain Own Skills and Practice in Learning and Development

Optional Units

Group A — candidates must complete between one and two Units:

FD3W 04	L&D6	Manage Learning and Development in Groups
FD3X 04	L&D7	Facilitate Individual Learning and Development

Group B — candidates must complete between one and two Units: (Note: candidates cannot count both L&9D and L&D9DI towards the SVQ)

FD3P 04	L&D2	Identify Individuals' Learning and Development Needs
FD3V 04	L&D5	Develop and Prepare Resources for Learning and Development
FD40 04 or	L&D9D	Assess Workplace Competence Using Direct Methods **OR**
FD41 04	L&D9DI	Assess Workplace Competence Using Direct and Indirect Methods
FD46 04	L&D13S	Evaluate and Improve Learning and Development Sessions
FD3H 04	MSCD1	Develop Productive Working Relationships with Colleagues

SVQ 4 in Learning and Development at SCQF level 9

Candidates need to complete eight Units to achieve the qualification. Candidates must complete all the mandatory Units and a minimum of one Unit from Group A. The remaining Units must be taken from Groups B and C. No more than two Units can be taken from Group C.

Mandatory Units

All candidates must complete the following three Units:

Unit code	NOS	Unit title
FD3R 04	L&D3	Plan and Prepare Learning and Development Programmes
FD45 04	L&D13P	Evaluate and Improve Learning and Development Provision
FD42 04	L&D10	Reflect on, Develop and Maintain Own Skills and Practice in Learning and Development

Optional Units

Group A — candidates must complete between one and two Units:

FD3N 04	L&D1	Identify Collective Learning and Development Needs
FD3P 04	L&D2	Identify Individuals' Learning and Development Needs

Group B — candidates must complete between one and four Units:

FD3V 04	L&D5	Develop and Prepare Resources for Learning and Development
FD3W 04	L&D6	Manage Learning and Development in Groups
FD3X 04	L&D7	Facilitate Individual Learning and Development
FD3Y 04	L&D8	Engage and Support Learners in the Learning and Development Process
FD41 04	L&D9DI	Assess Workplace Competence Using Direct and Indirect Methods
FD43 04	L&D11	Internally Monitor and Maintain the Quality of Workplace Assessment

Group C — candidates must complete between zero and two Units:

DR47 04	MSCB1	Develop and Implement Operational Plans for Your Area of Responsibility
DR75 04	MSCB6	Provide Leadership in Your Area of Responsibility
FM4L 04	MSCB11	Promote Equality of Opportunity, Diversity and Inclusion in your Area of Responsibility
FD3G 04	MSCC2	Encourage Innovation in Your Area of Responsibility
FD3J 04	MSCD2	Develop Productive Working Relationships with Colleagues and Stakeholders
FD3K 04	MSCD6	Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility
FD3L 04	MSCD9	Build and Manage Teams
DR5T 04	MSCE2	Manage Finance for Your Area of Responsibility
FD3M 04	MSCF13	Manage Quality Systems

Unit L&D1   Identify Collective Learning and Development Needs (FD3N 04)

Source: Learning and Development Standard 1

What this Unit is about

This Unit is about carrying out a learning and development needs analysis for teams, groups, departments or whole organisations.

The types of activities the candidate will be involved in include:

1   Preparing to analyse collective learning and development needs
2   Analysing collective learning and development needs
3   Reporting on collective learning and development needs

To achieve this Unit the candidate is required to carry out learning and development needs analysis with at least two different teams, departments or organisations.

The candidate's knowledge will be assessed by taking part in a discussion with their assessor, or answering questions (written or oral), or providing a candidate statement, or a combination of all of these.

The candidate's performance will be assessed by the assessor looking at products of work, for example:

♦   Correspondence or notes of meetings with key stakeholders.
♦   Written plans for the learning and development needs analysis.
♦   The information the candidate has collected, for example, completed survey questionnaires, interview notes.
♦   Written analysis and reports.

Terminology

Within this Unit the following explanations and examples apply:

Collective learning needs
The learning needs that a group of learners have in common. Groups in this context could be, for example, whole organisations or teams within organisations.

Focus of learning
What it is that needs to be learnt, for example, customer service, managing people or how to use new equipment.

Stakeholders
All those who have an interest in the training/learning needs analysis, for example, managers, Human Resource staff, learners themselves.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Prepare to analyse collective learning and development needs (a) Gain the support and commitment of key stakeholders. (b) Identify: ♦ the aims of the analysis ♦ the information required ♦ efficient means of data collection	1 The principles that underpin learning needs analysis for teams, groups or organisations. 2 The contribution that learning and development can make to helping teams, groups and organisations achieve their goals and objectives. 3 The types of stakeholders involved in an analysis of collective learning needs. 4 Why stakeholder support and commitment are important. 5 The types of qualitative and quantitative information required to undertake an analysis of collective learning needs. 6 The importance of collecting and analysing relevant information including: ♦ learners' collective goals and objectives ♦ the impact of change on roles and ways of doing things ♦ the requirements for skills, knowledge, attitudes and competence ♦ learners' existing capabilities and potential ♦ attitudes to learning 7 Sources of information, and efficient data collection methods, including the use of technology.
2 Analyse collective learning and development needs (a) Collect sufficient information relevant to the learners and their context to identify learning and development needs. (b) Prioritise learning and development needs, indicating the focus and volume of learning required.	1 How to analyse qualitative and quantitative data to identify collective learning needs. 2 Issues related to equality and diversity that may affect data collection and collective learning needs analysis. 3 Issues related to technology and changing work practices that impact on collective learning needs. 4 The issues to consider when prioritising collective learning needs. 5 How to identify the focus and volume of learning required and the timescales required for implementation.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
3 **Report on collective learning and development needs** (a) Communicate findings and recommendations to decision makers in ways that will aid their understanding. (b) Negotiate any adjustments to findings and recommendations with decision makers. (c) Maintain confidentiality agreements.	1 Who may be involved in making decisions about findings and recommendations. 2 Effective methods of communicating findings and recommendations to decision makers. 3 Why a practitioner should use their professional experience and expertise to negotiate with decision makers on findings and recommendations. 4 Why confidentiality is important when identifying collective learning needs. 5 How to maintain the confidentiality of data, findings and recommendations.

Unit L&D2   Identify Individuals' Learning and Development Needs (FD3P 04)

Source: Learning and Development Standard 2

What this Unit is about

This Unit is about carrying out learning and development needs analysis for individual learners.

The types of activities the candidate will be involved in include:

1   Preparing to analyse individual learning and development needs
2   Analysing individual learning and development needs
3   Agreeing learning and development needs with the individual

To achieve this Unit the candidate is required to carry out learning and development needs analysis with at least two different individuals.

The candidate's knowledge will be assessed by taking part in a discussion with their assessor, or answering questions (written or oral), or providing a candidate statement, or a combination of all of these.

The candidate's performance will be assessed by the assessor looking at products of work, for example:

♦   Written plans for the learning and development needs analysis.
♦   The information they have collected through, for example, initial assessments and interviews with the learner etc.
♦   Written analysis and reports.

Their assessor will also observe the candidate providing feedback to the learners and agreeing their learning and development needs.

Terminology

Within this Unit the following explanations and examples apply:

Assess and manage risk	*This could be a formal and written risk assessment but could be informal and dynamic — monitoring and controlling risk on an ongoing basis.*
Learner achievements	*These could be formal, eg, examination grades or informal, eg, periods of work experience and skills and knowledge gained through these.*
Requirements	*These could be the requirements of the practitioner's own organisation or those of an external organisation, such as a funding body or awarding organisation.*
Risk	*This includes health and safety risks but may also include, for example, the risk of initial assessment methods not being accurate or evidence of past achievement not being authentic.*
Safe	*This includes physical safety as well as emotional well-being.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Prepare to analyse individual learning and development needs (a) Identify the learner's objectives, motivation to learn and any requirements relevant to the learning needs analysis. (b) Review the learner's achievements, evaluating these against relevant objectives and requirements.	1 The principles that underpin learning needs analysis for individual learners. 2 Why it is important to identify a learner's objectives and motivation to learn when analysing their learning needs. 3 Other requirements from organisations or external agencies that may affect a learning needs analysis. 4 Methods of reviewing a learner's formal and informal achievements. 5 Methods of giving recognition for prior learning and achievement.
2 Analyse individual learning and development needs (a) Use safe, reliable and valid methods to assess the learner's capabilities and potential. (b) Analyse the learner's capabilities and potential in the context of their objectives and other requirements.	1 Methods, which include the appropriate use of technology, to carry out an initial assessment of capability and potential. 2 How to select initial assessment methods which are safe, reliable and valid for the learner and their objectives. 3 How to assess and manage risk when carrying out initial assessments. 4 Issues related to equality and diversity that may affect an individual learning needs analysis and how to address these. 5 Who to make agreements with and the issues to consider when prioritising an individual's learning needs. 6 The communication and personal skills that practitioners need when identifying individuals' learning needs.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
3 Agree learning and development needs with the individual (a) Agree and prioritise the learner's learning needs. (b) Support learners in identifying their own preferred ways of learning. (c) Give the learner constructive and realistic feedback on their expectations and possible learning and development opportunities. (d) Maintain confidentiality agreements.	1 Preferred ways of learning and how these may affect choices about possible learning and development opportunities. 2 Different methods of supporting learners to identify their preferred ways of learning, and how to use this information to support their learning. 3 Different methods of providing feedback to a learner on the outcomes of the learning needs analysis, and the advantages and disadvantages of these methods. 4 Why confidentiality is important when identifying learning needs and what information to safeguard.

Unit L&D3   Plan and Prepare Learning and Development Programmes (FD3R 04)

Source: Learning and Development Standard 3

What this Unit is about

This Unit is about planning and preparing learning and development programmes to meet identified needs and requirements. 'Programme' refers to any planned sequence of learning opportunities which lead to agreed outcomes . Examples might include: a course, a programme of learning in the workplace, or an individual coaching programme.

The types of activities the candidate will be involved in include:

1   Planning learning and development programmes
2   Organising resources and arrangements for learning and developing programmes

To achieve this Unit the candidate is required to plan and prepare two different learning and development programmes.

The candidate's knowledge will be assessed by taking part in a discussion with their assessor, or answering questions (written or oral), or providing a candidate statement, or a combination of all of these.

The candidate's performance will be assessed by their assessor looking at products of work, for example:

♦   Written plans for the learning and development programmes, including showing how resources will be allocated and used.
♦   Correspondence with colleagues.
♦   Information for learners.
♦   Budgets and other resource requirements.
♦   Risk assessments.
♦   Monitoring and evaluation schemes.

Terminology

Within this Unit the following explanations and examples apply:

Delivery methods   *Any method that supports learning and development, for example, presentations, instructions, demonstrations, opportunities to apply knowledge and practise skills, experiential learning, group and individual projects and research.*

Learning and development opportunities   *Any event that assists the acquisition of skills and knowledge. This includes formal sessions as well as experiences such as visits, time spent in the workplace, personal research etc*

Outcomes   *These could be outcomes for the group as a whole, for example, enabling team effectiveness, and/or outcomes for the individuals who make up the group, for example, individual skill acquisition.*

Programme   *A planned sequence of learning and development opportunities over a period of time which lead to agreed learning outcomes, for example, a 'course'.*

Requirements   *These could be the requirements of the practitioner's own organisation or those of an external organisation, such as a funding body or awarding organisation.*

Resources   *This covers any physical or human resource that supports the learning and development process and could include technical equipment, IT-based learning, handouts, workbooks, people, for example, outside speakers, and visits to places of interest.*

Risk assessments   *This could be a formal and written risk assessment but could be informal and dynamic — monitoring and controlling risk on an ongoing basis. Risk includes health and safety but may also cover, eg, finance, availability of resources etc.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Plan learning and development programmes	1 How information acquired from analysing learning and development needs contributes to planning, and the factors that need to be taken into account.
(a) Identify learning outcomes that meet agreed learning and development needs.	2 How to identify a range of options for meeting learning outcomes and the strengths and weaknesses of different approaches, including the use of technology.
(b) Develop a coherent plan of learning and development opportunities appropriate to the learning outcomes and internal/external requirements.	3 How to develop a plan of learning and development opportunities that meets different learning needs, including those relating to equality and diversity.
(c) Identify realistic delivery and assessment methods appropriate to learning and development opportunities.	4 The types of internal and external requirements that may affect planning, including, where relevant, bilingualism.
(d) Ensure the plan conforms to relevant policies, procedures and legislation.	5 The importance of flexibility and contingency planning when developing programmes.
	6 The learning cycle and how this should inform the planning process.
	7 Why it is important for learner needs to be at the centre of programme plans.
	8 How to involve learners in the development of programme plans.
	9 The organisational, legal and professional requirements that should be followed when planning learning and development programmes.
	10 The colleagues with whom plans should be shared.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
2 Organise resources and arrangements for learning and development programmes (a) Identify the resources needed to deliver the plan and ensure these are within allocated budgets. (b) Ensure arrangements for the delivery of the plan are in place. (c) Identify how the learning will be monitored and evaluated. (d) Communicate the plan to learners and other people involved in the provision of learning and development.	1 Factors that need to be managed when arranging and co-ordinating learning and development opportunities. 2 How to carry out risk assessments when preparing programmes, and the factors that need to be considered in the learning context. 3 The range of resources — including the use of technology — that may be needed to facilitate, monitor and evaluate learning and development and how to identify them. 4 How planning and resource needs can be affected by the learners' identified abilities and needs, including the use of language. 5 The arrangements required for the delivery of the plan including the systems, structures and relationships needed for effective implementation. 6 The factors that need to be considered when monitoring the implementation of the plan and evaluating the effectiveness of learning. 7 How continuous evaluation can help to shape the development and implementation of learning plans and improve learning. 8 How to encourage the commitment and understanding which learners and colleagues need to be effective in the implementation of programmes.

Unit L&D4   Plan and Prepare Specific Learning and Development Opportunities (FD3T 04)

Source: Learning and Development Standard 4

What this Unit is about

This Unit is about planning and preparing specific/individual learning and development opportunities, for example, formal training sessions or informal experiences such as periods in the workplace.

The types of activities the candidate will be involved in include:

1. Planning specific learning and development opportunities
2. Organising resources and arrangements for specific learning and developing opportunities

To achieve this Unit the candidate is required to plan and prepare two different specific learning and development opportunities (sessions, work-based learning opportunities etc).

The candidate's knowledge will be assessed by taking part in a discussion with their assessor, or answering questions (written or oral), or providing a candidate statement, or a combination of all of these.

The candidate's performance will be assessed by the assessor looking at products of work, for example:

♦ Written plans for the learning and development opportunities, for example, lesson plans, which also show how resources will be allocated and used.
♦ Information for learners.
♦ Notes or correspondence showing how other arrangements have been made.
♦ Risk assessments.
♦ Budgets and other resource requirements.

Products of work will also be supplemented by a discussion between the candidate and assessor.

Terminology

Within this Unit the following explanations and examples apply:

Delivery methods	*Any method that supports learning and development, for example, presentations, instructions, demonstrations, opportunities to apply knowledge and practise skills, experiential learning, group and individual projects and research.*
Learning and development opportunities	*Any event that assists the acquisition of skills and knowledge. This includes formal sessions as well as experiences such as visits, time spent in the workplace, personal research etc.*
Outcomes	*These could be outcomes for the group as a whole, for example, enabling team effectiveness, and/or outcomes for the individuals who make up the group, for example, individual skill acquisition.*
Resources	*This covers any physical or human resource that supports the learning and development process and could include technical equipment, IT-based learning, handouts, workbooks, people, for example, outside speakers, and visits to places of interest.*
Risk assessments	*This could be a formal and written risk assessment but could be informal and dynamic — monitoring and controlling risk on an ongoing basis. Risk includes health and safety but may also cover, eg, finance, availability of resources etc.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Plan specific learning and development opportunities (a) Identify the purpose and outcomes of specific learning and development opportunities in relation to agreed goals. (b) Identify how specific learning and development opportunities will be delivered and/or facilitated and managed. (c) Ensure plans are appropriate to identified learning needs and meet organisational and legal requirements.	1 The importance of having clear outcomes for specific learning and development opportunities. 2 Options for delivering and/or facilitating different types of learning and development opportunities. 3 Factors to consider in selecting suitable delivery and facilitation methods. 4 The range of planning considerations relevant to ensuring that equality, diversity and where relevant, bilingualism needs are met. 5 Factors that need to be considered in the management of different learning and development opportunities and how to deal with these factors.
2 Organise resources and arrangements for specific learning and development opportunities (a) Identify the resources needed to deliver and/or facilitate specific learning and development opportunities. (b) Ensure preparations and arrangements for delivery and/or facilitation, management and evaluation are carried out in sufficient time. (c) Communicate aims and objectives to learners.	1 The resources, including technology, available to support delivery and/or facilitation and management of learning and development opportunities. 2 The advantages and disadvantages of different types of resources in meeting learner needs. 3 The types of preparations that need to be undertaken for different learning opportunities and why each of these is important. 4 How to carry out a risk assessment in relation to planning for specific learning and development opportunities, and the contingencies which should be put in place in response to risk assessments. 5 The operational requirements that should be considered in planning specific learning and development opportunities, including organisational, health and safety, budgetary and legislative guidelines. 6 Different methods of communicating aims and objectives to learners.

Unit L&D5   Develop and Prepare Resources for Learning and Development (FD3V 04)

Source: Learning and Development Standard 5

What this Unit is about

This Unit is about preparing resources to support learning and development. It covers developing resources 'from scratch' as well as adapting and preparing existing resources to meet the needs of learners. It also covers the preparation of resources including the learning environment, learning materials and equipment used to support learning.

The types of activities the candidate will be involved in include:

1   Planning learning and development resources
2   Preparing learning and development resources

To achieve this Unit the candidate is required to plan and prepare learning and development resources for at least two different learning and development opportunities for learners.

The candidate's knowledge will be assessed by taking part in a discussion with their assessor, or answering questions (written or oral), or providing a candidate statement, or a combination of all of these.

The candidate's performance will be assessed by their assessor looking at products of work, for example:

♦   The candidate's plans for developing new resources, including identifying the needs of learners.
♦   The learning resources they have developed, including instructions for their use.
♦   Adaptations the candidate has made to existing learning resources.
♦   Records of how the candidate tested and amended learning resources.

Terminology

Within this Unit the following explanations and examples apply:

Resources
This covers any physical or human resource that supports the learning and development process and could include technical equipment, Information Technology-based learning, handouts, workbooks and visits to places of interest.

Target group
Those learners who will be using the resources.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Plan learning and development resources (a) Agree the range and purpose of resources required. (b) Identify the resource needs of the individuals or groups that the resources are being prepared for.	1 The different types of resources that can be used to support learning across the full range of the training cycle. 2 The range of resources available to support different types of needs. 3 The importance of distinguishing between different user needs and the factors which are important in selecting and developing resources to meet these needs. 4 How to identify costs and timescales for resource development. 5 The factors which are important in selecting and developing resources to meet the needs of different learners, taking account of the need for equality and diversity. 6 The legislative, safety and professional guidelines relating to the development and adaptation of resources, including those relating to intellectual property, copyright and patents. 7 How to develop simulated exercises that replicate real working challenges. 8 The contribution and challenges that technology can make to the development and adaptation of different types of resources and the challenges posed by these.
2 Prepare learning and development resources (a) Identify and develop resources which are appropriate to the target group and the purpose for which they are required. (b) Ensure anyone else who is using the resources receives the necessary guidance. (c) Ensure adaptations to existing resources are consistent with learning needs and professional practice. (d) Ensure resources are consistent with legislative, safety, equality and diversity and professional guidelines. (e) Make sure that resources are checked and tested to ensure they meet required standards and learner needs.	1 The factors that need to be considered in the effective preparation and development of learning resources, including those for the learning environment, learning materials and equipment. 2 How to ensure that the language, style and format of the materials are appropriate to the needs of the learners. 3 How to set-up and use equipment to support learning and development. 4 How to develop guidance for the use of resources and how to encourage consistent application. 5 The types of adaptations that could be made to resources to make them more appropriate to learning needs and user requirements. 6 The importance of checking and testing resources to make sure they are of the required standard and how to do this effectively. 7 How to make adaptations to the learning environment to support the learning process. 8 The preparation, support and qualifications that staff require to contribute effectively to learning and development activities within own area of responsibility.

Unit L&D6   Manage Learning and Development in Groups (FD3W 04)

Source: Learning and Development Standard 6

What this Unit is about

This Unit is about using a range of methods to enable group members to learn and develop in a safe and supportive learning environment.

The types of activities the candidate will be involved in include:

1   Managing an effective group environment for learning and development
2   Facilitating learning and development in groups using a range of methods

To achieve this Unit the candidate is required to deliver at least two group learning sessions. Across these sessions the candidate will be expected to use at least three of the following delivery methods:

♦ presentations
♦ instructions
♦ demonstrations
♦ opportunities for learners to apply knowledge and practise skills
♦ experiential learning

They will also have to show that they know how to use the others.

The candidate's knowledge will be assessed by taking part in a discussion with their assessor, or answering questions (written or oral), or providing a candidate statement, or a combination of all of these.

The candidate's performance will be assessed by the assessor observing the learning and development sessions that they manage and the methods they use.

Terminology

Within this Unit the following explanations and examples apply:

Delivery methods	*Any method that supports learning and development, for example, presentations, instructions, demonstrations, opportunities to apply knowledge and practise skills, experiential learning.*
Environment	*This includes the physical environment in which learning and development takes place but also covers group dynamics and behaviour.*
Health and safety	*This includes physical health and safety as well as emotional well-being.*
Outcomes	*These could be outcomes for the group as a whole, for example, enabling team effectiveness, and/or outcomes for the individuals who make up the group, for example, individual skill acquisition.*
Requirements	*These could be the requirements of the practitioner's own organisation or those of an external organisation, such as a funding body or awarding organisation.*
Resources	*This covers any physical or human resource that supports the learning and development process and could include technical equipment, Information Technology-based learning, handouts, workbooks, people, for example, outside speakers, and visits to places of interest.*
Risk	*This refers to any risk to the effective facilitation of the group. Risks may be to individual learners, to the group as a whole or to those facilitating. This includes health and safety risks but may also include, for example, the risk of delivery methods not being appropriate.*
Other people	*This refers to others who may be involved in, or affected by, the learning activities, for example, staff members, volunteers, assistants or people in the same area.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Manage an effective group environment for learning and development (a) Manage a group environment in which individuals feel valued, supported, confident and able to learn. (b) Communicate with learners in a way that meets individual and group needs. (c) Make learners aware of the outcomes they are expected to achieve and how the planned activities will support these.	1 The learners' needs, requirements and planned outcomes relevant to their own areas of work. 2 The characteristics of a group environment that foster learning and development for all those involved. 3 Different techniques to manage group dynamics. 4 Aspects of equality, diversity and, where relevant, bilingualism, that need to be addressed when facilitating learning and development in groups. 5 Different ways of encouraging behaviour and values that foster mutual respect and support the learning and development process. 6 The importance of own communication skills and different ways to communicate effectively with groups, and individuals within groups.
2 Facilitate learning and development in groups using a range of methods (a) Balance and adjust delivery to meet individual needs while achieving planned group outcomes and agreements. (b) Use a range of delivery methods, activities and resources to meet the needs of all group members, as appropriate to planned outcomes. (c) Monitor learner response and use appropriate strategies to motivate learners individually and collectively. (d) Encourage effective communication within the group. (e) Maintain the health and safety of learners, self and other people.	1 The types of learning resources available, including those that are technology enhanced, that can support learning and development in groups. 2 The factors to consider when selecting and using learning and development resources to facilitate learning and development in groups. 3 The range of delivery methods appropriate to learning in groups. 4 How to co-ordinate learning and development activities to meet individual and group needs. 5 The types of motivational strategies that would support group and individual learning and how to select these according to identified needs. 6 Techniques that can be used to monitor learner response. 7 Different ways of adapting delivery according to learner response whilst still achieving planned outcomes and agreements. 8 How to assess and manage risk in own area of work whilst facilitating learning and development in groups.

Unit L&D7   Facilitate Individual Learning and Development (FD3X 04)

Source: Learning and Development Standard 7

What this Unit is about

This Unit is about using a range of methods to enable individuals to acquire or improve skills and knowledge and practise their application in context. It also covers providing feedback to learners and encouraging them to reflect on and improve what they do. This Unit could be achieved as part of a coaching and/or mentoring relationship.

The types of activities the candidate will be involved in include:

1   Planning and preparing for individual learning and development
2   Facilitating individual learning and development using a range of methods
3   Helping the learner to reflect on their learning experience

To achieve this Unit they are required to facilitate learning and development with at least two individual learners. When working with the learners they will be expected to use at least three of the following delivery methods:

♦   coaching
♦   instructions
♦   demonstrations
♦   opportunities for learners to apply knowledge and practise skills

They will also have to show that they know how to use the others.

Their knowledge will be assessed by the candidate taking part in a discussion with their assessor, or answering questions (written or oral), or providing a candidate statement, or a combination of all of these.

Their performance will be assessed by their assessor observing the individual learning and development that they manage and the methods that they use.

Terminology

Within this Unit the following explanations and examples apply:

Application	*The process applying new or improved skills and knowledge in a real or realistic context, for example, a work situation.*
Goals	*This refers to interim targets or steps towards learners meeting overall outcomes and objectives.*
Health and safety	*This includes physical health and safety as well as emotional well-being.*
Learner objectives	*These will usually be performance objectives, for example, doing something or doing something better.*
Delivery methods	*Any method that supports individual learning and development, for example, coaching, instruction, demonstration, opportunities to apply knowledge and practise skills.*
Other people	*This refers to others who may be involved in, or affected by, the learning activities, for example, staff members, volunteers, assistants or people in the same area.*
Reflection/reflective practice	*The process of thinking critically about what we do, identifying opportunities for improvement and, where appropriate, further learning needs.*
Resources	*This covers any physical or human resource that supports the learning and development process and could include technical equipment, Information Technology-based learning, handouts, workbooks, people, for example, outside speakers, and visits to places of interest.*
Risk	*This relates to any risk to the facilitation of learning and development. This includes health and safety but could also cover, for example, the risk of setting unrealistic goals or selecting inappropriate learning methods.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Plan and prepare for individual learning and development (a) Establish and maintain a professional relationship with the learner that supports individual learning and reflection. (b) Explore and agree the learner's objectives, learning needs and goals. (c) Agree a plan of learning, application and reflection.	1 The principles, uses and value of learning and development on an individual basis. 2 The characteristics of a relationship that supports individual learning, application and reflection. 3 Aspects of equality and diversity that need to be addressed when facilitating individual learning and development. 4 Key factors to consider when setting and agreeing goals with individual learners.
2 Facilitate individual learning and development using a range of methods (a) Use a range of methods and resources to help the learner acquire/develop the skills and knowledge they need. (b) Support the learner in applying their learning in context. (c) Maintain the health and safety of the learner, self and other people.	1 The range of delivery methods appropriate to individual learning. 2 The range of resources, including support from others, that are available to support individual learning. 3 How technology can enhance resources and delivery methods for individual learning. 4 How to assess and manage risk in own area of work whilst facilitating learning and development for individuals.
3 Help the learner to reflect on their learning experience. (a) Provide constructive and motivational feedback to improve the learner's application of learning. (b) Assist the learner to reflect on their practice and experience. (c) Adapt learning, application and reflection to meet further needs.	1 The importance of reflective practice in individual learning and development. 2 The range of techniques that can be used to encourage reflective practice by the learner. 3 How to support different types of learners in applying new or enhanced learning in context. 4 The types of barriers that learners encounter and how to develop strategies to overcome these. 5 How to adapt learning plans in response to learner progress and reflection whilst still focusing on learner needs and desired outcomes.

Unit L&D8   Engage and Support Learners in the Learning and Development Process (FD3Y 04)

Source: Learning and Development Standard 8

What this Unit is about

This Unit is about supporting learners through the learning process by, for example, providing them with information and advice, helping them overcome barriers, helping them access the learning and experience they need, monitoring progress against expected standards and providing constructive feedback.

The types of activities the candidate will be involved in include:

1   Engaging the learner in the learning and development experience
2   Supporting the learner through the learning and development process
3   Providing feedback and evidence of learner achievement

To achieve this Unit the candidate is required to engage and support at least two individual learners through their learning and development process.

The candidate's knowledge will be assessed by taking part in a discussion with their assessor or answering questions (written or oral), or providing a candidate statement, or a combination of all of these.

Their performance will be assessed by their assessor looking at products of work, for example:

♦   Notes of meetings with learners.
♦   Records of information and advice they have made available to learners.
♦   Records of learning opportunities they have made available to learners (but not necessarily provided by themselves).
♦   Records of challenges the learners have faced and how the candidate helped them to overcome these challenges.
♦   Records of information the candidate has provided to others (for example, tutors or assessors) on learner achievement and progress.

The quality of the candidate's relationship with the learners will be assessed by the assessor observing them working with the learners.

Terminology

Within this Unit the following explanations and examples apply:

Barriers	*Anything that might prevent the learner taking a full part in learning. This could include, for example, lack of confidence or essential skills and knowledge.*
Expected standards	*The standards the learner should achieve as part of their learning programme. These could include national occupational standards or standards set by other types of qualifications.*
Learning process	*This may include experience, such as time in the workplace, as well as formal and informal training.*
Provide evidence of achievement	*This could include providing witness statements to qualified assessors.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Engage the learner in the learning and development process (a) Establish and maintain a positive relationship with the learner which encourages and motivates learning. (b) Provide the learner with information and advice relevant to their needs. (c) Enable the learner to engage with, and contribute to, their own learning. (d) Assist the learner to access the skills, knowledge and experience they need.	1 The characteristics of a relationship that supports learner's progress and provides them with motivation to learn. 2 The types of information and advice that learners may require and how to provide or access this. 3 Different strategies to enable learners to engage with learning. 4 Aspects of equality and diversity that need to be addressed when supporting learners. 5 The range of techniques through which different types of learners can contribute to their own learning.
2 Support the learner through the learning and development process (a) Help the learner overcome any barriers that prevent them taking a full part in the learning process. (b) Support the learner in taking responsibility for their own development.	1 The types of barriers to learning that different types of learner's experience and how to address these. 2 How to help individuals with different types of learning needs access the skills and knowledge. 3 The boundaries of own role and when to refer the learner to other sources of help and support. 4 The range of resources, including support from others and technology-based solutions, that are available to support learners. 5 Why it is important that learners take responsibility for their own learning and different methods of helping them to do so.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
3 Provide feedback and evidence of learner achievement (a) Monitor the learner's performance against expected standards. (b) Provide evidence of achievement to others as required. (c) Provide constructive feedback to the learner. (d) Review learner progress and help them adapt their plans as necessary.	1 Methods that can be used to monitor learner's performance against required standards. 2 Methods that can be used to enable learners to provide honest and constructive feedback on their learning experience. 3 How to use learner feedback on their learning experience. 4 Different methods of presenting evidence of learner achievement to others. 5 Different methods of providing the learner with constructive feedback and how to use these methods effectively. 6 The importance of reviewing learner progress and appropriate times to do so. 7 The factors which are important in helping learners to review their progress and, where necessary, adapt their plans for learning and progression.

Unit L&D9D   Assess Workplace Competence Using Direct Methods (FD40 04)

Source: Learning and Development Standard 9

Who this Unit is for

This Unit is for those who assess in the workplace using the following assessment methods:

♦ observation and possibly
♦ related questioning *and/or*
♦ inspecting work products (created at the time of the observation)

Someone holding this Unit will be able to assess SVQs (or individual Units), other workplace qualifications and in-company standards that only require one or more of these three assessment methods.

'Direct assessors' of this kind may also contribute to the assessment of SVQs, other workplace qualifications or in-company standards that require a wider range of assessment methods, where the final assessment decision is being made by another assessor.

For this Unit, assessments must be of a substantial but realistic and manageable piece of the candidate's work. Each assessment should cover the full assessment cycle to include planning, judging evidence, providing feedback and recording the decision.

What this Unit is about

The types of activities the assessor-candidate will be involved in include:

1 Preparing and planning assessments
2 Assessing candidate performance and knowledge
3 Confirming progression and achievement

To achieve this Unit the assessor-candidate is required to assess the competence of two candidates in their place of work on two separate occasions for each candidate (four assessments in total), using standards such as those provided by a national awarding/standard setting body or the candidates' employer.

The assessor-candidate's knowledge will be assessed by them taking part in a discussion with their assessor, or answering questions (either written or oral), or providing a statement of how and why they carried out certain activities, or a combination of these.

The assessor-candidate's performance will be assessed by their assessor observing them conducting part of the assessment process and by looking at products of their work such as:

♦ pre-assessment planning documentation
♦ assessment plans agreed with candidates
♦ observation reports and other assessment records
♦ feedback records used to convey progress/achievement to candidates

The assessor will also observe the assessor-candidate giving feedback to at least one of the candidates and reviewing their progress.

Terminology

Within this Unit the following explanations and examples apply:

Assessment method	*Observation, questioning, checking products of work.*
Authentic	*Being the candidate's own work.*
Equality	*A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic.*
Current/Currency	*Evidence that the candidate still possesses the skills and knowledge being claimed.*
Diversity	*Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.*
Identify and collect evidence	*This is done through the assessment process, for example, by assessor observations, checking products of work, asking questions.*
Reliable	*Assessors achieving a consistent approach to the way they make judgements about candidate evidence.*
Requirements	*These are the requirements of the practitioner's own organisation and those of an external organisation, such as awarding organisation.*
Risk assessment	*Risk relates to breach of quality assurance principles (VARCS).*
Sufficient	*Enough evidence as specified in Evidence Requirements or Assessment Strategy.*
Valid	*Selecting and using an appropriate method of assessment in relation to the skills and or knowledge being assessed.*
Fair	*Ensuring candidates are assessed consistently and objectively to the standards.*
Safe	*This covers the health, safety and welfare of the person being assessed.*
Special assessment arrangement	*An agreement made with the candidate and the organisation to ensure fair assessment of the candidate without diluting the standards, for example taking account of shift working by arranging assessment opportunities to suit the candidate's work patterns.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Prepare and plan for assessments (a) Ensure candidates understand the purpose, requirements and processes of assessment. (b) Identify evidence that is valid, authentic and sufficient. (c) Plan to use valid, fair and reliable and safe assessment methods. (d) Plan assessment to meet requirements and candidate needs.	1 The range of information that should be made available to candidates before assessment begins. 2 The standards to be assessed and the assessment/evidence regulatory requirements. 3 The candidates' job role and their work environment and how this influences the assessment approach adopted. 4 How to judge when the candidate is ready for assessment. 5 The uses, benefits and drawbacks of the different assessment methods, including those that use technology. 6 Types of risks when assessing and how to manage them. 7 How to involve candidates in planning assessments and ensuring they have access to the assessment process. 8 How assessment arrangements can be adapted to meet the diverse needs of individual candidates. 9 How disputes and appeals will be handled and how confidentiality will be maintained.
2 Assess candidate performance and knowledge (a) Collect evidence that is valid, authentic and sufficient. (b) Use valid, fair, reliable and safe assessment methods. (c) Make assessment decisions against specified criteria. (d) Work with others to ensure the standardisation of assessment practice and outcomes.	1 How to implement the chosen assessment methods. 2 The principles of competence based assessment (competent versus not yet competent). 3 How to judge evidence in relation to the quality assurance principles that are applied (Valid, Authentic, Reliable, Current, Sufficient (VARCS)). 4 Achieving objectivity and consistency when making assessment decisions and what to do when there is doubt. 5 Standardisation processes and how to contribute to those. 6 How to co-operate and work effectively with others involved in the assessment process

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
3 Confirm progression and achievement (a) Provide feedback to the candidate that affirms achievement and identifies any additional requirements. (b) Maintain required records of the assessment process, its outcomes and candidate progress.	1 The purpose and value of feedback in the assessment cycle. 2 How to deliver constructive feedback and the next steps in the assessment process. 3 How to ensure access and data protection requirements are adhered to when maintaining records of assessment and candidate progress. 4 Internal quality assurance processes and procedures and how to apply these in practice. 5 The value and purpose of continuing professional development for assessment practitioners.

Unit L&D9DI   Assess Workplace Competence Using Direct and Indirect Methods (FD41 04)

Source: Learning and Development Standard 9

Who this Unit is for

This Unit is for those who assess in the workplace using a wide range of assessment methods, both direct and indirect. The person wishing to achieve this Unit (the assessor-candidate) will use the following direct methods:

♦   observation
♦   examination of work products (both created and not created at the time of observation)
♦   questioning

They may also be involved in authenticating indirect evidence such as:

♦   discussing with candidates
♦   testimony of others (witnesses)
♦   examining candidate statements
♦   assessing candidates in simulated environments
♦   Recognising Prior Learning (RPL) — otherwise known as the Accreditation of Prior Achievement (APA)

The assessment decisions made by the assessor-candidate will be used to confirm achievement in a range of situations such as assessing SVQs, other workplace qualifications or in-company standards.

For this Unit, assessments must be of a substantial but realistic and manageable piece of the candidate's work. Each assessment should cover the full assessment cycle to include planning, judging evidence, providing feedback and recording the decision.

What this Unit is about

The types of activities the assessor-candidate will be involved in include:

1   Preparing to assess
2   Planning assessments
3   Assessing candidate performance and knowledge
4   Confirming progression and achievement

To achieve this Unit the assessor-candidate must assess the competence of two candidates on two occasions in their place of work using a set of standards such as those provided by a national awarding/standard setting body or the candidates' employer.

The assessor-candidate's knowledge will be assessed by them taking part in a discussion with their assessor, or answering questions (either written or oral), or providing a statement of how and why they carried out certain activities, or a combination of these.

The assessor-candidate's performance will be assessed by their assessor observing them carrying out assessments and by looking at products of their work such as:

♦ notes relating to pre-assessment planning discussions
♦ assessment plans agreed with the candidates
♦ records detailing assessment decisions
♦ feedback records used to convey progression/achievement to the candidates
♦ records of the standardisation activities the assessor-candidate has been involved in

The assessor will also observe the assessor-candidate assessing, giving feedback to at least one of the candidates and reviewing progress.

Terminology

Within this Unit the following explanations and examples apply:

Assessment method	*Observation, questioning, checking products of work, discussing with candidates, testimony of others (witnesses, examining candidate statements, assessing candidates in simulated environments, Recognising Prior Learning (RPL) — otherwise known as the Accreditation of Prior Achievement (APA).*
Authentic	*Being the candidate's own work.*
Current/currency	*Evidence that the candidate still possesses the skills and knowledge being claimed.*
Equality	*A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic.*
Diversity	*Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.*
Identify and collect evidence	*This is done through the assessment process, for example by assessor observations, checking products of work, asking questions, discussing with candidates, testimony of others (witnesses, examining candidate statements, assessing candidates in simulated environments, Recognising Prior Learning (RPL) — otherwise known as the Accreditation of Prior Achievement (APA).*
Reliable	*Assessors achieving a consistent approach to the way they make judgements about candidate evidence.*
Requirements	*These could be the requirements of the practitioner's own organisation or those of an external organisation, such as awarding organisation.*
Risk assessment	*Risk relates to breach of the quality assurance principles (VARCS).*
Sufficient	*Enough evidence as specified in Evidence Requirements or Assessment Strategy.*
Valid	*Selecting and using a method of assessment appropriate to the skills and knowledge being assessed.*
Fair	*Ensuring candidates are assessed consistently and objectively to the standards.*

Safe	*This covers the health, safety and welfare of the person being assessed.*
Special assessment arrangement	*An agreement made with the candidate and the organisation to ensure fair assessment of the candidate without diluting the standards, for example, taking account of shift working by arranging assessment opportunities to suit the candidate's work patterns.*

Performance		Knowledge
What the assessor-candidate must do:		**What the assessor-candidate must know**
1	**Prepare to assess**	1 How to judge when the candidate is ready for assessment.
(a)	Ensure candidates understand the purpose, requirements and processes of assessment.	2 The range of information that should be made available to candidates before assessment begins.
		3 The concepts and principles of assessment.
		4 Standards to be assessed, assessment/evidence requirements, regulatory requirements.
		5 The candidates' job role and their work environment and how this influences which assessment approach to use.
2	**Plan assessments**	1 The principles of assessment (validity, authenticity, reliability, currency,sufficiency (VARCS)).
(a)	Identify evidence that is valid, authentic and sufficient.	2 The uses, benefits and drawbacks of the different assessment methods, including those that use technology.
(b)	Plan to use valid, fair and reliable and safe assessment methods.	3 Types of risks, including health, safety and welfare and quality assurance risks, when assessing and how to manage them.
(c)	Plan assessment to meet requirements and candidate needs.	4 How to plan assessments in own area of responsibility, involving candidates and allowing access.
		5 How assessment arrangements can be adapted to meet the diverse needs of individual candidates.
		6 How disputes and appeals will be handled and how confidentiality will be maintained.
3	**Assess candidate performance and knowledge**	1 The principles of competence based assessment (competent versus not yet competent).
		2 How to judge evidence in relation to specified criteria ensuring the quality assurance principles are applied (valid, fair, reliable, current, safe).
(a)	Collect evidence that is valid, authentic and sufficient.	3 Achieving objectivity and consistency when making assessment decisions and what to do when there is doubt.
(b)	Use valid, fair, reliable and safe assessment methods.	4 Standardisation processes and how to contribute to those.
(c)	Make assessment decisions against specified criteria.	5 How to co-operate and work effectively with others involved in the assessment process.
(d)	Work with others to ensure the standardisation of assessment practice and outcomes.	

Performance **What the assessor-candidate must do:**	Knowledge **What the assessor-candidate must know:**
4 Confirm progression and achievement (a) Provide feedback to the learner that affirms achievement and identifies any additional requirements. (b) Maintain required records of the assessment process, its outcomes and candidate progress.	1 The purpose and value of feedback in the assessment cycle. 2 How to deliver constructive feedback and the next steps in the assessment process. 3 How to ensure access and data protection requirements are adhered to when maintaining records of assessment and candidate progress. 4 Internal quality assurance processes and procedures and how to apply these in practice. 5 The value and purpose of continuing professional development for assessment practitioners.

Unit L&D10   Reflect on, Develop and Maintain Own Skills and Practice in Learning and Development (FD42 04)

Source: Learning and Development Standard 10

What this Unit is about

This Unit is about the learning and development practitioner reflecting on their current practice, identifying their own learning and development needs and taking part in continuing professional development.

The types of activities the candidate will be involved in include:

1. Evaluating own performance as a learning and development practitioner
2. Continually developing own practice as a learning and development practitioner

To achieve this Unit the candidate is required to demonstrate reflective practice and continuing professional development in all key areas of their work.

The candidate's performance will be assessed by the assessor looking at products of work, for example:

- records of their work on keeping up-to-date on the requirements of their role
- records of how they keep abreast of developments in learning and development
- feedback that they have stimulated from learners and colleagues
- self-evaluations of their own practice in learning and development
- their personal development plan and evidence of how this has been updated over time
- records of continuing professional development activities
- evidence of how they have shared new knowledge and skills with colleagues

The assessor will also engage in a professional discussion with the candidate to explore how they have reflected on their practice and used these reflections to improve what they do.

Terminology

Within this Unit the following explanations and examples apply:

Role
: *This is used to describe the job that the practitioner is contracted to carry out and the work that they must do.*

Practice
: *This refers to the 'way' that the practitioner carries out their work and takes account of factors such as their approach to their work.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Evaluate own performance as a learning and development practitioner	1 The extent and limitations of the requirements and responsibilities associated with own role.
	2 The health and safety practice and personal and social skills relevant to own area of work and management of own workload.
(a) Identify current performance requirements relevant to own practice.	3 Team, organisational and own professional goals.
(b) Identify trends and developments relevant to own skills, knowledge and practice.	4 How to explore current performance requirements relevant to own practice, including role descriptors, standards, benchmarks, codes of practice, and values and principles relevant to own practice.
(c) Identify and critically reflect on how own beliefs and attitudes influence own practice.	5 How to find out about and stay abreast of trends and developments relevant to own skills, knowledge and practice including those relating to technological developments.
(d) Seek feedback, collect information and continually reflect on own performance.	6 Effective methods for assessing own values, beliefs and attitudes relevant to own skills and practice.
(e) Assess the extent to which own practice is inclusive and promotes equality and diversity.	7 Why it is important to understand own values, beliefs and attitudes and how it can affect own work practice as well as own learning and development.
(f) Review and evaluate own skills, knowledge and practice against available information.	8 Why it is important to seek feedback on own performance from all those involved in the learning process and ways that this can be done.
	9 The type of information that should be collected to inform a review of own skills, knowledge and practice.
	10 Ways to continuously reflect on and evaluate own efficiency and effectiveness and why this is important.
	11 Methods that can be used to assess the extent to which own practice is inclusive and promotes equality and diversity.
	12 Methods that can be used to evaluate own skills knowledge and practice and the range of information that should be used to inform this process.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
2 Continually develop own practice as a learning and development practitioner (a) Prioritise areas for development and plan how learning and development will be achieved. (b) Inform relevant individuals and use appropriate systems to report and address factors that impact negatively on own practice. (c) Access development needed to carry out own work more effectively and continually use a range of resources to keep own knowledge, skills and practice up-to-date. (d) Keep records of own actions, development plans and progress, and use them to support and inform ongoing reflective practice. (e) Apply new knowledge and skills to consolidate learning, improve own practice, and review the effectiveness of newly acquired knowledge and skills. (f) Share knowledge, skills and improvements to practice with colleagues where it is likely to be of benefit.	1 The information that should be considered in the prioritisation of own learning and development needs. 2 Sources and methods of relevant continuous and professional development to facilitate own learning. 3 How research can help to update practice. 4 Methods, systems and processes for sharing evaluation information and suggesting improvements. 5 How to provide constructive criticism when suggesting improvements to colleagues. 6 Why it is important to keep records of own actions, development plans and progress and how these can be used to inform ongoing reflective practice. 7 Why it is important to evaluate the effectiveness of learning resources and learning provision used for own learning and development and who this information should be shared with. 8 How sharing good practice with others can help to develop own practice. 9 The importance of continuous professional development and collaborative reflection on learning development practice.

Unit L&D11   Internally Monitor and Maintain the Quality of Workplace Assessment (FD43 04)

Source: Learning and Development Standard 11

Who this Unit is for

This Unit is for those monitoring assessment processes and decisions within an organisation and helping to maintain and improve the quality of workplace assessment. The internal quality assurance process being conducted by the internal verifier-candidate can be for SVQs, work-based qualifications or in-company standards.

What this Unit is about

The types of activities the internal verifier-candidate will be involved in include:

1   Preparing to carry out internal quality assurance
2   Planning internal quality assurance
3   Carrying out planned monitoring of the quality of assessment
4   Providing assessors with feedback, advice and support to help them maintain and improve their assessment practice
5   Meeting appropriate external quality assurance requirements

To achieve this Unit the verifier-candidate is required to carry out the monitoring activities defined in their organisation's quality assurance procedures in accordance with appropriate external quality assurance requirements.

Their knowledge will be assessed by taking part in a discussion with their assessor, answering questions (written or oral), verifier-candidate statement or a combination of all of these.

The verifier-candidate's performance will be assessed by the assessor looking at products of work, for example:

♦   Notes of meetings with assessors and other quality assurance staff in the organisation.
♦   Notes on the planning process for their monitoring activities.
♦   Quality assurance documentation the verifier-candidate uses to record their monitoring of at least two assessors' work with at least two candidates each, covering at least three assessment decisions in total. Monitoring will include observation of assessors providing feedback to their candidates.
♦   Records of their use of the results of monitoring to provide feedback, including advice and support on practice and planned CPD processes, to assessors and other relevant people and agreeing any remedial action or changes to assessment procedures to meet internal and external quality assurance requirements.

The verifier-candidate will be observed monitoring the activities of one assessor.

Terminology

Within this Unit the following explanation and examples apply:

Assessment method	*Observation, questioning, checking of products of work, witness testimony.*
Authentic evidence	*Being the candidate's own work.*
Candidate	*The person being assessed.*
Organisation	*An awarding organisation, internal department or other organisation involved in assessment.*
Reliable	*Assessors achieving a consistent approach to the way they make judgements about candidate evidence.*
Role requirements	*Could include holding an assessor/verifier qualification and/or occupational experience in the area being assessed.*
Special assessment arrangement	*An agreement made with the candidate and the organisation to ensure fair assessment of the candidate without diluting the standards, for example, taking account of shift working by arranging assessment opportunities to suit the candidate's work patterns.*
Sufficient	*Enough evidence as specified in Evidence Requirements or Assessment Strategy.*
Valid	*Relevant to the criteria against which the candidate is being assessed.*

Performance	Knowledge
What the internal verifier-candidate must do:	**What the internal verifier-candidate must know:**
1 Prepare to carry out internal quality assurance (a) Prepare to monitor the quality of assessment.	1 The standards being assessed and the assessment/evidence requirements. 2 The relevant Assessment Strategy and external and internal quality assurance requirements. 3 The principles of assessment and quality assurance. 4 Procedures to follow when preparing for monitoring activity. 5 Agreed procedures for planning, preparing for and carrying out assessment. 6 Criteria for judging the quality of the assessment process. 7 Roles, responsibilities of, and requirements for, assessors/lead IV/IVs/EVs. 8 Special assessment arrangements. 9 The uses, benefits and drawbacks of different assessment methods. 10 Legal issues, policies and procedures including those for health, safety and welfare.
2 Plan internal quality assurance (a) Plan monitoring activities to ensure the quality of assessment is maintained.	1 Procedures to follow when planning monitoring activity. 2 Principles of assessment (Validity, Authenticity, Reliability, Currency, Sufficiency (VARCS)). 3 Assessment cycle — when you would use interim and final verification. 4 Principles and techniques of sampling, and their application including the appropriate use of technology. 5 Quality assurance risk management. 6 Internal quality assurance policies/procedures/strategy. 7 Policies, procedures and requirements re information management, data protection and confidentiality in relation to assessment and quality assurance.

Performance What the internal verifier-candidate must do:	Knowledge What the internal verifier-candidate must know:
3 Carry out planned monitoring of the quality of assessment (a) Determine whether assessment processes and systems meet and operate according to quality requirements. (b) Check that assessors meet the requirements for their role. (c) Check that assessments are planned, prepared for and carried out according to agreed procedures. (d) Check that assessment methods are safe, fair, valid and reliable. (e) Check that assessment decisions are made using specified criteria. (f) Compare assessor decisions to ensure that they are consistent. (g) Provide assessors with feedback, advice and support to help them maintain and improve their assessment practice.	1 Assessment and Quality Assurance principles, requirements, policy and practice (Validity, Authenticity, Reliability, Accuracy, Sufficiency (VARCS)). 2 Agreed procedures for planning, preparing and carrying out assessment. 3 Assessor/IV roles and requirements. 4 Assessment specifications and risk identification and management. 5 Criteria for judging quality of assessment. 6 Methods of monitoring assessor practice and recording sampling to showing a clear audit trail. 7 Standardisation processes and how to co-ordinate and contribute to these. 8 Types of feedback, advice and support that assessors need and how to meet those needs. 9 Procedures to use when there are disputes and concerns about quality of assessment and quality assurance. 10 Equality and Diversity issues in relation to assessment and quality assurance and how these should be addressed. 11 Requirements for information management, data protection and confidentiality and communication in relation to assessment and quality assurance. 12 Continuous Professional Development (CPD) planning and implementation including working towards national standards in assessment and verification.
4 Meet appropriate external quality assurance requirements (a) Work with others to ensure the standardisation of assessment practice and outcomes. (b) Follow agreed procedures when there are significant concerns about the quality of assessment. (c) Follow agreed procedures for the recording, storing, reporting and confidentiality of information.	1 External quality assurance requirements prior to, during and post monitoring activities. 2 Procedures to use when there are disputes and concerns about quality of assessment. 3 Standardisation processes and how to co-ordinate and contribute to these. 4 Methods of reporting on internal quality assurance and reviews of practice. 5 Organisation's quality assurance responsibilities and requirements re information management, data protection, confidentiality and communication.

Unit L&D13P   Evaluate and Improve Learning and Development Provision (FD45 04)

Source: Learning and Development Standard 13

What this Unit is about

This Unit is about evaluating learning and development provision, and planning and implementing quality improvements to that provision. 'Provision' applies to all learning and development programmes and related activities in the candidate's area of responsibility.

The types of activities the candidate will be involved in include:

1   Planning the monitoring and evaluation of learning and development provision
2   Carrying out monitoring and evaluation of learning and development provision
3   Working with others to make improvements to learning and development provision

To achieve this Unit the candidate is required to demonstrate quality assurance and continuous improvement in all key areas of their work.

Their knowledge will be assessed by taking part in a discussion with the assessor, or answering questions (written or oral), or providing a personal/reflective account, or a combination of all of these.

The candidate's performance will be assessed by the assessor looking at products of work, for example:

♦   the candidate's monitoring and evaluation plans
♦   information and data they have collected in relation to the quality of learning and development provision
♦   their evaluations of learning and development provision
♦   evidence of how they have worked with others to improve learning and development provision

The assessor will also engage in a discussion with the candidate to explore the lessons they have learned from monitoring and evaluating learning and development provision and how they have used these lessons to improve provision.

Terminology

Within this Unit the following explanations and examples apply:

Evidence
This could be, for example, learner progress, learner attainment, learner satisfaction, staff engagement as appropriate to the quality indicators.

Provision
All learning and development programmes and activities in the candidate's area of responsibility.

Quality requirements
These could be for example, organisational, legal/statutory, funding or awarding organisation requirements.

Scope
What the evaluation will cover.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Plan the monitoring and evaluation of learning and development provision (a) Identify the purpose and scope of the evaluation. (b) Identify quality requirements and appropriate measures of performance. (c) Identify methods for monitoring, collecting, managing and analysing data.	1 The key concepts and principles of quality assurance and continuous improvement. 2 The quality requirements appropriate to own work context and work role. 3 How to research and keep up-to-date with quality requirements relevant to learning and development. 4 Industry recognised standards relevant to learning and development and the processes and activities which deliver excellence in the work context being evaluated. 5 How to identify performance indicators relevant to the area of learning and development being evaluated. 6 How to set realistic targets, the contribution that targets can make to evaluation processes and the drawbacks associated with target driven work. 7 The strengths and weaknesses of different monitoring and information collection methods and how to develop and administer these methods. 8 The range, amount and frequency of data — including qualitative and quantitative — that needs to be collected and analysed to give valid information about quality. 9 The contribution that technology can make to the monitoring and evaluation process.
2 Carry out monitoring and evaluation of learning and development provision (a) Collect and analyse data according to identified monitoring procedures. (b) Identify strengths and areas for improvement. (c) Evaluate own contribution to working within quality systems.	1 The principles of information management and how to establish systems for the monitoring and management of qualitative and quantitative data. 2 Processes, procedures and methods involved in data analysis and interpretation. 3 What to monitor for specific purposes and how to record and store it. 4 How to contribute to self-assessment and evaluation processes. 5 The confidentiality and data protection legislation relevant to the collection and storage of information in learning and development.

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
3 Work with others to make improvements to learning and development provision (a) Work with others to plan and implement improvements to learning and development. (b) Ensure that potential improvements are realistic and achievable. (c) Monitor and evaluate the impact of improvements.	1 The role and functions of individuals and teams in improving quality and raising standards. 2 The importance of involving the learner in quality improvement. 3 How to encourage the learner to contribute to self-assessment processes. 4 The impact of the wider learning environment on the learner experience. 5 How to use feedback to develop own practice specific to the relevant quality systems. 6 How to act on the outcomes of quality assurance, including self-assessment and evaluation. 7 How to contribute to quality improvement plans. 8 How to work with those involved in the learning process to influence and implement quality improvement.

Unit L&D13S   Evaluate and Improve Learning and Development Sessions (FD46 04)

Source: Learning and Development Standard 13

What this Unit is about

This Unit is about evaluating learning and development sessions, and planning and implementing quality improvements to those sessions. 'Sessions' refers to the learning and development opportunities that the practitioner is responsible for. This will include working with groups and individuals in both formal and informal contexts.

The types of activities the candidate will be involved in include:

1   Planning the monitoring and evaluation of learning and development sessions
2   Carrying out monitoring and evaluation of learning and development sessions
3   Working with others to make improvements to learning and development sessions

To achieve this Unit the candidate is required to demonstrate quality assurance and continuous improvement in the sessions they are responsible for.

Their knowledge will be assessed by taking part in a discussion with the assessor, or answering questions (written or oral), or statement, or a combination of all of these.

The candidate's performance will be assessed by the assessor looking at products of work, for example:

♦   The candidate's monitoring and evaluation plans, for example, evaluation questionnaires.
♦   Information and data they have collected in relation to the quality of learning and development sessions — which might include completed questionnaires and informal feedback from learners and others.
♦   Their evaluations of learning and development sessions.
♦   Evidence of how they have worked with others to improve learning and development sessions.

The assessor will also want to engage in a discussion with the candidate to explore the lessons they have learned from monitoring and evaluating learning and development provision and how they have used these lessons to improve the sessions they run.

Terminology

Within this Unit the following explanations and examples apply:

Evidence	*This could be, for example, learner progress, learner attainment, learner satisfaction, staff engagement as appropriate to the quality indicators.*
Provision	*All learning and development programmes and activities in the candidate's area of responsibility.*
Quality requirements	*These could be, for example, organisational, legal/statutory, funding or awarding organisation requirements.*
Scope	*What the evaluation will cover.*

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
1 Plan the monitoring and evaluation of learning and development sessions (a) Identify the purpose and scope of the evaluation. (b) Identify quality requirements and appropriate measures of performance. (c) Identify methods for monitoring, collecting, managing and analysing data for learning and development sessions.	1 The key concepts and principles of quality assurance and continuous improvement. 2 The quality requirements appropriate to own work context and work role. 3 How to research and keep up-to-date with quality requirements relevant to learning and development sessions. 4 Industry recognised standards relevant to learning and development sessions and the processes and activities which deliver excellence in the work context being evaluated. 5 How to identify performance indicators relevant to the area of learning and development sessions being evaluated. 6 How to set realistic targets, the contribution that targets can make to evaluation processes and the drawbacks associated with target driven work. 7 The strengths and weaknesses of different monitoring and information collection methods and how to develop and administer these methods. 8 The range, amount and frequency of data — including qualitative and quantitative — that needs to be collected and analysed to give valid information about the quality of learning and development sessions. 9 The contribution that technology can make to monitoring and evaluating learning and development sessions.
2 Carry out monitoring and evaluation of learning and development sessions (a) Collect and analyse data according to identified monitoring procedures. (b) Identify strengths and areas for improvement. (c) Evaluate own contribution to working within quality systems.	1 The principles of information management and how to establish systems for the monitoring and management of qualitative and quantitative data for learning and development sessions. 2 Processes, procedures and methods involved in data analysis and interpretation. 3 What to monitor for specific purposes and how to record and store it. 4 How to contribute to self-assessment and evaluation processes. 5 The confidentiality and data protection legislation relevant to the collection and storage of information in learning and development

Performance	Knowledge
What the candidate must do:	**What the candidate must know:**
3 Work with others to make improvements to learning and development sessions (a) Work with others to plan and implement improvements to learning and development sessions. (b) Ensure that potential improvements are realistic and achievable. (c) Monitor and evaluate the impact of improvements to learning and development sessions.	1 The role and functions of individuals and teams in improving quality and raising standards. 2 The importance of involving the learner in quality improvement. 3 How to encourage the learner to contribute to self-assessment processes. 4 The impact of the wider learning environment on the learner experience. 5 How to use feedback to develop own practice specific to the relevant quality systems. 6 How to act on the outcomes of quality assurance, including self-assessment and evaluation. 7 How to contribute to quality improvement plans. 8 How to work with those involved in the learning process to influence and implement quality improvement.

Unit MSCD1   Develop Productive Working Relationships with Colleagues (FD3H 04)

Unit summary

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

'Colleagues' are any people you are expected to work with, whether they are at a similar position or in other positions, including your manager.

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

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

Skills
Listed below are the main generic 'skills' that need to be applied in developing productive working relationships with colleagues. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

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

Performance Criteria

You must be able to:

1   Establish working relationships with all colleagues who are relevant to the work being carried out.
2   Recognise, agree and respect the roles and responsibilities of colleagues and, particularly in situations of matrix management, their managers' requirements.
3   Understand and take account of the priorities, expectations and authority of colleagues in decisions and actions.
4   Create an environment of trust and mutual respect where you have no authority, or shared authority, over those you are working with.

5   Understand difficult situations and issues from your colleague's perspective and provide support, where necessary, to move things forward.
6   Fulfil agreements made with colleagues and let them know.
7   Advise colleagues promptly of any difficulties or where it will be impossible to fulfil agreements.
8   Identify and sort out conflicts of interest and disagreements with colleagues, in ways that minimise damage to work being carried out.
9   Exchange information and resources with colleagues to make sure that all parties can work effectively.
10   Provide feedback to colleagues on their performance and seek feedback from colleagues on your own performance in order to identify areas for improvement.

Behaviours

You will exhibit the following behaviours:

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

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

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

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

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

Unit MSCB1   Develop and Implement Operational Plans for Your Area of Responsibility (DR47 04)

Unit summary

What is the Unit about?

Every organisation should have an overall strategic business plan and each identified area of responsibility should also have an operational plan that will contribute to achieving the objectives set out in the strategic business plan.

The 'area of responsibility' may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is the Unit for?

The Unit is recommended for middle managers.

Links to other Units

This Unit is linked to Units **B6 Provide Leadership in Your Area of Responsibility (DR75 04)** and **E2 Manage Finance for Your Area of Responsibility (DR5T 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

Listed below are the main generic 'skills' which need to be applied in developing and implementing operational plans for your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- ♦ planning
- ♦ risk management
- ♦ delegating
- ♦ networking
- ♦ involving others
- ♦ innovating
- ♦ consulting

- ♦ communicating
- ♦ influencing and persuading
- ♦ monitoring
- ♦ evaluating
- ♦ setting objectives
- ♦ building consensus

Outcomes of effective performance

You must be able to do the following:

1   Balance new ideas with tried and tested solutions.
2   Balance risk with desired Outcomes.
3   Make sure your plans are consistent with the objectives of your area of responsibility.
4   Make sure your plan is flexible and complements related areas of work.
5   Develop and assign objectives to people together with the associated resources.
6   Win the support of key colleagues and other stakeholders.
7   Monitor and control your plan so that it achieves its overall objectives.
8   Evaluate the implementation of your plan and make recommendations that identify good practice and areas for improvement.

Behaviours which underpin effective performance

1   You constantly seek to improve performance.
2   You work towards a clearly defined vision of the future.
3   You present information clearly, concisely, accurately and in ways that promote understanding.
4   You reflect regularly on your own and other's experiences, and use these to inform future action.
5   You prioritise objectives and plan work to make best use of time and resources.
6   You set demanding but achievable objectives for yourself and others.
7   You create a sense of common purpose.
8   You balance agendas and build consensus.
9   You consider the impact of your own actions on others.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1   Principles and methods of short-to medium-term planning.
2   The importance of creativity and innovation in operational planning.
3   How to develop and assign objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).
4   How to analyse and manage risk.
5   How to develop and plan for contingencies.
6   Principles and methods of delegation.
7   How to use resources effectively to achieve objectives.
8   How to consult with colleagues and other key stakeholders.
9   How to monitor and control operational plans to achieve their objectives.
10 How to develop and use an evaluation framework.

Industry/sector specific knowledge and understanding

1   Legal, regulatory and ethical requirements in your sector.
2   Market developments in your sector.
3   Actual and potential competitors, and their strategies and plans.
4   Actual and potential partners, and their strategies and plans.

Context specific knowledge and understanding

1   The market in which your organisation works.
2   The overall vision of your organisation and the goals you are responsible for achieving.
3   Your organisation's actual and potential customer base.
4   Available market opportunities.
5   How to respond to market opportunities.
6   Colleagues and other key stakeholders, and their needs and expectations.
7   Processes for consultation.
8   Sources of information you can use to monitor and evaluate plans.
9   Procedures for reporting and making recommendations.

Unit MSCB6   Provide Leadership in Your Area of Responsibility (DR75 04)

Unit summary

What is the Unit about?

The Unit is about providing direction to people in a clearly and formally defined area or part of an organisation and motivating and supporting them to achieve the vision and objectives for the area.

The 'area of responsibility' may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is the Unit for?

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

Links to other Units

This Unit is linked to Units **B1 Develop and Implement Operational Plans for Your Area of Responsibility (DR47 04), B5 Provide Leadership for Your Team (DR73 04), B7 Provide Leadership for Your Organisation (DR70 04)** and **D6 Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility (DR3Y 04)** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- communicating
- influencing and persuading
- leading by example
- motivating
- consulting
- planning
- setting objectives
- providing feedback

- coaching
- mentoring
- valuing and supporting others
- empowering
- learning
- following
- managing conflict
- obtaining feedback

Outcomes of effective performance

You must be able to do the following:

1   Create a vision of where your area is going and clearly and enthusiastically communicate it, together with supportive objectives and operational plans, to the people working within your area.
2   Ensure that people working within your area understand and can see how the vision, objectives and operational plans link to the vision and objectives of the overall organisation.
3   Steer your area successfully through difficulties and challenges, including conflict within the area.
4   Create and maintain a culture within your area which encourages and recognises creativity and innovation.
5   Develop a range of leadership styles and select and apply them to appropriate situations and people.
6   Communicate regularly, making effective use of a range of different communication methods, with all the people working within your area and show that you listen to what they say.
7   Give people in your area support and advice when they need it especially during periods of setback and change.
8   Motivate and support people in your area to achieve their work and development objectives and provide recognition when they are successful.
9   Empower people in your area to develop their own ways of working and take their own decisions within agreed boundaries.
10 Encourage people to give a lead in their own areas of expertise and show willingness to follow this lead.
11 Win, through your performance, the trust and support of people within your area for your leadership and get regular feedback on your performance.

Behaviours which underpin effective performance

1   You articulate a vision that generates excitement, enthusiasm and commitment.
2   You create a sense of common purpose.
3   You take personal responsibility for making things happen.
4   You make complex things simple for the benefit of others.
5   You encourage and support others to take decisions autonomously.
6   You act within the limits of your authority.
7   You make time available to support others.
8   You show integrity, fairness and consistency in decision-making.
9   You seek to understand people's needs and motivations.
10 You model behaviour that shows respect, helpfulness and co-operation.
11 You encourage and support others to make the best use of their abilities.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1 The fundamental differences between management and leadership.
2 How to create a compelling vision for an area of responsibility.
3 How to select and successfully apply different methods for communicating with people across an area of responsibility.
4 A range of different leadership styles and how to select and apply these to different situations and people.
5 How to get and make use of feedback from people on your leadership performance.
6 Types of difficulties and challenges that may arise, including conflict within the area, and ways of identifying and overcoming them.
7 The benefits of and how to create and maintain a culture which encourages and recognises creativity and innovation.
8 The importance of encouraging others to take the lead and ways in which this can be achieved.
9 How to empower people effectively.
10 How to select and successfully apply different methods for encouraging, motivating and supporting people and recognising achievement.

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

1 Your own values, motivations and emotions.
2 Your own strengths and limitations in the leadership role.
3 The strengths, limitations and potential of people that you lead.
4 Your own role, responsibilities and level of power.
5 The vision and objectives of the overall organisation.
6 The vision, objectives, culture and operational plans for your area of responsibility.
7 Types of support and advice that people are likely to need and how to respond to these.
8 Leadership styles used across the organisation.

Unit MSCB11   Promote Equality of Opportunity, Diversity and Inclusion in Your Area of Responsibility (FM4L 04)

Unit summary

What is the Unit about?

This Unit is about actively promoting equality of opportunity, diversity and inclusion in your area of responsibility. It is intended to go beyond compliance with equality legislation and move towards a situation where there is awareness in your area of and active commitment to the need to ensure equality of opportunity and the benefits of diversity and inclusion.

The 'area of responsibility' may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is the Unit for?

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

Links to other Units

This Unit links to a number of Units in the overall suite of National Occupational Standards for management and leadership which involve managing or working with people.

Skills

Listed below are the main generic 'skills' which need to be applied in promoting equality of opportunity and diversity in your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

♦ communicating	♦ balancing competing needs and interests
♦ leadership	♦ influencing and persuading
♦ motivating	♦ planning
♦ monitoring	♦ reporting
♦ information management	♦ decision making
♦ evaluating	♦ reviewing
♦ valuing and supporting others	♦ risk management
♦ consulting	

Outcomes of effective performance

You must be able to do the following:

1 Ensure commitment within your area of responsibility to promoting equality of opportunity, diversity and inclusion, including making it a priority area in terms of informing the vision and objectives for your area and planning and decision-making.
2 Ensure that your behaviour, words and actions and those of people working in your area of responsibility support a commitment to equality of opportunity, diversity and inclusion.
3 Identify your personal responsibilities and liabilities under equality legislation and any relevant codes of practice.
4 Identify the diversity and needs of your area's current customers and potential customers and identify areas where needs could be better satisfied and where the diversity of customers could be improved.
5 Ensure that the organisation's written equality, diversity and inclusion policy is clearly communicated to all people in your area of responsibility and other relevant parties.
6 Implement the organisation's written equality, diversity and inclusion policy in your area, including relevant parts of any accompanying organisation-wide action plan, seeking and making the required resources available.
7 Ensure regular consultation with people in your area of responsibility or their representatives on equality, diversity and inclusion issues.
8 Seek and make use of specialist expertise in relation to equality, diversity and inclusion issues.
9 Ensure that working arrangements, resources and business processes in your area of responsibility respond to different needs, abilities, values and ways of working.
10 Monitor, review and report to the relevant people on progress in relation to equality of opportunity, diversity and inclusion within your area of responsibility, identifying required actions and changes to practice.

Behaviours which underpin effective performance

1 You use communication styles that are appropriate to different people and situations.
2 You understand individuals' needs, feelings and motivations and take an active interest in their concerns.
3 You encourage and support others to make the best use of their abilities.
4 You use a range of leadership styles appropriate to different people and situations.
5 You show a clear understanding of different customers and their needs.
6 You treat individuals with respect and act to uphold their rights.
7 You show integrity, fairness and consistency in decision making.
8 You make time available to support others.
9 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1   Different definitions of diversity and inclusion.
2   The different forms which discrimination and harassment might take.
3   The business case for ensuring equality of opportunity and promoting diversity and inclusion.
4   The probable effects of not promoting equality of opportunity, diversity and inclusion within your area of responsibility.
5   How commitment within your area of responsibility to promoting equality of opportunity, diversity and inclusion might be demonstrated.
6   Why it is important to make equality, diversity and inclusion a priority area and how to do so effectively.
7   Why it is important to lead by example in terms of your behaviour, words and actions supporting a commitment to equality of opportunity, diversity and inclusion.
8   How to recognise when the behaviour, words and actions of others does and does not support a commitment to equality of opportunity, diversity and inclusion.
9   How and where to identify your personal responsibilities and liabilities under equality legislation and any relevant codes of practice.
10 The importance of identifying the diversity and needs of your area's current and potential customers in order to identify areas for improvement and how to do so effectively.
11 How to communicate the organisation's written equality, diversity and inclusion policy to people who work in your area of responsibility and other relevant parties.
12 The importance of implementing an organisation's written equality, diversity and inclusion policy and any supporting action plan.
13 The type of resources which might be required to support implementation of an equality, diversity and inclusion policy and any supporting action plan.
14 How and when to consult with people in your area of responsibility or their representatives on equality, diversity and inclusion issues.
15 Sources of specialist expertise in relation to equality, diversity and inclusion.
16 How to provide working arrangements, resources and businesses processes in your area of responsibility that respond to different needs, abilities, values and ways of working.
17 How to monitor, review and report on progress in relation to equality of opportunity, diversity and inclusion within your area of responsibility.

Industry/sector specific knowledge and understanding

1   Sector-specific legislation, regulations, guidelines and codes of practice relating to equality, diversity and inclusion.
2   Equality, diversity and inclusion issues and developments that are particular to the industry or sector.
3   Information sources on equality, diversity and inclusion in the industry or sector, including those at international level.

Context specific knowledge and understanding

1   The vision, objectives and operational plans for your area of responsibility.
2   The planning and decision-making processes within your area of responsibility.
3   The overall vision, values, objectives, plans and culture of the organisation.
4   The diversity of the people working in your area of responsibility.
5   Your area's current and potential customers and their needs.

6   Other relevant parties with an interest in diversity and inclusion in your area of responsibility.
7   The organisation's written equality, diversity and inclusion policy and any accompanying action plan and how they are communicated to people who work for the organisation, people in your area and to other relevant parties.
8   Sources of specialist expertise in relation to equality, diversity and inclusion used in your area of responsibility.
9   The support and resources allocated to and across your area of responsibility to promote equality of opportunity, diversity and inclusion.
10   Employment policies and practices within the organisation — including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions.
11   Working arrangements, resources and business processes in your area of responsibility
12   Systems in place in your area of responsibility for monitoring, reviewing and reporting on progress in relation to equality of opportunity, diversity and inclusion.
13   Allocated responsibilities for promoting equality of opportunity, diversity and inclusion in your area of responsibility and the organisation in general.

Unit MSCC2 Encourage Innovation in Your Area of Responsibility (FD3G 04)

Unit summary

What is the Unit about?
This Unit is about encouraging and supporting the identification and practical implementation of ideas in your area of responsibility. The initial ideas will primarily come from people who work in your area of responsibility, including yourself, and will focus on:

♦ New products and/or services.
♦ Improvements to existing products and/or services.
♦ Improvements to existing practices, procedures, systems, ways of working, etc. within the team or those of the wider organisation or customers or suppliers.

The 'area of responsibility' may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is the Unit for?
The Unit is recommended for first line managers and middle managers.

Links to other Units
This Unit is linked to **units B6 Provide Leadership in Your Area Of Responsibility, C1 Encourage Innovation in Your Team** and **C3 Encourage Innovation in Your Organisation** in the overall suite of National Occupational Standards for Management and Leadership.

Skills
Listed below are the main generic 'skills' that need to be applied in encouraging innovation in your area of responsibility. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

♦ communicating
♦ leadership
♦ problem solving
♦ thinking creatively
♦ learning
♦ motivating
♦ reviewing
♦ inspiring

♦ analysing
♦ decision making
♦ providing feedback
♦ information management
♦ involving others
♦ valuing and supporting others
♦ risk management

Performance Criteria

You must be able to:

1 Identify and, periodically, review the approach to and level of innovation within your area of responsibility.
2 Motivate all the people working in your area to identify ideas for new products and/or services and improvements, and other potential sources of ideas and encourage the sharing of this information.
3 Respond enthusiastically to ideas from individuals or teams and provide constructive feedback.
4 Establish and operate a fair and open method for considering and selecting initial ideas for further development.
5 Discuss and agree ways in which selected ideas can be further developed and tested by individuals or teams.
6 Provide ongoing support, encouragement and resources to individuals and teams engaged in the further development and testing of ideas, and help to remove any identified obstacles.
7 Identify, in discussion with the relevant individuals and teams, those ideas which could be practically implemented, providing help in drawing up and submitting business cases and plans in support of ideas.
8 Approve the practical implementation of ideas, based on the identified benefits, risks and required resources, when you have the authority to do so and monitor and review their progress.
9 Champion business cases and plans for ideas submitted by individuals and teams from your area to other people in the organisation and communicate progress and decisions.
10 Recruit and select creative people and encourage and develop the creativity of other people in your area of responsibility.
11 Encourage individuals and teams in your area to take acceptable risks in pursuing innovation and to make and learn from mistakes.
12 Ensure that the originators and developers of any ideas which are successfully implemented receive recognition for their achievement.

Behaviours

You will exhibit the following behaviours:

1 You find practical ways to overcome barriers.
2 You encourage and support others to make the best use of their abilities.
3 You encourage and support others to take decisions autonomously.
4 You show integrity, fairness and consistency in decision-making.
5 You inspire others, championing work to achieve common goals.
6 You make time available to support others.
7 You balance risks against the benefits that may arise from taking risks.
8 You constructively challenge the status quo and seek better alternatives.
9 You act within the limits of your authority.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1   The benefits of innovation to the organisation, customers and other stakeholders.
2   The difference between creativity and innovation.
3   How to identify the current approach to and level of innovation in a particular area, including any strengths that can be built upon, any weaknesses that need to be addressed and any obstacles to innovation that need to be removed.
4   How to select and apply different methods for motivating people to generate and develop ideas.
5   The different potential sources of ideas for new products and/or services and improvements.
6   The importance of communication in innovation and how to encourage communication across your area of responsibility.
7   The potential obstacles to creativity and innovation and whether and, if so, how they can be removed.
8   Key stages in the creative process.
9   Key stages in the innovation process.
10 How to provide constructive feedback on ideas to teams and individuals.
11 How to establish and operate fair and open methods for selecting initial ideas for further development, including providing reasons why particular ideas are not being taken forward.
12 The range of ways in which initial ideas can be further developed and tested including setting guidelines or parameters for the use of resources, the level of acceptable risk and the reporting of progress.
13 How to recognise and manage risk in innovation.
14 How to develop a business case and plans for the practical implementation of an idea and how to support others in doing this.
15 The characteristics/traits/competencies of creative people and how to recognise these.
16 How to unlock creativity in yourself and others.
17 The resources required for creativity and innovation, particularly time.
18 How to identify sustainable resources and ensure their effective use to support creativity and innovation.
19 How to learn from mistakes.
20 How to recognise the achievements of the originators/developers of ideas that have been successfully implemented.

Industry/sector specific knowledge and understanding

1   The sector(s) in which your organisation works.
2   Information sources on innovation in your sector(s).
3   Current and emerging political, economic, social, technological, environmental and legal developments in the sector(s) and in related sectors.

Context specific knowledge and understanding

1   Your organisation's strategy, if it has one, for innovation.
2   The approach to and level of innovation in your area of responsibility.
3   The role of innovation in your organisation's culture.
4   Organisational guidelines and procedures for developing and implementing ideas.
5   The limits of your authority.
6   The needs of your customers.

Unit MSCD2   Develop Productive Working Relationships with Colleagues and Stakeholders (FD3J 04)

Unit summary

What is the Unit about?
This Unit is about developing productive working relationships with colleagues, within your own organisation and within other organisations with which your organisation works, and with identified stakeholders.

It involves being aware of the roles, responsibilities, interests and concerns of colleagues and stakeholders and working with and supporting them in various ways. The need to monitor and review the effectiveness of working relationships with colleagues and stakeholders is also a key requirement of this Unit.

'Colleagues' are any people you are expected to work with, whether they are at a similar position or in other positions in terms of level of responsibility, including your manager. For the purposes of this Unit, 'stakeholder' refers to individuals or organisations that have a material, legal or political interest in or who may be affected by the activities and performance of your organisation.

Who is the Unit for?
The Unit is recommended for middle managers and senior managers.

Links to other Units
This Unit is closely linked to units **A3 Develop Your Personal Networks, B2 Map The Environment in Which Your Organisation Operates, D1 Develop Productive Working Relationships with Colleagues, D6 Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility** and **E14 Support Team and Virtual Working** in the overall suite of National Occupational Standards for Management and Leadership.

Skills
Listed below are the main generic 'skills' that need to be applied in developing productive working relationships with colleagues and stakeholders. These skills are explicit/implicit in the detailed content of the Unit and are listed here as additional information.

- balancing competing needs and interest
- communicating
- consulting
- empathising
- information management
- leadership
- managing conflict
- monitoring

- networking
- obtaining feedback
- presenting information
- prioritising
- providing feedback
- problem solving
- reviewing
- valuing and supporting others

Performance Criteria

You must be able to:

1 Identify stakeholders and the background to and nature of their interest in the activities and performance of the organisation.
2 Establish working relationships with relevant colleagues and stakeholders.
3 Recognise and respect the roles, responsibilities, interests and concerns of colleagues and stakeholders and, particularly in situations of matrix management, their managers' requirements.
4 Create an environment of trust and mutual respect where you have no authority, or shared authority, over those you are working with.
5 Understand difficult situations and issues from your colleague's perspective and provide support, where necessary, to move things forward.
6 Provide colleagues and stakeholders with appropriate information to enable them to perform effectively.
7 Consult colleagues and stakeholders in relation to key decisions and activities and take account of their views, including their priorities, expectations and attitudes to potential risks.
8 Fulfil agreements made with colleagues and stakeholders and let them know.
  Advise colleagues and stakeholders promptly of any difficulties or where it will be impossible to fulfil agreements.
9 Identify and sort out conflicts of interest and disagreements with colleagues and stakeholders in ways that minimise damage to work and activities and to the individuals and organisations involved.
10 Monitor and review the effectiveness of working relationships with colleagues and stakeholders, seeking and providing feedback, in order to identify areas for improvement.
11 Monitor wider developments in order to identify issues of potential interest or concern to stakeholders in the future and to identify new stakeholders.

Behaviours

You will exhibit the following behaviours:

1 You present information clearly, concisely, accurately and in ways that promote understanding.
2 You show respect for the views and actions of others.
3 You seek to understand people's needs and motivations.
4 You comply with and ensure others comply with legal requirements, industry regulations, organisational policies and professional codes.
5 You create a sense of common purpose.
6 You work towards win-win solutions.
7 You show sensitivity to internal and external politics that impact on your area of work.
8 You keep promises and honour commitments.
9 You consider the impact of your own actions on others.
10 You use communication styles that are appropriate to different people and situations.
11 You work to develop an atmosphere of professionalism and mutual support.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1   The benefits of developing productive working relationships with colleagues and stakeholders.
2   Different types of stakeholder and key principles which underpin the 'stakeholder' concept.
3   How to identify your organisation's stakeholders, including background information and the nature of their interest in your organisation.
4   Principles of effective communication and how to apply them in order to communicate effectively with colleagues and stakeholders.
5   Why it is important to recognise and respect the roles, responsibilities, interests and concerns of colleagues and stakeholders.
6   The importance of creating an environment of trust and mutual respect where you have no authority, or shared authority, over those you are working with.
7   The importance of understanding difficult situations and issues from your colleague's perspective and providing support, where necessary, to move things forward.
8   How to identify and meet the information needs of colleagues and stakeholders.
9   What information it is appropriate to provide to colleagues and stakeholders and the factors that need to be taken into consideration.
10 How to consult with colleagues and stakeholders in relation to key decisions and activities.
11 The importance of taking account, and being seen to take account, of the views of colleagues and stakeholders, particularly in relation to their priorities, expectations and attitudes to potential risks.
12 Why communication with colleagues and stakeholders on fulfilment of agreements or any problems affecting or preventing fulfilment is important.
13 How to identify conflicts of interest with colleagues and stakeholders and the techniques that can be used to manage or remove them.
14 How to identify disagreements with colleagues and stakeholders and the techniques for sorting them out.
15 The damage that conflicts of interest and disagreements with colleagues and stakeholders can cause to individuals and organisations.
16 How to take account of diversity and inclusion issues when developing working relationships with colleagues and stakeholders.
17 How to recognise and take account of political issues when dealing with colleagues and stakeholders.
18 How to manage the expectations of colleagues and stakeholders.
19 How to monitor and review the effectiveness of working relationships with colleagues and stakeholders.
20 How to get and make effective use of feedback on the effectiveness of working relationships from colleagues and stakeholders.
21 How to provide colleagues and stakeholders with useful feedback on the effectiveness of working relationships.
22 The importance of monitoring wider developments in relation to stakeholders and how to do so effectively.

Industry/sector specific knowledge and understanding

1   Current and emerging political, economic, social, technological, environmental and legal developments in the industry or sector.
2   Sector-specific legislation, regulations, guidelines and codes of practice.
3   Standards of behaviour and performance in the industry or sector.
4   The culture of the industry or sector.
5   Developments, issues and concerns of importance to stakeholders in the industry or sector.

Context specific knowledge and understanding

1   The vision, values, objectives, plans, structure and culture of your organisation.
2   Relevant colleagues, their work roles and responsibilities.
3   Identified stakeholders, their background and interest in the activities and performance of the organisation.
4   Agreements with colleagues and stakeholders.
5   The identified information needs of colleagues and stakeholders.
6   Mechanisms for consulting with colleagues and stakeholders on key decisions and activities.
7   The organisation's planning and decision-making processes.
8   Mechanisms for communicating with colleagues and stakeholders.
9   Power, influence and politics within the organisation.
10 Standards of behaviour and performance that are expected in the organisation.
11 Mechanisms in place for monitoring and reviewing the effectiveness of working relationships with colleagues and stakeholders.

Unit MSCD6   Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility (FD3K 04)

Unit summary

What is the Unit about?
This Unit is about ensuring that the work required in your area of responsibility is effectively planned and fairly allocated to individuals and/or teams. It also involves monitoring the progress and quality of the work of individuals and/or teams to ensure that the required level or standard of performance is being met and reviewing and updating plans of work in the light of developments.

The 'area of responsibility' may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is the Unit for?
The Unit is recommended for first line managers and middle managers.

Links to other Units
This Unit is linked to all other Units in the overall suite of National Occupational Standards for Management and Leadership where work must be allocated and progress and quality must be monitored.

If your organisation is a small firm, you should look at Unit **K1 Make Sure Your Staff Can Do Their Work**, which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the Unit from SFEDI on tel. 0114 241 2155 or at the SFEDI website (www.sfedi.co.uk).

Skills
Listed below are the main generic 'skills' that need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- communicating
- consulting
- decision making
- delegating
- information management
- leadership
- managing conflict
- monitoring
- motivating

- planning
- problem solving
- providing feedback
- prioritising
- reviewing
- setting objectives
- stress management
- valuing and supporting others

Performance Criteria

You must be able to:

1   Confirm the work required in your area of responsibility with your manager and seek clarification, where necessary, on any outstanding points and issues.
2   Plan how the work will be undertaken, seeking views from people in your area of responsibility, identifying any priorities or critical activities and making best use of the available resources.
3   Ensure that work is allocated to individuals and/ or teams on a fair basis taking account of skills, knowledge and understanding, experience and workloads and the opportunity for development.
4   Ensure that individuals and/or teams are briefed on allocated work, showing how it fits with the vision and objectives for the area and the overall organisation, and the standard or level of expected performance.
5   Recognise and seek to find out about differences in expectations and working methods of any team members from a different country or culture and promote ways of working that take account of their expectations and maximise productivity.
6   Encourage individuals and/or team members to ask questions, make suggestions and seek clarification in relation to allocated work.
7   Monitor the progress and quality of the work of individuals and/or teams on a regular and fair basis against the standard or level of expected performance and provide prompt and constructive feedback.
8   Support individuals and/or teams in identifying and dealing with problems and unforeseen events.
9   Motivate individual and/or teams to complete the work they have been allocated and provide, where requested and where possible, any additional support and/or resources to help completion.
10   Monitor your area for conflict, identifying the cause(s) when it occurs and dealing with it promptly and effectively.
11   Identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with individuals and/or teams.
12   Recognise successful completion of significant pieces of work or work activities by individuals and/or teams.
13   Use information collected on the performance of individuals and/or teams in any formal appraisals of performance.
14   Review and update plans of work for your area, clearly communicating any changes to those affected.

Behaviours

You will exhibit the following behaviours:

1   You recognise changes in circumstances promptly and adjust plans and activities accordingly.
2   You prioritise objectives and plan work to make best use of time and resources.
3   You make time available to support others.
4   You take personal responsibility for making things happen.
5   You show an awareness of your own values, motivations and emotions.
6   You show integrity, fairness and consistency in decision-making.
7   You clearly agree what is expected of others and hold them to account.
8   You seek to understand people's needs and motivations.
9   You take pride in delivering high quality work.
10   You are vigilant for possible risks and hazards.
11   You encourage and support others to make the best use of their abilities.

12   You use a range of leadership styles appropriate to different people and situations.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1   How to select and successfully apply different methods for communicating with people across an area of responsibility.
2   The importance of confirming/clarifying the work required in your area of responsibility with your manager and how to do this effectively.
3   How to identify and take due account of health and safety issues in the planning, allocation and monitoring of work.
4   How to produce a plan of work for your area of responsibility, including how to identify any priorities or critical activities and the available resources.
5   How to identify sustainable resources and ensure their effective use when planning the work for your area of responsibility.
6   The importance of seeking views from people working in your area and how to take account of their views in producing the plan of work.
7   The values, ethics, beliefs, faith, cultural conventions, perceptions and expectations of any team members from a different country or culture and how your own values, ethics, beliefs, faith, cultural conventions, perceptions, expectations, use of language, tone of voice and body language may appear to them.
8   Why it is important to allocate work to individuals and/or teams on a fair basis and how to do so effectively.
9   Why it is important that individuals and/or teams are briefed on allocated work and the standard or level of expected performance and how to do so effectively.
10 The importance of showing individuals and/or teams how their work fits with the vision and objectives of the area and those of the organisation.
11 Ways of encouraging individuals and/or teams to ask questions and/or seek clarification in relation to the work which they have been allocated.
12 Effective ways of regularly and fairly monitoring the progress and quality of work of individuals and/or teams against the standards or level of expected performance.
13 How to provide prompt and constructive feedback to individuals and/or teams.
14 Why it is important to monitor your area for conflict and how to identify the cause(s) of conflict when it occurs and deal with it promptly and effectively.
15 How to take account of diversity and inclusion issues when supporting and encouraging individuals and/or teams to complete the work they have been allocated.
16 Why it is important to identify unacceptable or poor performance by individuals and/or teams and how to discuss the cause(s) and agree ways of improving performance with them.
17 The type of problems and unforeseen events that may occur and how to support individuals and/or teams in dealing with them.
18 The additional support and/or resources which individuals and/or teams might require to help them complete their work and how to assist in providing this.
19 How to select and successfully apply different methods for encouraging, motivating and supporting individuals and/or teams to complete the work they have been allocated and improve their performance, and for recognising their achievements.
20 How to log information on the ongoing performance of individuals and/or teams and use this information for formal performance appraisal purposes.
21 The importance of reviewing and updating plans of work for your area in the light of developments, how to reallocate work and resources and how to clearly communicate the changes to those affected.

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

1   The individuals and/or teams in your area of responsibility.
2   The vision and objectives for your area of responsibility.
3   The vision and objectives of the overall organisation.
4   The work required in your area of responsibility.
5   The available resources for undertaking the required work.
6   The plan of work for your area of responsibility
7   The organisation's written health and safety policy statement and associated information and requirements.
8   Your organisation's policy and procedures in terms of personal development.
9   Organisational standards or level of expected performance.
10 Organisational policies and procedures for dealing with poor performance.
11 Organisational grievance and disciplinary policies and procedures.
12 Organisational performance appraisal systems.

Unit MSCD9   Build and Manage Teams (FD3L 04)

Unit summary

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

Who is the Unit for?
The Unit is recommended for any manager who is required to lead a team.

Links to other Units
This unit is linked to units **B5 Provide Leadership for Your Team, D1 Develop Productive Working Relationships with Colleagues, D3 Recruit, Select and Keep Colleagues, D8 Help Team Members Address Problems Affecting Their Performance, D10 Reduce And Manage Conflict In Your Team** and **D13 Support Individuals to Develop and Maintain Their Performance** in the overall suite of National Occupational Standards for Management and Leadership.

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

- acting assertively
- communicating
- decision making
- evaluating
- involving others
- leadership
- monitoring

- motivating
- obtaining feedback
- problem solving
- providing feedback
- setting objectives
- valuing and supporting others

Performance Criteria

You must be able to:

1 Clearly articulate the purpose of the team — what it has to achieve, and why a team rather than an individual approach is required.
2 Identify the diversity of expertise, knowledge, skills and attitudes required to achieve the team purpose.
3 Identify team members' expertise, knowledge, skills and attitudes and agree their particular roles within the team.
4 Use team selection and development processes to develop any expertise, knowledge, skills and attitudes lacking in the team.
5 Agree with team members the behaviours that are likely to help the achievement of the team purpose, and those that should be avoided because they are likely to hinder progress.
6 Help team members understand their unique contribution to the team, the contributions expected of fellow team members and how these complement and support each other.
7 Provide opportunities for team members to get to know each other's strengths and weaknesses and build mutual respect and trust.
8 Allow time for the team to develop through its stages of growth.
9 Help the team seize opportunities presented by changes in the team composition and support the introduction of new team members.
10 Encourage team members to share problems with each other and solve these creatively together.
11 Encourage open communication between team members, including providing feedback designed to enhance the performance of fellow team members and the team as a whole.
12 Review the performance of the team at appropriate points and evaluate how well its purpose is being achieved.
13 Celebrate team and individual successes together, and acknowledge when things go wrong, before refocusing the team's energy on achieving its purpose.
14 Disband the team if and when its purpose has been achieved and it is no longer required for other purposes.

Behaviours

You will exhibit the following behaviours:

1 You present information clearly, concisely, accurately and in ways that promote understanding.
2 You keep people informed of plans and developments.
3 You encourage and support others to make best use of their abilities.
4 You clearly agree what is expected of others and hold them to account.
5 You check individuals' commitment to their roles in a specific course of action.
6 You create a sense of common purpose.
7 You articulate a vision that generates excitement, enthusiasm and commitment.
8 You identify and work with people and organisations that can provide support for your work.
9 You work to develop an atmosphere of professionalism and mutual support.
10 You recognise when there are conflicts, acknowledge the feelings and views of all parties, and redirect people's energy towards a common goal.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1   The principles of effective communication and how to apply them.
2   How to maximise communication when managing remote teams using communications technology (including instant messaging, virtual meetings, conference calls and internet/intranet forums for sharing knowledge).
3   How to identify the diversity of expertise, knowledge, skills and attitudes required to achieve the team purpose.
4   The importance of selecting team members with the required expertise, knowledge and skills and different personalities so they can play complementary roles within the team, and how to do so.
5   The importance of agreeing with team members the behaviours that are likely to help achievement of the team purpose and those that are likely to hinder progress and should be avoided.
6   How to help team members to understand their unique contribution to the team purpose, the contributions expected of fellow team members and how these complement and support each other.
7   The importance of providing opportunities for team members to get to know each other's strengths and weaknesses and build mutual respect and trust.
8   How to encourage team members to get to know each other's strengths and weaknesses and build mutual respect and trust.
9   The importance of encouraging open communication between team members, and how to do so.
10   How to provide feedback to team members to enhance the performance of fellow team members and the team as a whole.
11   The importance of allowing time for the team to develop through its stages of growth (forming, storming, norming, performing), and how to do so.
12   The importance of celebrating team and individual successes together and commiserating together when things go wrong.
13   Ways of refocusing the team's energy on achieving its purpose.

Industry/sector specific knowledge and understanding

1   Industry/sector requirements for building and managing teams.

Context specific knowledge and understanding

1   The purpose of the team and what has to be achieved.
2   The required mix of expertise, knowledge and skills to achieve the team purpose.

Unit MSCE2   Manage Finance for Your Area of Responsibility (DR5T 04)

Unit summary

What is this Unit about?
This Unit is about managing finance in order to achieve the stated objectives for your area of responsibility. It involves developing and agreeing a master budget for your area and using this to monitor evaluate and control performance and take action to deal with identified variances.

Delegating responsibility for budgets for clearly defined activities is a key aspect of this Unit. The 'area of responsibility' may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is this Unit for?
The Unit is recommended for middle managers.

Links with other Units
This Unit is linked to Units **B1 Develop and Implement Operational Plans for Your Area of Responsibility (DR47 04)** and **E1 Manage a Budget (DR5F 04)** in the overall suite of National Occupational Standards for management and leadership.

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

- communicating
- decision making
- questioning
- consulting
- monitoring
- assessing
- delegating
- acting assertively
- valuing and supporting others

- negotiating
- contingency planning
- information management
- problem solving
- thinking systematically
- leadership
- motivating
- planning
- prioritising

Outcomes of effective performance

You must be able to do the following:

1   Confirm your financial responsibilities, including the limits of your authority, with those to whom you report.
2   Gather and evaluate available financial information and the objectives and associated plans for your area and consult with colleagues to identify priorities, potential problems and risks.
3   Identify and make use of opportunities to delegate responsibility for budgets for clearly defined activities to colleagues in your area, providing them with the required on-going support and resources.
4   Discuss and, if appropriate, negotiate delegated budgets with colleagues and agree provisional budget.
5   Consult on and develop a realistic master budget for your area and submit it to the relevant people in the organisation for approval and to assist the overall financial planning process.
6   Discuss and, if appropriate, negotiate the proposed master budget for your area with the relevant people in the organisation and communicate the final budget to colleagues in your area.
7   Establish systems to monitor and evaluate performance against delegated budgets and the master budget and put contingency plans in place.
8   Identify the causes of any significant variances between what was budgeted for and what actually happened and discuss and ensure prompt corrective action is taken, obtaining agreement from the relevant people if required.
9   Propose revisions to the master budget, if necessary, in response to variances and/or significant or unforeseen developments and discuss and agree the revisions with the relevant people.
10   Provide on-going information on the financial performance of your area to relevant people in your organisation.
11   Advise the relevant people as soon as possible if you have identified evidence of any potentially fraudulent activities.
12   Encourage colleagues in your area to think about and identify ways of reducing expenditure and increasing income, selecting and pursuing those ideas which have potential for implementation.
13   Review the financial performance of your area, particularly in relation to achievement of the stated objectives, and identify improvements for the future.

Behaviours which underpin effective performance

1   You act within the limits of your authority.
2   You are vigilant for potential risks.
3   You develop systems to gather and manage information and knowledge effectively, efficiently and ethically.
4   You clearly agree what is expected of others and hold them to account.
5   You respond quickly to crises and problems with a proposed course of action.
6   You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
7   You prioritise objectives and plan work to make best use of time and resources.
8   You use communication styles that are appropriate to different people and situations.
9   You take and implement difficult and/or unpopular decisions, if necessary.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1   The purposes of budgetary systems.
2   The importance of agreeing financial responsibilities, including the limits of your authority, for your area with those to whom you report.
3   Where to get and how to evaluate the available financial information in order to be able to prepare a realistic master budget for your area.
4   The importance of taking account of the objectives and associated plans of your area in developing and operating the master budget.
5   How to identify opportunities and delegate responsibility for budgets.
6   The importance of consulting with colleagues in identifying priorities, potential problems and risks and generally preparing the budget for your area.
7   How to discuss, negotiate and confirm budgets with colleagues in your area and with people who control the finance and the key factors that should be covered.
8   How to establish systems to monitor and evaluate performance against budgets.
9   The importance of contingency plans and the type of contingencies that may occur.
10 The main causes of variances and how to identify them.
11 What different types of corrective action could be taken to address identified variances.
12 The importance of agreeing revisions to the budget and communicating the changes.
13 The importance of providing regular information on the financial performance of your area to relevant people and what they might want to know.
14 Types of fraudulent activities and how to identify them.
15 How to encourage colleagues to think about ways of reducing expenditure and increasing income.
16 How to review the financial performance of your area against the stated objectives.

Industry/sector specific knowledge and understanding

1   Factors, processes and trends that are likely to affect financial management in your industry/sector.
2   Legal, regulatory and ethical requirements in the industry/sector.

Context specific knowledge and understanding

1   The scope and nature of your area of responsibility including the vision, objectives and operational plans.
2   Your financial responsibilities, including the limits of your authority.
3   The people you report to in your organisation.
4   Financial information available in your organisation.
5   Activities for which budgets have been delegated.
6   The budgeting period(s) used in your organisation.
7   Organisational guidelines and procedures for the preparation and approval of budgets and for monitoring and reporting of performance against budgets and revising budgets.
8   The agreed master budget for your area, including delegated budgets.
9   Systems established for managing and evaluating performance against budgets.
10 Contingency plans put in place.
11 What to do and who to contact if suspect fraud has been committed.
12 Who needs information on the financial performance of your area, what information they need, when they need it and in what format.

Unit MSCF13   Manage Quality Systems (FD3M 04)

Unit summary

What is the Unit about?
This Unit is about managing quality systems to ensure that business processes consistently deliver products/ services that meet customers' and other stakeholders' quality expectations and legal and regulatory requirements.

ISO9001:2000, EFQM Excellence Model, Total Quality Management, Six Sigma, Lean Manufacturing, PQASSO and Investors in People are some of the common generic quality assurance systems and standards in use in the UK, although almost every sector has specific quality standards and requirements. Managers responsible for assuring quality in their organisation, or their part of the organisation, need to make sure systems are in place and people are competent to manage processes and deliver products and/or services whose quality meets the expected standards.

Whereas Unit F3 is about managing individual business processes, this Unit, F13, is broader, ensuring that the outputs of all processes meet required standards and are continuously improved.

Who is the Unit for?
The Unit is for managers who have specific responsibility for managing quality systems to assure quality of products and/or services in their organisation, or their part of the organisation.

Links to other Units
This Unit is linked to units **E17 Outsource Business Processes, F14 Prepare for and Participate in Quality Audits** and **F15 Carry Out Quality Audits** in the overall suite of National Occupational Standards for Management and Leadership.

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

- assessing
- communicating
- decision making
- evaluating
- influencing
- information management
- involving others
- monitoring

- motivating
- obtaining feedback
- planning
- presenting information
- providing feedback
- questioning
- reporting
- setting objectives

Performance Criteria

You must be able to:

1 Keep yourself up-to-date with:
    ♦ Current developments, tools and techniques in quality management.
    ♦ Customers' and other stakeholders' expectations regarding quality.
    ♦ Legal and regulatory requirements.
2 Ensure the quality standards to which you are working:
    ♦ Are capable of delivering the quality of products/services your customers expect.
    ♦ Allow you to obtain any expected quality marks, awards or accreditation.
    ♦ Are in line with your organisation's values, aims and objectives.
    ♦ Meet any legal and regulatory requirements.
3 Ensure systems, plans and resources are in place to ensure quality standards are met and maintained.
4 Ensure that people are continuously updated about their roles in meeting quality standards and are competent to fulfil their roles.
5 Identify and assess risks of shortfalls in the quality of processes and products/services and take preventative action to mitigate these risks.
6 Encourage people to take personal responsibility for achieving quality standards and to address or report any actual or potential shortfalls.
7 Obtain sufficient, valid information from your quality assurance system and other sources, including customers, to enable you to evaluate accurately whether processes and products/services are meeting the required standards.
8 Provide feedback to motivate people to maintain quality standards and continuously improve performance.
9 Detect and record any shortfall in the quality of processes, products and services, investigate the cause(s) and take prompt remedial action.
10 Report quality performance, including shortfalls and corrective actions taken, to those who need to know, within agreed timescales.
11 Encourage customers and those involved in delivering products/services to identify and recommend quality improvements.
12 Develop resourced plans to implement quality improvements which deliver significant benefits at reasonable cost and acceptable level of risk.

Behaviours

You will exhibit the following behaviours:

1 You recognise changes in circumstances promptly and adjust plans and activities.
2 You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.
3 You present information clearly, concisely, accurately and in ways that promote understanding.
4 You keep people informed of plans and developments.
5 You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
6 You are vigilant for possible hazards.
7 You focus personal attention on specific details that are critical to achieving successful results.
8 You make appropriate information and knowledge available promptly to those who need it and have a right to it.
9 You develop systems to gather and manage information and knowledge effectively, efficiently and ethically.

Knowledge and Understanding

You need to know and understand the following:

General knowledge and understanding

1   The importance of keeping up-to-date with current developments, tools and techniques in quality management, customers' and other stakeholders' quality expectations and legal and regulatory requirements.
2   How to ensure the quality standards to which you are working are capable of delivering the quality of products/services your customers expect.
3   Any relevant quality marks, awards or accreditation, and how the quality standards to which you are working can obtain these.
4   How to ensure the quality standards to which you are working meet any legal and regulatory requirements.
5   The importance of ensuring systems and plans are in place to ensure quality standards are met and maintained, and how to do so.
6   The importance of communicating information clearly, concisely and accurately, and how to do so.
7   The importance of keeping people updated about their roles in meeting quality standards, and how to ensure people are competent to fulfil such roles.
8   The importance of encouraging people to take personal responsibility for achieving quality standards.
9   The importance of encouraging people to address or report any actual or potential shortfalls in the quality of processes and products/services.
10 The importance of obtaining sufficient, valid information to enable you to evaluate accurately whether processes and products/services are meeting the required standards, and how to do so.
11 The importance of providing feedback to motivate people to maintain quality standards and continuously improve performance, and how to do so.
12 How to detect and record any shortfall in the quality of processes, products and services, and investigate the cause(s) and appropriate remedial action to take.
13 How to report quality performance, including shortfalls and corrective actions taken, to those who need to know, within agreed timescales.
14 The importance of encouraging customers and those involved in delivering products/services to identify and recommend quality improvements.
15 How to develop resourced plans to implement quality improvements which deliver significant benefits at reasonable cost and acceptable level of risk.

Industry/sector specific knowledge and understanding

1   Industry/sector requirements for quality assurance.

Context specific knowledge and understanding

1   Current developments in quality management.
2   Customers' and other stakeholders' expectations regarding quality.
3   Current quality management legal and regulatory requirements.
4   Your organisation's products/services and the quality your customers expect.
5   Your organisation's values, aims and objectives and ensure the quality standards to which you are working are in line with these.
6   Your organisation's available resources to ensure quality standards are met and maintained.

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7   Sources of information, including your quality assurance system and customers, to enable you to evaluate accurately whether processes and products/ services are meeting the required standards.