

Candidate Logbook

SVQ

SVQ 3 in Management at SCQF Level 7

October 2011



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Unit 21: Manage finance for your area of responsibility	315
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Section 1:SVQ 3 in Management at SCQF Level 7

Introduction

This document contains information specific to the Edexcel SVQ 3 in Management at SCQF Level 7.

National Occupational Standards and SVQs

The standards, Assessment Strategy and qualification structures for Edexcel SVQ 3 in Management at SCQF Level 7 are overseen by the Council for Administration (CfA).The SVQs have been developed from the National Occupational Standards.

The Edexcel SVQ 3 in Management at SCQF Level 7 gives recognition of candidates' skills, knowledge and understanding. It allows candidates to gain a qualification in the workplace that relates to their job and promotes good working practice.

You can contact the Sector Skills Council (SSC) at:

CfA business skills @ work
6 Graphite Square, Vauxhall Walk, London SE11 5EE
Telephone: 0207 091 9620 Fax: 0207 091 7340
Email: info@cfa.uk.com

SVQs are designed to be assessed in the workplace, or in conditions resembling the workplace. However, simulation of real working practice might be permitted. Where this is allowed it will be shown in the individual units, within the standards that are in this logbook.

Simulation must be carried out in conditions resembling the workplace. These conditions are described as being a 'realistic working environment' (RWE).

Which SVQs in Team Leading and Management are available?

The following SVQs in Team Leading and Management are available:

SVQ 2 in Team Leading at SCQF level 5

SVQ 3 in Management at SCQF level 7

SVQ 4 in Management at SCQF Level 9

SVQ 5 in Management at SCQF Level 11.

It is important that you select the most appropriate level related to your work role.

Who is this SVQ for?

The SVQ 3 in Management at SCQF level 7

Candidates can expect to be working as supervisors or first line managers. Level 3 mandatory units cover topics including resource management, professional development, health and safety, and monitoring of quality, together with a choice of three option units from a wide range of units.

What progression opportunity does this SVQ offer me?

Candidates may progress within their own employment, from a supervisory role to line management. They can also progress to:

- the Edexcel BTEC Level 3 Award/Certificate in Management (QCF)
- the SVQ 4 in Management
- the Edexcel BTEC Level 4 HNC Diploma and Level 5 HND Diploma in Business (Management) (QCF)
- the Edexcel BTEC Level 5 Award/Certificate/Diploma in Management and Leadership (QCF).

What is the structure of the SVQ 3 in Management at SCQF Level 7?

To achieve the whole qualification at level 3 you must prove competence in four mandatory units and three optional units.

Mandatory units for the SVQ 3 in Management at SCQF Level 7

You must achieve all of the units listed below:

Unit number	Unit code	Title	Unit credit	SCQF level
1	A2	Manage your own resources and professional development	8	7
2	B5	Provide leadership for your team	9	7
3	D6	Allocate and monitor the progress and quality of work in your area of responsibility	14	7
4	E6	Ensure health and safety requirements are met in your area of responsibility	11	7

Optional units for the SVQ 3 in Management at SCQF Level 7

You must achieve **three** of the units listed below:

Unit number	Unit code	Title	Unit credit	SCQF level
5	B1	Develop and implement operational plans for your area of responsibility	11	8
6	B11	Promote equality of opportunity, diversity and inclusion in your area of responsibility	10	8
7	C1	Encourage innovation in your team	11	6
8	C5	Plan change	15	9
9	C6	Implement change	11	8
10	D1	Develop productive working relationships with colleagues	9	6
11	D3	Recruit, select and keep colleagues	12	9
12	D7	Provide learning opportunities for colleagues	11	8
13	D8	Help team members address problems affecting their performance	5	6
14	D9	Build and manage teams	8	7

Unit number	Unit code	Title	Unit credit	SCQF level
15	D10	Reduce and manage conflict in your team	5	7
16	D11	Lead meetings	4	7
17	D13	Support individuals to develop and maintain their performance	5	7
18	D14	Initiate and follow disciplinary procedure	6	6
19	D15	Initiate and follow grievance procedure	6	6
20	E1	Manage a budget	11	7
21	E2	Manage finance for your area of responsibility	14	8
22	E8	Manage physical resources	9	8
23	E9	Manage the environmental impact of your work	4	8
24	E10	Take effective decisions	4	8
25	E11	Communicate information and knowledge	3	7
26	F1	Manage a project	11	8
27	F6	Monitor and solve customer service problems	6	6
28	F8	Work with others to improve customer service	8	6
29	F14	Prepare for and participate in quality audits	6	8
30	F17	Manage the delivery of customer service in your area of responsibility	9	6
31	F18	Prepare sales proposals and deliver sales presentations*	N/A	N/A
32	F19	Sell products/services to customers*	N/A	N/A

Section 2: Examples of forms

Collecting your evidence

This section contains examples of the forms you, your assessor and the internal verifier will use while you are undertaking your SVQ3 in Management at SCQF 7.

The forms are:

- Form 1: Portfolio title page
- Form 2: Personal profile
- Form 3: Contents checklist
- Form 4: Index of evidence
- Form 5: Unit assessment plan
- Form 6: Unit sign-off record
- Form 7: Work Log
- Form 8: Observation record
- Form 9: Witness testimony
- Form 10: Expert witness evidence record
- Form 11: Record of questions and candidate's answers.

You should ask your assessor for further advice and support if you are still unsure about how to use the forms and who should complete them.

Example form 1 – Portfolio title page

Name:	
Job title:	
Name of employer/training provider/college:	
Their address:	
Postcode:	
Telephone number (Home):	(Work):
Email address:	Fax number:
SVQ:	
Level:	
Units submitted for assessment:	
Mentor/Supervisor:	
(Please provide details of mentor's/supervisor's experience):	
Assessor:	Date:

Example form 2 – Personal profile

Name:	
Address:	
Postcode:	
Telephone number (Home):	(Work):
Email address:	Fax number:
Job title:	
Relevant experience	
Description of your current job:	
Previous work experience or attach copy of a current CV:	
Qualifications and training and/or attach copy of a current CV:	

continued overleaf...

Voluntary work/interests:	
Name of employer/training provider/college:	
Address:	
Postcode:	
Telephone number (work):	Fax number:
Email address:	
Type of business, if employer:	
Number of staff:	
Structure of organisation (including chart or diagram if available):	

Example form 3 – Contents checklist

SVQ title:		
Candidate:		
	Completed?	Page/section number
Title page for the portfolio		
Personal profile <ul style="list-style-type: none"> • your own personal details • a brief CV or career profile • description of your job • information about your employer/training provider/college 		
Summary of the units		
Completed units <ul style="list-style-type: none"> • signed by yourself, your assessor and the internal verifier (where relevant) • reference numbers included • unit assessment plans 		
Unit progress records		
Index of evidence (with cross-referencing information completed)		
Evidence (with reference numbers) <ul style="list-style-type: none"> • observation records • details of witnesses (witness testimony sheets) • personal statements 		

Example form 5 – Unit assessment plan

SVQ title:				
Unit:				
Candidate:			Assessor:	
Normal working activities performed				
	TYPICAL EVIDENCE	WORK AREA	EXPECTED COMPLETION DATE	LINKS TO OTHER UNITS/ELEMENTS
ELEMENT:				
ELEMENT:				
ELEMENT:				
Activities needing to be performed				
ELEMENT:				
ELEMENT:				
ELEMENT:				
Additional comments				
Assessor's signature:			Date:	
Candidate's signature:			Date:	

Example form 7 – Work Log

SVQ title and level:				
Unit/element(s):				
Candidate:				
Purpose of statement:				
Evidence index number:				
Date	Evidence index number	Details of statement	Links to other evidence <i>(enter numbers)</i>	Units, elements and PCs covered
Candidate's signature:			Date:	
Assessor's signature:			Date:	

Example form 8 – Observation record

SVQ title and level:	
Unit/element(s):	
Candidate:	Date of observation:
Evidence index number:	
Skills/activities observed:	PCs and range covered:
Knowledge and understanding apparent from this observation:	
Other units/elements to which this evidence may contribute:	
Assessor comments and feedback to candidate:	
I can confirm the candidate's performance was satisfactory.	
Assessor's signature:	Date:
Candidate's signature:	Date:

Example form 9 – Witness testimony

SVQ title and level:	
Candidate name:	
Evidence index number:	
Where applicable, evidence number to which this testimony relates:	
Unit:	
Element(s):	
Range:	
Date of evidence:	
Witness name:	
Relationship to candidate:	
Details of testimony:	
I can confirm the candidate's evidence is authentic and accurate.	
Witness signature:	
Name:	Date:
Contact telephone number:	
<i>Please tick (✓) the appropriate box.</i>	
<input type="checkbox"/>	QUALIFIED AS AN ASSESSOR FOR WORKPLACE PERFORMANCE
<input type="checkbox"/>	FAMILIAR WITH THE SVQ STANDARDS TO WHICH THE CANDIDATE IS WORKING

Example form 10 – Expert witness evidence record

SVQ title and level:	
Candidate name:	
Evidence index number:	
Where applicable, evidence number to which this testimony relates:	
Unit:	
Element(s):	
Date of evidence:	
Expert witness name:	
Relationship to candidate:	
Details of testimony:	
I can confirm the candidate's evidence is authentic and accurate.	
Expert witness signature:	
Name:	Date:
Contact telephone number:	
<i>Please tick (✓) the appropriate box.</i>	
<input type="checkbox"/>	QUALIFIED AS AN ASSESSOR FOR WORKPLACE PERFORMANCE
<input type="checkbox"/>	RELEVANT PROFESSIONAL WORK ROLE THAT INVOLVES EVALUATING EVERYDAY STAFF PRACTICE
<input type="checkbox"/>	CURRENT EXPERTISE
<input type="checkbox"/>	FAMILIAR WITH THE SVQ STANDARDS TO WHICH THE CANDIDATE IS WORKING

Example form 11 – Record of questions and candidate’s answers

SVQ title and level:	
Candidate name:	
Unit:	Element(s):
Evidence index number:	
Circumstances of assessment:	
List of questions and candidate’s responses:	
Q:	
A:	
Q:	
A:	
Assessor’s signature:	Date:
Candidate’s signature:	Date:

Section 3: Logbook

	Page number
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Optional units	91
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Unit 24: Take effective decisions	359

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Mandatory units

Unit 1: **Manage your own resources and professional development**

Unit code: A2

Unit credit: 8

Unit level: 7

Introduction

What this unit is about

This unit is about managing your personal resources (particularly knowledge, understanding, skills, experience and time) and your professional development in order to achieve your work objectives and your career and personal goals.

You need to understand your work role and how it fits into the overall vision and objectives of the organisation whilst also understanding what is driving you in terms of your values and your career and wider personal aspirations.

Identifying and addressing gaps in your skills and knowledge and understanding is an essential aspect of this unit.

Who is the unit for?

The unit is recommended for first line managers, middle managers and senior managers.

Links to other units

This unit is linked to units **A1: Manage your own resources** and **A3: Develop your personal networks** in the overall suite of National Occupational Standards for Management and Leadership.

If your organisation is a small firm, you should look at unit *A3: Check your own skills*, 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 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 managing your own resources and professional development. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Setting objectives
- Evaluating
- Planning
- Learning
- Reviewing
- Communicating
- Self-assessment
- Time management
- Stress management
- Obtaining feedback
- Reflecting
- Prioritising

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The principles which underpin professional development. 2. The importance of considering your values and career and personal goals and how to relate them to your work role and professional development. 3. How to evaluate the current requirements of a work role and how the requirements may evolve in the future. 4. How to set work objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound). 5. How to identify development needs to address any identified gaps between the requirements of your work role and your current knowledge, understanding and skills. 6. What an effective development plan should contain and the length of time that it should cover. 7. The range of different learning styles and how to identify the style(s) which work(s) best for you. 8. The type of development activities that can be undertaken to address identified gaps in your knowledge, understanding and skills. 9. How to identify whether/how development activities have contributed to your performance. 10. How to update work objectives and development plans in the light of performance, feedback received, any development activities undertaken and any wider changes. 11. How to monitor the quality of your work and your progress against requirements and plans. 		

Knowledge and understanding	Type of evidence	Date
General knowledge and understanding		
12. How to evaluate your performance against the requirements of your work role.		
13. How to identify and use good sources of feedback on your performance.		
Industry/sector specific knowledge and understanding		
1. Industry/sector requirements for the development or maintenance of knowledge, skills and understanding and continuing professional development.		
Context specific knowledge and understanding		
<ol style="list-style-type: none"> 1. The requirements of your work role including the limits of your responsibilities. 2. The vision and objectives of your organisation. 3. Your own values and career and personal goals. 4. Your personal work objectives. 5. Your preferred learning style(s). 6. Your current knowledge, understanding and skills. 7. Identified gaps in your current knowledge, understanding and skills. 8. Your personal development plan. 9. Available development opportunities and resources in your organisation. 10. Your organisation's policy and procedures in terms of personal development. 11. The reporting lines in your organisation. 12. Possible sources of feedback in your organisation. 		

Additional evidence (if applicable):

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	O = DIRECT OBSERVATION OF THE LEARNER'S PERFORMANCE BY THEIR ASSESSOR	PD = PROFESSIONAL DISCUSSION
COLUMN KEY:	Q&A = OUTCOMES FROM ORAL OR WRITTEN QUESTIONING	A = ASSIGNMENT, PROJECT/CASE STUDIES
	P = PRODUCTS OF THE LEARNER'S WORK	WT = AUTHENTIC STATEMENTS/WITNESS TESTIMONY
	RA = PERSONAL STATEMENTS AND/OR REFLECTIVE ACCOUNTS	EPW = EXPERT WITNESS TESTIMONY
	S = OUTCOME FROM SIMULATION, WHERE PERMITTED BY THE ASSESSMENT STRATEGY	RPL = EVIDENCE OF RECOGNITION OF PRIOR LEARNING

I confirm that the evidence detailed in this Unit is my own work and meets the requirements of the National Occupational Standards.

Candidate signature: _____	Date: _____
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I confirm that the candidate has achieved all the requirements of this Unit.

Assessor signature: _____	Date: _____
---------------------------	-------------

Countersigning assessor signature (if applicable): _____	Date: _____
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I confirm that the candidate's sampled work meets the standards specified for this Unit and may be presented for external verification.

Internal verifier signature: _____	Date: _____
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Countersigning internal verifier (if applicable): _____	Date: _____
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Unit 1 (A2): Manage your own resources and professional development

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Evaluate, at appropriate intervals, the current and future requirements of your work role taking account of the vision and objectives of your organisation.						
2. Consider your values and your career and personal goals and identify information which is relevant to your work role and professional development.						
3. Discuss and agree personal work objectives with those you report to and how you will measure progress.						
4. Identify the learning styles which work best for you and ensure that you take these into account in identifying and undertaking development activities.						
5. Identify any gaps between the current and future requirements of your work role and your current knowledge, understanding and skills.						
6. Discuss and agree, with those you report to, a development plan to address any identified gaps in your current knowledge, understanding and skills and support your own career and personal goals.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Undertake the activities identified in your development plan and evaluate their contribution to your performance.						
8. Review and update your personal work objectives and development plan in the light of performance, any development activities undertaken and any wider changes.						
9. Get regular and useful feedback on your performance from those who are in a good position to judge it and provide objective and valid feedback.						
10. Ensure that your performance consistently meets or goes beyond agreed requirements.						

Additional evidence (if applicable):

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	O = DIRECT OBSERVATION OF THE LEARNER'S PERFORMANCE BY THEIR ASSESSOR	PD = PROFESSIONAL DISCUSSION
COLUMN KEY:	Q&A = OUTCOMES FROM ORAL OR WRITTEN QUESTIONING	A = ASSIGNMENT, PROJECT/CASE STUDIES
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	S = OUTCOME FROM SIMULATION, WHERE PERMITTED BY THE ASSESSMENT STRATEGY	RPL = EVIDENCE OF RECOGNITION OF PRIOR LEARNING

I confirm that the evidence detailed in this Unit is my own work and meets the requirements of the National Occupational standards.

Candidate signature: _____	Date: _____
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I confirm that the candidate has achieved all the requirements of this Unit.

Assessor signature: _____	Date: _____
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Countersigning assessor signature (if applicable): _____	Date: _____
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I confirm that the candidate's sampled work meets the standards specified for this Unit and may be presented for external verification.

Internal verifier signature: _____	Date: _____
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Countersigning internal verifier (if applicable): _____	Date: _____
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Unit 1 (A2): Manage your own resources and professional development

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You address multiple demands without losing focus or energy.						
2. You recognise changes in circumstances promptly and adjust plans and activities accordingly.						
3. You prioritise objectives and plan work to make best use of time and resources.						
4. You take personal responsibility for making things happen.						
5. You take pride in delivering high quality work.						
6. You show an awareness of your own values, motivations and emotions.						
7. You agree achievable objectives for yourself and give a consistent and reliable performance.						
8. You recognise your own strengths and limitations, play to your strengths and use alternative strategies to minimise the impact of your limitations.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
9. You make best use of available resources and proactively seek new sources of support when necessary.						
10. You reflect regularly on your own experiences and use these to inform future action.						

Additional evidence (if applicable):

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	O = DIRECT OBSERVATION OF THE LEARNER'S PERFORMANCE BY THEIR ASSESSOR	PD = PROFESSIONAL DISCUSSION
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	S = OUTCOME FROM SIMULATION, WHERE PERMITTED BY THE ASSESSMENT STRATEGY	RPL = EVIDENCE OF RECOGNITION OF PRIOR LEARNING

I confirm that the evidence detailed in this Unit is my own work and meets the requirements of the National Occupational Standards.

Candidate signature: _____	Date: _____
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I confirm that the candidate has achieved all the requirements of this Unit.

Assessor signature: _____	Date: _____
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Countersigning assessor signature (if applicable): _____	Date: _____
--	-------------

I confirm that the candidate's sampled work meets the standards specified for this Unit and may be presented for external verification.

Internal verifier signature: _____	Date: _____
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Countersigning internal verifier (if applicable): _____	Date: _____
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Unit 2:	Provide leadership for your team
Unit code:	B5
Unit credit:	9
Unit level:	7

Introduction

What this unit is about

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

Who is the unit for?

The unit is recommended for team leaders.

Links to other units

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

Skills

Listed below are the main generic 'skills' that need to be applied in providing leadership for your team. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Planning
- Team-building
- Leading by example
- Providing feedback
- Setting objectives
- Motivating
- Consulting
- Problem-solving

- Valuing and supporting others
- Monitoring
- Managing conflict
- Decision-making
- Following

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. Different ways of communicating effectively with members of a team. 2. How to set objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound). 3. How to plan the achievement of team objectives and the importance of involving team members in this process. 4. The importance of and being able to show team members how personal work objectives contribute to achievement of team objectives. 5. Knowing that different styles of leadership exist. 6. How to select and successfully apply a limited range of different methods for motivating, supporting and encouraging team members and recognising their achievements. 7. Types of difficulties and challenges that may arise, including conflict, diversity and inclusion issues within the team, and ways of identifying and overcoming them. 8. The importance of encouraging others to take the lead and ways in which this can be achieved. 9. The benefits of and how to encourage and recognise creativity and innovation within a team. 		

Knowledge and understanding	Type of evidence	Date
Industry/sector specific knowledge and understanding		
1. Legal, regulatory and ethical requirements in the industry/sector.		
Context specific knowledge and understanding		
1. The members, purpose, objectives and plans of your team. 2. The personal work objectives of members of your team. 3. The types of support and advice that team members are likely to need and how to respond to these. 4. Standards of performance for the work of your team.		

Additional evidence (if applicable):

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	O = DIRECT OBSERVATION OF THE LEARNER'S PERFORMANCE BY THEIR ASSESSOR	PD = PROFESSIONAL DISCUSSION
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I confirm that the evidence detailed in this Unit is my own work and meets the requirements of the National Occupational Standards.

Candidate signature: _____	Date: _____
----------------------------	-------------

I confirm that the candidate has achieved all the requirements of this Unit.

Assessor signature: _____	Date: _____
---------------------------	-------------

Countersigning assessor signature (if applicable): _____	Date: _____
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Unit 2 (B5): Provide leadership for your team

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Set out and positively communicate the purpose and objectives of the team to all members.						
2. Involve members in planning how the team will achieve its objectives.						
3. Ensure that each member of the team has personal work objectives and understands how achieving these will contribute to achievement of the team's objectives.						
4. Encourage and support team members to achieve their personal work objectives and those of the team and provide recognition when objectives have been achieved.						
5. Win, through your performance, the trust and support of the team for your leadership.						
6. Steer the team successfully through difficulties and challenges, including conflict, diversity and inclusion issues within the team.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Encourage and recognise creativity and innovation within the team.						
8. Give team members support and advice when they need it especially during periods of setback and change.						
9. Motivate team members to present their own ideas and listen to what they say.						
10. Encourage team members to take the lead when they have the knowledge and expertise and show willingness to follow this lead.						
11. Monitor activities and progress across the team without interfering.						

Additional evidence (if applicable):

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Unit 2 (B5): Provide leadership for your team

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

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

Additional evidence (if applicable):

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Unit 3: Allocate and monitor the progress and quality of work in your area of responsibility

Unit code:	D6
Unit credit:	14
Unit level:	7

Introduction

What this unit is 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

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>13. How to provide prompt and constructive feedback to individuals and/or teams.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>17. The type of problems and unforeseen events that may occur and how to support individuals and/or teams in dealing with them.</p> <p>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.</p> <p>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.</p> <p>20. How to log information on the ongoing performance of individuals and/or teams and use this information for formal performance appraisal purposes.</p> <p>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.</p>		

Knowledge and understanding	Type of evidence	Date
<p>Industry/sector specific knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		
<p>Context specific knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		

Additional evidence (if applicable):

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Unit 3 (D6): Allocate and monitor the progress and quality of work in your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Additional evidence (if applicable):

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Unit 3 (D6): Allocate and monitor the progress and quality of work in your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
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.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Additional evidence (if applicable):

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Unit 4: Ensure health and safety requirements are met in your area of responsibility

Unit code: E6

Unit credit: 11

Unit level: 7

Introduction

What this unit is about

This unit is concerned with managing the overall health and safety process in your area of responsibility. It is intended to go beyond meeting health and safety legislation and move towards a situation where health and safety considerations are firmly embedded in the planning and decision-making processes and the ‘culture’ of your area of responsibility.

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 **D6: Allocate and monitor the progress and quality of work in your area of responsibility**, **E5: Ensure your own actions reduce risks to health and safety**, **E7: Ensure an effective organisational approach to health and safety** and **E8: Manage physical resources** 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 ensuring health and safety requirements are met in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Consulting
- Information management
- Decision-making
- Involving others
- Questioning
- Thinking systematically
- Monitoring
- Leadership
- Communicating
- Reviewing
- Presenting information
- Prioritising
- Reporting
- Planning

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. Why health and safety in the workplace is important. 2. How and where to identify your personal responsibilities and liabilities under health and safety legislation. 3. How to keep up with legislative and other developments relating to health and safety. 4. The requirement for organisations to have a written health and safety policy statement. 5. How to communicate the written health and safety policy statement to people who work in your area of responsibility and other relevant parties. 6. How and when to review the application of the written health and safety policy statement in your area of responsibility and produce/provide findings to inform development. 7. How and when to consult with people in your area of responsibility or their representatives on health and safety issues. 8. Sources of specialist expertise in relation to health and safety. 9. Ways of developing a culture in your area of responsibility which puts health and safety first. 10. The type of hazards and risks that may arise in relation to health and safety - how to establish and use systems for identifying hazards and assessing risks and the type of actions that should be taken to control or eliminate them. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>11. How to establish systems for monitoring, measuring and reporting on health and safety performance in your area of responsibility.</p> <p>12. Why and how health and safety should inform planning and decision-making.</p> <p>13. The importance of setting a good example to others in relation to health and safety.</p> <p>14. The type of resources required to deal with health and safety issues.</p>		
<p>Industry/sector specific knowledge and understanding</p> <p>1. Sector-specific legislation, regulations, guidelines and codes of practice relating to health and safety.</p> <p>2. Health and safety risks, issues and developments which are particular to the industry or sector.</p>		
<p>Context specific knowledge and understanding</p> <p>1. Other relevant parties with an interest in health and safety in your area of responsibility.</p> <p>2. The organisation's written health and safety policy statement and how it is communicated to people who work for the organisation, people in your area and to other relevant parties.</p> <p>3. Sources of specialist health and safety expertise used in your area of responsibility.</p> <p>4. The operational plans for your area of responsibility.</p> <p>5. The resources allocated to and across your area of responsibility for health and safety.</p> <p>6. Allocated responsibilities for health and safety in your area and the organisation in general.</p> <p>7. Systems in place in your area of responsibility for identifying hazards and assessing risks and taking action.</p> <p>8. Systems in place for monitoring, measuring and reporting of health and safety performance in your area of responsibility.</p>		

Additional evidence (if applicable):

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Unit 4 (E6): Ensure health and safety requirements are met in your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Identify your personal responsibilities and liabilities under health and safety legislation.						
2. Ensure that the organisation's written health and safety policy statement is clearly communicated to all people in your area of responsibility and other relevant parties.						
3. Ensure that the health and safety policy statement is put into practice in your area of responsibility and is subject to review as situations change and at regular intervals and the findings passed to the appropriate people for consideration.						
4. Ensure regular consultation with people in your area of responsibility or their representatives on health and safety issues.						
5. Seek and make use of specialist expertise in relation to health and safety issues.						
6. Ensure that a system is in place for identifying hazards and assessing risks in your area of responsibility and that prompt and effective action is taken to eliminate or control identified hazards and risks.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Ensure that systems are in place for effective monitoring, measuring and reporting of health and safety performance in your area of responsibility.						
8. Show continuous improvement in your area of responsibility in relation to health and safety performance.						
9. Make health and safety a priority area in terms of informing planning and decision-making in your area of responsibility.						
10. Demonstrate that your own actions reinforce the messages in the organisation's health and safety policy statement.						
11. Ensure that sufficient resources are allocated across your area of responsibility to deal with health and safety issues.						
12. Develop a culture within your area of responsibility which puts health and safety first.						

Additional evidence (if applicable):

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Unit 4 (E6): Ensure health and safety requirements are met in your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You respond quickly to crises and problems with a proposed course of action.						
2. You identify people's information needs.						
3. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.						
4. You are vigilant for possible risks and hazards.						
5. You take personal responsibility for making things happen.						
6. You identify the implications or consequences of a situation.						
7. You act within the limits of your authority.						
8. You constantly seek to improve performance.						
9. You treat individuals with respect and act to uphold their rights.						

Additional evidence (if applicable):

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Optional units

Unit 5: Develop and implement operational plans for your area of responsibility

Unit code: B1

Unit credit: 11

Unit level: 8

Introduction

What this unit is 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**, **D6: Allocate and monitor the progress and quality of work in your area of responsibility**, **E2: Manage finance for your area of responsibility** and **F3: Manage business processes** 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 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

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		
<p>Industry/sector specific knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="312 1431 344 2076">Context specific knowledge and understanding</p> <ol data-bbox="363 891 799 2076" style="list-style-type: none"> <li data-bbox="363 1431 395 2076">1. The market in which your organisation works. <li data-bbox="411 891 443 2076">2. The overall vision of your organisation and the goals you are responsible for achieving. <li data-bbox="459 1294 491 2076">3. Your organisation's actual and potential customer base. <li data-bbox="507 1615 539 2076">4. Available market opportunities. <li data-bbox="555 1491 587 2076">5. How to respond to market opportunities. <li data-bbox="603 1059 635 2076">6. Colleagues and other key stakeholders, and their needs and expectations. <li data-bbox="651 1675 683 2076">7. Processes for consultation. <li data-bbox="699 1155 730 2076">8. Sources of information you can use to monitor and evaluate plans. <li data-bbox="746 1294 778 2076">9. Procedures for reporting and making recommendations. 		

Additional evidence (if applicable):

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Unit 5 (B1): Develop and implement operational plans for your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Additional evidence (if applicable):

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Unit 5 (B1): Develop and implement operational plans for your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
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 others' 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.						

Additional evidence (if applicable):

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Unit 6: Promote equality of opportunity, diversity and inclusion in your area of responsibility

Unit code:	B11
Unit credit:	10
Unit level:	8

Introduction

What this unit is 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’ that need to be applied in promoting equality of opportunity, diversity and inclusion 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
- Motivating
- Monitoring

- Information management
- Evaluating
- Valuing and supporting others
- Consulting
- Balancing competing needs and interests
- Influencing and persuading
- Planning
- Reporting
- Decision-making
- Reviewing
- Risk management

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 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 priority areas 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. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>12. The importance of implementing an organisation’s written equality, diversity and inclusion policy and any supporting action plan.</p> <p>13. The type of resources which might be required to support implementation of an equality, diversity and inclusion policy and any supporting action plan.</p> <p>14. How and when to consult with people in your area of responsibility or their representatives on equality, diversity and inclusion issues.</p> <p>15. Sources of specialist expertise in relation to equality, diversity and inclusion.</p> <p>16. How to provide working arrangements, resources and business processes in your area of responsibility that respond to different needs, abilities, values and ways of working.</p> <p>17. How to monitor, review and report on progress in relation to equality of opportunity, diversity and inclusion within your area of responsibility.</p>		
<p>Industry/sector specific knowledge and understanding</p>		
<p>1. Sector-specific legislation, regulations, guidelines and codes of practice relating to equality, diversity and inclusion.</p> <p>2. Equality, diversity and inclusion issues and developments that are particular to the industry or sector.</p> <p>3. Information sources on equality and diversity and inclusion in the industry or sector, including those at an international level.</p>		

Knowledge and understanding	Type of evidence	Date
<p>Context specific knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		

Additional evidence (if applicable):

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Unit 6 (B11): Promote equality of opportunity, diversity and inclusion in your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Ensure commitment within your area of responsibility to promoting equality of opportunity, diversity and inclusion, including making them priority areas 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.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Additional evidence (if applicable):

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Unit 6 (B11): Promote equality of opportunity, diversity and inclusion in your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
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.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Additional evidence (if applicable):

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Unit 7: Encourage innovation in your team

Unit code: C1

Unit credit: 11

Unit level: 6

Introduction

What this unit is about

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

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

Who is the unit for?

The unit is recommended for team leaders.

Links to other units

This unit is linked to units **B5: Provide leadership for your team** and **C2: Encourage innovation in your area of responsibility** in the overall suite of National Occupational Standards for Management and Leadership.

Skills

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

- Communicating
- Leadership
- Team-building
- Problem-solving
- Motivating
- Monitoring

- Decision-making
- Providing feedback
- Learning
- Valuing and supporting others
- Risk management
- Thinking creatively

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The benefits of innovation to your team, the overall organisation and its customers. 2. The key differences between creativity and innovation. 3. How to make time available for identifying and developing ideas. 4. How to motivate people to generate and develop ideas. 5. How to provide constructive feedback on ideas to individuals. 6. The importance of communication in innovation and how to encourage communication across your team. 7. The potential obstacles to creativity and whether/how they can be removed. 8. The reasons for selecting initial ideas for further development. 9. How initial ideas might be further developed and tested. 10. How to recognise and manage risk in innovation. 11. How to develop formal proposals and plans for the practical implementation of an idea and how to support others in doing this. 12. How to develop creativity in yourself and others. 13. The resources required for creativity and innovation, particularly time. 14. How to identify sustainable resources and ensure their effective use to support creativity and innovation. 		

Knowledge and understanding	Type of evidence	Date
General knowledge and understanding		
15. How to learn from mistakes.		
16. How to recognise the achievements of the originators/developers of ideas that have been successfully implemented.		
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 an international level.		
Context specific knowledge and understanding		
1. The overall vision, values, objectives, plans and culture of the organisation.		
2. The planning and decision-making processes within the organisation.		
3. Your organisation's current and potential customers and their needs.		
4. The diversity of your organisation's workforce.		
5. Appropriate comparators for reviewing the diversity of your organisation's workforce.		
6. Other relevant parties with an interest in equality, diversity and inclusion in your organisation.		
7. The organisation's written equality, diversity and inclusion policy and action plan and how they are communicated to people who work for the organisation and to other relevant parties.		
8. Mechanisms for consulting with people who work for the organisation or their representatives on equality, diversity and inclusion issues.		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="328 1431 360 2076">Context specific knowledge and understanding</p> <p data-bbox="381 763 480 2076">9. Employment policies and practices within the organisation - including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions.</p> <p data-bbox="501 714 533 2076">10. Organisations to benchmark against in terms of their approach to promoting diversity and inclusion.</p> <p data-bbox="553 844 617 2076">11. Sources of specialist expertise in relation to equality, diversity and inclusion used by your organisation.</p> <p data-bbox="638 696 702 2076">12. Systems in place for effective monitoring, reviewing and reporting on progress in relation to equality of opportunity, diversity and inclusion.</p>		

Additional evidence (if applicable):

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Unit 7 (C1): Encourage innovation in your team

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Motivate members of your team, including yourself, to identify ideas for new products and/or services and improvements.						
2. Respond enthusiastically to ideas identified by members of your team and provide constructive feedback.						
3. Encourage members of your team to share, discuss and work together in developing initial ideas.						
4. Identify and pursue opportunities to work with other teams to generate and develop ideas.						
5. Discuss and agree with members of your team those ideas which should be developed further, how they should be developed and the required resources.						
6. Provide ongoing support, encouragement and resources to members of your team who are developing and testing ideas and help to remove any identified obstacles.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Agree the practical implementation of ideas, based on the identified benefits, risks and required resources, when you have the authority to do so.						
8. Support members of your team in submitting formal proposals and plans for the practical implementation of ideas to other people for approval.						
9. Oversee practical implementation of ideas by your team and monitor and report on progress.						
10. Encourage and develop the creativity of members of your team.						
11. Encourage members of your team to take acceptable risks in pursuing innovation and to make and learn from mistakes.						
12. Ensure that the originators and developers of any ideas which are successfully implemented receive recognition for their achievement.						

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Unit 7 (C1): Encourage innovation in your team

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

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

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Unit 8: Plan change

Unit code: C5

Unit credit: 15

Unit level: 9

Introduction

What this unit is about

This unit is about the planning that is needed to make a specific change or put into practice a programme of change. It involves developing a strategy to make the change that is needed, taking note of barriers, risks and the need to put appropriate monitoring and communication systems in place.

Who is the unit for?

The unit is recommended for first line managers, middle managers and senior managers.

Links to other units

This unit is closely linked to units **B6: Provide leadership in your area of responsibility**, **B7: Provide leadership for your organisation**, **B9: Develop the culture of your organisation**, **C4: Lead change** and **C6: Implement change** 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 planning change. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Planning
- Analysing
- Team-building
- Negotiating
- Obtaining feedback
- Influencing
- Problem-solving
- Monitoring
- Risk management
- Contingency-planning
- Information management
- Decision-making

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The main models and methods for managing change effectively, and their strengths and weaknesses. 2. Effective planning techniques. 3. Theory and application of the change/performance curve. 4. Theory and understanding of teams, including an understanding of team-building techniques and how to apply them. 5. How to assess the risks and benefits associated with strategies and plans. 6. The importance of contingency planning and how to do so effectively. 7. How to make critical decisions. 8. The political, bureaucratic and resource barriers to change, and the techniques that deal with these. 9. Stakeholder expectations and how they influence the process. 		
<p>Industry/sector specific knowledge and understanding</p> <ol style="list-style-type: none"> 1. Your organisation's current position in the sector and market in which it works, compared with its main competitors, relevant to the change programme. 2. The range of information sources that are relevant to the sector, and related sectors, in which your organisation operates. 3. Current and emerging political, economic, social, technological, environmental and legal developments in the sector and in related sectors. 		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="312 680 347 2096">Context specific knowledge and understanding</p> <ol data-bbox="363 680 584 2096" style="list-style-type: none"> <li data-bbox="363 680 399 2096">1. Your vision for the future, the reasons for change, the risks and expected benefits. <li data-bbox="411 680 446 2096">2. Business critical activities and interdependencies. <li data-bbox="459 680 533 2096">3. Those factors (for example, strategy, procedures, policies and structure) that need to be changed, and the associated priorities and reasons. <li data-bbox="545 680 584 2096">4. Your organisation's communication channels, both formal and informal. 		

Additional evidence (if applicable):

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Unit 8 (C5): Plan change

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Identify the procedures, systems, structures and roles that need to be changed, and assess the gap between their current and required future state.						
2. Identify and assess barriers to change.						
3. Develop strategies and plans that set out the way forward.						
4. Assess the risks and benefits associated with the strategies and plans and develop contingency arrangements.						
5. Make sure your plans include short-term 'wins' as well as longer-term deliverables.						
6. Develop systems for monitoring and assessing progress.						
7. Develop a communication strategy for the change process that allows people to give feedback.						
8. Identify training and support needs and plan how to meet these.						

Additional evidence (if applicable):

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Unit 8 (C5): Plan change

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You find practical ways to overcome barriers.						
2. You present information clearly, concisely, accurately and in ways that promote understanding.						
3. You are vigilant for potential risks.						
4. You give people opportunities to provide feedback and you respond appropriately.						
5. You set demanding but achievable objectives for yourself and others.						
6. You work towards a clearly defined vision of the future.						
7. You identify the implications or consequences of a situation.						

Additional evidence (if applicable):

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Unit 9: Implement change

Unit code:	C6
Unit credit:	11
Unit level:	8

Introduction

What this unit is about

This unit is about putting into practice the strategy and associated plans for a specific change or programme of change. This involves putting in place the necessary resources and supporting systems, including monitoring and communications, to turn the 'vision' into a practical reality.

Who is the unit for?

The unit is recommended for people in first line, middle and senior management and leadership roles.

Links to other units

This unit is closely linked to **B6: Provide leadership in your area of responsibility**, **B7: Provide leadership for your organisation**, **C4: Lead change** and **C5: Plan change** 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 implementing change. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Delegation
- Negotiating
- Influencing
- Managing conflict
- Problem-solving
- Stress management
- Planning
- Assessing
- Monitoring
- Decision-making
- Valuing and supporting others

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The main models and methods for managing change effectively, and their strengths and weaknesses. 2. Effective planning techniques. 3. Theory and application of the change/performance curve. 4. How to manage reward systems. 5. Problem-solving techniques. 6. The political, bureaucratic and resource barriers to change, and the techniques that deal with these. 7. How to identify development and other support needs and ways in which these needs can be met. 8. How to manage expectations during change 		
<p>Industry/sector specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 1. Your organisation's current position in the market in which it works, compared with its main competitors, relevant to the change programme. 2. The range of information sources that are relevant to the sector, and related sectors, in which your organisation operates. 		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="328 1431 360 2078">Context specific knowledge and understanding</p> <ol data-bbox="381 725 600 2078" style="list-style-type: none"> <li data-bbox="381 936 413 2078">1. Your vision for the future, the reasons for change, the risks and expected benefits. <li data-bbox="429 1370 461 2078">2. Business critical activities and interdependencies. <li data-bbox="477 725 549 2078">3. Those factors (for example, strategy, procedures, policies and structure) that need to be changed, and the associated priorities and reasons. <li data-bbox="564 1084 600 2078">4. Your organisation's communication channels, both formal and informal. 		

Additional evidence (if applicable):

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Unit 9 (C6): Implement change

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Put into practice the strategies and plans for change in line with the available resources.						
2. Design new work processes, procedures, systems, structures and roles to achieve the vision behind the change.						
3. Identify, assess and deal with problems and barriers to change.						
4. Monitor, document and communicate progress to all involved.						
5. Recognise and reward people and teams who achieve results.						
6. Maintain the momentum for change.						
7. Make sure change is effective and meets the requirements of the organisation.						

Additional evidence (if applicable):

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Unit 9 (C6): Implement change

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard :						
1. You recognise changes in circumstances promptly and adjust plans and activities accordingly.						
2. You find practical ways to overcome barriers.						
3. You present information clearly, concisely, accurately and in ways that promote understanding.						
4. You make time available to support others.						
5. You clearly agree what is expected of others and hold them to account.						
6. You recognize when there are conflicts, acknowledge the feelings and views of all parties, and redirect people's energy towards a common goal.						
7. You work towards a clearly defined vision of the future.						
8. You recognise the achievements and the success of others.						

Additional evidence (if applicable):

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Unit 10: Develop productive working relationships with colleagues

Unit code:	D1
Unit credit:	9
Unit level:	6

Introduction

What this unit is about

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

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

Who is the unit for?

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

Links to other units

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

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

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		

Knowledge and understanding	Type of evidence	Date
<p>Industry/sector specific knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		
<p>Context specific knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		

Additional evidence (if applicable):

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Unit 10 (D1): Develop productive working relationships with colleagues

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Additional evidence (if applicable):

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Unit 10 (D1): Develop productive working relationships with colleagues

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
9. You say no to unreasonable requests.						
10. You show respect for the views and actions of others.						

Additional evidence (if applicable):

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Unit 11 Recruit, select and keep colleagues

Unit code:	D3
Unit credit:	12
Unit level:	9

Introduction

What this unit is about

This unit is mainly about recruiting and selecting people to undertake identified activities or work roles within your area of responsibility. It involves taking a fair and objective approach to recruitment and selection to ensure that individuals with the required skills, knowledge and understanding, and who are likely to perform effectively, are appointed.

As recruitment and selection can be expensive and time-consuming activities, the unit also involves taking action to understand why colleagues are leaving and taking action to keep colleagues.

Whilst you would be expected to draw on the expertise of personnel specialists, you are not expected to be a personnel specialist yourself.

For the purposes of this unit, 'colleagues' means those people for whom you have line management responsibility.

Who is the unit for?

The unit is recommended for first-line managers and middle managers.

Links to other units

This unit is closely linked to unit **D4: Plan the workforce**, **D7: Provide learning opportunities for colleagues** and **D9: Build and manage teams** in the overall suite of National Occupational Standards for Management and Leadership.

If your organisation is a small firm, you should look at unit *J4: Recruit staff*, 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 the SFEDI website (www.sfedi.co.uk).

Skills

Listed below are the main generic 'skills' that need to be applied in recruiting, selecting and keeping colleagues. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Consulting
- Decision-making
- Information management
- Interviewing
- Negotiating
- Obtaining feedback
- Planning
- Problem-solving
- Reviewing
- Team-building
- Valuing and supporting others

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. Why it is important to identify and understand why colleagues are leaving and how to do so constructively and sensitively. 2. The types of reasons colleagues might give for leaving. 3. How to measure staff turnover. 4. The causes and effects of high and low staff turnover. 5. Measures which can be undertaken to address staff turnover problems. 6. How to review the workload in your area in order to identify shortfalls in the number of colleagues and/or the pool of skills, knowledge, understanding and experience. 7. How to identify actual skills and avoid stereotyping with regard to skills levels and work ethics. 8. Different options for addressing identified shortfalls and their associated advantages and disadvantages. 9. What job descriptions and person specifications should cover and why it is important to consult with others in producing or updating them. 10. Different stages in the recruitment and selection process and why it is important to consult with others on the stages, recruitment and selection methods to be used, associated timings and who is going to be involved. 11. Different recruitment and selection methods and their associated advantages and disadvantages. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>12. Why it is important to give fair, clear and accurate information on vacancies to potential applicants.</p> <p>13. How cultural differences in language, body language, tone of voice and dress can differ from expectations.</p> <p>14. How to judge whether applicants meet the stated requirements of the vacancy.</p> <p>15. Sources of specialist expertise in relation to recruitment, selection and retention.</p> <p>16. How to take account of equality, diversity and inclusion issues, including legislation and any relevant codes of practice, when recruiting and selecting people and keeping colleagues.</p> <p>17. How to review the effectiveness of recruitment and selection in your area.</p>		
<p>Industry/sector specific knowledge and understanding</p>		
<p>1. Turnover rates within similar organisations in the industry/sector.</p> <p>2. Recruitment, selection and retention issues and specific initiatives and arrangements within the industry/sector.</p> <p>3. Working culture and practices of the industry/sector.</p>		
<p>Context specific knowledge and understanding</p>		
<p>1. Current people resources available to your area, including skills, knowledge, understanding and experience of colleagues.</p> <p>2. Work requirements in your area.</p> <p>3. Agreed operational plans and changes in your area.</p> <p>4. The staff turnover rate in your area.</p> <p>5. Job descriptions and person specifications for confirmed vacancies.</p>		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="328 1431 360 2078">Context specific knowledge and understanding</p> <ol style="list-style-type: none"> <li data-bbox="384 1532 411 2078">6. Local employment market conditions. <li data-bbox="432 1386 459 2078">7. The organisation's structure, values and culture. <li data-bbox="480 763 584 2078">8. Employment policies and practices within the organisation - including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions. <li data-bbox="604 781 668 2078">9. Sources of specialist expertise in relation to recruitment, selection and retention used by your organisation. 		

Additional evidence (if applicable):

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Unit 11 (D3): Recruit, select and keep colleagues

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Talk with colleagues who are leaving your area of responsibility to identify and discuss their reasons for leaving.						
2. Identify ways of addressing staff turnover problems, implementing those which clearly fall within your authority and communicating others to the relevant people for consideration.						
3. Review, on a regular basis, the work required in your area of responsibility, identifying any shortfall in the number of colleagues and/or the pool of skills, knowledge, understanding and experience.						
4. Identify and review the options for addressing any identified shortfalls and decide on the best option(s) to follow.						
5. Consult with others to produce or update job descriptions and person specifications where there is a clear need to recruit.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
6. Consult with others to discuss and agree stages in the recruitment and selection process for identified vacancies, the methods that will be used, the associated timings and who is going to be involved.						
7. Ensure that any information on vacancies is fair, clear and accurate before it goes to potential applicants.						
8. Seek and make use of specialist expertise in relation to recruiting, selecting and keeping colleagues.						
9. Ensure that the skills needed by applicants to succeed in the recruitment process are no more than are required to perform the job.						
10. Participate in the recruitment and selection process, as agreed, making sure that the process is fair, consistent and effective.						
11. Make sure that applicants who are offered positions are likely to be able to perform effectively and work with their new colleagues.						
12. Judge whether the recruitment and selection process has been successful in relation to recent appointments in your area and identify any areas for improvements.						

Additional evidence (if applicable):

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Unit 11 (D3): Recruit, select and keep colleagues

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You recognise the opportunities presented by the diversity of people.						
2. You work to turn unexpected events into opportunities rather than threats.						
3. You try out new ways of working.						
4. You identify people's information needs.						
5. You seek to understand people's needs and motivations.						
6. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.						
7. You take and implement difficult and/or unpopular decisions, if necessary.						
8. You act within the limits of your authority.						
9. You show integrity, fairness and consistency in decision-making.						

Additional evidence (if applicable):

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Unit 12: Provide learning opportunities for colleagues

Unit code: D7

Unit credit: 11

Unit level: 8

Introduction

What this unit is about

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

Encouraging colleagues to take responsibility for their own learning is an aspect of this unit as is your role in providing an 'environment', for example, in your team or area of responsibility, in which learning is valued.

For the purposes of this unit, 'colleagues' means those people for whom you have line management responsibility.

Who is the unit for?

The unit is recommended for team leaders, first- line managers, middle managers and senior managers.

Links to other units

This unit is linked to units **D3: Recruit, select and keep colleagues**, **D5: Allocate and check work in your team**, **D6: Allocate and monitor the progress and quality of work in your area of responsibility** and **D13: Support individuals to develop and maintain their performance** in the overall suite of National Occupational Standards for Management and Leadership.

If your organisation is a small firm, you should look at unit *K1: Make sure your staff can do their work*, which has been developed by the Small Firms Enterprise and Development Initiative (SFEDI) specifically for small firms and which **may** be more suitable to your needs. You can obtain information on the unit from SFEDI on tel. 0114 241 2155 or at the SFEDI website (www.sfedi.co.uk).

Skills

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

- Coaching
- Communicating
- Demonstrating
- Empowering
- Information management
- Leadership
- Mentoring
- Motivating
- Prioritising
- Planning
- Providing feedback
- Reviewing
- Setting objectives
- Valuing and supporting others

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The benefits of learning for individuals and organisations and how to promote these to colleagues. 2. Ways in which you can develop an 'environment' in which learning is valued and willingness and efforts to learn are recognised. 3. Why it is important to encourage colleagues to take responsibility for their own learning. 4. How to provide fair, regular and useful feedback to colleagues on their work performance. 5. How to identify learning needs based on identified gaps between the requirements of colleagues' work roles and their current knowledge, understanding and skills. 6. How the values, ethics, beliefs, faith, cultural conventions, perceptions and expectations of any people from other countries or cultures may impact on their personal development and learning. 7. How to prioritise learning needs of colleagues, including taking account of organisational needs and priorities and the personal and career development needs of colleagues. 8. The range of different learning styles and how to support colleagues in identifying the particular learning style(s) or combination of learning styles which works best for them. 9. Different types of learning activities, their advantages and disadvantages and the required resources (for example, time, fees, substitute staff). 10. How/where to identify and obtain information on different learning activities. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>11. Why it is important for colleagues to have a written development plan and what it should contain (for example, identified learning needs, learning activities to be undertaken and the learning objectives to be achieved, timescales and required resources).</p> <p>12. How to set learning objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-Bound).</p> <p>13. Sources of specialist expertise in relation to identifying and providing learning for colleagues.</p> <p>14. What type of support colleagues might need to undertake learning activities, the resources needed and the types of obstacles they may face and how they can be resolved.</p> <p>15. How to evaluate whether a learning activity has achieved the desired learning objectives.</p> <p>16. The importance of regularly reviewing and updating written development plans in the light of performance, any learning activities undertaken and any wider changes.</p> <p>17. How to take account of equality legislation, any relevant codes of practice and general diversity and inclusion issues in providing learning opportunities for colleagues.</p>		
<p>Industry/sector specific knowledge and understanding</p> <p>1. Industry/sector requirements for the development or maintenance of knowledge, skills and understanding and professional development.</p> <p>2. Learning issues and specific initiatives and arrangements that apply within the industry/sector.</p> <p>3. Working culture and practices of the industry/sector.</p>		

Knowledge and understanding	
Context specific knowledge and understanding	
<ol style="list-style-type: none"> 1. Relevant information on the purpose, objectives and plans of your team or area of responsibility or the wider organisation. 2. The work roles of colleagues, including the limits of their responsibilities and their personal work objectives. 3. The current knowledge, understanding and skills of colleagues. 4. Identified gaps in the knowledge, understanding and skills of colleagues. 5. Identified learning needs of colleagues. 6. Learning style(s) or combinations of styles preferred by colleagues. 7. The written development plans of colleagues. 8. Sources of specialist expertise available in/to your organisation in relation to identifying and providing learning for colleagues. 9. Learning activities and resources available in/to your organisation. 10. Your organisation's policies in relation to equality and diversity. 11. Your organisation's policies and procedures in relation to learning. 12. Your organisation's performance appraisal systems. 	

Additional evidence (if applicable):

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Unit 12 (D7): Provide learning opportunities for colleagues

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Promote the benefits of learning to colleagues and make sure that their willingness and efforts to learn are recognised.						
2. Give colleagues fair, regular and useful feedback on their work performance, discussing and agreeing how they can improve.						
3. Work with colleagues to identify and prioritise learning needs based on any gaps between the requirements of their work roles and their current knowledge, understanding and skills.						
4. Help colleagues to identify the learning style(s) or combination of styles which works best for them and ensure that these are taken into account in identifying and undertaking learning activities.						
5. Work with colleagues to identify and obtain information on a range of possible learning activities to address identified learning needs.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
6. 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.						
7. Discuss and agree, with each colleague, a development plan which includes learning activities to be undertaken, the learning objectives to be achieved, the required resources and timescales.						
8. Work with colleagues to recognise and make use of unplanned learning opportunities.						
9. Seek and make use of specialist expertise in relation to identifying and providing learning for colleagues.						
10. Support colleagues in undertaking learning activities making sure any required resources are made available and making efforts to remove any obstacles to learning.						
11. Evaluate, in discussion with each colleague, whether the learning activities they have undertaken have achieved the desired outcomes and provide positive feedback on the learning experience.						
12. Work with colleagues to update their development plan in the light of performance.						
13. Encourage colleagues to take responsibility for their own learning including practising and reflecting on what they have learned.						

Additional evidence (if applicable):

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Unit 12 (D7): Provide learning opportunities for colleagues

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. You recognise the opportunities presented by the diversity of people.						
2. You find practical ways to overcome barriers.						
3. You make time available to support others.						
4. You seek to understand individuals' needs, feelings and motivations and take an active interest in their concerns.						
5. You encourage and support others to make the best use of their abilities.						
6. You recognise the achievements and the success of others.						
7. You inspire others with the excitement of learning.						
8. You confront performance issues and sort them out directly with the people involved.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
9. You say no to unreasonable requests.						
10. You show integrity, fairness and consistency in decision-making.						

Additional evidence (if applicable):

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Unit 13: Help team members address problems affecting their performance

Unit code: D8

Unit credit: 5

Unit level: 6

Introduction

What this unit is about

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

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

Who is the unit for?

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

Links to other units

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

Skills

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

- Acting assertively
- Communicating
- Consulting
- Decision-making
- Empathising
- Information management
- Managing conflict
- Monitoring
- Problem-solving
- Providing feedback
- Reviewing
- Setting objectives
- Team-building
- Valuing and supporting others

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p data-bbox="544 1541 576 2078">General knowledge and understanding</p> <ol data-bbox="596 696 1174 2078" style="list-style-type: none"><li data-bbox="596 696 667 2078">1. The importance in giving team members opportunities to approach you with problems affecting their performance.<li data-bbox="683 786 715 2078">2. How to encourage team members to approach you with problems affecting their performance.<li data-bbox="730 741 801 2078">3. The importance of identifying performance issues and bringing these promptly to the attention of the team members concerned.<li data-bbox="817 730 887 2078">4. The importance of discussing problems with team members at a time and place appropriate to the type, seriousness and complexity of the problem.<li data-bbox="903 853 935 2078">5. How to gather and check the information you need to identify the problem and its cause.<li data-bbox="951 1312 983 2078">6. The importance of identifying the problem accurately.<li data-bbox="999 1133 1031 2078">7. The range of alternative courses of action to deal with the problem.<li data-bbox="1046 763 1117 2078">8. The importance of discussing and agreeing with the team member a timely and effective way of dealing with the problem.<li data-bbox="1133 1155 1165 2078">9. When to refer the team member to support services or specialists.		

Knowledge and understanding	Type of evidence	Date
General knowledge and understanding		
10. The importance of keeping a confidential record of your discussions with team members about problems affecting their performance, and how to do so.		
11. The importance of ensuring your actions are in line with your organisation's policies for managing people and their performance.		
Industry/sector specific knowledge and understanding		
1. Industry/sector requirements for helping team members address problems affecting their performance.		
Context specific knowledge and understanding		
1. The types of problems that your team members may encounter which can affect their performance.		
2. Your role, responsibilities and limits of authority when dealing with team members' problems.		
3. The range of support services or specialists that exist inside and outside your organisation.		
4. Your organisation's policies for managing people and their performance.		

Additional evidence (if applicable):

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Unit 13 (D8): Help team members address problems affecting their performance

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
5. Give team members opportunities to approach you with problems affecting their performance.						
6. Identify performance issues and bring these promptly to the attention of the team members concerned.						
7. Discuss problems with team members at a time and place appropriate to the type, seriousness and complexity of the problem.						
8. Gather and check information to accurately identify the problem and its cause.						
9. Discuss the range of alternative courses of action and agree with the team member a timely and effective way of dealing with the problem.						
10. Refer the team member to support services or specialists, where necessary.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
11. Keep a confidential record of your discussions with team members about problems affecting their performance.						
12. Ensure your actions are in line with your organisation's policies for managing people.						

Additional evidence (if applicable):

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Unit 13 (D8): Help team members address problems affecting their performance

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You find practical ways to overcome barriers.						
2. You show empathy with others' needs, feelings and motivations and take an active interest in their concerns.						
3. You make time available to support others.						
4. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.						
5. You show integrity, fairness and consistency in decision-making.						
6. You confront performance issues and resolve them directly with the people involved.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
7. You keep confidential information secure.						
8. You check the validity and reliability of information.						
9. You identify the implications or consequences of a situation.						
10. You take timely decisions that are realistic for the situation.						

Additional evidence (if applicable):

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Unit 14: Build and manage teams

Unit code: D9

Unit credit: 5

Unit level: 7

Introduction

What this unit is 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

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>10. How to provide feedback to team members to enhance the performance of fellow team members and the team as a whole.</p> <p>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.</p> <p>12. The importance of celebrating team and individual successes together and commiserating together when things go wrong.</p> <p>13. Ways of refocusing the team's energy on achieving its purpose.</p>		
<p>Industry/sector specific knowledge and understanding</p>		
<p>1. Industry/sector requirements for building and managing teams.</p>		
<p>Context specific knowledge and understanding</p>		
<p>1. The purpose of the team and what has to be achieved.</p> <p>2. The required mix of expertise, knowledge and skills to achieve the team purpose.</p>		

Additional evidence (if applicable):

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Unit 14 (D9): Build and manage teams

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Additional evidence (if applicable):

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Unit 14 (D9): Build and manage teams

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
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.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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.						

Additional evidence (if applicable):

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Unit 15: Reduce and manage conflict in your team

Unit code: D10

Unit credit: 7

Unit level: 5

Introduction

What this unit is about

This unit is about managing conflicts between members of your team. It covers taking pre-emptive action to avoid conflicts occurring and working with team members to resolve problems when they emerge.

Who is the unit for?

The unit is recommended particularly for first-line and middle managers.

Links to other units

This unit is linked to units **B8: Ensure compliance with legal, regulatory, ethical and social requirements**, **D1: Develop productive working relationships with colleagues**, **D8: Help team members address problems affecting their performance** and **D9: Build and manage teams** 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 managing conflict in your team. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Empathising
- Evaluating
- Information management
- Managing conflict
- Monitoring
- Obtaining feedback
- Problem-solving
- Providing feedback
- Questioning
- Reviewing
- Valuing and supporting others

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The principles of effective communication and how to apply them. 2. How to help team members understand how the roles of different team members interface, complement and support each other. 3. How to identify and address any issues with organisational structures, systems or procedures that are likely to give rise to conflict. 4. The importance of identifying potential conflicts between team members and taking pre-emptive action to avoid these, and how to do so. 5. The importance of giving team members opportunities to discuss with you serious problems that directly or indirectly affect their work, and how to encourage team members to do so. 6. The importance of taking prompt action to bring up and deal with conflicts when they arise and when the team members concerned are not able to resolve the conflicts themselves. 7. Ways of dealing with conflicts when they arise and what types of action should be taken and when. 8. The importance of acknowledging and showing respect for team members' emotions regarding the conflict and how to seek to manage any negative emotions. 9. How to identify impartially the causes of the conflict, giving all parties opportunities to present the facts and their perceptions about the conflict. 10. The importance of identifying and agreeing with team members how to resolve the conflict, without apportioning blame, and how to do so. 		

Knowledge and understanding	Type of evidence	Date
General knowledge and understanding		
11. When to seek help from colleagues or specialists. 12. The importance of complying with organisational and legal requirements when resolving conflicts. 13. The importance of maintaining complete, accurate and confidential records of conflicts and their outcomes, and how to do so.		
Industry/sector specific knowledge and understanding		
1. Industry/sector requirements for managing conflict in your team.		
Context specific knowledge and understanding		
1. The standards of work and behaviour expected of team members. 2. How the roles of different team members interface, complement and support each other. 3. The organisational structures, systems and procedures that are likely to give rise to conflict. 4. The range of specialists inside and outside of the organisation and colleagues. 5. Organisational and legal requirements for resolving conflicts and maintaining records of conflicts and their outcomes.		

Additional evidence (if applicable):

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Unit 15 (D10): Reduce and manage conflict in your team

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Communicate clearly to team members the standards of work and behaviour expected of them.						
2. Help team members understand how the roles of different team members interface, complement and support each other.						
3. Identify and address any issues with organisational structures, systems or procedures that are likely to give rise to conflict.						
4. Identify potential conflicts between team members and take pre-emptive action to avoid these.						
5. Encourage team members to resolve their own problems and conflicts amongst themselves.					7	
6. Take prompt action to deal with conflicts when the team members concerned are not able to resolve the conflicts themselves.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Acknowledge and show respect for team members' emotions regarding the conflict and seek to manage any negative emotions.						
8. Investigate impartially the causes of the conflict, giving all parties opportunities to present the facts and their perceptions about the conflict.						
9. Identify and agree with team members how to resolve the conflict, without apportioning blame.						
10. Seek help from colleagues or specialists, where necessary.						
11. Comply with organisational and legal requirements when resolving conflicts.						
12. Maintain complete, accurate and confidential records of conflicts and their outcomes.						

Additional evidence (if applicable):

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Unit 15 (D10): Reduce and manage conflict in your team

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You respond quickly to crises and problems with a proposed course of action.						
2. You find practical ways to overcome barriers.						
3. You present information clearly, concisely, accurately and in ways that promote understanding.						
4. You show respect for the views and actions of others.						
5. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.						
6. You confront performance issues and resolve them directly with the people involved.						
7. You clearly agree what is expected of others and hold them to account.						
8. You protect your own and others' work against negative impacts.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
9. You keep confidential information secure.						
10. You recognise when there are conflicts, acknowledge the feelings and views of all parties, and redirect people's energy towards a common goal.						

Additional evidence (if applicable):

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Unit 16: Lead meetings

Unit code: D11

Unit credit: 4

Unit level: 7

Introduction

What this unit is about

This unit is about leading meetings in order to achieve their objectives, which may be to solve problems, take decisions, consult with people or to exchange information and knowledge.

Who is the unit for?

The unit is recommended for managers at all levels.

Links to other units

This unit is linked to units **D12: Participate in meetings**, **E10: Take effective decisions** and **E11: Communicate information and knowledge** 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 leading meetings. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Building consensus
- Communicating
- Consulting
- Decision-making
- Information management
- Involving others
- Leadership
- Obtaining feedback
- Planning
- Presenting information
- Providing feedback
- Setting objectives
- Time management

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The importance of establishing the purpose and objectives of the meeting and how to do so. 2. The importance of confirming a meeting is the best way to achieve these objectives. 3. The importance of preparing how you will lead the meeting and how to do so. 4. How to identify who needs to participate in the meeting. 5. The importance of inviting participants, giving them sufficient notice to enable them to attend. 6. The importance of informing participants of the role they will be expected to play, the preparation they need to do and the importance of the meeting. 7. How to identify relevant information participants require in advance of the meeting. 8. The importance of circulating relevant information in advance and, if required, briefing participants individually on the content and purpose of the meeting and their roles. 9. The importance of setting a fixed time for the meeting to begin and end and allocating time appropriately for each agenda item. 10. How to allocate time appropriately for each agenda item. 11. The importance of stating the purpose of the meeting at the start and checking that all participants understand why they are present. 12. The importance of clarifying specific objectives at the beginning of each agenda item. 13. The importance of encouraging all participants to make clear, concise and constructive contributions from their perspectives, whilst acknowledging and building on the contributions of other participants, and how to do so. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>14. The importance of discouraging unhelpful comments and digressions, refocusing attention on the objectives of the meeting, and how to do so.</p> <p>15. How to manage time flexibly, giving more time to particular agenda items, if necessary, whilst ensuring the key objectives are met and participants are kept informed of changes in the agenda.</p> <p>16. The importance of summarising the discussion at appropriate times and allocating action points to participants at the end of each agenda item and how to do so.</p> <p>17. The importance of taking decisions within the meeting’s authority, remit or terms of reference and how to do so.</p> <p>18. The importance of checking that decisions and action points are accurately recorded and promptly communicated to those who need to know.</p> <p>19. How to evaluate whether the purpose and objectives of the meeting have been achieved and how future meetings could be made more effective.</p>		
<p>Industry/sector specific knowledge and understanding</p>		
<p>1. Industry/sector requirements for leading meetings.</p>		
<p>Context specific knowledge and understanding</p>		
<p>1. The people who need to participate and the roles they will be expected to play.</p> <p>2. The types and sources of information required in advance of the meeting.</p> <p>3. The meeting’s authority, remit or terms of reference.</p> <p>4. Any formal procedures or standing orders that apply to the meeting.</p> <p>5. The people who are affected by the decisions and need to know about them.</p>		

Additional evidence (if applicable):

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Unit 16 (D11): Lead meetings

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Establish the purpose and objectives of the meeting and confirm that a meeting is the best way to achieve these objectives.						
2. Prepare carefully how you will lead the meeting and identify who needs to participate.						
3. Invite participants, giving them sufficient notice to enable them to attend and stating: <ul style="list-style-type: none"> the importance of the meeting the role they will be expected to play, and the preparation they need to do. 						
4. Circulate relevant information in advance and, if required, brief participants individually on the content and purpose of the meeting and their roles.						
5. Set a fixed time for the meeting to begin and end and allocate time appropriately for each agenda item.						
6. State the purpose of the meeting at the start and check that all participants understand why they are present.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Clarify specific objectives at the beginning of each agenda item.						
8. Encourage all participants to make clear, concise and constructive contributions from their perspectives, whilst acknowledging and building on the contributions of other participants.						
9. Discourage unhelpful comments and digressions, refocusing attention on the objectives of the meeting.						
10. Manage time flexibly, giving more time to particular agenda items, if necessary, whilst ensuring key objectives are met and participants are kept informed of changes in the agenda.						
11. Summarise the discussion at appropriate times and allocate action points to participants at the end of each agenda item.						
12. Take decisions within the meeting's authority, remit or terms of reference.						
13. Observe any formal procedures or standing orders that apply to the meeting.						
14. Check that decisions and action points are accurately recorded and promptly communicated to those who need to know.						
15. Evaluate whether the purpose and objectives of the meeting have been achieved and how future meetings could be made more effective.						

Additional evidence (if applicable):

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Unit 16 (D11): Lead meetings

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You address multiple demands without losing focus or energy.						
2. You show respect for the views and actions of others.						
3. You present information clearly, concisely, accurately and in ways that promote understanding.						
4. You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.						
5. You show integrity, fairness and consistency in decision-making.						
6. You make best use of existing sources of information.						
7. You check the validity and reliability of information.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
8. You present ideas and arguments convincingly and in ways that strike a chord with people.						
9. You articulate the assumptions made and risks involved in understanding a situation.						
10. You take timely decisions that are realistic for the situation.						

Additional evidence (if applicable):

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Unit 17: Support individuals to develop and maintain their performance

Unit code: D13

Unit credit: 5

Unit level: 7

Introduction

What this unit is about

This unit is about supporting individuals to develop and maintain their performance at work. These may be people in your own team or individuals from another work group to whom you are providing support.

This unit is based on a commonly-used coaching model where you and the individual clearly agree the improvements in performance required and plan a step-by-step process to achieve a desired standard. You will usually help the individual to develop new skills and experiment with alternative behaviours in a safe environment before applying these for real in the workplace. You will work with the individual to monitor their progress over time, providing specific feedback to help them progress, until they have achieved the desired standard or no longer need your support in developing and/or maintaining their progress.

Who is the unit for?

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

Links to other units

This unit is linked to units **D7: Provide learning opportunities for colleagues**, **D8: Help team members address problems affecting their performance** and **D9: Build and manage teams** 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 supporting individuals to improve their performance. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Active listening
- Analysing
- Asking powerful questions
- Assessing
- Coaching
- Communicating
- Empathising
- Inspiring
- Learning
- Monitoring
- Motivating
- Planning
- Providing feedback
- Reviewing
- Risk management
- Self-assessment
- Setting objectives
- Valuing and supporting others

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. How to identify the particular needs, abilities and preferences of individuals and to take these into account when planning and providing support. 2. The principles, methods, tools and techniques involved in planning and providing support to individuals to improve their performance. 3. The principles, methods, tools and techniques for assessing an individual's performance. 4. The importance of establishing with individuals the course of action, the areas of performance to be targeted and the standard of performance they want to achieve. 5. The principles, methods, tools and techniques for assessing an individual's knowledge, skills and personal qualities and identifying learning needs, and the importance of exploring these with the individual. 6. How to identify obstacles which could hinder an individual's progress and the importance of removing these obstacles. 7. Learning and development opportunities for the individual to develop new skills and experiment with alternative behaviours in a safe environment. 8. The importance of encouraging individuals to identify and seize opportunities to apply their newly-developed skills and behaviours to their work. 9. How to identify risks involved in the application of newly-developed skills and behaviours to the individual's work and how to reduce these risks to levels which are acceptable to them and the organisation. 10. The principles, methods, tools and techniques involved in monitoring individuals' progress of developing their performance. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>11. The principles, methods, tools and techniques involved in providing specific feedback to improve their skills, reinforce effective behaviours and enhance their motivation to achieve the desired standard of performance.</p> <p>12. Alternative approaches and how to make use of these if the individual is not making satisfactory progress.</p> <p>13. The importance of agreeing with the individual when they have achieved the desired standard of performance, or when they no longer require your support.</p>		
<p>Industry/sector specific knowledge and understanding</p>		
<p>1. Industry/sector requirements for supporting individuals to improve their performance.</p>		
<p>Context specific knowledge and understanding</p>		
<p>1. Individual's needs, abilities and preferences.</p> <p>2. Possible obstacles, either organisational or individual related, which could hinder the individual's progress.</p> <p>3. Risks to individuals when applying their newly developed skills and behaviours to their work.</p> <p>4. Sources of advice, guidance and support from colleagues and/or specialists.</p>		

Additional evidence (if applicable):

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	O = DIRECT OBSERVATION OF THE LEARNER'S PERFORMANCE BY THEIR ASSESSOR	PD = PROFESSIONAL DISCUSSION
COLUMN KEY:	Q&A = OUTCOMES FROM ORAL OR WRITTEN QUESTIONING	A = ASSIGNMENT, PROJECT/CASE STUDIES
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	S = OUTCOME FROM SIMULATION, WHERE PERMITTED BY THE ASSESSMENT STRATEGY	RPL = EVIDENCE OF RECOGNITION OF PRIOR LEARNING

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Candidate signature: _____	Date: _____
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I confirm that the candidate has achieved all the requirements of this Unit.

Assessor signature: _____	Date: _____
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Countersigning assessor signature (if applicable): _____	Date: _____
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Internal verifier signature: _____	Date: _____
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Countersigning internal verifier (if applicable): _____	Date: _____
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Unit 17 (D13): Support individuals to develop and maintain their performance

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Support the individual in identifying their particular needs, abilities and preferences and take these into account when planning and providing support.						
2. Ensure that the support requirements of the individual are in line with the business objectives of the organisation.						
3. Establish with the individual: <ul style="list-style-type: none"> • the area(s) in which they want to develop their performance • the standard of performance they wish to achieve • why they want to develop their performance • the support they can expect from you, and the commitment you expect from them. 						
4. Establish with the individual: <ul style="list-style-type: none"> • the process by which you will support them. • the timescale of the process • the frequency and duration of meetings • points at which progress will be reviewed • how progress will be measured and assessed. 						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
5. Explore with the individual the skills they need to develop and the behaviours they need to change in order to meet the desired standard of performance.						
6. Explore with the individual obstacles which could hinder their progress and how to remove these obstacles.						
7. Plan with the individual how they can develop new skills and behaviours in a logical step-by-step sequence.						
8. Provide opportunities for the individual to develop new skills and experiment with alternative behaviours in a safe environment.						
9. Encourage the individual to identify and seize opportunities to apply their newly-developed skills and behaviours to their work.						
10. Explore with the individual any risks involved in applying their newly-developed skills and behaviours to their work and help them plan how to reduce these risks to levels which are acceptable to them and the organisation.						
11. Encourage the individual to reflect on their progress and articulate their thoughts and feelings about it.						
12. Monitor the individual's progress and provide specific feedback designed to improve their skills, reinforce effective behaviours and enhance their motivation to achieve the desired standard of performance.						
13. Use alternative approaches or enlist the support of colleagues and/or specialists if the individual is not making satisfactory progress.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
14. Agree with the individual when they have achieved the desired standard of performance or when they no longer require your support.						
15. Encourage and empower individuals to take responsibility for developing and maintaining their own self-awareness, performance and impact.						

Additional evidence (if applicable):

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Unit 17 (D13): Support individuals to develop and maintain their performance

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You constantly seek to develop performance.						
2. You find practical ways to overcome barriers.						
3. You keep people informed of plans and developments.						
4. You make time available to support others.						
5. You encourage and support others to make best use of their abilities.						
6. You give feedback to others to help them develop their performance.						
7. You recognise the achievements and the success of others.						
8. You inspire others with the excitement of learning.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
9. You confront performance issues and resolve them directly with the people involved.						
10. You identify clearly the value and benefits to people of a proposed course of action.						

Additional evidence (if applicable):

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Unit 18

Initiate and follow disciplinary procedure

Unit code:	D14
Unit credit:	6
Unit level:	6

Introduction

What this unit is about

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

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

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

Who is the unit for?

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

Links to other units

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

Skills

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

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

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The importance of fully informing individuals about the standards of conduct and performance expected of them and your organisation’s current procedure for dealing with misconduct or unsatisfactory performance. 2. How to carry out investigations to establish facts relating to any misconduct or unsatisfactory performance. 3. Informal approaches to dealing with cases of minor misconduct or unsatisfactory performance, and when this type of approach is likely to resolve the situation effectively. 4. The differences between misconduct, gross misconduct and unsatisfactory performance, and how each should be handled. 5. The importance of following your organisation’s formal disciplinary procedure in serious cases of misconduct or unsatisfactory performance. 6. The importance of communicating clearly, concisely and objectively, and how to do so. 7. How to keep full and accurate records throughout the disciplinary process and store these confidentially as long as, but no longer than, necessary. 		
<p>Industry/sector specific knowledge and understanding</p> <ol style="list-style-type: none"> 1. Industry/sector requirements for supporting individuals to improve their performance. 		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="312 680 347 2089">Context specific knowledge and understanding</p> <ol data-bbox="363 680 598 2089" style="list-style-type: none"> <li data-bbox="363 680 399 2089">1. Your organisation's procedures for dealing with misconduct or unsatisfactory performance. <li data-bbox="411 680 446 2089">2. The standards of conduct and performance expected of individuals. <li data-bbox="459 680 494 2089">3. Sources of advice, guidance and support from colleagues, human resources or legal specialists. <li data-bbox="507 680 542 2089">4. The limits of your own knowledge, skills and competence. <li data-bbox="555 680 598 2089">5. Your organisation's policies and procedures for keeping full and accurate records. 		

Additional evidence (if applicable):

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Countersigning internal verifier (if applicable): _____	Date: _____
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Unit 18 (D14): Initiate and follow disciplinary procedure

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

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

Additional evidence (if applicable):

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Unit 18 (D14): Initiate and follow disciplinary procedure

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.						
2. You present information clearly, concisely, accurately and in ways that promote understanding.						
3. You keep people informed of plans and developments.						
4. You give feedback to others to help them improve their performance.						
5. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.						
6. You act within the limits of your authority.						
7. You consult with internal and/or external experts when necessary.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You say no to unreasonable requests.						
2. You confront performance issues and resolve them directly with the people involved.						
3. You keep confidential information secure.						
4. You work to develop an atmosphere of professionalism and mutual support.						
5. You take and implement difficult and/or unpopular decisions, if necessary.						

Additional evidence (if applicable):

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Unit 19: Initiate and follow grievance procedure

Unit code: D15

Unit credit: 6

Unit level: 6

Introduction

What this unit is about

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

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

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

Who is the unit for?

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

Links to other units

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

Skills

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

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

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The importance of fully informing individuals about your organisation's current procedure for raising grievances. 2. Informal approaches to dealing with concerns, problems or complaints raised with you, and when this type of approach is likely to resolve the situation effectively. 3. The importance of following your organisation's formal grievance procedure, and when to do so. 4. How to conduct a meeting with an individual to discuss their grievance. 5. How to investigate the grievance fully. 6. The importance of communicating clearly, concisely and objectively, and how to do so. 7. How to keep full and accurate records throughout the grievance process and store these confidentially as long as, but no longer than, necessary. 		
<p>Industry/sector specific knowledge and understanding</p> <ol style="list-style-type: none"> 1. Industry/sector requirements for implementing grievance procedures. 		
<p>Context specific knowledge and understanding</p> <ol style="list-style-type: none"> 1. Your organisation's procedure for dealing with grievances. 2. Sources of advice, guidance and support from colleagues, human resources or legal specialists. 3. Your organisation's policies and procedures for keeping full and accurate records. 		

Additional evidence (if applicable):

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Assessor signature: _____	Date: _____
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Countersigning internal verifier (if applicable): _____	Date: _____
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Unit 19 (D15): Initiate and follow grievance procedure

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

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

Additional evidence (if applicable):

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Unit 19 (D15): Initiate and follow grievance procedure

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.						
2. You present information clearly, concisely, accurately and in ways that promote understanding.						
3. You keep people informed of plans and developments.						
4. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.						
5. You act within the limits of your authority.						
6. You consult with internal and/or external experts when necessary.						
7. You show integrity, fairness and consistency in decision-making.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
8. You keep confidential information secure.						
9. You push for concrete information in an ambiguous situation.						
10. You identify the implications or consequences of a situation.						

Additional evidence (if applicable):

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Unit 20:	Manage a budget
Unit code:	E1
Unit credit:	11
Unit level:	7

Introduction

What this unit is about

This unit is about having ownership of and being responsible for a budget for a defined area or activity of work. It initially involves preparing, submitting and agreeing a budget for a set operating period. It also involves monitoring actual performance against the agreed budget and taking necessary action in response to identified variances and any unforeseen developments.

Who is the unit for?

The unit is recommended for first line managers.

Links to other units

This unit is linked to units **D6: Allocate and monitor the progress and quality of work in your area of responsibility**, **E2: Manage finance for your area of responsibility**, **E8: Manage physical resources**, and **F4: Develop and implement marketing plans for your area of responsibility** 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 managing a budget. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Decision-making
- Monitoring
- Acting assertively
- Presenting information
- Reporting
- Learning

- Negotiating
- Consulting
- Information management
- Evaluating
- Contingency-planning
- Problem-solving

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The purposes of budgetary systems. 2. Where to get and how to evaluate the available information in order to be able to prepare a realistic budget. 3. The importance of spending time on and consulting with others in preparing a budget. 4. How to discuss, negotiate and confirm a budget with people who control the finance and the key factors that should be covered. 5. How to use a budget to actively monitor and control performance for a defined area or activity of work. 6. The main causes of variances and how to identify them. 7. What different types of corrective action which could be taken to address identified variances. 8. How unforeseen developments can affect a budget and how to deal with them. 9. The importance of agreeing revisions to the budget and communicating the changes. 10. The importance of providing regular information on performance against the budget to other people. 11. Types of fraudulent activities and how to identify them. 12. The importance of using the implementation of the budget to identify information and lessons for the preparation of future budgets. 		

Knowledge and understanding	Type of evidence	Date
Industry/sector specific knowledge and understanding		
1. Factors, processes and trends that are likely to affect the setting of budgets in your industry/sector.	1.	2.
Context specific knowledge and understanding		
<ol style="list-style-type: none"> 1. The area or activity that the budget is for. 2. The vision, objectives and operational plans for your area of responsibility. 3. The budgeting period(s) used in your organisation. 4. Organisational guidelines and procedures for the preparation and approval of budgets and for monitoring and reporting of performance against budgets and revising budgets. 5. The agreed budget, how it can be used and how much it can be changed without approval. 6. The limits of your authority. 7. Who needs information in your organisation about performance against your budget, what information they need, when they need it and in what format. 8. What to do and who to contact if you suspect fraud has been committed. 		

Additional evidence (if applicable):

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Countersigning assessor signature (if applicable): _____	Date: _____
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Countersigning internal verifier (if applicable): _____	Date: _____
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Unit 20 (E1): Manage a budget

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Evaluate available information and consult with others to prepare a realistic budget for the respective area or activity of work.						
2. Submit the proposed budget to the relevant people in the organisation for approval and to assist the overall financial planning process.						
3. Discuss and, if appropriate, negotiate the proposed budget with the relevant people in the organisation and agree the final budget.						
4. Use the agreed budget to actively monitor and control performance for the respective area or activity of work.						
5. Identify the causes of any significant variances between what was budgeted and what actually happened and take prompt corrective action, obtaining agreement from the relevant people if required.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
6. Propose revisions to the budget, if necessary, in response to variances and/or significant or unforeseen developments and discuss and agree the revisions with the relevant people in the organisation.						
7. Provide ongoing information on performance against the budget to relevant people in your organisation.						
8. Advise the relevant people as soon as possible if you have identified evidence of potentially fraudulent activities.						
9. Gather information from implementation of the budget to assist in the preparation of future budgets.						

Additional evidence (if applicable):

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Unit 21 (E1): Manage a budget

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You present information clearly, concisely, accurately and in ways that promote understanding.						
2. You act within the limits of your authority.						
3. You show integrity, fairness and consistency in decision-making.						
4. You say no to unreasonable requests.						
5. You use communication styles that are appropriate to different people and situations.						
6. You take and implement difficult and/or unpopular decisions, if necessary.						
7. You respond quickly to crises and problems with a proposed course of action.						

Additional evidence (if applicable):

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Unit 21: Manage finance for your area of responsibility

Unit code:	E2
Unit credit:	14
Unit level:	8

Introduction

What this unit is 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 the unit for?

The unit is recommended for middle managers.

Links to other units

This unit is linked to units **B1: Develop and implement operational plans for your area of responsibility**, **E1: Manage a budget**, and **E8: Manage physical resources** 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 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

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The purposes of budgetary systems. 2. The importance of agreeing financial responsibilities, including the limits of your authority, for your area with those you report to. 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. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 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. 		
<p>Industry/sector specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 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. 		
<p>Context specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 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. 		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="328 1431 360 2074">Context specific knowledge and understanding</p> <ol style="list-style-type: none"> <li data-bbox="384 792 448 2074">7. Organisational guidelines and procedures for the preparation and approval of budgets and for monitoring and reporting of performance against budgets and revising budgets. <li data-bbox="472 1106 504 2074">8. The agreed master budget for your area, including delegated budgets. <li data-bbox="528 987 560 2074">9. Systems established for managing and evaluating performance against budgets. <li data-bbox="584 1615 616 2074">10. Contingency plans put in place. <li data-bbox="639 1066 671 2074">11. What to do and who to contact if you suspect fraud has been committed. <li data-bbox="695 770 743 2074">12. Who needs information on the financial performance of your area, what information they need, when they need it and in what format. 		

Additional evidence (if applicable):

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Unit 21 (E2): Manage finance for your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Confirm your financial responsibilities, including the limits of your authority, with those you report to.						
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 ongoing support and resources.						
4. Discuss and, if appropriate, negotiate delegated budgets with colleagues and agree provisional budgets.						
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.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
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 ongoing 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.						

Additional evidence (if applicable):

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Unit 21 (E2): Manage finance for your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
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.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
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.						

Additional evidence (if applicable):

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Unit 22: Manage physical resources

Unit code: E8

Unit credit: 9

Unit level: 8

Introduction

What this unit is about

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

Who is the unit for?

The unit is recommended particularly for first-line managers and middle managers.

Links to other units

This unit is linked to units **E1: Manage a budget**, **E2: Manage finance for your area of responsibility**, **E6: Ensure health and safety requirements are met in your area of responsibility** and **E9: Manage the environmental impact of your work** 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 managing physical resources. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Communicating
- Contingency-planning
- Decision-making
- Evaluating
- Forecasting
- Influencing
- Involving others

- Monitoring
- Negotiating
- Persuading
- Planning
- Presenting information

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. Why it is important to involve those who use resources in identifying, planning and monitoring resources, and how to do so. 2. How to identify the range and calculate the quantity of resources required to carry out planned activities. 3. The importance of using sustainable resources and how to identify such resources and ensure their effectiveness and efficiency. 4. How to carry out a cost-benefit analysis. 5. How to make a business case. 6. How to develop an operational plan and make adjustments to the plan if required resources cannot be obtained in full. 7. How to make arrangements with suppliers to ensure resources are available when required. 8. The potential impact of resource use on the environment and actions you can take to minimise any adverse impact. 9. Risks associated with the types of resources used and actions you can take to ensure resources are secure and used safely. 10. The importance of monitoring the quality and use of resources continuously, and how to do so. 11. The types of corrective actions (e.g. changing planned activities, changing the ways in which resources are used for activities, renegotiating the availability of resources) you can take in case of significant discrepancies between actual and planned resource use. 		

Knowledge and understanding	Type of evidence	Date
Industry/sector specific knowledge and understanding		
1. Industry/sector requirements for managing physical resources.		
Context specific knowledge and understanding		
1. Past patterns of resource use in your area of responsibility and how to access this information. 2. Trends and developments that affect future demand for resources in your area of responsibility and how to evaluate the likely impact of these. 3. The planned activities in your area of activity and possible contingencies. 4. Actual and potential suppliers of the resources you need.		

Additional evidence (if applicable):

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Unit 22 (E8): Manage physical resources

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Invite those who use resources to contribute to identifying the resources required and planning and monitoring their use.						
2. Evaluate past patterns of resource use and trends and developments likely to affect future demand for resources.						
3. Identify the range and quantity of resources required for the planned activities in your area of responsibility, including likely contingencies.						
4. Identify sustainable resources and ensure their effectiveness and efficiency.						
5. Make the business case for the resources required, clearly showing the costs involved and the expected benefits.						
6. Agree appropriate adjustments to your planned activities, where the required resources cannot be obtained in full.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Make arrangements with suppliers for resources to be available when required.						
8. Plan to use resources in ways that are efficient and minimise any adverse impact on the environment.						
9. Take appropriate action to ensure the security of resources and that they are used safely.						
10. Monitor the quality of resources and patterns of resource use continuously.						
11. Take timely corrective action to deal with any significant discrepancies between actual and planned resource use.						
12. Make arrangements with suppliers for resources to be available when required.						

Additional evidence (if applicable):

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Unit 22 (E8): Manage physical resources

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You recognise changes in circumstances promptly and adjust plans and activities accordingly.						
2. You prioritise objectives and plan work to make the best use of time and resources.						
3. You accurately calculate risks, and make provision so that unexpected events do not impede the achievement of objectives.						
4. You monitor the quality of work and progress against plans and take appropriate corrective action, where necessary.						
5. You make best use of existing sources of information.						
6. You identify clearly the value and benefits to people of a proposed course of action.						
7. You present ideas and arguments convincingly and in ways that strike a chord with people.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
8. You identify the range of elements in a situation and how they relate to each other.						
9. You identify the implications or consequences of a situation.						
10. You take timely decisions that are realistic for the situation.						

Additional evidence (if applicable):

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Unit 23: Manage the environmental impact of your work

Unit code:	E9
Unit credit:	4
Unit level:	8

Introduction

What this unit is about

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

It involves organising work activities and the use of resources efficiently, understanding their impact on the environment and finding ways to reduce their negative and increase their positive impact. You may need to seek advice from environmental specialists when carrying out this function.

Who is the unit for?

The unit is recommended particularly for first-line managers and middle managers.

Links to other units

This unit is linked to units **B8: Ensure compliance with legal, regulatory, ethical and social requirements**, **B10: Manage risk**, **D6: Allocate and monitor the progress and quality of work in your area of responsibility** and **E8: Manage physical resources** 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 managing environmental performance in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Assessing
- Communicating
- Consulting
- Decision-making
- Evaluating
- Involving others

- Monitoring
- Planning
- Presenting information
- Reporting
- Risk management

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. How to organise work activities and the use of resources in your area of responsibility so that they are efficient and effective. 2. The importance of organising work activities and the use of resources so that they minimise their negative and maximise their positive environmental impact, and how to do so. 3. The importance of identifying the environmental impact of work activities and the use of resources in your area of responsibility, and how to do so. 4. The importance of reporting promptly any identified risks to the environment which you do not have the ability to control, and how to do so. 5. How to encourage people to make contributions. 6. How to identify and implement changes to work activities and the use of resources that will reduce their negative and increase their positive environmental impact. 7. The principles of effective communication and how to apply them. 		
<p>Industry/sector specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 1. Industry/sector requirements for managing environmental performance in your area of responsibility. 		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="312 680 347 2096">Context specific knowledge and understanding</p> <ol data-bbox="363 680 635 2096" style="list-style-type: none"> <li data-bbox="363 680 399 2096">1. Legal requirements and environmental policies and how to comply with them. <li data-bbox="411 680 446 2096">2. The types of risks to the environment, which you do not have the ability to control. <li data-bbox="459 680 539 2096">3. People in your area of responsibility who are able to contribute to, and identify opportunities for, improving environmental performance. <li data-bbox="552 680 587 2096">4. The range of environmental specialists that exists inside and/or outside your organisation. <li data-bbox="600 680 635 2096">5. Your role, responsibilities and limits of your authority. 		

Additional evidence (if applicable):

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Unit 23 (E9): Manage the environmental impact of your work

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Organise work activities and the use of resources in your area of responsibility so that they: <ul style="list-style-type: none"> • are efficient and effective • comply with legal requirements and environmental policies • minimise the negative and maximise the positive. 						
2. Identify the environmental impact of work activities and the use of resources in your area of responsibility.						
3. Report promptly any identified risks to the environment, which you do not have the ability to control.						
4. Encourage people in your area of responsibility to identify opportunities for, and contribute to, improving environmental performance.						
5. Identify and implement changes to work activities and the use of resources that will reduce the negative and increase the positive impact on the environment.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
6. Communicate the environmental benefits resulting from changes to work activities and the use of resources.						
7. Obtain specialist advice, where necessary, to help you identify and manage the environmental impact of your work activities and use of resource						

Additional evidence (if applicable):

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Unit 23 (E9): Manage the environmental impact of your work

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You recognise changes in circumstances promptly and adjust plans and activities accordingly.						
2. You present information clearly, concisely, accurately and in ways that promote understanding.						
3. You keep people informed of plans and developments.						
4. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.						
5. You act within the limits of your authority.						
6. You are vigilant for possible hazards.						
7. You make appropriate information and knowledge available promptly to those who need it and have a right to it.						
8. You encourage others to share information and knowledge efficiently within the constraints of confidentiality.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
9. You make best use of available resources and proactively seek new sources of support when necessary.						
10. You identify the implications or consequences of a situation.						

Additional evidence (if applicable):

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Unit 24: Take effective decisions

Unit code: E10

Unit credit: 4

Unit level: 8

Introduction

What this unit is about

This unit is about taking sound decisions based upon a valid analysis of the best available information. Managers at all levels need to take decisions within their area of responsibility and authority. This unit provides a structure for taking decisions that meet defined objectives and are consistent with a broader framework of values, policies and guidelines.

Who is the unit for?

The unit is recommended for managers at all levels.

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 it is necessary to take effective decisions.

Skills

Listed below are the main generic ‘skills’ that need to be applied in using information to take decisions. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Acting assertively
- Analysing
- Assessing
- Communicating
- Decision-making
- Evaluating
- Information management
- Involving others
- Prioritising
- Problem-solving
- Researching
- Setting objectives
- Time management

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The importance of involving those who are able to contribute or may be affected in the decision-making process, and how to do so. 2. The importance of setting objectives for the decision, and how to make it clear what the decision must achieve and what is outside the scope of the decision. 3. How to identify the information you need to take the decision. 4. How to judge whether you have sufficient, accurate, reliable and relevant information to allow you to take the decision. 5. How to identify if information is inadequate, unreliable, contradictory or ambiguous, and how to remedy this in a timely way. 6. How to analyse information to identify relevant facts, patterns and trends. 7. The range of options open to you and how to evaluate the options. 8. How to justify your conclusions. 9. The importance of ensuring your decisions are in line with your organisation's values, policies and guidelines. 10. The importance of showing any assumptions you have made and risks that may be involved, and how to do so. 11. The importance of taking decisions in time for necessary action to be taken. 12. How to communicate your decision clearly and concisely. 		

Industry/sector specific knowledge and understanding		
1. Industry/sector requirements for using information to take decisions.		
Context specific knowledge and understanding		
<ol style="list-style-type: none"> 1. People who are able to contribute to the decision-making process or will be affected by the decision. 2. Facts, patterns and trends that may impact on your decision. 3. Your organisation's policies, values and guidelines. 4. The scope of your authority for taking decisions and when you need to refer to someone else. 5. Whom to go to for advice if you do not have adequate information, the decision is outside your area of responsibility, or your decisions conflict with policies, values and guidelines. 		

Additional evidence (if applicable):

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Unit 24 (E10): Take effective decisions

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Identify those who may be affected by the decision and their interests.						
2. Involve, where possible, those who are able to contribute to the decision-making process or will be affected by the decision.						
3. Establish the objectives of the decision to be taken - clarify what you are really trying to achieve by taking the decision and uncover any hidden agendas.						
4. Identify the information you need to take the decision and the sources of this information.						
5. Obtain sufficient relevant information to allow you to take the decision and verify its accuracy and reliability.						
6. Take timely action to remedy inadequate, unreliable, contradictory or ambiguous information.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Analyse the information to identify facts, patterns and trends that may impact on your decision.						
8. Identify and evaluate the range of options open to you.						
9. Draw conclusions supported by reasoned arguments and reliable information, clearly stating any assumptions you have made and risks that may be involved.						
10. Take decisions <ul style="list-style-type: none"> • in line with your objectives • within the scope of your authority • consistent with values, policies and guidelines • in time for necessary action to be taken. 						
11. Obtain help and advice if <ul style="list-style-type: none"> • you do not have adequate information • the decision is outside your area of responsibility or scope of authority • your decisions are likely to conflict with values, policies and guidelines. 						
12. Communicate your decision clearly to those who are affected.						

Additional evidence (if applicable):

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Unit 24 (E10): Take effective decisions

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you:						
1. You act within the limits of your authority.						
2. You show integrity, fairness and consistency in decision-making.						
3. You check the validity and reliability of information.						
4. You push for concrete information in an ambiguous situation.						
5. You identify patterns or meaning from events and data that are not obviously related.						
6. You build a total and valid picture from restricted or incomplete data.						
7. You articulate the assumptions made and risks involved in understanding a situation.						
8. You take timely decisions that are realistic for the situation.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you:						
9. You take decisions in uncertain situations or based on incomplete information when necessary.						
10. You take and implement difficult and/or unpopular decisions, if necessary.						

Additional evidence (if applicable):

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Unit 25: Communicate information and knowledge

Unit code: E11

Unit credit: 3

Unit level: 7

Introduction

What this unit is about

This unit is about communicating information and knowledge to a wide range of people. Effective communication requires a good understanding of the people you are communicating with, their needs, motivations and ways in which they prefer to communicate. It also requires careful planning, the use of a variety of techniques to retain people's interest and attention, and flexibility to adapt the communication in response to feedback and ensure people have received and understood the information and knowledge.

Who is the unit for?

The unit is recommended for managers at all levels.

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 it is necessary to communicate information and knowledge.

Skills

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

- Analysing
- Assessing
- Communicating
- Decision-making
- Evaluating
- Involving others
- Obtaining feedback
- Planning
- Presenting information
- Providing feedback
- Reviewing

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. How to identify people's needs for information and knowledge and their motivations for acquiring it. 2. The importance of communicating information and knowledge only to those who have a right to it. 3. How to establish people's preferred communication media, languages, styles, timing and pace. 4. The importance of checking the currency, accuracy and completeness of the information and knowledge you are communicating, and how to do so. 5. How to take action to minimise any interference or disruption to your communication. 6. The importance of structuring your communication in ways that facilitate people's reception and understanding, and how to do so. 7. Techniques to gain and maintain people's attention and interest and to help them retain information and knowledge, and how to use a variety of relevant techniques. 8. The importance of using verbal and non-verbal feedback to help you fine-tune your communication, and how to do so. 9. The importance of communicating the level of confidence that can be placed on the information and knowledge, i.e.; whether it is based on rigorously researched evidence, widely accepted facts or personal opinion. 10. The importance of carefully explaining jargon, technical terms or abbreviations. 11. The importance of confirming that people have received and understood the information and knowledge you have communicated, and how to do so. 		

Knowledge and understanding	Type of evidence	Date
Industry/sector specific knowledge and understanding		
1. Industry/sector requirements for communicating information and knowledge.		
Context specific knowledge and understanding		
<ol style="list-style-type: none"> 1. The needs, motivations and preferences of the people you are communicating with. 2. Policies and legal requirements relating to communication. 3. Who has a right to the information and knowledge you are communicating. 4. The jargon, technical terms and abbreviations commonly used in the context in which you are working. 		

Additional evidence (if applicable):

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Unit 25 (E11): Communicate information and knowledge

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Identify the information and knowledge people need and why they need it.						
2. Communicate information and knowledge only to those who have a right to it, in line with policies and legal requirements.						
3. Identify how people prefer to receive information and knowledge and what media, languages, styles, timing and pace are most appropriate for communicating with them.						
4. Check that the information and knowledge you are communicating is current, accurate and complete.						
5. Take action to minimise any interference or disruption to your communication.						
6. Communicate in ways that help people to understand the information and knowledge you are communicating and its relevance to them.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Use a variety of techniques to gain and maintain people's attention and interest and to help them retain information and knowledge.						
8. Adjust and fine-tune your communication in response to both verbal and non-verbal feedback.						
9. State the level of confidence that can be placed on the information and knowledge you are communicating; i.e. whether it is based on rigorously researched evidence, widely accepted facts or personal opinion.						
10. Where you have to use jargon, technical terms or abbreviations, explain these carefully.						
11. Confirm that people have received and understood the information and knowledge you have communicated.						

Additional evidence (if applicable):

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Unit 25 (E11): Communicate information and knowledge

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You recognise the opportunities presented by the diversity of people.						
2. You identify people's information needs.						
3. You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.						
4. You identify people's preferred communication media and styles and adopt media and styles appropriate to different people and situations.						
5. You present information clearly, concisely, accurately and in ways that promote understanding.						
6. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.						
7. You check the validity and reliability of information.						
8. You make appropriate information and knowledge available promptly to those who need it and have a right to it.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
9. You seek to understand people's needs and motivations.						
10. You take timely decisions that are realistic for the situation.						

Additional evidence (if applicable):

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Unit 26: Manage a project

Unit code: F1

Unit credit: 11

Unit level: 8

Introduction

What this unit is about

This unit is about managing a project for which you have been given responsibility. This involves developing and agreeing a plan for the project and monitoring and controlling implementation of and changes to the plan.

It also involves ensuring that the project achieves its key objectives and is completed to the satisfaction of the project sponsor(s) and any key stakeholders.

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 **F2: Manage a programme of complementary projects** in the overall suite of National Occupational Standards for Management and Leadership.

There is also a suite of National Occupational Standards for project management which is aimed at those in full-time Project Management roles or whose roles have a significant Project Management component.

You can obtain further information from the Engineering Construction Industry Training Board (ECITB) on tel. 01923 260 000 or at the ECITB website (www.ecitb.org.uk) or from the Association for Project Management (APM) on tel. 0845 458 1944 or at the APM website (www.apm.org.uk).

Skills

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

- Evaluating
- Delegating
- Communicating
- Setting objectives
- Decision-making

- Leadership
- Motivating
- Negotiating
- Planning
- Problem-solving
- Information management
- Contingency-planning
- Risk management
- Reviewing
- Consulting
- Monitoring
- Thinking systematically

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The fundamental characteristics of projects as opposed to routine management functions/activities. 2. The role and key responsibilities of a project manager. 3. Key stages in the project life cycle. 4. The importance of the relationship between the project manager and the project sponsor(s) and any key stakeholders. 5. Why it is important to discuss and agree the key objectives and scope of a proposed project with the project sponsor(s) and any key stakeholders before detailed planning commences. 6. The type of information needed for effective project planning. 7. Why it is important to be able to identify and understand how a project fits with the overall vision, objectives and plans of the organisation and any programmes of work or other projects being undertaken. 8. Why it is important to consult with relevant people in developing a project plan and how to do so effectively. 9. What should be included in a project plan, particularly activities, required resources and timescales and why the plan needs to be discussed and agreed with the project sponsor(s) and any key stakeholders. 10. Why it is important that any project team members are briefed on the project plan, their roles and responsibilities and how to do so effectively. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 11. Ways of providing ongoing support, encouragement and information to any project team members. 12. Ways of identifying and managing potential risks in relation to the project. 13. The importance of contingency-planning and how to do so effectively. 14. How to select from and apply a range of basic project management tools and techniques to monitor, control and review progress of the project. 15. Effective ways of communicating with project sponsor(s) and any key stakeholders during a project. 16. The importance of agreeing changes to the project plan with the project sponsor(s) and any key stakeholders. 17. The type of changes that might need to be made to a project plan during implementation. 18. Why it is important to confirm satisfactory completion of the project with the project sponsor(s) and any key stakeholders and how to do so effectively. 19. How to establish effective systems for evaluating the success of projects and identifying lessons for the future. 20. The importance of recognising the contributions of project team members to the success of projects and different ways of doing so. 		
<p>Industry/sector specific knowledge and understanding</p> <ol style="list-style-type: none"> 1. Project management tools and techniques commonly used in the industry or sector. 2. Risks and contingencies common to the industry/sector. 3. Industry/sector specific legislation, regulations, guidelines and codes of practice. 		

Knowledge and understanding	Type of evidence	Date
<p>Context specific knowledge and understanding</p> <ol style="list-style-type: none"> 1. The project sponsor(s) - the individual or group for whom the project is being undertaken. 2. Key stakeholders - the individuals or groups who have a vested interest in the success of the project and the organisation. 3. The agreed key objectives and scope of the proposed project and the available resources. 4. The overall vision, objectives and plans of the organisation and any other relevant programmes of work or other projects being undertaken. 5. Mechanisms for consulting on the development of the project plan and the views/thoughts received from relevant people in relation to proposals. 6. The agreed project plan. 7. The roles and responsibilities of any project team members. 8. Methods used for briefing, supporting, encouraging and providing information to any project team members. 9. Sustainable processes and resources put in place to manage potential risks and deal with contingencies. 10. Type and nature of potential risks identified and contingencies encountered. 11. Specific project management tools and techniques used to monitor, control and review progress. 12. Processes in place for communicating information on progress of the project to the project sponsor(s), any key stakeholders and any project team members. 13. Processes in place for identifying and agreeing changes to the project plan and any changes which have been made. 14. Processes for confirming satisfactory completion of the project with the project sponsor(s) and any key stakeholders. 		

Knowledge and understanding	Type of evidence	Date
<p>Context specific knowledge and understanding</p> <p>15. Processes for evaluating the success of the project and any lessons which have been learned from undertaking the project.</p> <p>16. Methods used for recognising the contributions of any project team members to successful projects.</p>		

Additional evidence (if applicable):

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Unit 26 (F1): Manage a project

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Discuss and agree the key objectives and scope of the proposed project and the available resources with the project sponsor(s) and any key stakeholders.						
2. Identify how the proposed project fits with the overall vision, objectives and plans of the organisation and any programmes of work or other projects being undertaken.						
3. Develop, in consultation with relevant people, a realistic and thorough plan for undertaking the project and achieving the key objectives.						
4. Discuss and agree the project plan with the project sponsor(s) and any key stakeholders, making changes where necessary.						
5. Brief any project team members on the project plan and their roles and responsibilities and provide ongoing support, encouragement and information.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
6. Put sustainable processes and resources in place to manage potential risks arising from the project and deal with contingencies.						
7. Implement the project plan, selecting and applying a range of basic project management tools and techniques to monitor, control and review progress.						
8. Communicate progress to the project sponsor(s), any key stakeholders and any project team members on a regular basis.						
9. Identify, in the light of progress and any problems encountered and wider developments, any required changes to the project plan, obtaining agreement from project sponsors and any key stakeholders where necessary.						
10. Achieve project objectives using the agreed level of resources.						
11. Confirm satisfactory completion of the project with the project sponsor(s) and any key stakeholders.						
12. Evaluate the success of the project, identifying what lessons can be learned and recognising the contributions of any project team members.						

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Unit 26 (F1): Manage a project

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You recognise changes in circumstances promptly and adjust plans and activities accordingly.						
2. You find practical ways to overcome barriers.						
3. You present information clearly, concisely, accurately and in ways that promote understanding.						
4. You create a sense of common purpose.						
5. You make best use of available resources and proactively seek new sources of support when necessary.						
6. You act within the limits of your own authority.						
7. You are vigilant for potential risks and hazards.						
8. You take pride in delivering high quality work.						
9. You take personal responsibility for making things happen.						

Additional evidence (if applicable):

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Unit 27: Monitor and solve customer service problems

Unit code:	F6
Unit credit:	6
Unit level:	6

Introduction

What this unit is about

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

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

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

Key words and phrases for this unit

- Solve problems
- Work with others
- Keep customers informed
- Repeated problems
- Choose amongst options
- Avoid problems
- Inform
- Monitor changes
- Adjust changes

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none">1. Organisational procedures and systems for dealing with customer service problems.2. Organisational procedures and systems for identifying repeated customer service problems.3. How the successful resolution of customer service problems contributes to customer loyalty with the external customer and improved working relationships with service partners or internal customers4. The external customer and improved working relationships with service partners or internal customers.5. How to negotiate with and reassure customers while their problems are being solved.		

Additional evidence (if applicable):

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Element 1: Solve immediate customer service problems

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

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

Additional evidence (if applicable):

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Element 2: Identify repeated customer service problems and options for solving them

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Identify repeated customer service problems.						
2. Identify the options for dealing with a repeated customer service problem and consider the advantages and disadvantages of each option.						
3. Work with others to select the best option for solving a repeated customer service problem, balancing customer expectations with the needs of your organisation.						

Additional evidence (if applicable):

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Element 3: Take action to avoid the repetition of customer service problems

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Obtain the approval of somebody with sufficient authority to change organisational guidelines in order to reduce the chance of a problem being repeated.						
2. Action your agreed solution.						
3. Keep your customers informed in a positive and clear manner of steps being taken to solve any service problems.						
4. Monitor the changes you have made and adjust them if appropriate.						

Additional evidence (if applicable):

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Unit 28: Work with others to improve customer service

Unit code:	F8
Unit credit:	8
Unit level:	6

Introduction

What this unit is about

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

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

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

Key words and phrases for this unit

- Work with others
- Improve customer service
- Contribute ideas
- Co-operate with others
- Keep commitments
- Monitor own performance
- Monitor joint performance

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none">1. Who else is involved either directly or indirectly in the delivery of customer service.2. The roles and responsibilities of others in your organisation.3. The roles of others outside your organisation who have an impact on your services or products.4. What the goals or targets of your organisation are in relation to customer service and how these are set.5. How your organisation identifies improvements in customer service.		

Additional evidence (if applicable):

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Element 1: Improve customer service by working with others

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Contribute constructive ideas for improving customer service.						
2. Identify what you have to do to improve customer service and confirm this with others.						
3. Agree with others what they have to do to improve customer service.						
4. Co-operate with others to improve customer service. Keep your commitments made to others.						
5. Make others aware of anything that may affect plans to improve customer service.						

Additional evidence (if applicable):

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Element 2: Monitor your own performance when improving customer service

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Discuss with others how what you do affects customer service performance.						
2. Identify how the way you work with others contributes towards improving customer service.						

Additional evidence (if applicable):

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Element 3: Monitor joint performance when improving customer service

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Discuss with others how teamwork affects customer service performance.						
2. Identify with others how customer service teamwork could be improved.						

Additional evidence (if applicable):

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Unit 29: Prepare for and participate in quality audits

Unit code: F14

Unit credit: 6

Unit level: 8

Introduction

What this unit is about

This unit is about preparing for, and participating in, quality audits of your area of responsibility as part of a formal quality management system, such as ISO9001:2000 or sector-specific systems.

The key to a successful audit outcome is to ensure that work consistently meets quality standards and complies with relevant procedures. Preparation for the audit involves checking all relevant documentation is up to date and readily available for the audit, whilst active participation in the audit can ensure that any nonconformances are addressed and potential improvements to business processes, quality standards and/or procedures are identified.

Who is the unit for?

The unit is for managers working in environments with formal quality management systems who are required to participate in quality audits.

Links to other units

This unit is linked to units **F13: Manage quality systems** 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 carrying out quality audits. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Monitoring
- Planning
- Presenting information
- Reporting
- Researching

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. Quality management principles and methods. 2. How to monitor work to ensure it consistently meets quality standards and complies with procedures. 3. The importance of ensuring that records and documentation are complete and up to date and how to make these readily accessible to auditors. 4. How to identify areas where business processes, quality systems or procedures could be improved. 5. How to plan and monitor to ensure that corrective actions are carried out by agreed dates. 		
<p>Industry/sector specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 1. Industry/sector requirements for quality management and auditing. 		
<p>Context specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 1. The quality standards and procedures that apply to your area of responsibility. 2. The records and documentation required for your area of responsibility. 3. Corrective actions agreed in previous audits. 4. Recommendations for improvements made in previous audits. 		

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Unit 29 (F14): Prepare for and participate in quality audits

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Establish clearly the quality standards and procedures that apply to your area of responsibility.						
2. Monitor work in your area of responsibility to ensure it consistently meets quality standards and complies with procedures.						
3. Check that all relevant records and documentation are complete, up to date and accessible.						
4. Check that any corrective actions agreed in previous audits have been taken and that any recommendations have been considered and acted upon, where appropriate.						
5. Provide the auditor with access to all relevant information, records and documentation.						
6. Discuss with the auditor the results of the audit and agree appropriate corrective actions to remedy any nonconformances and the date by which the actions should be carried out.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Discuss with the auditor any areas where business processes, quality standards or procedures could be improved.						
8. Plan to carry out any agreed corrective actions and ensure that these are carried out by agreed dates.						

Additional evidence (if applicable):

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Unit 29 (F14): Prepare for and participate in quality audits

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You find practical ways to overcome barriers.						
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 show respect for the views and actions of others.						
7. You act within the limits of your authority.						
8. You use cost-effective, time-effective and ethical means to gather, store and retrieve information.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
9. You make appropriate information and knowledge available promptly to those who need it and have a right to it.						
10. You present information clearly, concisely and accurately and in ways that promote understanding.						

Additional evidence (if applicable):

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Unit 30: **Manage the delivery of customer service in your area of responsibility**

Unit code:	F17
Unit credit:	9
Unit level:	6

Introduction

What this unit is about

This unit is about managing the delivery of customer service in the manager's area of responsibility. The term 'customer' includes external customers and internal customers in other parts of the organisation.

Who is the unit for?

The unit is recommended particularly for first line managers who are required to manage the delivery of customer service as part of a broader management role. It is not aimed at specialist customer service managers, who should refer to the Customer Service National Occupational Standards.

Links to other units

This unit is linked to units **F10: Develop a customer-focused organisation** and **F11: Manage the achievement of customer satisfaction** in the overall suite of National Occupational Standards for Management and Leadership.

There is also a suite of Customer Service National Occupational Standards which is aimed at those in customer service roles or whose roles have a significant customer service component. Of particular relevance are units *25 Organise the delivery of reliable customer service* and *32 Monitor and solve customer service problems*.

You can obtain further information from the Institute of Customer Service on www.instituteofcustomerservice.com. If your organisation is a small firm, you should look at units *WB11 Decide how you will treat your business customers* and *WB12 Deliver a good service to your customers* developed by the Small Firms Enterprise and Development Initiative specifically for small firms and which may be more suitable to your needs. You can obtain information on these units from www.sfedl.co.uk.

Skills

Listed below are the main generic 'skills' that need to be applied in managing the delivery of customer service in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Acting assertively
- Analysing
- Communicating
- Information management
- Managing conflict
- Monitoring
- Obtaining feedback
- Planning
- Problem-solving
- Researching
- Reviewing
- Team-building
- Thinking with a focus on customers
- Valuing and supporting others

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. How to establish clear and measurable standards of customer service, taking into account customers' expectations and your organisation's resources. 2. How to organise staffing and other resources to meet customer service standards, and the importance of taking account of varying levels of demand and likely contingencies. 3. How to identify likely contingencies when organising staffing and other resources. 4. How to identify sustainable resources and ensure their effective use when organising the delivery of customer service. 5. The importance of ensuring customer service staff are competent to carry out their duties, and providing them with any necessary support, and how to do so. 6. The importance of ensuring staff understand the standards of customer service they are expected to deliver and the extent of their autonomy in responding to customers' requests and problems. 7. The importance of taking responsibility for dealing with customers' requests and problems referred to you, seeking advice from specialists and/or more senior managers, where necessary. 8. The importance of keeping customers informed about the actions you are taking to deal with their requests or problems. 9. How to identify and manage potential issues before they escalate into problems. 10. How to deal with customers' requests and/or problems. 		

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <p>11. The importance of encouraging staff and customers to provide feedback on their perceptions of the standards of customer service.</p> <p>12. How to monitor the standards of customer service delivered, customers' requests and problems and feedback from staff and customers, and the importance of doing so continuously.</p> <p>13. The types of customer service data available and how to analyse such data to identify the causes of problems and opportunities for improving customer service.</p> <p>14. Types of problems and opportunities for improving customer service.</p> <p>15. The importance of making or recommending changes to processes, systems and/or standards in order to improve customer service, and how to do so.</p>		
<p>Industry/sector specific knowledge and understanding</p>		
<p>1. Industry/sector requirements for the delivery of customer service.</p>	1.	2.
<p>Context specific knowledge and understanding</p>		
<p>1. Your organisation's customers and their expectations of customer service.</p> <p>2. Your organisation's complaints policy and procedures.</p> <p>3. Your organisation's available resources.</p> <p>4. Your organisation's staffing in relation to delivering customer service.</p> <p>5. Sources of advice, guidance and support from customer service specialists and/or more senior managers.</p>		

Additional evidence (if applicable):

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Unit 30 (F17): Manage the delivery of customer service in your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Establish clear and measurable standards of customer service, taking into account customers' expectations, your organisation's resources and any legal or regulatory requirements.						
2. Organise staffing and other resources to meet customer service standards, taking account of varying levels of demand and likely contingencies.						
3. Ensure customer service staff are competent to carry out their duties, and provide them with any necessary support.						
4. Ensure staff understand the standards of customer service they are expected to deliver and the extent of their autonomy in responding to customers' requests and problems.						
5. Take responsibility for dealing with customers' requests and problems referred to you, seeking advice from specialists and/or more senior managers, where necessary.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
6. Ensure customers are kept informed about the actions you are taking to deal with their requests or problems						
7. Encourage staff and customers to provide feedback on their perceptions of the standards of customer service.						
8. Continuously monitor the standards of customer service delivered, customers' requests and problems and feedback from staff and customers.						
9. Analyse customer service data to identify the causes of problems and opportunities for improving customer service.						
10. Make or recommend changes to processes, systems and/or standards in order to improve customer service.						

Additional evidence (if applicable):

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Unit 30 (F17): Manage the delivery of customer service in your area of responsibility

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You respond quickly to crises and problems with a proposed course of action.						
2. You make time available to support others.						
3. You demonstrate a clear understanding of different customers and their real and perceived needs.						
4. You give people opportunities to provide feedback and you respond appropriately.						
5. You empower staff to solve customer problems within clear limits of authority.						
6. You take personal responsibility for resolving customer problems referred to you by other staff.						
7. You recognise recurring problems and promote changes to structures, systems and processes to resolve these.						

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
8. You prioritise objectives and plan work to make the best use of time and resources.						
9. You keep promises and honour commitments.						
10. You take timely decisions that are realistic for the situation.						

Additional evidence (if applicable):

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Unit 31: Prepare sales proposals and deliver sales presentations

Unit code:	F18
Unit credit:	N/A
Unit level:	N/A

Introduction

What this unit is about

This unit is about preparing for sales opportunities, and includes developing proposals and sales quotations, and also the preparation of both formal and informal sales presentations. It includes identifying customer requirements, matching these with your organisation's objectives and the features and benefits of your products/services, and presenting a planned sales pitch.

Who is the unit for?

This unit is recommended for those involved in preparing proposals and in preparing and delivering sales presentations, but who are not necessarily sales specialists. For example, such individuals might be 'general' managers within larger organisations, or managers and/or proprietors within small to medium- sized organisations.

Related specialist units

Those seeking specialist standards offering greater depth regarding this area are referred to the following related MSSSB marketing units:

Sales units 5.1: Develop sales proposals and quotations, 5.3: Develop and deliver a professional sales presentation, and 6.4: Undertake sales demonstrations. Details of these units can be accessed via www.msssb.org.

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The content and structure of effective proposals, and the points which these need to address. 2. How to keep the proposal customer-focused. 3. The range of resources and visual aids that can be used to assist in the presentation. 4. The potential barriers that can exist in a presentation and how to overcome them. 5. How to use verbal and non-verbal communications effectively in presentations. 6. How to show customers that you are listening to them and understand their needs and wants. 7. How to read buyer signals, including verbal and non-verbal cues. 8. The variety of questioning techniques that can be used to encourage and engage customers in the presentation. 		
<p>Industry/sector specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 1. Typical procurement practices in your industry. 		
<p>Context specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 1. Details of the products/services being offered by your organisation. 2. Your customer's requirements and how these relate to your products/services. 3. Your organisation's procedures for proposal development and submission. 		

Knowledge and understanding	Type of evidence	Date
<p>Context specific knowledge and understanding</p> <p>4. The information underpinning the submission of the proposal including factors relating to pricing strategies and payment arrangements.</p> <p>5. Sales literature and promotional offers that are complementary to the presentation and will assist in securing the sale.</p> <p>6. Testimonials from satisfied customers that can be used in your presentation.</p>		

Additional evidence (if applicable):

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Unit 31 (F18): Prepare sales proposals and deliver sales presentations

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Assess your customer's needs and their interest in your organisation's products/services.						
2. Ensure that your potential customer's requirements are understood fully and that all issues requiring clarification are resolved before the proposal is finalised.						
3. Establish and develop the content of the proposal in your house style, including essential information about the products/services offered, and the price, terms and conditions of sale.						
4. Provide the required level of detail, as briefed by your prospect or customer, and supply the proposal within the agreed timescales, and follow it up with an appropriate offer of further clarification and information if that is needed.						
5. Agree with your customer the length and the content of the subsequent presentation and who will be present.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
6. Identify and evaluate the most suitable audio- visual aids for effective and innovative delivery of a presentation, and the promotional material that will most complement and enhance your presentation.						
7. Ensure that your presentation includes the benefits of your products/services, relating these to your customer's needs, and follows a format designed to attract your customer's attention.						
8. Structure your presentation in a way that maximises the impact of the information and ideas within it.						
9. Ensure that any demonstration of products/services accompanying the sales presentation are prepared prior to the meeting.						
10. Anticipate problems, constraints or objections that could be raised in response to the presentation and prepare possible responses to them.						
11. Invite your audience to ask questions and to seek clarification, listening carefully to their questions and responding positively and effectively.						
12. Aim to gain commitment to progress and, if possible, close the sale.						

Additional evidence (if applicable):

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Unit 31 (F18): Prepare sales proposals and deliver sales presentations

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. You are alert to verbal and non-verbal communication signals and respond to them appropriately.						
2. You present ideas and arguments clearly, concisely and convincingly.						
3. You demonstrate a thorough knowledge and understanding of your organisation's products/services.						

Additional evidence (if applicable):

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Unit 32: Sell products/services to customers

Unit code: F19

Unit credit: N/A

Unit level: N/A

Introduction

What this unit is about

This unit is about the activities involved within the sales cycle in matching products/services to customers' needs. It focuses upon face-to-face selling activity, and also applies to telephone contact. It includes generating sales leads, identifying customers' buying needs, promoting the features and benefits of relevant products/services, addressing queries/objections and closing sales with mutually beneficial terms and conditions.

Who is the unit for?

This unit is recommended for those involved in the selling of their organisation's products/services, but are not necessarily sales specialists. For example, such individuals might be 'general' managers within larger organisations, or managers and/or proprietors within small to medium-sized organisations.

Related specialist units

Those seeking specialist standards offering greater depth regarding this area are referred to the following related MSSSB units:

Sales units 7.1: Generate and follow up sales leads, 7.2: Sell products and services face-to-face, 7.5: Manage and facilitate case negotiations, 7.6: Handle objections and close sales, and 7.8: Demonstrate compliance with legal, regulatory and ethical requirements. Details of these units can be accessed via www.msssb.org.

What you must know and understand

To achieve this element you must give sufficient evidence to demonstrate your knowledge and understanding for each standard.

Knowledge and understanding	Type of evidence	Date
<p>General knowledge and understanding</p> <ol style="list-style-type: none"> 1. The difference between influencers and decision makers and their relative roles in the decision-making process. 2. The key stages in the sales cycle, and how to use this effectively in structuring the sales approach. 3. The importance of listening effectively, and of confirming understanding. 4. The importance of effective questioning techniques and how to use these. 5. The difference between features and benefits, and how to use these effectively in selling. 6. The typical range of behaviours displayed by customers, including body language, and how to respond to these constructively in a sales situation. 7. Typical objections that can arise in a selling situation, including the difference between sincere and insincere objections, and how to manage these effectively. 8. Effective methods for closing sales. 		
<p>Industry/sector specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 1. Legal, regulatory and ethical requirements impacting upon selling in your sector. <p>Context specific knowledge and understanding</p>		
<ol style="list-style-type: none"> 1. Your organisation's sales plans and objectives, including its target market, key customers and their requirements from your products/services. 2. Your organisation's products/services, and their features and benefits. 		

Knowledge and understanding	Type of evidence	Date
<p data-bbox="312 680 347 2089">Context specific knowledge and understanding</p> <ol data-bbox="363 680 598 2089" style="list-style-type: none"> <li data-bbox="363 680 399 2089">3. Your organisation's structure and lines of decision-making. <li data-bbox="411 680 446 2089">4. Competitor sales activities, and key features of their products/services. <li data-bbox="459 680 494 2089">5. Your own sales targets and plans for achieving these. <li data-bbox="507 680 542 2089">6. Your organisation's sales process and procedures, including recording requirements. <li data-bbox="555 680 590 2089">7. Available literature and materials to support the selling process. 		

Additional evidence (if applicable):

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Unit 32 (F19): Sell products/services to customers

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
1. Contact customers identified as sales leads, accessing those who can make buying decisions.						
2. Identify customer requirements through careful questioning, checking for understanding and summarising their buying needs and interests.						
3. Identify the key features and associated benefits of your relevant products/services, relating these to the needs identified.						
4. Discuss and assess with the customer those of your products/services which are suitable for their needs.						
5. Evaluate potential trade-offs, whereby particular aspects of the product/service's package might be enhanced whilst others of lesser importance might be reduced, which will be beneficial both to the customer and to your organisation.						
6. Provide accurate information and make proposals regarding products/services and pricing, where relevant, that meet the customer's requirements.						

Performance criteria	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard you must:						
7. Explore any queries or objections raised by the customer and identify any reasons holding the customer back from agreeing the sale.						
8. Identify and prioritise any concerns, and provide evidence to the customer of the strengths of your organisation and its products/services relevant to addressing the concerns.						
9. Check that the customer agrees how any concerns can be overcome.						
10. Interpret verbal and non-verbal buying signals given by the customer and act upon them accordingly in progressing towards closing the sale.						
11. Close the sale by gaining the commitment of the customer.						
12. Agree future contact arrangements, including post-sales calls to confirm customer satisfaction where relevant.						
13. Record all required details accurately and clearly.						
14. Fulfil all relevant legal, regulatory and ethical requirements.						

Additional evidence (if applicable):

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	O = DIRECT OBSERVATION OF THE LEARNER'S PERFORMANCE BY THEIR ASSESSOR	PD = PROFESSIONAL DISCUSSION
COLUMN KEY:	Q&A = OUTCOMES FROM ORAL OR WRITTEN QUESTIONING	A = ASSIGNMENT, PROJECT/CASE STUDIES
	P = PRODUCTS OF THE LEARNER'S WORK	WT = AUTHENTIC STATEMENTS/WITNESS TESTIMONY
	RA = PERSONAL STATEMENTS AND/OR REFLECTIVE ACCOUNTS	EPW = EXPERT WITNESS TESTIMONY
	S = OUTCOME FROM SIMULATION, WHERE PERMITTED BY THE ASSESSMENT STRATEGY	RPL = EVIDENCE OF RECOGNITION OF PRIOR LEARNING

I confirm that the evidence detailed in this Unit is my own work and meets the requirements of the National Occupational Standards.

Candidate signature: _____	Date: _____
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I confirm that the candidate has achieved all the requirements of this Unit.

Assessor signature: _____	Date: _____
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Countersigning assessor signature (if applicable): _____	Date: _____
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I confirm that the candidate's sampled work meets the standards specified for this Unit and may be presented for external verification.

Internal verifier signature: _____	Date: _____
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Countersigning internal verifier (if applicable): _____	Date: _____
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Unit 32 (F19): Sell products/services to customers

What you must do

To achieve this element you must give sufficient evidence to demonstrate your competence for each standard.

Behaviours	Type of evidence	Portfolio Reference	Date	Type of evidence	Portfolio Reference	Date
To meet the national standard:						
1. You present information clearly, concisely, accurately and in ways which promote understanding.						
2. You show respect for the views and actions of others.						
3. You work towards 'win-win' solutions.						
4. You keep promises and honour commitments.						
5. You work to develop an atmosphere of professionalism and mutual trust.						

Additional evidence (if applicable):

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	O = DIRECT OBSERVATION OF THE LEARNER'S PERFORMANCE BY THEIR ASSESSOR	PD = PROFESSIONAL DISCUSSION
COLUMN KEY:	Q&A = OUTCOMES FROM ORAL OR WRITTEN QUESTIONING	A = ASSIGNMENT, PROJECT/CASE STUDIES
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I confirm that the evidence detailed in this Unit is my own work and meets the requirements of the National Occupational Standards.

Candidate signature: _____	Date: _____
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I confirm that the candidate has achieved all the requirements of this Unit.

Assessor signature: _____	Date: _____
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Countersigning assessor signature (if applicable): _____	Date: _____
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I confirm that the candidate's sampled work meets the standards specified for this Unit and may be presented for external verification.

Internal verifier signature: _____	Date: _____
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Countersigning internal verifier (if applicable): _____	Date: _____
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