Occupational Standards
of Competence

Management

Level 4

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ACKNOWLEDGEMENTS

Qualification Overview

NVQB

in

Management

Level 4

NVQB in Management Level 4

Qualification Overview

The NVQB Management Level 4 is intended for practising middle managers at division, departmental or specialist level who are accountable to senior management or business owners. The primary role of a practising or aspiring manager is to manage individuals and teams to deliver the aims and objectives in line with the organisation's strategic plan.

Employees at this level must demonstrate that they can:

- Exercise initiative, autonomy and judgement in some activities at the professional or equivalent level.
- Take significant responsibility for planning and developing courses of action in familiar or defined contexts and for the work of others where relevant.
- Take some account of roles, responsibilities and the contribution of others in carrying out, completing and evaluating tasks.
- Exercise initiative, autonomy and judgement at some activities at the professional or equivalent level.
- Manage a range of resources within defined parameters of work.
- Work in a manner that is consistent with current professional practice.

  (Source: CARICOM Qualifications Framework)

Like all NVQs, this qualification is competence based. This means that it is linked to candidates' ability to competently perform a range of tasks connected with their work. Candidates must plan a programme of development and assessment with their assessor and compile a portfolio of evidence to prove that they are competent in their work role.

Who is the Qualification for?

This qualification is suitable for an individual who would ideally be working within an organisation or role where they can develop and demonstrate their knowledge and apply their skills of higher-level responsibilities such as implementing change, managing a budget, managing a project and managing information and knowledge systems. They can also draw on previous experience within an organisation in which they are familiar.

Jobs within the occupational area

This qualification is for individuals working in or entering the management sector in a role similar to the following:

- General manager
- Divisional manager
- Duty manager
- Operations manager
- Senior commissioned officer (Defence Force)
- Department manager
- Specialist or consultant manager

A010604 -APPROVED NATIONAL VOCATIONAL QUALIFICATION STRUCTURE

MANAGEMENT - LEVEL 4

To achieve the full qualification, candidates must complete **all** fourteen (14) units.

Mandatory Units (All must be completed)	**CODES**

1.   Manage safety and health in own area of responsibility   **UA41703**

    1.1   Evaluate responsibilities and liabilities in relation to safety and health legislation and regulations

    1.2   Assess and minimise safety and health risks in own area of responsibility

    1.3   Review safety and health policies in own area of responsibility

    1.4   Monitor safety and health in own area of responsibility

2.   Manage personal work priorities and professional development   **UA41803**

    2.1   Identify personal and professional development requirements

    2.2   Set and meet work priorities

    2.3   Develop and maintain professional competence

3.   Develop and sustain working relationships with stakeholders and organisations   **UA42804**

    3.1   Identify stakeholders and their relevance to the organisation

    3.2   Establish working relationships with stakeholders

    3.3   Create an environment of trust and mutual respect

    3.4   Establish networks and relationships

    3.5   Interact with other organisations

    3.6   Monitor and control stakeholder relationships

4.   Promote equality of opportunity, diversity and inclusion   **UA42003**

    4.1   Access sources of information and assistance related to equal opportunity policies and practices

    4.2   Promote equality of opportunity, diversity and inclusion within own area of responsibility

    4.3   Monitor equality of opportunity, diversity and inclusion within own area of responsibility

5.   Plan and manage projects   **UA42904**

    5.1   Plan and prepare a project plan

    5.2   Coordinate team members and resources for the project

    5.3   Implement the project plan

    5.4   Evaluate the completion and outcome of the project

Mandatory Units (All must be completed)   **CODES**

6.   **Initiate and implement operational change**   **UA43004**

     6.1   Develop an operational plan
     6.2   Implement an operational plan
     6.3   Manage operational change
     6.4   Evaluate the effectiveness of an operational plan
     6.5   Evaluate the effectiveness of operational change

7.   **Manage risks in own area of responsibility**   **UA43104**

     7.1   Establish the context of the risk
     7.2   Identify and analyse risks for current and planned activities
     7.3   Select and implement actions to reduce risks

8.   **Deal with conflict**   **UA42403**

     8.1   Identify causes of conflict
     8.2   Establish and implement strategies for dealing with conflict
     8.3   Evaluate the responses and outcomes of conflict

9.   **Manage flexible work arrangements**   **UA43204**

     9.1   Plan and develop flexible working arrangements
     9.2   Evaluate flexible work opportunities
     9.3   Introduce and initiate flexible working arrangements
     9.4   Review flexible working arrangements

10.   **Manage resources in own area of responsibility**   **UA43304**

     10.1   Identify and confirm resources
     10.2   Monitor resources and review processes

11.   **Manage information and knowledge management systems**   **UA43404**

     11.1   Develop information and knowledge management systems
     11.2   Evaluate information and knowledge management systems
     11.3   Monitor information and knowledge management systems in
                   own area of responsibility

12.   **Manage staff performance**   **UA43504**

     12.1   Link performance activities to organisational goals
     12.2   Set performance standards and expectations
     12.3   Measure performance achievements
     12.4   Renegotiate performance, learning and development plans
     12.5   Document and analyse collected information relating to
                   performance management

13.   Mandatory Units (All must be completed)   **CODES**

Manage teams   **UA32204**

      13.1   Confirm team requirements
      13.2   Implement strategies to manage teams
      13.3   Manage team performance
      13.4   Evaluate team performance

14.   Develop and manage budgets   **UA32604**

      14.1   Plan for and collect information for budget
      14.2   Develop budget
      14.3   Finalise budget and allocate resources
      14.4   Monitor and control budget
      14.5   Complete financial and statistical reports

UA41703   Manage safety and health in own area of responsibility

Unit Descriptor:	This unit describes the knowledge, skills and attitudes required to manage safety and health requirements in own area of responsibility. It details the outcomes required to evaluate responsibilities and liabilities, assess risks, communicate and monitor safety and health policies to comply with regulatory and organisational requirements for safety and health.

ELEMENT	PERFORMANCE CRITERIA

Candidates must be able to:

ELEMENT	PERFORMANCE CRITERIA
1. Evaluate responsibilities and liabilities in relation to safety and health legislation and regulations	1.1 Evaluate personal responsibilities and liabilities under legislative and organisational safety and health policy and procedures.
	1.2 Identify and confirm with key stakeholders, organisational responsibilities under health and safety legislation.
	1.3 Identify and consult with relevant safety and health specialists when identified issues cannot be dealt with within own remit.
2. Assess and minimise safety and health risks in own area of responsibility	2.1 Confirm that the work environment and practices in own area of responsibility comply with organisational safety and health policy statements and are reviewed at regular intervals.
	2.2 Consult regularly with persons in own area of responsibility or their representatives on safety and health issues in accordance with organisational and legislative safety and health policies and procedures.
	2.3 Confirm that a system is in place within the organisation for identifying safety and health hazards and assessing risks in own area of responsibility.

		2.4	Take prompt action to eliminate and manage identified hazards and risks within the limits of own responsibility in accordance with organisational safety and health policies and procedures.
		2.5	Refer identified hazards and risks outside own of scope of authority to appropriate persons in accordance with organisational safety and health policies and procedures.
		2.6	Confirm that sufficient resources are allocated across own area of responsibility to deal with safety, health and hygiene issues.
3.	Review safety and health policies in own area of responsibility	3.1	Confirm that the safety and health of persons and the security of resources and information are prime considerations when designing or reviewing the work environment and practices.
		3.2	Review written safety and health policies against requirements for own area of responsibility.
4.	Monitor health and safety in own area of responsibility	4.1	Evaluate the effectiveness of systems used to identify and assess health and safety hazards and risks within own area of responsibility in accordance with organisational safety and health policies and procedures.
		4.2	Communicate and discuss organisational written safety and health policies and procedures with persons in own area of responsibility and other relevant parties and confirm understanding.
		4.3	Assess the work environment within own area of responsibility against organisational safety and health policies and procedures.
		4.4	Identify and report non-compliance with organisational safety and health policies and practices within own area of responsibility, to key stakeholders.

4.5   Identify and evaluate the safety and health requirements in project or operational plans within own area of responsibility to ensure compliance with legislative and organisational safety and health policies and procedures.

RANGE STATEMENT

All range statements must be assessed

1. **Safety and health policies and procedures** may include but not limited to:

   - Safe work techniques
   - Safe work environment
   - Emergency, fire and accident
   - Security of documents, cash, equipment, people
   - Hygiene practices

2. **Risks** may include but not limited to:

   - Use and maintenance of equipment and materials
   - Poor working practices
   - Unsafe behaviour
   - Ill health issues
   - Condition of workplace

3. **Key stakeholders** may include but not limited to:

   - Senior management
   - Person responsible for organisational health and safety policy and implementation
   - Staff
   - Customers

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. Why it is important to evaluate personal responsibilities and liabilities under safety and health legislation and the organisational safety and health policies and procedures and how to do so.

2. What are the organisation's responsibilities under health and safety legislation.

3. What are the types of health and safety specialists within the organisation and industry.

4. Why it is important to identify and consult with a health and safety specialist when identified issues are outside own remit and what are the organisational procedures for doing so.

5. How to confirm with key stakeholders that the work environment and practices in own area of responsibility comply with organisational safety and health policy statements and are reviewed at regular intervals.

6. Why it is important to consult regularly with persons in own area of responsibility or their representatives on safety and health issues and what are the requirements for doing so.

7. What systems are in place within the organisation for identifying hazards and assessing risks and how to use them.

8. What action can be taken within the limits of own responsibility to eliminate and manage identified hazards and risks and what are the organisational safety and health policies and procedures for doing so.

9. What are the types of hazards and risks that may arise in the workplace in relation to safety and health.

10. How to refer identified hazards and risks outside own scope of authority to the appropriate person and what are the organisational safety and health policies and procedures for doing so.

11. Why it is important to make the safety and health of persons and the security of resources and information prime considerations when designing or reviewing working environments and practices and how to do so.

12. What are the resources required to deal with safety, health and hygiene issues.

13. How to allocate sufficient resources across own area of responsibility to deal with safety, health and hygiene issues.

14. How to review written safety and health policies against the requirements for own area of responsibility.

15. How to communicate recommendations for changes to safety and health policies to individuals within own area of responsibility and what are the organisational requirements for doing so.

16. Why it is important to share and discuss written safety and health policies to persons in own area of responsibility and other relevant parties and confirm understanding.

17. How to evaluate systems for identifying and assessing health and safety hazards and risks within own area of responsibility.

18. How to assess the work environment within own area of responsibility against organisational safety and health policies and procedures.

19. How to identify and report non-compliance with organisational safety and health policies and practices within own area of responsibility to key stakeholders.

20. How to identify and evaluate the safety and health requirements in project or operational plans within own area of responsibility to ensure compliance to legislative and organisational safety and health policies and procedures.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Personal statement
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA41803   **Manage personal work priorities and professional development**

Unit Descriptor:

> This unit deals with the knowledge, skills and attitudes required to manage own performance and professional development. Emphasis is on setting and meeting priorities, analysing information and using a range of strategies to develop further competence.
>
> This unit focuses on the need for managers to be organised, focused and skilled to effectively manage the work of others.

ELEMENT	PERFORMANCE CRITERIA

Candidates must be able to:

1.	Identify personal and professional development requirements	1.1	Evaluate current and future personal and professional development needs relating to the role, team, vision and objectives of the organisation.
		1.2	Agree upon a personal and professional development plan with manager that reflects the organisation's plans and own responsibilities and accountabilities.
		1.3	Maintain and document personal performance in varying work conditions, work contexts and contingencies.
2.	Set and meet work priorities	2.1	Prioritise and facilitate competing demands to achieve personal, team and organisational goals and objectives.
		2.2	Use technology to manage work priorities and commitments in accordance with organisational policies.
		2.3	Maintain an appropriate work-life balance and ensure stress is managed and health attended to.
3.	Develop and maintain professional competence	3.1	Assess and document personal knowledge and skills against competency standards to determine development needs, priorities and plans.

3.2   Seek feedback from relevant personnel on own development needs and use the feedback to identify and develop ways to improve competence.

3.3   Identify and participate in personal and professional development opportunities suitable to personal learning styles that address identified needs, priorities and plans.

3.4   Participate in networks to enhance personal knowledge, skills and work relationships.

3.5   Review progress toward personal and professional objectives.

3.6   Identify and develop new skills to achieve and maintain a competitive edge.

3.7   Amend the personal and professional development plan in light of feedback received from others.

RANGE STATEMENT

All range statements must be assessed:

1. **Responsibilities and accountabilities** may include but not limited to:

    -   Expectations of workplace performance as expressed in a performance plan
    -   Outputs as expressed in position descriptions
    -   Statement of conduct outlining an individual's responsibilities/actions/performance

2. **Competency standards** may include but not limited to:

    -   Organisation specific units of competency consistent with work requirements
    -   Nationally endorsed units of competency consistent with work requirements

3. **Relevant personnel** may include but not limited to:

    -   Colleagues at the same level and more senior managers
    -   Internal or external customers
    -   Team members

4. **Development opportunities** may include but not limited to:

    -   Shadowing
    -   Coaching and mentoring
    -   Structured training programs
    -   On the job

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. What are the principles and techniques involved in performance measurement.

2. Why it is important to evaluate own current and future personal and professional development needs relating to the role, team, vision and objectives of the organisation and how to do so.

3. What are the work methods and practices that can improve personal performance and professional development.

4. Why it is important to evaluate own current and future personal and professional development needs relating to the role, team, vision and objectives of the organisation and how to do so.

5. What are the components of a personal development plan.

6. Why it is important to agree a personal and professional development plan with the manager that reflects the organisation's plans and own responsibilities and accountabilities and how to do so.

7. How to maintain and document personal performance in varying work conditions, work contexts and contingencies.

8. How to prioritise and facilitate competing demands to achieve personal, team and organisational goals and objectives.

9. Which technologies to use to manage the work priorities of the team.

10. How to use technology efficiently and effectively to manage work priorities and commitments in accordance with organisational policy.

11. Why it is important to maintain an appropriate work-life balance and ensure stress is effectively managed and health attended to and how to do so.

12. What are the competency standards that relate to own work role.

13. Why it is important to assess and document personal knowledge and skills against competency standards to determine development needs, priorities and plans and how to do so.

14. How to seek feedback from relevant personnel on own development needs and use the feedback to identify and develop ways to improve competence.

15. What personal and professional development opportunities are available.

16. How to participate in personal and professional development opportunities that address identified needs, priorities and plans.

17. Why it is important to review progress toward personal and professional objectives and how to do so.

18. How to amend the personal and professional development plan in the light of feedback received from others.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Scenario
- Personal statement
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA42804	**Develop and sustain working relationships with stakeholders and organisations**

Unit Descriptor:

This unit deals with the knowledge, skills and attitudes required to develop productive and sustainable working relationships with stakeholders and organisations. It involves identifying stakeholders and their relevance to the organisation, establishing working relationships and creating an environment of trust and mutual respect.

ELEMENT	**PERFORMANCE CRITERIA**

Candidates must be able to:

1. Identify stakeholders and their relevance to the organisation	1.1 Identify and document relevant stakeholders in accordance with the strategic plan and organisational requirements.
	1.2 Evaluate and record the roles, responsibilities, interests and concerns of stakeholders in accordance with strategic plan objectives.
	1.3 Assess and document the importance of identified stakeholders in relation to strategic plan objectives.
2. Establish working relationships with stakeholders	2.1 Work with stakeholders to identify and document common goals, potential synergies and conflict between stakeholders and the organisation.
	2.2 Develop and implement appropriate communication plans in accordance with organisational requirements and the strategic plan.
	2.3 Clarify, agree and pursue a common sense of purpose with relevant stakeholders in relation to strategic plan objectives.
	2.4 Discuss and agree with relevant stakeholders, how to create an environment of trust and mutual respect in accordance with the strategic plan.

3.	Create an environment of trust and mutual respect	3.1	Review and document the needs and motivations of relevant stakeholders in accordance with organisational requirements.
		3.2	Demonstrate interaction with stakeholders that shows respect for the views and actions of others in accordance with organisational procedures.
4.	Establish networks and relationships	4.1	Identify and document the external organisations required to support organisational requirements.
		4.2	Develop networks with other organisations to support liaison and collaboration following organisational procedures and the strategic plan.
		4.3	Develop and record relationships that provide benefits to the organisation from shared expertise, information and resources in accordance with strategic plan objectives and organisational requirements.
5.	Interact with other organisations	5.1	Communicate with other organisations in a clear, concise and comprehensive manner following organisational procedures and the communication plan.
		5.2	Participate in meetings and forums that support cooperation in accordance with organisational requirements.
		5.3	Identify and consult with stakeholders that are affected by the outcomes of the interaction between organisations in accordance with organisational requirements.
		5.4	Gather information from other organisations to improve interaction and avoid duplication of effort following internal organisational procedures.

6.	Monitor and control stakeholder relationships	6.1	Select and document methods used to monitor the on-going effectiveness of stakeholder relationships in accordance with strategic plan objectives.
		6.2	Evaluate and document how changes in the environment in which stakeholders operate have impacted their relationship with the organisation.
		6.3	Review and compile a report on the effectiveness of collaborative arrangements with stakeholders in accordance with strategic plan objectives and organisational requirements.

RANGE STATEMENT

All range statements must be assessed:

1. **Stakeholders** may include but not limited to:

   - Internal customers (managers, colleagues)
   - External customers (contractors, distributors, retailers, investors, clients, shareholders)

2. **Conflict** may include but not limited to:

   - Organisational
   - Interpersonal
   - External

3. **Communication plans** may include but not limited to:

   - Service level agreements
   - Frequency of updates

4. **Methods** may include but not limited to:

   - Survey
   - Annual review
   - Ad-hoc contact
   - Account management

5. **Environment** may include but not limited to:

   - PESTEL (Political, economic, social, technological, ethical legal)
   - Potential of new entrants into industry
   - Competitors

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. Why it is important to identify and document relevant stakeholders in accordance with the strategic plan and organisational requirements and how to do so.

2. Why it is important to evaluate and record the roles, responsibilities, interests and concerns of stakeholders in accordance with strategic plan objectives and how to do so.

3. Why it is important to assess and document the importance of identified stakeholders in relation to strategic plan objectives and how to do so.

4. What are some of the potential synergies and potential conflicts that can exist between stakeholders and organisations.

5. Why it is important to identify and document common goals, potential synergies and conflict between stakeholders and the organisation and how to do so.

6. What is a communication plan.

7. Why it is important to develop and implement appropriate communication plans in accordance with organisational requirements and the strategic plan and how to do so.

8. Why it is important to clarify and agree a common sense of purpose with relevant stakeholders in relation to strategic plan objectives and how to do so.

9. Why it is important to discuss and agree with relevant stakeholders, how to create an environment of trust and mutual respect.

10. How to review and document the needs and motivations of relevant stakeholders in accordance with organisational requirements.

11. How to demonstrate interaction with stakeholders that shows respect for the views and actions of others in accordance with organisational procedures and how to do so.

12. How to identify and document the external organisations required to support the organisation's requirements.

13. How to develop networks with other organisations to support liaison and collaboration following organisational procedures and the strategic plan.

14. How to develop and record relationships that provide benefits to the organisation from shared expertise, information and/or resources in accordance with the strategic plan objectives and organisational requirements.

15. How to communicate with other organisations in a clear, concise and comprehensive manner following the organisation's procedures and communication plan.

16. How to participate in meetings and forums that support cooperation in accordance with organisational requirements.

17. When to identify and consult with stakeholders that are affected by the outcomes of interaction between organisations in accordance with organisation's requirements and how to do so.

18. How to gather information from other organisations to improve interaction and avoid duplication of effort following the internal organisation's procedures.

19. How to use key performance indicators and success criteria to monitor the effectiveness of stakeholder relationships in accordance with strategic plan objectives.

20. What are the methods used to monitor the effectiveness of stakeholder relationships.

21. How to select and document the methods used to monitor the on-going effectiveness of stakeholder relationships in accordance with the strategic plan objectives.

22. Why it is important to evaluate and document how changes in the environment in which the stakeholders operate have impacted their relationship with the organisation.

23. How to conduct a review and compile a report on the effectiveness of collaborative arrangements with stakeholders in accordance with market plan objectives and organisational requirements.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Written evidence
- Case study
- Personal statement
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA42003   **Promote equality of opportunity, diversity and inclusion**

Unit Descriptor:

> This unit deals with the knowledge, skills and attitudes required to foster and promote equality of opportunity, diversity and inclusion in the workplace.

ELEMENT	PERFORMANCE CRITERIA

Candidates must be able to:

1.	Access sources of information and assistance related to equal opportunity policies and practices	1.1	Identify the organisational and own responsibilities and liabilities under equality, diversity and inclusion legislation and any relevant codes of practice.
		1.2	Engage appropriate persons in the organisation and other key stakeholders in promoting equality of opportunity, diversity and inclusion.
2.	Promote equality of opportunity, diversity and inclusion within own area of responsibility.	2.1	Gain the commitment of management to promoting equality of opportunity, diversity and inclusion.
		2.2	Confirm that the commitment to promoting equality of opportunity, diversity and inclusion underpins organisational vision, values, objectives and plans.
		2.3	Use and ensure that employees use language and behaviour that support organisational commitment to equality of opportunity, diversity and inclusion.
3.	Monitor equality of opportunity, diversity and inclusion within own area of responsibility	3.1	Review the diversity and needs of the organisation's current and potential customers and identify areas where needs are not being satisfied and/or where the diversity of customers should be improved.
		3.2	Review the diversity of the workforce at all levels in comparison to the population and the organisation's current and potential customers and identify areas for improvement.

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3.3 Confirm that the organisation has a formal written equality, diversity and inclusion policy and action plan and that these are communicated to employees and other relevant stakeholders.

3.4 Make use of specialist expertise in relation to equality, diversity and inclusion issues, where required.

3.5 Maintain systems to monitor, review and report on progress in relation to equality of opportunity, diversity and inclusion within the organisation.

3.6 Use the findings to identify required actions and changes to practice.

RANGE STATEMENT

All range statements must be assessed:

1. **Legislation** may include but not limited to:

   - Sex discrimination
   - Race discrimination
   - Disability discrimination
   - Workplace relations

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. What are the organisational and own responsibilities and liabilities under equality, diversity and inclusion legislation and any relevant codes of practice.

2. What are the definitions of equality of opportunity, diversity and inclusion.

3. What are the different forms that discrimination and harassment might take.

4. Why it is important to engage appropriate persons in the organisation and other key stakeholders in promoting equality of opportunity, diversity and inclusion and how to do so.

5. Why it is important to gain the commitment of management to promoting equality of opportunity, diversity and inclusion and how to do so.

6. How to confirm that commitment to promoting equality of opportunity, diversity and inclusion underpins the organisational vision, values, objectives and plans.

7. Why it is important to use and ensure that employees use language and behaviour that support the organisation's commitment to equality of opportunity, diversity and inclusion and how to do so.

8. How to recognise when the behaviour, words and actions of others do not support a commitment to equality of opportunity, diversity and inclusion.

9. Why it is important to review the diversity and needs of the organisation's current and potential customers and identify areas where needs are not being satisfied and where the diversity of customers should be improved and how to do so.

10. Why it is important to review the diversity of the workforce at all levels in comparison to the population and the organisation's current and potential customers and identify areas for improvement and how to do so.

11. Why it is important for the organisation to have a formal written equality, diversity and inclusion policy and action plan and that these are clearly communicated to all employees and other relevant stakeholders.

12. How to make use of specialist expertise in relation to equality, diversity and inclusion issues, where required.

13. How to maintain systems to monitor, review and report on progress in relation to equality of opportunity, diversity and inclusion within the organisation.

14. How to use the findings to identify required actions and changes to practice.

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EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Written evidence
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA42904   Plan and manage projects

Unit Descriptor:

This unit deals with the knowledge, skills and attitudes required to plan and manage a project. This involves developing and agreeing a project plan and implementing, monitoring and controlling changes to the plan. Candidates must ensure that the project achieves its key objectives and is completed to the satisfaction of the project sponsors and any key stakeholders.

ELEMENT	PERFORMANCE CRITERIA

Candidates must be able to:

1.	Plan and prepare a project plan	1.1	Discuss and agree key objectives, scope of the proposed project and available resources with project sponsors and key stakeholders.
		1.2	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.
		1.3	Develop, in consultation with relevant persons, a realistic and thorough plan for undertaking the project and achieving key objectives.
		1.4	Discuss and agree the project plan with project sponsors and key stakeholders, making changes where necessary.
2.	Coordinate team members and resources for the project	2.1	Brief project team members on the project plan and their roles and responsibilities and provide ongoing support, encouragement and information.
		2.2	Put processes and resources in place to manage potential risks arising from the project and deal with contingencies.
3.	Implement the project plan	3.1	Implement the project plan, selecting and applying a range of basic project management tools and techniques to monitor, control and review progress.

		3.2	Communicate progress to project sponsors, key stakeholders and project team members on a regular basis.
		3.3	Identify, in the light of progress, problems encountered and wider developments and any required changes to the project plan, obtaining agreement from project sponsors and key stakeholders where necessary.
		3.4	Achieve project objectives using the agreed level of resources.
4	Evaluate the completion and outcome of the project	4.1	Confirm satisfactory completion of the project with project sponsors and key stakeholders.
		4.2	Evaluate the success of the project, identify what lessons can be learned and acknowledge the contributions of project team members.

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RANGE STATEMENT

All range statements must be assessed:

1. **Resources** may include but not limited to:

   - Service providers
   - Materials
   - Plant, equipment and tools
   - Finances
   - Specialists

2. **Stakeholders** may include but not limited to:

   - Internal customers (managers, colleagues)
   - External customers (contractors, distributors, retailers)
   - Investors
   - Clients
   - Shareholders

3. **Project management tools and techniques** may include but not limited to:

   - Tools (e.g., Smartsheet, Microsoft Project, Trello, Hive, Workzone)
   - Techniques (e.g., Agile, Prince2, Critical Chain, Gantt Charts, Work Breakdown Structure (WBS), Programme Evaluation and Review Technique (PERT)

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. What are the fundamental characteristics of projects as opposed to routine management functions/activities.

2. What are the roles and key responsibilities of a project manager and project team members.

3. What are the key stages in the project lifecycle.

4. What is the importance of the relationship between the project manager, project sponsors and key stakeholders.

5. Why it is important to discuss and agree key objectives and scope of a proposed project with project sponsors and key stakeholders before detailed planning commences.

6. What information is required for effective project planning.

7. How 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 persons 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 sponsors and key stakeholders.

10. What methods are used for briefing, supporting, encouraging and providing information to project team members.

11. Why it is important to brief project team members on the project plan, their roles and responsibilities and how to do so.

12. What are ways to provide ongoing support, encouragement and information to project team members and how to do so.

13. What are the types of risks and contingencies common to the industry or sector.

14. Why it is important to identify and manage potential risks in relation to the project and how to do so.

15. Why it important to plan for contingencies and how to do so effectively.

16. What are project management tools and techniques.

17. How to select from and apply a range of basic project management tools and techniques to monitor, control and review progress of the project.

18. What are effective ways of communicating with project sponsors and key stakeholders during a project.

19. Why it is important to agree changes to the project plan with project sponsors and key stakeholders and how to do so.

20. What are the types of changes that might need to be made to a project plan during implementation.

21. Why it is important to confirm satisfactory completion of the project with project sponsors and key stakeholders and how to do so effectively.

22. How to establish effective systems for evaluating the success of projects and identifying lessons for the future.

23. Why it is important to acknowledge the contributions of project team members to the success of projects and different ways of doing so.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Personal statement
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA43004   **Initiate and implement operational change**

Unit Descriptor:

> This unit aims to develop the knowledge and skills required to initiate and implement operational change. Upon completion of this unit, candidates will have developed an understanding of the planning and implementation of operational change and will be able to plan, prepare for, manage and evaluate operational change.

ELEMENT	PERFORMANCE CRITERIA

Candidates must be able to:

1.	Develop an operational plan	1.1	Identify and document specific, measurable, achievable, realistic and time-bound (SMART) objectives and key performance indicators (KPIs) in accordance with the operational plan.
		1.2	Identify evaluation mechanisms appropriate to the plan to ensure that the collection and analysis of information is in accordance with organisational procedures and requirements.
		1.3	Take action to ensure that plans are consistent with organisational strategy, objectives, values, policies and procedures.
		1.4	Develop proportionate and targeted plans to manage identified risks.
		1.5	Take action to ensure that plans complement and maximise synergy with other business areas.
		1.6	Adhere to organisational policies and procedures and their legal and ethical requirements.
2.	Implement an operational plan	2.1	Implement plans within agreed budgets and timescales.
		2.2	Communicate the requirements of the plans to those who will be affected.
		2.3	Revise plans in light of changing circumstances in accordance with strategic objectives and identified risks.

3.	Manage operational change	3.1	Take action to ensure that colleagues are briefed on their roles, responsibilities and the change objectives.
		3.2	Provide colleagues with the support needed to implement operational change.
		3.3	Implement the change plan within the agreed timescale using available resources.
		3.4	Assess the significance of deviations from the change plan.
		3.5	Address inter-dependency issues and tensions that affect the achievement of change objectives.
		3.6	Assess the value and risks of unintended outcomes from operational change.
		3.7	Inform stakeholders of any unforeseen obstacles or problems and the actions that have been taken.
4.	Evaluate the effectiveness of an operational plan	4.1	Conduct periodic reviews of the progress and effectiveness of plans using information from a range of sources.
		4.2	Report on the effectiveness of operational plans in the appropriate format.
5.	Evaluate the effectiveness of operational change	5.1	Evaluate and document the effectiveness of operational change against the objectives and KPIs of the operational plan and organisational requirements.
		5.2	Identify areas for improvement, justifying conclusions and recommendations with evidence.
		5.3	Communicate to stakeholders, the lessons learned from the changes implemented.

RANGE STATEMENT

All range statements must be assessed:

1. **Legal and ethical** may include but not limited to:

   - Legal (statutes, regulations and codes)
   - Ethical (values, practices and policies that shape the choices made by decision makers)

2. **Communicate** may include but not limited to:

   - Verbally
   - In writing

3. **Periodic reviews** may include but not limited to:

   - Milestone reviews
   - Relation to length of project plan

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. What are specific, measurable, achievable, realistic and time-bound (SMART) objectives and key performance indicators (KPIs) and how to identify them.

2. What are evaluation mechanisms.

3. How to identify evaluation mechanisms appropriate to the plan to ensure that the collection and analysis of information is in accordance with organisational procedures and requirements.

4. What action to take to ensure that plans are consistent with organisational strategy, objectives, values, policies and procedures.

5. What are 'identified risks'.

6. How to develop proportionate and targeted plans to manage identified risks.

7. How to take action to ensure that plans complement and maximise synergy with other business areas.

8. What are the organisation's policies, procedures, legal and ethical requirements which relate to operational change.

9. Why it is important to adhere to organisational policies, procedures and legal requirements and how to do so.

10. How to implement plans within agreed budgets and timescales.

11. How and when to communicate the requirements of plans to those who will be affected.

12. How to revise plans in light of changing circumstances in accordance with strategic objectives and identified risks.

13. How and when to take action to ensure that colleagues are briefed on their roles, responsibilities and the change objectives.

14. What type of support to provide to colleagues to implement operational change.

15. How to implement the change plan within agreed timescale using available resources.

16. What are the different types of deviations that may need to be made to a plan and why.

17. How to assess the significance of deviations from the change plan.

18. What types of interdependency issues and tensions can affect the achievement of change objectives.

19. How to address interdependency issues and tensions that affect the achievement of change objectives.

20. How to assess the value and risks of unintended outcomes from operational change.

21. Why it is important to inform stakeholders of any unforeseen obstacles or problems and the actions that have been taken and how to do so.

22. How to conduct periodic reviews of the progress and effectiveness of the plans, using information from a range of sources.

23. How to report on the effectiveness of operational plans in the appropriate format.

24. How to evaluate and document the effectiveness of operational change against the objectives and KPIs of the operational plan.

25. How to identify areas for improvement, justifying conclusions and recommendations with evidence.

26. Why it is important to communicate to stakeholders, the lessons learned from changes implemented and how to do so.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Personal statement
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA43104   Manage risks in own area of responsibility

Unit Descriptor:	This unit deals with the knowledge, skills and attitudes required to evaluate and manage risks in own area of responsibility and communicate information on risks to relevant stakeholders.

ELEMENT	**PERFORMANCE CRITERIA**

To be competent you must achieve the following:

1.	Establish the context of the risk	1.1	Review organisational processes, procedures and requirements for undertaking risk management within own area of responsibility.
		1.2	Determine the scope for risk management processes within own area of responsibility.
		1.3	Review the strengths and weaknesses of existing arrangements for undertaking risk management within own area of responsibility.
2.	Identify and analyse risks for current and planned activities	2.1	Identify potential risks in current and planned activities within own area of responsibility.
		2.2	Use tools and techniques to generate a list of risks that apply to the scope in consultation with relevant stakeholders.
		2.3	Assess the nature of identified risks, their potential impact or consequences and the probability of them happening.
		2.4	Identify ways and means of minimising the impact and likelihood of potential risks for current and planned activities.
		2.5	Provide information on identified risks and the potential consequences to relevant stakeholders.
3.	Select and implement actions to reduce risks	3.1	Develop an action plan that is proportionate to the risk and available resources, related to own area of responsibility.

3.2 Implement an action plan in accordance with organisational requirements.

3.3 Monitor ongoing risk-related developments and amend plans in light of changing circumstances in accordance with organisational requirements.

3.4 Keep relevant stakeholders informed of developments and their possible consequences.

3.5 Evaluate and document the effectiveness of actions taken, identifying possible future improvements.

RANGE STATEMENT

All range statements must be assessed:

1. **Risk** may include but not limited to:

   - Compliance risks (laws and regulations)
   - Operational risks (own failure, processes failure, technical failure)
   - Financial risks (extra costs, lost revenue)

2. **Scope** may include but not limited to:

   - Specific project or business area
   - External or internal environment

3. **Tools and techniques** may include but not limited to:

   - Brainstorming
   - Checklists
   - Flowcharts
   - Scenario analysis

4. **Stakeholders** may include but not limited to:

   - Internal customers (managers, colleagues)
   - External customers (contractors, distributors, retailers, investors, clients, shareholders)

5. **Impact or consequences** may include but not limited to:

   - Severe impact (high level of risk, not acceptable)
   - Moderate impact (medium level of risk, may be acceptable, the development of increase in risk must be monitored regularly)
   - Minimal impact (low level of risk, acceptable, monitored on regular basis)

6. **Evaluate** may include but not limited to:

   - Consider the likelihood of the risk occurring
   - Consider the impact of the risk
   - Determine which risks are most significant and are therefore priorities for treatment

7. **Action plan** may include but not limited to:

   - Required actions
   - Responsibility for actions
   - Time-ines
   - Monitoring processes

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1.   What are the organisational processes, procedures and requirements for undertaking risk management within own area of responsibility.

2.   What are the potential risks within own area of responsibility.

3.   What is a risk management process.

4.   Why it is important to determine the scope for risk management processes within own area of responsibility and how to do so.

5.   What is a SWOT analysis and how these are conducted.

6.   How to review the strengths and weaknesses of existing arrangements for undertaking risk management within own area of responsibility.

7.   How to identify potential risks in current and planned activities within own area of responsibility.

8.   Which tools and techniques to use to generate a list of risks that apply to the scope.

9.   Who are the relevant stakeholders with whom to consult when considering the scope of the risk.

10.   How to distinguish between high, moderate and minimum risks.

11.   Why it is important to assess the nature of identified risks, their potential impact or consequences and the probability of them happening and how to do so.

12.   How to identify ways and means of minimising the impact and likelihood of potential risks for current and planned activities.

13.   Why it is important to provide information on identified risks and the potential consequences to relevant stakeholders.

14.   How to develop an action plan that is proportionate to the risk and the available resources related to own area of responsibility in accordance with organisational requirements.

15.   How to implement an action plan in accordance with organisational requirements.

16.   How to monitor ongoing risk-related developments and amend plans in light of changing circumstances and the organisational requirements for doing so.

17.   Why it is important to keep relevant stakeholders informed of developments and their possible consequences.

18.   How to evaluate and document the effectiveness of actions taken, identifying possible future improvements.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Personal statement
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA42403   **Deal with conflict**

Unit Descriptor:

> This unit deals with the knowledge, skills and attitudes required to handle difficult interpersonal situations and address conflict that may arise in day-to-day work activities. It includes identifying the causes of conflict, establishing and implementing strategies for dealing with conflict and evaluating responses and outcomes.

ELEMENT	**PERFORMANCE CRITERIA**

Candidates must be able to:

1.	Identify the causes of conflict	1.1	Identify and document the conflict situation, including causes and establish the position of each party.
		1.2	Take steps to prevent escalation of the conflict in accordance with organisational procedures.
		1.3	Accept and treat all points of view with respect in accordance with organisational policy and procedures.
		1.4	Identify, clarify and confirm factors and issues relevant to the situation with those involved.
		1.5	Identify and confirm the scope of own authority when dealing with and resolving conflicting situations.
		1.6	Initiate proceedings to settle conflict with minimal delay in accordance with legislation and organisational procedures.
2.	Establish and implement strategies for dealing with conflict	2.1	Use effective conflict resolution techniques to deal with complaints.
		2.2	Encourage all parties involved to take shared responsibility for finding a solution to the situation.

		2.3	Provide assertive feedback to all parties within the scope of own authority and accept constructive feedback non-defensively.
		2.4	Agree on outcomes that meet individuals' requirements in accordance with organisational policy.
		2.5	Seek assistance where necessary and in accordance with organisational procedures.
3.	Evaluate response and outcomes of conflict	3.1	Maintain records and reports in accordance with organisational procedures and requirements.
		3.2	Observe and assess incidents when reviewing and debriefing the situation according to organisational requirements.
		3.3	Evaluate and review the effectiveness of responses in accordance with organisational procedures.

RANGE STATEMENT

All range statements must be assessed

1. **Conflict situations** may include but not limited to:

   - Conflict amongst work colleagues or work teams
   - Employee complaints or grievances
   - Customer complaints or grievances

2. **Causes** may include but not limited to:

   - Differences of opinion
   - Different ways of working
   - Poor communication
   - Workplace bullying
   - Customer dissatisfaction
   - Personality, religious or cultural differences

3. **Conflict resolution techniques** may include but not limited to:

   - Collaboration
   - Negotiation
   - Persuasion
   - Mediation

4. **Legislation** may include but not limited to:

   - Regulations and guidelines relating to the management of conflict in the workplace
   - Codes of practice

5. **Assistance** may include but not limited to:

   - From mediators
   - From senior management
   - From colleagues

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. What are different types of conflict situations experienced within the workplace.

2. What are the typical causes of conflict within the workplace.

3. Why it is important to analyse the conflict situation, including causes and establish the position of each party and how to do so.

4. Why it is important to take steps to prevent the escalation of the conflict and when and how to do so.

5. Why it is important to accept and treat all points of view with respect and how to do so.

6. Why it is important to identify, clarify and confirm factors and issues relevant to the situation and how to do so.

7. Why it is important to identify and confirm the scope of own authority when dealing with and resolving conflicting situations.

8. Why it is important to initiate proceedings to settle conflict with minimal delay, when to do so and what are the legislative and organisational procedures for doing so.

9. How to initiate organisational procedures to settle conflict with minimal delay.

10. What is conflict resolution.

11. What are effective conflict resolution techniques to deal with complaints.

12. Why it is important to encourage all parties involved to take shared responsibility for finding a solution to the situation and how to do so.

13. Why it is important to provide assertive feedback to all parties within the scope of own authority and accept constructive feedback from the parties non-defensively and how to do so.

14. Why it is important to agree on outcomes that meet individuals' requirements and organisational policies.

15. Why it is important to seek assistance, where necessary, in accordance with organisational procedures and when to do so.

16. Why it is important to maintain records and reports in accordance with organisational procedures and how to do so.

17. Why it is important to observe incidents accurately and constructively when reviewing and debriefing the situation and how to do so.

18. Why it is important to evaluate and review the effectiveness of responses in accordance with organisational procedures and how to do so.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Personal statement
- Scenarios
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA43204   **Manage flexible working arrangements**

Unit Descriptor:

> This unit deals with the knowledge, skills and attitudes required to make decisions regarding the flexible working of staff.
>
> Candidates must understand the range of flexible working arrangements available covering both when persons work full/part/flexi-time, time off in lieu, job sharing, annual hours, etc. and where persons work from home.

ELEMENT	PERFORMANCE CRITERIA

Candidates must be able to:

1. Plan and develop flexible working arrangements	1.1 Engage staff and other key stakeholders in developing and managing flexible working arrangements in accordance with organisational policies and requirements.
	1.2 Provide staff with information on their rights under flexible working legislation and the organisation's flexible working policies.
	1.3 Provide staff with information on the flexible working arrangements available to them.
2. Evaluate flexible work opportunities	2.1 Evaluate the range of flexible working arrangements and identify those which are consistent with the nature of the organisational business, strategy and values.
	2.2 Evaluate opportunities to introduce flexible working arrangements to support business processes and the achievement of organisational objectives.
	2.3 Consider the impact of flexible working arrangements on the management of own area and other parts of the organisation.
3. Introduce and initiate flexible working arrangements	3.1 Introduce flexible working arrangements in consultation with staff and other key stakeholders.

		3.2	Verify that flexible working arrangements are compatible with the workload of the team and the achievement of the department and organisational objectives.
		3.3	Consider requests for flexible working from staff and seek to accommodate these where possible in accordance with organisational requirements.
		3.4	State clear reasons why a flexible working request cannot be granted, ensuring that the reasons are consistent with organisational policy and legal requirements.
		3.5	Handle appeals against decisions to grant flexible working requests in line with organisational policies and legal requirements.
		3.6	Seek support from key stakeholders in clarifying and confirming the organisation's flexible working arrangements, where necessary.
4.	Review flexible working arrangements	4.1	Engage staff and other key stakeholders on a regular basis in reviewing flexible working arrangements.

RANGE STATEMENT

All range statements must be assessed:

1. **Flexible working arrangements** may include but not limited to:

   - Staff who work in office (full/part/flexi-time, time off in lieu, job sharing)
   - Staff who work from home

2. **Key stakeholders** may include but not limited to:

   - Senior management
   - Human resources department

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UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. How to engage staff and other key stakeholders in developing and managing flexible working arrangements in accordance with organisational policy and requirements.

2. What is the range of flexible working arrangements within the organisation.

3. What are the legal requirements relating to flexible working arrangements.

4. Why it is important to provide staff with information on their rights under flexible working legislation and the organisation's flexible working policy and how to do so.

5. How to evaluate the range of flexible working arrangements and identify those which are consistent with the nature of the organisational business, strategy and values.

6. How to evaluate opportunities to introduce flexible working arrangements to support business processes and the achievement of organisational objectives.

7. Why it is important to consider the impact of flexible working arrangements on the management of own area and other parts of the organisation.

8. How to introduce flexible working arrangements in consultation with staff and other key stakeholders.

9. How to verify that flexible working arrangements are compatible with the workload of the team, the achievement of the area and organisational objectives.

10. Why it is important to consider requests for flexible working from staff and seek to accommodate these, where possible in accordance with organisational requirements.

11. Why it is important to state clear reasons why flexible working requests cannot be granted, ensuring these reasons are consistent with organisational policy and legal requirements and how to do so.

12. How to handle appeals against a refusal to grant a flexible working request in line with organisational policy and legal requirements.

13. When and how to seek support from key stakeholders in clarifying and confirming the organisation's flexible working arrangements, where necessary.

14. Why it is important to engage staff and other key stakeholders on a regular basis in reviewing flexible working arrangements.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

| **UA43304** | **Manage resources in own area of responsibility** |

Unit Descriptor:

> This unit deals with the knowledge, skills and attitudes required to manage the necessary financial and physical resources to carry out planned activities in own area of responsibility. It involves identifying the resources and planning how they will be used effectively, efficiently, sustainably, safely and securely while monitoring resource use and taking corrective action, if required.

ELEMENT	**PERFORMANCE CRITERIA**

Candidates must be able to:

1.	Identify and confirm resources	1.1	Identify the range and quantity of required resources for planned activities in own area of responsibility, including likely contingencies.
		1.2	Gather and evaluate available financial information and the objectives and associated plans for own area and consult with colleagues to identify priorities, potential problems and risks for resource management.
		1.3	Discuss and if appropriate, negotiate budgets and agree on provisional budgets with colleagues.
		1.4	Identify sustainable physical resources and ensure their effectiveness and efficiency.
		1.5	Make the business case for required resources, clearly showing the costs involved and the expected benefits.
2.	Monitor resources and review processes	2.1	Establish systems to monitor and evaluate performance against budgets, the master budget and recommend contingency plans.
		2.2	Identify the causes of significant variances between what was budgeted for and what occurred and discuss and ensure prompt corrective action is taken, obtaining agreement from relevant persons if required.
		2.3	Monitor and review the performance of personnel within own area of responsibility and provide feedback to ensure the efficient use of resources.

2.4   Agree on appropriate adjustments to planned activities where required resources cannot be obtained in full.

2.5   Take timely, corrective action to deal with significant discrepancies between actual and planned use of resources.

2.6   Encourage colleagues in own area to think about and identify ways of reducing expenditure and cost savings, selecting and pursuing those ideas which have the potential for implementation.

2.7   Review the financial performance and management of resources in own area, particularly in relation to the achievement of stated objectives and identify improvements for the future.

RANGE STATEMENT

All range statements must be assessed:

1. **Resources** may include but not limited to:

    - Physical (equipment and materials)
    - Human
    - Financial

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

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. What is 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 if the required resources cannot be obtained in full.

7. How to make arrangements with suppliers to ensure resources are available when required.

8. What is the potential impact of resource use on the environment and actions you can take to minimise any adverse impact.

9. What are the risks associated with the types of resources used and actions you can take to ensure resources are secure and used safely.

10. What is the importance of monitoring the quality and use of resources continuously and how to do so.

11. What are the types of corrective actions you can take in case of significant discrepancies between actual and planned resource use (e.g., changing planned activities, changing the ways in which resources are used for activities, renegotiating the availability of resources).

12. How to promptly identify changes in circumstances and adjust plans and activities accordingly.

13. How to prioritise objectives and plan work to make the best use of time and resources.

14. How to accurately calculate risks and make provisions so that unexpected events do not impede the achievement of objectives.

15. How to monitor the quality of work and progress against plans and take appropriate corrective action, where necessary.

16. How to make best the use of existing sources of information.

17. How to clearly identify persons and the value and benefits of a proposed course of action.

18. How to present ideas and arguments convincingly for attaining resources.

19. What is the purpose of budgetary systems.

20. What is the importance of confirming financial responsibilities for own area, including the limits of own authority, with those to whom you report.

21. Where to obtain and how to evaluate available financial information to prepare a realistic master budget for own area.

22. What is the importance of taking account of the objectives and associated plans of own area in developing and operating the master budget.

23. Why it is important to consult with colleagues in identifying priorities, potential problems and risks and generally preparing the budget for own area and how to do so.

24. How to discuss, negotiate and confirm budgets with colleagues in own area and with persons who control the finances and the key factors that should be covered.

25. How to establish systems to monitor and evaluate performance against budgets.

26. Why contingency plans are important and what type of contingencies you need to make.

27. What are the main causes of variances and how to identify them.

28. What different types of corrective action could be taken to address identified variances.

29. Why it is important to agree on revisions to the budget and communicate the changes.

30. What is the importance of providing regular information on the financial performance of own area to relevant persons and what they might need to know.

31. What are the different types of fraudulent activities that may occur and how to identify them.

32. How to encourage colleagues to think about ways of reducing expenditure and increasing income.

33. How to review the financial performance of own area against stated objectives.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real working environment.

(2) Method of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Case study
- Personal statement
- Witness testimony
- Professional discussion
- Products of work

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **must not be used** except in exceptional circumstances where natural work evidence is unlikely to occur.

UA43404   Manage information and knowledge management systems

Unit Descriptor:	This unit describes the knowledge, skills and attitudes required to manage an information and knowledge management system. It applies to owns who are responsible for ensuring that key information and organisational knowledge is retained, made accessible to others and improves business outcomes. The unit applies to information and knowledge management systems which comprise policies, protocols, procedures and practices to manage information and knowledge within the organisation and among relevant stakeholders.

ELEMENT	**PERFORMANCE CRITERIA**

Candidates must be able to:

1.	Develop information and knowledge management systems	1.1	Identify the relevant legislation and organisational regulations regarding information and knowledge systems.
		1.2	Engage appropriate colleagues and other key stakeholders in developing, implementing and maintaining organisational or departmental information and knowledge systems.
		1.3	Establish the current and likely future information and knowledge needs of persons within own area of responsibility and other key stakeholders.
		1.4	Select technologies and suppliers capable of meeting current and likely future information and knowledge needs to the level of security required within resource constraints.
		1.5	Establish the required levels of security for information and knowledge systems in accordance with organisational procedures and requirements.
2.	Evaluate information and knowledge management systems	2.1	Evaluate the capability and capacity of existing organisational information and knowledge systems to meet current and likely future needs and identify required changes and enhancements.

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		2.2	Evaluate the capability of technologies and suppliers to meet current and likely future organisational information and knowledge needs.
		2.3	Establish the need for new or modified protocols to allow information and knowledge systems to be used and make these available to persons within own area of responsibility and other key stakeholders.
		2.4	Share and implement plans to introduce changes and enhancements to information and knowledge systems in accordance with organisational procedures.
		2.5	Evaluate the training and ongoing support required to enable persons to use information and knowledge systems in a safe and effective manner.
3.	Monitor information and knowledge management systems in own area of responsibility	3.1	Confirm that maintenance and updating of information and knowledge systems are carried out in accordance with the organisation's policies and procedures for the management of information and knowledge systems.
		3.2	Monitor the security of systems and their effectiveness in meeting information and knowledge needs and take effective action to address any problems in accordance with organisational procedures and requirements.
		3.3	Implement any changes to improve information and knowledge management systems in accordance with organisational procedures and requirements.
		3.4	Monitor change and development in the information and knowledge development process and keep persons within own area of responsibility and other key stakeholders updated.

3.5   Contact IT support to inform of any issues relating to the information and management system in accordance with organisational policies and procedures.

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RANGE STATEMENT

All range statements must be assessed:

1. **Stakeholders** may include but not limited to:

   - Internal to the organisation
   - External to the organisation

2. **Systems** may include but not limited to:

   - Electronic
   - Paper-based

3. **Policies and procedures** may include but not limited to:

   - Complying with legislative requirements (privacy, confidentiality, defamation, etc.)
   - Content guidelines, mechanisms, formats and styles of input to system
   - Permissions for input
   - Removing out of date, inaccurate information and content that is no longer relevant
   - Sharing knowledge in the system

4. **Issues** may include but not limited to:

   - Backup problems
   - Contingencies
   - Loss of information
   - Data corruption
   - Disaster recovery

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. Why it is important to engage appropriate colleagues and other key stakeholders in developing, implementing and maintaining information and knowledge systems.

2. What are the current and likely future information and knowledge needs of persons within the organisation or own area of responsibility and other key stakeholders.

3. What are the best practice principles for effective information and knowledge management.

4. What are the risks associated with information and knowledge management and their potential implications.

5. What are the levels of security required for information and knowledge systems in accordance with organisational procedures and requirements.

6. How to evaluate the capability and capacity of existing information, knowledge and communication systems to meet current and likely future needs and identify changes and enhancements required.

7. Why it is important to evaluate the capability of technologies and suppliers to meet current and likely future information and knowledge needs and how to do so.

8. Which technologies and suppliers to select that are capable of meeting current and likely future information and knowledge needs to the level of security required within resource constraints.

9. Why it is important to establish the need for new or modified protocols to allow information and knowledge systems to be used effectively and securely and make these available to persons within own area of responsibility and other key stakeholders.

10. Why it is important to evaluate the training and ongoing support required to enable persons to use information and knowledge systems effectively, efficiently and securely and how to do so.

11. How to develop, share and implement plans to introduce changes and enhancements to information and knowledge systems.

12. What are the policies and procedures for monitoring the information and knowledge systems.

13. Why it is important to ensure that the maintenance and updating of information and knowledge systems are carried out in accordance with policies and procedures for the information and knowledge management systems.

14. Why it is important to monitor the security of systems and their effectiveness in meeting information and knowledge needs and take effective action to address any problems and how to do so.

15. How to implement changes to improve knowledge management.

16. Why it is important to monitor change and development in the information and knowledge development process and keep persons within own area of responsibility and other key stakeholders updated and how to do so.

17. Why it is important to contact IT support to inform of any issues relating to the information and management system in accordance with organisational policies and procedures and how to do so.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Products of work
- Case study
- Witness testimony
- Professional discussion
- Personal statement

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA43504   **Manage staff performance**

Unit Descriptor:

> This unit deals with the knowledge, skills and attitudes required to manage performance in accordance with the organisational performance management system. It includes linking own and/or workgroup activities to organisational goals, setting performance expectations, measuring performance achievements and renegotiating performance and development plans.
>
> The knowledge and skills described in this unit must be applied within the regulatory and policy environment in which they are carried out.

ELEMENT	PERFORMANCE CRITERIA

Candidates must be able to:

1.	Link performance activities to organisational goals	1.1	Educate staff and other stakeholders on performance management processes and the benefits and links between performance management and organisational strategic goals.
		1.2	Align individual and workgroup activities with organisational goals and agreed targets in consultation with team members.
		1.3	Identify, link and explain to individuals, the organisation's mission, vision and strategic priorities in accordance with individual roles.
		1.4	Prioritise own and team activities in accordance with organisational goals and objectives.
2.	Set performance standards and expectations.	2.1	Identify and clarify performance standards to members of staff in own area of responsibility.
		2.2	Consult, negotiate and agree upon performance standards with members of staff in own area of responsibility.

	2.3	Develop and agree upon performance, learning and development plans to document team and individual performance targets, standards and professional development objectives.
	2.4	Develop performance targets and key performance indicators with individuals within own area of responsibility.
	2.5	Initiate the implementation of individual work plans to guide improvement in work performance and outcomes in accordance with organisational requirements.
3. Measure performance achievements	3.1	Monitor, appraise, measure and address individual performance against performance, goals and organisational outcomes.
	3.2	Manage and document disagreement, conflict or challenges regarding individuals' performance, goals and required organisational outcomes.
	3.3	Provide the opportunity for individual to make suggestions for improvement regarding disagreement, conflict and challenges.
	3.4	Identify and reward outstanding individual and team performance as an acknowledgement of improved performance and outcomes according to organisational goals and objectives.
	3.5	Identify unsatisfactory individual and team performance and develop an employee performance improvement plan according to organisational policies and procedures.
	3.6	Identify areas and implement strategies to continuously improve performance and outcomes.
	3.7	Provide individuals with regular feedback to encourage improvement in performance, outcomes, organisational goals and agreed targets.

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4.	Renegotiate performance, learning and development plans	4.1	Document and use the results of the performance management process to identify strengths and gaps in performance.
		4.2	Identify learning strategies and facilitate the transfer of skills to other staff.
		4.3	Renegotiate and agree upon performance standards with individuals to enhance performance according to own work plans and organisational requirements.
		4.4	Identify and agree upon learning and development objectives with individuals to enhance performance and meet developing organisational and workgroup goals.
5.	Document and analyse collected information relating to performance management	5.1	Document agreed individual performance standards and related professional development according to organisational requirements.
		5.2	Obtain and analyse collected information relating to performance management to identify organisational outcomes and trends.
		5.3	Record trends requiring intervention with supporting evidence and reports according to established procedures.
		5.4	Identify and report the impact of performance outcomes on career management, retention and succession strategies in accordance with the organisation's mission, vision and strategic priorities.

RANGE STATEMENT

All range statements must be assessed:

1. **Stakeholders** may include but not limited to:

   - Internal to the organisation
   - External to the organisation

2. **Performance management processes** may include but not limited to:

   - Planning, setting and agreeing performance measures
   - Progress meetings
   - Evaluating and annually appraising work performance

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. Why it is important to educate staff and other stakeholders on performance management processes, benefits and the links between performance management and organisational strategies.

2. How to identify, link and explain the organisation's mission, vision and strategic priorities in accordance with individual roles.

3. Why it is important to align individual and workgroup activities with organisational goals and agreed targets in consultation with workgroup members and how to do so.

4. How to prioritise individual and workgroup activities.

5. How to identify and clarify performance standards.

6. How to consult, negotiate and agree upon performance standards with members of staff in own area of responsibility.

7. How to develop and agree upon performance, learning and development plans with individual to document team and own performance targets, standards and professional development objectives.

8. How to develop performance targets and key performance indicators.

9. How and when to implement performance plans to guide improvement in work performance and outcomes.

10. Why it is important to monitor, appraise, measure and address individual performance against performance goals and required organisational outcomes and how to do so.

11. Why it is important to manage and document disagreement, conflict or challenges regarding individual's performance goals and required organisational outcomes and how to do so.

12. Why it is important to provide individuals with the opportunity to make suggestions for improvement regarding disagreement, conflict and challenges and what are the organisational requirements for doing so.

13. Why it is important to identify and reward the outstanding performance of individuals as an acknowledgement of improved performance and outcomes according to organisational goals and objectives.

14. Why it is important to identify and implement areas and strategies to continuously improve performance and outcomes and what are the organisational requirements for doing so.

15. When and how to provide regular encouragement and feedback on performance.

16. Why it is important to document and use the results of performance management processes to identify strengths and gaps in performance and what are the organisational requirements for doing so.

17. How to identify learning strategies to inform knowledge management strategies to facilitate the transfer of skills to other staff.

18. Why it is important to renegotiate and agree upon performance standards and how to do so.

19.   How to identify and agree upon individual learning and development objectives to enhance performance and meet developing organisational and workgroup goals.

20.   Why it is important to document agreed performance standards and related professional development and what are the organisational requirements for doing so.

21.   How to obtain and analyse collected information relating to performance management to identify organisational outcomes and trends and how to do so.

22.   Why it is important to record trends requiring intervention with supporting evidence and reports and what are the organisational requirements for doing so.

23.   Why it is important to identify and report on the impact of performance outcomes on career management, retention and succession strategies in accordance with the organisation's mission, vision and strategic priorities and how to do so.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates must prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real work environment.

(2) Methods of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Products of work
- Case study
- Witness testimony
- Professional discussion
- Personal statement

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA32204	Manage teams

Unit Descriptor:	This unit describes the knowledge, skills and attitudes required to provide direction to members of a team and support and manage them to achieve team and own objectives.

ELEMENT   PERFORMANCE CRITERIA

Candidates must be able to:

1.	Confirm team requirements	1.1	Analyse and record the requirements for teams according to organisational procedures.
		1.2	Develop and record key performance indicators (KPIs) for the team according to business strategies and organisational procedures.
		1.3	Confirm the key roles and responsibilities of team members with relevant personnel in accordance with organisational policies and procedures.
		1.4	Allocate resources to support the attainment of the team and organisational KPIs according to standard operating procedures.
2.	Implement strategies to manage teams	2.1	Communicate organisational targets, standards, culture and business expectations to the team in an open and honest manner in accordance with organisational policies and procedures.
		2.2	Promote the balanced participation of team members in discussions and activities in accordance with organisational policies and procedures.
		2.3	Negotiate work roles to balance team goals, job requirements and team members' individual differences according to standard operating procedures.

3.	Manage team performance	3.1	Implement strategies for providing training, coaching and mentoring to the team in accordance with organisational policies and procedures.
		3.2	Implement strategies for addressing individual and team performance and for providing feedback to the team in accordance with organisational policies and procedures.
		3.3	Develop positive working relationships with the team to facilitate effective performance.
		3.4	Review the team's individual and overall conduct and performance according to organisational procedures.
		3.5	Manage the allocation of resources to support the attainment of targets and KPIs.
4.	Evaluate team performance	4.1	Collect and record qualitative and quantitative data to evaluate achievement of KPIs.
		4.2	Apply evaluation data to determine, record and implement improvements to maximise achievement of KPIs.

RANGE STATEMENT

All range statements must be assessed:

1. **Record** may include but not limited to:

   - Manual

   - Electronic

2. **Communicate** may include but not limited to:

   - Verbal
   - Written
   - Email

3. **Feedback** may include but not limited to:

   - Constructive
   - Sandwich

UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. What are the different ways of communicating effectively with members of a team.

2. How to plan for the achievement of team objectives and the importance of involving team members in this process.

3. Why it is important to demonstrate to team members how personal work objectives contribute to the achievement of team objectives.

4. What is feedback, the various types of feedback and the most effective feedback methods to use with the team.

5. How to obtain and make use of feedback from others on own leadership performance and style of leadership.

6. How to provide feedback to the team on their development and performance.

7. How to select and successfully apply methods for motivating, supporting and encouraging team members and recognising their achievements.

8. What are the types of difficulties and challenges that may arise and the ways in which these can be identified and addressed.

9. Why it is important to encourage others to take the lead and the ways in which this can be achieved.

10. How to encourage and recognise creativity and innovation within a team.

11. Who are the individuals within the team, their roles, responsibilities, competencies and potential.

12. What is the team's purpose, objectives and plans.

13. What are the personal work objectives of team members.

14. What are the types of support and advice that team members are likely to need and how to respond to those needs.

15. How to evaluate situations and problems within the team and make sound decisions.

16. What are the various decision making methodologies and best practices.

17. Why decision making is critical in leading and managing the team effectively.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates have to prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real working environment.

(2) Method of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Written evidence
- Witness testimony
- Professional discussion

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

UA32604   Develop and manage budgets

Unit Descriptor:	This unit describes the knowledge, skills and attitudes required to collect and analyse information as well as develop and manage a budget in a variety of situations.

ELEMENT		**PERFORMANCE CRITERIA**

Candidates must be able to:

1.	Plan for and collect information for budget	1.1	Confirm areas for which the budget is being prepared with relevant personnel and analyse the information required for development.
		1.2	Agree upon the budget parameters with estimates based on research, consultation and negotiation with relevant personnel.
		1.3	Consult with relevant personnel in the budget planning process as required according to standard operating procedures.
2.	Develop budget	2.1	Draft the budget based on the analysis of available information according to organisational policy.
		2.2	Identify and support income and expenditure estimates with reliable information and circulate the draft budget to relevant personnel for review and comments.
3.	Finalise budget and allocate resources	3.1	Provide the final budget for relevant personnel according to standard operating procedures.
		3.2	Inform relevant personnel affected by the budget, of its limits and goals in their work area and clarify financial management and reporting responsibilities in accordance with standard operating procedures.
		3.3	Obtain agreement to budget priorities from relevant personnel and allocate resources according to standard operating procedures.

4.	Monitor and control budget	4.1	Confirm actual income and expenditure against the budget and present budget reports to relevant personnel according to standard operating procedures.
		4.2	Respond to deviations in the budget, take appropriate action and advise relevant personnel on the status of the budget according to organisational procedures.
5.	Complete financial and statistical reports	5.1	Complete required financial and statistical reports accurately and within designated timelines according to standard operating procedures.
		5.2	Make appropriate recommendations about future financial planning to relevant personnel in accordance with standard operating procedures.
		5.3	Provide clear and accurate reports to appropriate personnel in accordance with organisational policies and procedures.

RANGE STATEMENT

All range statements must be assessed:

1. **Budgets** may include but not limited to:

   - Normal operating
   - Capital expenditure

2. **Resources** may include but not limited to:

   - Human
   - Financial
   - Physical (materials and equipment)
   - Time
   - Quotations
   - Contracts
   - Strategic plan (KPIs)

3. **Deviations** may include but not limited to:

   - Major
   - Minor

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UNDERPINNING KNOWLEDGE AND SKILLS

Candidates must know and understand:

1. What are budgets.

2. What are the role and purpose of budgets within organisations.

3. How do the goals and strategic plans of an organisation and objectives of a project influence budgets.

4. Where to obtain and evaluate information for the preparation of budgets.

5. What is the importance of consulting with others to develop the budget.

6. How to discuss, negotiate and confirm a budget with persons who control finance and what key factors should be covered.

7. What are the types of budgets developed.

8. What are the organisational policies and procedures relevant to preparing and controlling budgets.

9. How to prepare, monitor and control budgets.

10. How to use budgets for the allocation of resources within an organisational context.

11. How to use a budget to actively monitor and control performances of a budget.

12. What are the main causes of deviations from a budget.

13. What are the different types of corrective action which could be taken to address identified deviations from the budget.

14. What is the importance of agreeing revisions to the budget.

15. What are the various types of fraudulent activity and how to identify them.

16. How to evaluate a budget performance.

17. What is the budget period used in the organisation.

18. What are the organisational guidelines and procedures for the preparation and approval of budgets and how to monitor and report performance against budgets and revised budgets.

19. What are the limits of own authority.

20. How to prepare financial reports and to whom these reports are provided.

21. Who needs information in the organisation about the performance of the budget, when do they need it and in what format.

22. How to calculate deficits.

23. What are balance, surplus and deficits when constructing a budget.

24. How to calculate balance, surplus and deficits when constructing a budget.

EVIDENCE GUIDE

For assessment purposes:

(1) Critical Aspects of Evidence

Candidates have to prove that they can carry out **all** of the elements, meeting **all** the performance criteria, range and underpinning knowledge **on more than one occasion**. This evidence must come from a real working environment.

(2) Method of Assessment

Assessors should gather a range of evidence that is valid, sufficient, current and authentic.

Evidence may be collected in a variety of ways including:

- Observation
- Written/oral questioning
- Written evidence
- Witness testimony
- Professional discussion

Questioning techniques should not require language, literacy or numeracy skills beyond those required in this unit of competency.

(3) Context of Assessment

This unit may be assessed on the job, off the job or a combination of both. Where assessment occurs off the job, that is the candidate is not in productive work, then an appropriate simulation must be used where the range of conditions reflects realistic workplace situations. The competencies covered by this unit would be demonstrated by a candidate working alone or as part of a team. The assessment environment should not disadvantage the candidate.

The candidate must have access to all tools, equipment, materials and documentation required. The candidate must be permitted to refer to any relevant workplace procedures, product and manufacturing specifications, codes, standards, manuals and reference materials.

Simulation **should not be used**, except in exceptional circumstances where natural work evidence is unlikely to occur.

Assessment methods

The methods which can be used to determine competence in performance and underpinning knowledge.

Assessors

The Assessor guides and assesses the candidate. His/her role is to determine whether evidence presented by a candidate for assessment within the programme meets the required standard of competence in the relevant unit or element. The Assessor needs to be competent to assess to national standards in the area under assessment.

Approved Centre

Organisation/Centre approved by the TVET Council to offer full National Vocational Qualifications.

Case Studies

In situations where it is difficult for workplace assessment to take place, case studies can offer the candidate an opportunity to demonstrate potential competence.

A case study is a description of an actual or imaginary situation presented in some detail. The way the case study is presented will vary depending upon the qualification, but the most usual methods are written, taped or filmed.

The main advantage of a case study is the amount of evidence of underpinning knowledge they can generate and the specific nature of the evidence produced.

Competence

In the context of vocational qualifications, competence means: the ability to carry out prescribed activities to nationally pre-determined standards in an occupation. The definition embraces cognitive, practical and behavioural skills, underpinning knowledge and understanding and the ability to react appropriately in contingency situations.

Element

An element is a description of an activity which a person should be able to do. It is a description of an action, behaviour or outcome which a person should be able to demonstrate.

Explanation of NVQ Levels

NVQs cover five (5) levels of competence, from entry level staff at Level 1 through to senior management at Level 5.

Level 4	**Glossary of Terms**

Level 1 - Entry Level

Recognises competence in a range of varied work activities performed in a variety of contexts. Most work activities are simple and routine. Collaboration with others through work groups or teams may often be a requirement. Substantial supervision is required especially during the early months evolving into more autonomy with time.

Level 2 - Skilled Occupations

Recognises competence in a broad range of diverse work activities performed in a variety of contexts. Some of these may be complex and non-routine and involve some responsibility and autonomy. Collaboration with others through work groups or teams and guidance of others may be required.

Level 3 - Technician and Supervisory Occupations

Recognises competence in a broad range of complex, technical or professional work activities performed in a wide variety of contexts, with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources are often a requirement. The individual is capable of self-directed application, exhibits problem solving, planning, designing and supervisory capabilities.

Level 4 - Technical Specialist and Middle Management Occupations

Recognises competence involving the application of a range of fundamental principles and complex techniques across a wide and unpredictable variety of contexts. Requires very substantial personal autonomy and often significant responsibility for the work of others, the allocation of resources, as well as personal accountability for analysis, diagnosis, design, planning, execution and evaluation.

Level 5 - Chartered, Professional and Senior Management Occupations

Recognises the ability to exercise personal professional responsibility for the design, development or improvement of a product, process, system or service. Recognises technical and management competencies at the highest level and includes those who have occupied positions of the highest responsibility and made outstanding contribution to the promotion and practice of their occupation.

External Verifier

The External Verifier is trained and appointed by the TVET Council and is competent to approve and ensure an approved Centre's quality of provision.

Internal Verifier

The Internal Verifier acts in a supporting role for Assessors to ensure consistent quality of assessment and competence. They need to be competent to assess to national standards in the area under assessment.

NVQ

National Vocational Qualifications (NVQs) are work-based qualifications that assess an individual's competence in a work situation and certify that the individual can perform the work role to the standards expected in employment.

NVQs are based on national occupational standards of competence drawn up by standards-setting bodies as Industry Lead Bodies. The standards describe the level and breadth of performance that is expected of persons working in the industry or sector which the NVQ covers.

NVQ Coordinator

The NVQ Coordinator is the centre contact within each approved Centre offering NVQs. He/she has overall responsibility for the operation and administration of the NVQ system.

Observation

Observation of the candidate carrying out his/her job in the workplace is the assessment method recommended in the vast majority of units and elements. Observation of staff carrying out their duties is something that most supervisors and managers do every day.

Performance Criteria

Performance criteria indicate what is required for the successful achievement of an element. They are descriptions of what you would expect to see in competent performance.

Product of Work

This could be items produced during the normal course of work, which can be used for evidence purposes such as reports, menus, promotional literature, training plans, etc.

Questioning

Questioning is one of the most appropriate ways to collect evidence to assess a candidate's underpinning knowledge and understanding.

Questioning can also be used to assess a candidate in those areas of work listed in the range which cannot be assessed by observation. Guidance on when this assessment method can be used is given in the assessment guidance of each individual element.

As an assessment method, questioning ensures you have all of the evidence about a candidate's performance. It also allows you to clarify situations.

Range statements

The range puts the element of competence into context. A range statement is a description of the range of situations to which an element and its performance criteria is intended to apply.

Range statements are prescriptive therefore each category must be assessed.

Role-plays

Role-plays are simulations where the candidate is asked to act out a situation in the way he/she considers "real" people would behave. By using role-play situations to assess a candidate you are able to collect evidence and make a judgment about how the candidate is most likely to perform. This may be necessary if the range specified includes a situation in which the candidate is unlikely to find himself/herself in the normal course of their work, or where the candidate needs to develop competence before being judged competently, for example, in a disciplinary situation.

Simulations

Where possible, assessment should always be carried out by observing **natural performance** in the workplace. **Simulated performance**, however, can be used where specified to collect evidence about an aspect of the candidate's work which occurs infrequently or is potentially hazardous; for example, dealing with fires.

By designing the simulated situation, briefing the candidate and observing his/her performance, you will be able to elicit evidence which will help you judge how a candidate is **most likely** to perform in real life.

Supplementary evidence

Supplementary evidence can be used to confirm and support performance evidence. Types of supplementary evidence include witness testimonies, reports, journals or diaries, records of activities, personal statements, simulation (see note in glossary).

Underpinning knowledge

Underpinning knowledge indicates what knowledge is <u>essential</u> for a person to possess in order to successfully achieve an element and prove total competence.

Units

A unit of competence describes one or more activities which form a significant part of an individual's work. Units are accredited separately but in combination can make up a vocational qualification. There are three categories of units:

Mandatory units - are core to a qualification and must be completed.

Optional units - candidates must choose the required number of individual units, specified in the qualification structure, to achieve the qualification.

Level	
4	**Glossary of Terms**

Work-based projects

Work-based projects are a useful way for you to collect evidence to support any decision you make about a candidate's performance. They are particularly appropriate in determining the level of a candidate's underpinning knowledge and understanding where it may be insufficient to rely only on questioning observation.

A project often involves the identification of a solution to a specific problem identified by you and/or the candidate (such as looking at ways to redress a recent drop in sales), or may be a structured programme of work built around a central situation or idea (such as the introduction of a new job rostering process).