Level 5 NVQ in Occupational Health and Safety Practice (3644)

Candidate logbook

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Contents
                     Page

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Introduction

This pack contains information and guidance to help you to achieve your National Vocational Qualification (NVQ). NVQs are widely recognised by the employers as the most important vocational qualifications.

Unlike other qualifications, NVQs require you to take an active part in your assessment. This Guide and Logbook will help you to plan, collect and organise the evidence you need to gain an NVQ.

Good luck!

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What's it all about?

You are about to start a programme of workplace training and assessment leading to a National Vocational Qualification. This candidate guide has been written in order to provide you with information and support as you work through achieving your qualification.

As you make progress you will be able to demonstrate that you have the necessary practical skills and the knowledge to do your work effectively and efficiently.

What is a National Vocational Qualification?

National Vocational Qualifications (NVQs) aim to increase the skills of people, just like you, working in a wide range of industries. Developing the skills of each individual, wherever they work and whatever they do, fulfils a basic individual need for personal growth. Developing your individual skills also fulfils the needs of your employer in the drive to be competitive and to succeed. It is a vital component for any business wishing for success, competing in domestic and world markets.

NVQs have been, and will continue to be, developed for all industries, and are supported by government. They have been designed to provide valid and relevant vocational qualifications for people at work. They are about being competent in your work – being able to do something and understanding why it is done that way. They are written by industry and are known as 'national occupational standards'.

Each NVQ is made up of a number of different **units of competence.** Each **unit** describes the standards of a broad area of work that a competent person should be able to perform. There may be a unit summary which describes what the unit is about and clarifies key words and phrases.

Each **unit** is broken down into a number of **elements**. Taken together the elements show what needs to be done to achieve the whole unit.

The elements will include information about
- the standards of performance expected
- the types of evidence which you will need to produce
- the depth and breadth of the evidence you are required to produce (shown in range statements)
- the knowledge required.

There are two types of unit in this award:
Mandatory – you will have to achieve these in order to achieve the qualification overall
Optional – you may be able to choose from a range of optional units depending on where you work in the industry.

To gain your NVQ certificate you will be expected to show competence in the mandatory units and, when you have successfully completed the relevant units, you will be able to claim your NVQ. The certificate will be awarded by City & Guilds. Even if you only complete some of the units, you will still be able to claim unit certification.

Details about the structure of the qualifications(s), the units etc are provided on page 7.

The Level 5 NVQ in Occupational Health and Safety Practice

The Level 5 NVQ in Occupational Health and Safety Practice is a work-based qualification, designed for candidates who are in senior or strategic positions as health and safety managers/officers/advisors and similar roles within the work environment.

The units are the responsibility of the Employment NTO - the National Training Organisation for this sector.

There is a section entitled 'About this unit' with each unit which explains what is covered by that unit.

Following this, each **unit** has been broken down into elements.

The **elements** contain:
the **performance criteria** (i.e. 'You must be able to...' references 1, 2, 3 etc)
the related **knowledge and understanding (**references a), b), c) etc)
and the **evidence requirements** (i.e. the evidence you will need to produce to demonstrate your competence).

There is also a **Notes** section in each unit which offers clarification of what is expected in terms of evidence or defining terms used in the unit.

Recommended entry to qualification

The candidates are required to hold the Level 4 NVQ qualification in Occupational Health and Safety Practice, or equivalent. The nature of the learning required for the qualification is such that candidates will also need basic literacy and numeracy skills. Candidates will need to be able to organise written information clearly and coherently.

Centres will need to make an initial assessment of each candidate and decide on the most appropriate level of qualification.

Occupational Health and Safety Practice Standards - Structure of the NVQ

The Level 5 NVQ in Occupational Health and Safety Practice is a **twelve unit** qualification. You must achieve all of the mandatory units (401-403, 415, 417, 501-504) plus 3 units from the additional group (505-514).

Unit no Standards	*Unit title*	*City & Guilds Unit no*
Mandatory units		
Unit G3	**Evaluate and develop own practice**	**401**
Element 3.1	Evaluate own practice	401.1
Element 3.2	Identify self-development needs	401.2
Unit H2	**Promote a positive health and safety culture**	**402**
Element H2.1	Gain commitment to a positive health and safety culture	402.1
Element H2.2	Develop and implement links with appropriate people and groups on health and safety matters	402.2
Unit H3	**Develop and implement the health and safety policy**	**403**
Element H3.1	Define the statutory and practical health and safety requirements	403.1
Element H3.2	Develop the health and safety policy	403.2
Element H3.3	Implement the health and safety policy	403.3
Unit H15	**Influence and keep pace with improvements in health and safety practice**	**415**
Element H15.1	Identify new developments in health and safety	415.1
Element H15.2	Influence professional colleagues on health and safety matters	415.2
Unit B3	**Manage the use of financial resources (MSC)**	**417**
Element B3.1	Make recommendations for expenditure	417.1
Element B3.2	Control expenditure against budgets	417.2
Unit H1	**Develop and review the organisation's health and safety strategy**	**501**
Element H1.1	Identify external factors which have an impact on health and safety	501.1
Element H1.2	Identify and plan an appropriate change process for health and safety	501.2
Element H1.3	Implement the change process	
Unit P11	**Develop a strategy and plan for people resourcing change management**	**502**
Element P11.1	Review and develop a strategy for responding to changes in people resourcing	502.1
Element P11.2	Review and develop a plan for responding to changes in people resourcing	502.2
Element P11.3	Take responsibility for implementing the people resourcing plan	502.3
Element P11.4	Evaluate the effectiveness of the people resourcing change strategy	502.4

Unit no Standards	Unit title	City & Guilds Unit no
Unit L2	**Identify the learning and development needs of the organisation**	**503**
Element L2.1	Review how capable the whole organisation is of meeting its development needs	503.1
Element L2.2	Develop a learning and development programme for the organisation	503.2
Unit B5	**Secure financial resources for your organisation (MSC)**	**504**
Element B5.1	Review the generation and allocation of financial resources	504.1
Element B5.2	Evaluate proposals for expenditure	504.2
Element B5.3	Obtain financial resources for your organisation's activities	504.3

Optional units *(candidates must choose THREE from the following)*

Unit no Standards	Unit title	City & Guilds Unit no
Unit G2	**Contribute to the development of learning within the organisation**	**505**
Element G2.1	Ensure the contribution of learning to the organisation	505.1
Element G2.2	Contribute to the learning strategies and processes of the organisation	505.2
Element G2.3	Assist the organisation to sustain learning processes	505.3
Unit C13	**Manage the performance of teams and individuals (MSC)**	**506**
Element C13.1	Allocate work to teams and individuals	506.1
Element C13.2	Agree objectives and work plans with teams and individuals	506.2
Element C13.3	Assess the performance of teams and individuals	506.3
Element C13.4	Provide feedback to teams and individuals on their performance	506.4
Unit H4	**Develop and implement effective communication systems for health and safety information**	**507**
Element H4.1	Develop and implement communication systems for health and safety information into your organisation	507.1
Element H4.2	Develop and implement communication systems for health and safety information within your organisation	507.2
Element H4.3	Develop and implement communication systems for health and safety information out of your organisation	507.3
Unit H16	**Develop and implement systems and procedures to minimise environmental impact of the organisation**	**508**
Element H16.1	Identify the hazards and assess the risks of environmental impact	508.1
Element H16.2	Determine environmental impact control measures and active and reactive performance monitoring	508.2
Element H16.3	Develop, implement and test emergency procedures for environmental impact events	508.3
Element H16.4	Keep stakeholders informed of environmental protection measures	508.4
Unit A2	**Manage activities to meet requirements (MSC)**	**509**
Element A2.1	Implement plans to meet customer requirements	509.1
Element A2.2	Maintain a healthy, safe and productive work environment	509.2
Element A2.3	Ensure products and services meet quality requirements	509.3
Unit A4	**Contribute to improvements at work (MSC)**	**510**
Element A4.1	Improve work activities	510.1
Element A4.2	Recommend improvements to organisational plans	510.2

Unit no Standards	Unit title	City & Guilds Unit no
Unit L4	**Design learning programmes**	**511**
Element L4.1	Choose options for meeting learning needs health and safety information into your organisation	511.1
Element L4.2	Design learning programmes for learners	511.2
Unit L8	**Manage the contribution of others to the learning process**	**512**
Element L8.1	Agree roles and resources with contributors	512.1
Element L8.2	Co-ordinating the activities of contributors	512.2
Element L8.3	Monitoring and reviewing how effective contributors are	512.3
Unit P13	**Design, deliver and evaluate changes to organisational structure**	**513**
Element P13.1	Review the current organisational structure	513.1
Element P13.2	Make appropriate recommendations for changes to organisational structure	513.2
Element P13.3	Implement recommended changes to organisational structure	513.3
Element P13.4	Develop the processes and evaluate the changes to organisational structure	513.4
Unit P14	**Contribute to the design, deliver and evaluation of work processes**	**514**
Element P14.1	Review current work processes	514.1
Element P14.2	Review the impact of changes to technology on work processes	514.2
Element P14.3	Make appropriate recommendations for change to work processes	514.3
Element P14.4	Implement changes to work processes	514.4
Element P14.5	Develop the procedures and systems to evaluate the changes to work processes	514.5

Who will be involved in my NVQ?

Assessment for your NVQ is carried out at your centre, which has been approved by City & Guilds. Your centre may be your place of work, a college, training agency or a combination of these.

The people involved in your assessment are as follows:

The candidate
That's you! You are the most important person of all because without you, NVQs would not exist. Your responsibilities as a candidate are to:
- negotiate and agree an assessment programme with your assessor
- negotiate and develop a personal action plan with dates for review and assessment
- collect the evidence which proves your competence in your job
- organise and reference the evidence in a portfolio
- judge the evidence against the standards of competence to see whether it is adequate to present for assessment
- present the evidence for assessment; this may include:
  - attending an assessment interview
  - being available to discuss your evidence with the internal and /or external verifier if requested.

Later in this guide we will explain how you can identify and collect evidence.
We will also explain what is meant by assessment and how you can prepare for being assessed in your daily work.

The assessor
- will have experience in your area of work, must be occupationally competent and is most likely to be your immediate supervisor or manager
- will themselves have achieved or be working towards an NVQ qualification to allow them to act as an assessor
- will help you plan and organise your evidence
- is responsible for making the decision about your evidence and judging when you are competent

The internal verifier
- is responsible for maintaining the quality of assessment within the centre by checking and validating assessment decisions made by assessors
- will have experience in your area of work and must be technically competent
- will themselves have achieved or be working towards an NVQ qualification to allow them to act as an internal verifier. In some circumstances the internal verifier might also be an assessor.

The external verifier
- is appointed by City & Guilds to ensure that all assessments undertaken in your centre are fair, valid, consistent and that your centre meets the required national standard
- will make regular visits to your centre to observe assessments and examine portfolios of evidence
- makes regular reports to City & Guilds confirming what happens with assessment practice in your centre.

The expert witness
Wherever possible, the evidence which you produce should be witnessed. For example your assessor, line manager or colleagues may witness an activity or authenticate a document as being your own work.

Witness status
Witnesses fall into three main categories of experience:
1. Occupational expert and A1, A2 / V1, V2 assessor who is familiar with the standards
2. A1, A2 / V1, V2 assessor without occupational competence
3. Occupational expert who is familiar with the standards.

In some circumstances it may be possible to accept witness testimony from a non-occupational expert, e.g. for evidence for a non-vocationally specific skill such as dealing with clients, validating a competition result. In these cases, the following two categories of witness may be valid:
4. Occupational expert who is not familiar with the standards
5. Non-expert not familiar with the standards

Why do you need witnesses?
It is important to demonstrate that the evidence was produced by you under the circumstances described. The witness is therefore able to observe and report on your performance on tasks which produce evidence towards the NVQ. **Only the approved assessor is qualified to judge your evidence**. The job of the expert witness is to report to the assessor their observations of your performance.

How do you involve a witness?
The key to this is planning. In many cases someone, for example a colleague, may naturally be involved with your work and so be able to witness and authenticate evidence. However, if the work is usually unobserved, you might arrange for someone to be present (where practical) to observe your performance. Alternatively where you are working directly with or for a customer, you might ask the customer to act as a witness.

What do they have to do?
After observing you work, the witness will need to write a short statement describing what you actually did. The witness should be aware of performance criteria for the activity and the evidence requirements which are explained in the standards.
One person may witness many pieces of evidence and on each occasion, the witness must sign and date the Witness Statement Form. You must ensure that each witness is recorded, with a signature in the Witness Status List.
A Witness Statement Form and a Witness Status List have been included for you to photocopy and use in the section of this guide *Documents provided for inclusion in your portfolio.*
Only the approved assessor is qualified to judge the candidate's evidence. The job of the expert witness is to report to the assessor their observations of the candidate's performance.

How will my competence be assessed?
Occupational competence can be described as the consistent demonstration of skill, knowledge and understanding, to the standard specified by the performance criteria for each unit of the NVQ. Each unit relates to competence in a different area of activity within a job.

Assessment of your competence will be based upon realistic work place situations, performing purposeful and recognisable tasks which will require a combination of skills and

related knowledge. For each unit of the NVQ, the evidence requirements are clearly stated and support the performance criteria.

Achieving your NVQ requires you to provide sufficient evidence which shows that you can work to the National Occupational Standards contained within the qualification.

Most assessment for your NVQ will be carried out by your assessor observing you at work and by questioning you about what you are doing. The basic sources of evidence include the following:

Performance at work

Observation in the workplace is an essential source of evidence. Your assessor will watch you working and assess your performance against the National Occupational Standards. Assessment guidance and examples of evidence have been provided for each element in the standards. Evidence may also be provided by witness statements, work records, job sheets, or a diary of your work. Although evidence can be provided by witnesses, no unit of your NVQ can be signed off as complete without the involvement of a qualified assessor.

Performance of specially set tasks

You may be asked to undertake a particular activity, e.g. a project or case study, often in a college or other training environment.

Questioning

Questioning may be oral or written, usually occurring as a result of an observed assessment Your assessor will ask you questions to make sure you have the necessary knowledge and understanding to carry out your job activities to the national standard. Answers to questions will be recorded in your portfolio.

Historical evidence

You may have done things in the past which are applicable to your NVQ. These may be used as evidence, provided that they are sufficiently current and relevant to the NVQ standard, e.g. a relevant qualification. This is sometimes known as Accreditation of Prior Experiential Learning (APEL).

What is evidence?

Evidence is what you will need to provide in order to prove your competence, your ability to do the job and so meet the standards. You can draw on past experience to provide such evidence as well as collecting evidence from your current job. Your evidence will need to be filed and indexed in a portfolio - guidance on this follows. First we need to concentrate on what the potential sources are and what is acceptable as evidence.

Background evidence

A copy of your CV, a copy of your previous or current job description and any previous certificates which relate to this award.
You can also include performance evidence from previous experiences and achievement

- CV
- Job descriptions
- Certificates
- Records of achievement
- Accounts of experience
- Case studies or projects from previous work
- Licences
- Records of courses attended
- Staff appraisals
- Products
- Endorsements
- Employer references

If you wish to bring forward a large amount of evidence from past experience, please discuss this with your assessor to help you plan the presentation of this evidence.

Observed performance and products of performance

Work is a natural source of evidence and if your work includes the activities described in the elements for any of the units of the NVQ, then your assessor can readily observe you to judge your competence, particularly if the assessor is your supervisor or line manager. If the activity covered by a unit is rare and is not likely to occur during the assessment period, then your assessor may advise you to use an alternative source of evidence.

Often there are products from the assessed activity which should be retained as a valuable source of evidence, for example:

- Letters relating to work
- Completed Forms
- Job Sheets
- Plans
- Diaries
- Completed projects, case studies or assignments that are part of your work
- Finished or end products
- Witness statements about your work
- Contact with clients
- Memos
- Reports
- Logbooks
- Checklists
- Tape recordings
- Visual aids/photographs/videos
- Authenticated reports from appropriate personnel, e.g. line managers
- Staff appraisals
- References received
- Witness Statements from clients

Supplementary evidence

Where it is not possible to gain sufficient performance evidence through direct observation of your work activities or products of this work, it will be necessary for your assessor to seek supplementary evidence.

This may be done by asking you to:

- provide answers to oral or written questions
- attend an interview
- complete written tests

- provide a written personal account of competence to support other evidence.

Simulation

All evidence must be derived from performance in the workplace with no exceptions. Therefore **no simulated working conditions** have been specified as the outcomes can be demonstrated by a combination of other assessment methods drawn from:

- Direct observation of the candidate in the workplace
- Witness testimony by colleagues and line managers of the candidate's successful performance of activities in the workplace
- Documentary and other product-based evidence
- A personal report by the candidate endorsed by colleagues.

What is a portfolio?

Most candidates working to achieve an NVQ find that the simplest way to collect their evidence is in a loose-leaf lever arch file or binder.
This is called a **Portfolio of Evidence**.

A portfolio can be any shape or size, depending on the type of evidence you want to put forward for assessment. However, it is usual to use an A4 ring binder or lever arch folder.

Your portfolio will need to be a well organised, structured collection of all the evidence you have collected, gathered together and referenced to the National Occupational Standards. In order to achieve this, it is recommended that dividers are used between each unit and the evidence you have collected, so that the portfolio is easy to work through.

You are required to present your evidence quite simply to show - what you can do, and - what you know. It should be presented to demonstrate how it matches the performance criteria, the evidence and the underpinning knowledge requirements.
You will discover that one piece of work might provide evidence for more than one element or unit. It must be correctly cross referenced using the evidence summary forms provided at the end of each unit.

Types of evidence to be filed in your portfolio will include:
- assessment action plans
- records of assessment
- assessor reports
- witness statements
- a record of products from your work
- reports from your manager or supervisor
- details of questions you have been asked
- historical evidence (APEL)

Your assessor will regularly inspect your portfolio, providing support and guidance as appropriate. As you begin to collect evidence you must index it using the evidence summary, with cross references to the National Occupational Standards. Your assessor will show you how to do this because it will identify what you must do the complete the unit.

At the beginning of the section *Documents provided for inclusion in your portfolio* is a list of the order of all the information to be filed in your portfolio. The list also makes reference to the documents we have produced for you to photocopy for use in your portfolio. You will find copies of the documents in the section.

You must produce your portfolio when requested for inspection by the internal verifier, and the external verifier will also need to inspect your portfolio during a visit.
Only assessors and internal verifiers can confirm that you have completed a unit and complete your record of achievement.

Supporting Information

The following categories of information are not regarded as Performance Evidence, nor will they meet your requirements to demonstrate your Knowledge and Understanding. They will however, provide valuable supporting information for you, which should be kept in a separate information file.

The following information should not be included as part of the Portfolio of Evidence:
- leaflets or booklets supporting legislative requirements
- the session plans or overall content of training programmes
- any notes or information handouts from training courses
- booklets explaining company operating policy or work procedures
- handbooks describing e.g. how the company computer system works
- technical information about specific products supplied by manufacturers
- product catalogues.

The Assessment Process

Planning

Step 1   Your assessor will discuss with you which units you are going to start first. To help you decide this, in the section of the guide, entitled *Getting Started* you will find a self assessment process to work through. When you have completed the self assessment you will have an overall action plan of what you have to do to achieve the NVQ. You should file this in your portfolio along with your personal details.

Step2   Having decided where to start, you will need to read thoroughly through the unit and the elements in question.

Step 3   You and your assessor will discuss any historical evidence you may have.

Step 4   Looking at the evidence requirements, you and your assessor will work out
- how much can be assessed in your workplace
- how much evidence will need to be gathered through specially set tasks
- how your knowledge will be assessed, by oral questions, etc.

        This is your **assessment action plan** which you will need to file in your portfolio (Form C&G OHSP7).

Evidence

Step 5   You will produce evidence by
- being observed performing tasks in line with the standards, a number of times
- being questioned by your assessor during and after observations
- presenting projects and assignments, answering written questions, where necessary.
- keeping documents, such as work logs, job cards, checklists, letters, etc.

Feedback

Step 6   After each assessment:

- if your performance has not been completely successful you will receive further training and more experience which will be recorded
- if your performance is successful it will be recorded.

        An **assessment report** will be completed by your assessor identifying any further action to be taken. This will be filed in your portfolio with the records of the assessment (Form C&G OHSP8).
        You will be given **feedback** by your assessor which will be recorded and filed in your portfolio as you might need to take further action agreed with your assessor (Form C&G OHSP9).

Step 7   With reference to the agreed assessment and action plans, you will regularly discuss your performance and progress with your assessor.

Common questions and answers

Are there any entry requirements for NVQs?

No, the level you take will depend on your skills and knowledge.

Do I have to be on a training course to enter for an NVQ?

Not necessarily. If you already have the necessary skills and knowledge you can be assessed without further training. However, you need to register with an approved City & Guilds centre where the assessment can be arranged. In practice, employers and colleges approved as centres, offering assessment for NVQs do provide training to satisfy the requirements of the underpinning knowledge and understanding.

How long does an NVQ take to complete?

There is no set time limit in which you must complete your NVQ. However, standards which make up the qualification are normally revised every five years and you should aim to complete your qualification before then. For the Level 5 in Occupational Health and Safety Practice, it is expected that you should be able to complete your qualification within 12 to 18 months of registration.

What happens if I change jobs or go to another assessment centre?

You will be able to continue your NVQ provided you move to another approved centre.

Do I have to do all of the units in the NVQ to get a certificate?

Once you have completed all the necessary units for an NVQ, and they have been confirmed by your internal verifier, your centre will apply to City & Guilds for a certificate. You will also be issued with a Certificate of Unit Credit which will list all the units that you have achieved. If you are not aiming for a full NVQ, your centre can apply for a Certificate of Unit Credit, listing those units which you have achieved.
Please direct any questions about your certificate to staff at your centre.

What do I do if I am not happy with an assessment decision?

If an occasion occurs when you do not agree with a decisions made by your assessor, you should follow the centre's appeals procedure. Any unresolved problems should be referred to City & Guilds.

Getting started

We know that candidates starting an NVQ are already very busy people, because of the work they do. The advice which follows is intended to help you to achieve the award whilst carrying out your role and responsibilities at work.

One practical way to begin is to compare each unit of competence from the National Occupational Standards to your current job role. This will give you one or more units where you can begin to identify evidence and perhaps a list in which you feel you will need training or practice.

A more detailed way to start is to go through the self analysis questions which follow. They have been designed to help you to identify the units in which you are
- competent
- partially competent
- not at all competent or have not yet had the opportunity to perform.

Using the following questions, consider each unit. This activity will also help you to become familiar with the content of each unit so that you can look for economies in time when planning your evidence. Some evidence may be valid for more than one unit.

Candidate Self Assessment

Taking each unit of competence separately, work through the following questions and make notes on your training needs and assessment opportunities. In the *Documents provided for inclusion in your portfolio section*, a form (Form C&G OHSP5) is included to help you to summarise and produce an action plan.

a)   Is this a part of your current job role and one in which you consider yourself competent?
If your answer is **Yes** - Discuss assessment opportunities with your assessor/mentor
If **No** - move on to question **b**

b)   Did this ever form part of your job role, with this or any other organisation?
If so, do you still consider yourself competent?
If your answer is **Yes** - Discuss assessment opportunities with your assessor
If **No** - move on to question **c**

c)   Does this form part of your current job role, but in an area in which you are not yet competent?
If your answer is **Yes** - Discuss training needs with appropriate person
If **No** - move on to question **d**

d)   Discuss training needs, assessment opportunities with your assessor and identify what action you need to take and agree a date for completion.

Planning your progress

A planned approach will ensure the most economical use of your time and efforts.

Your Personal Action Plan

Now that you have completed the self analysis exercise, you and your assessor should be in a position to agree which unit or units you will start working on. You will now be able to plan the collection of evidence for the elements which make up each unit.
As you begin to plan, do remember that evidence for one element from a unit can often be used for other elements from other units.

Each element will require more than one type of evidence. Evidence must cover all **the performance criteria**, the **evidence requirements** and **the knowledge and understanding** for each element.

Planning will save time.

When you fill in your assessment action plan identifying what kind of evidence you could provide, ask yourself the following questions

- can my *performance* be *observed* by the assessor?
- in the absence of the assessor, can a *witness authenticate* my evidence (e.g. line manager)?
- can I bring forward any evidence or *previous achievement*?
- can I include any *records, documents*, etc.?
- are there any *requirements* where I cannot easily produce evidence?
- is reoccurring evidence work based?

Refer back to the section in this guide about the assessment process and discuss your proposals with your assessor and agree your action plan. A document has been provided for this activity reference C&G OHSP7.

Over to you!
It's up to you now because it's your qualification that you are working towards.
We hope you enjoy collecting and organising the evidence for your portfolio and that you develop your skills by having a wider experience.

Remember:
- Getting started is usually the most difficult step in the whole process.
- Once you have started, however, the process of evidence collection becomes easier as you become used to it.
- Remember to plan carefully using evidence for more than one element wherever possible.
- Keep up the momentum, don't get side tracked by other events.
- Complete work on time, don't get behind with your schedule and action plan.
- Ask your assessor for support and guidance when you need it.
- Finally - on the next page you will find a Quick Candidate Checklist just to keep you on the right track. Good luck - and remember to enjoy achieving your NVQ!

Quick Candidate Checklist

- Check the content of the mandatory and optional units depending on where you work in the industry

- Complete your Self Analysis.

- Agree with your assessor where you will begin to collect evidence. Focus initially on those units for which you have readily available evidence.

- Identify the evidence you have collected and agree dates for assessment with your assessor. Agree dates for observed assessment, this is your assessment plan.

- Collect evidence and complete the evidence summary sheet.

- Submit the evidence to your assessor for initial assessment.

- Agree when you should give your portfolio to your assessor.

- The assessor will complete an assessment report for each element and return the portfolio to you.

- The assessment report will indicate
  a) whether the evidence is sufficient in quality and quantity to meet the standard
  b) if the performance criteria have been met
  c) if the evidence meets the requirements for knowledge and understanding
  d) that the requirements for performance evidence have been met
  e) what additional evidence, if any, you need to provide
  f) on which areas an interview to review progress will focus.

- If the evidence produced in the portfolio and at the interview clearly demonstrate your competence, then your assessor will 'sign off' the element(s) or unit(s) as complete.

- The cycle will then begin again until you have all the units completed that you intended to achieve.

Your assessor will suggest that you initially submit your portfolio when you have completed one or more elements so that you receive guidance and feedback at an early stage. After that, the pace and pattern you establish with your assessor will be negotiated to suit you both.

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Documents provided for inclusion in your portfolio

A well constructed Portfolio should include all the information required to demonstrate candidate competence, assembled and organised in the following order.

These documents have been included for you to photocopy and use in your portfolio.
A blank Evidence Summary sheet is included in this document - you will need to copy it in order to use it to record your evidence.
Refer to the section in this guide *What is a Portfolio?* for further guidance.

Introduction		Documents
	Candidate and Centre Details	C&G OHSP1
	Contact Details	C&G OHSP2
	Candidate Resume/CV	
	Candidate Job Description/Workplace Location/Current Duties	
	Witness Status List with Signatures	C&G OHSP3
	Summary of Achievements	C&G OHSP4
	Summary of self assessment activity and personal action plan	C&G OHSP5
For _All_ Units		
	The Performance Criteria for the Elements in each Unit.	In this guide
Presenting Evidence		
	An Evidence Summary for you to link the evidence presented to the Performance Criteria, Evidence & Knowledge Requirements. *Copies of this sheet are provided at the end of each unit.*	C&G OHSP6
Assessment Information		
	Assessment Action Plans	C&G OHSP7
	Records of Assessment (Signed and Dated)	
	Assessment Report	C&G OHSP8
	Evidence of Feedback provided and further Action Plans	C&G OHSP9
Performance Evidence		
	Product Evidence (Retain for inspection by Assessor/IV)	
	Candidate Job Sheet (Signed and Dated with reference to product)	C&G OHSP10
	Expert Witness Statement (Signed and Dated)	C&G OHSP11
	Candidate Statement of Activity (Witnessed, Signed and Dated)	C&G OHSP12
Knowledge		
	Candidate Statement of Activity (Witnessed, Signed and Dated)	C&G OHSP12
	Records of Assessor questions and your answers	C&G OHSP13

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Level 5 NVQ in Occupational Health and Safety Practice

Candidate and Centre Details

Scheme Number: ……………………….…… Level: …………………………..

Candidate Name: ………………………………………………………………

Candidate Number: ………………………………………………………………

Centre Name. ………………………………………………………….……

Centre Number: ………………………………………………………………

Centre Co-ordinator ……………………………………………………………….

Centre Address: ………………………………………………………………

………………………………………………………………

………………………………………………………………

Centre Telephone Number: …………………………. Fax:…………………………..

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Level 5 NVQ in Occupational Health and Safety Practice

Contact Details

Centre Co-ordinator

Name …………………………………………………………………..

Centre number …………………………………………………………………..

Address …………………………………………………………………..

…………………………………………………………………..

Tel no ………………………………….   Fax no …………………………..

Email …………………………………………………………………..

Assessor Details

1. Assessors name

Position …………………………………………………………………..

Assessing which unit/s ….…………………………………………………………

Where to contact: ………………………………………………………………

2. Assessors name

Position …………………………………………………………………..

Assessing which unit/s ..…………………………………………………………

Where to contact: ………………………………………………………………

Internal Verifier Details

Internal Verifiers Name ………………………………………………………

Position ………………………………………………………………

Where to contact ……………………………………………………..………

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**Level 5 NVQ in Occupational Health and Safety Practice
Witness Status List**

Form C&G OHSP3

Candidate Name: ……………………………………….…………..   **Level:** …………………………….

Name and contact address of witness	Witness Status	Professional relationship to candidate	Elements witnessed	Witness Signature	Date

Name and contact address of witness	Witness Status	Professional relationship to candidate	Elements witnessed	Witness Signature	Date

Include all witnesses who have signed candidate evidence or written a report.   Ensure that the witness signs the details as correct.

Assessor signature:…………………………………………………….………   Date:…………………..

Witness Status Categories.
1. Occupational expert and D32/D33* Assessor   2. D32/D33* Assessor without occupational experience
3. Occupational expert familiar with standards   4. Occupational expert not familiar with standards
5. Non expert not familiar with the standards

Level 5 NVQ in Occupational Health and Safety Practice
Summary of Achievements

Form C&G OHSP4

Candidate Name: …………………………………………………. Centre : …………………………………………………..

Unit	Title	Date achieved	Assessor's signature	Candidate Signature
Mandatory Units				
401	Evaluate and develop own practice			
402	Promote a positive health and safety culture			
403	Develop and implement the health and safety policy			
415	Influence and keep pace with improvements in health and safety practice			
417	Manage the use of financial resources			
501	Develop and review the organisation's health and safety strategy			
502	Develop a strategy and plan for people resourcing change management			
503	Identify organisational learning and development needs			
504	Secure financial resources for your organisation's plans			
Optional units (candidates must achieve 3 of these units)				

	Any additional unit(s) achieved			

Confirmation of achievement of units for which certification is requested

Signature of internal verifier: Date:

Level 5 NVQ in Occupational Health and Safety Practice
Summary of Self Assessment activity and Personal Action Plan

Form C&G OHSP5

Candidate ……………………………………………………….. **Date completed** ……………………………..

Unit	Competent in current job	Competent in previous job	Evidence easy to obtain ö C	Not competent training needed	Action Required	By When
Mandatory units						
Evaluate and develop own practice						
Promote a positive health and safety culture						
Develop and implement the health and safety policy						
Influence and keep pace with improvements in health and safety practice						
Manage the use of financial resources						
Develop and review the organisation's health and safety strategy						
Develop a strategy and plan for people resourcing change management						
Identify organisational learning and development needs						
Secure financial resources for your organisation's plans						

Additional unit:						
Any additional units:						

What you should do next:

Having completed the Self Assessment, you should now have a list of units where you can start to identify and collect the evidence.
You may also have a list of units where you feel you are not competent and need training and experience. This document should be included in your portfolio and discussed with your assessor.

Using the document provided in this Candidate Guide, entitled Assessment Action Plans (Form C&G HS7) you will need to make detailed plans for progress with your assessor.

Level 5 NVQ in OCCUPATIONAL HEALTH AND SAFETY PRACTICE - Evidence Summary
LEVEL: ………….………   UNIT NO and TITLE: …………………………………………….………

ELEMENT NO and TITLE: …………………………………………………………………………

Candidate: ……………………………………………………………………………………………..

Evidence description	Portfolio Reference	Performance Criteria e.g. 1 to 5	Knowledge and Understanding reference	Performance evidence reference

You will need to copy this sheet to record your evidence for each element.

Evidence description	Portfolio Reference	Performance Criteria e.g. 1 to 5	Knowledge and Understanding reference	Performance evidence reference

Level 5 NVQ in Occupational Health and Safety Practice Assessment Action Plan

Candidate	
Level	
Assessor	
Unit	
Element	
Venue	
Date / Time	

Evidence Assessed by:

Direct Observation		Projects & Assignments	
Oral Questioning		Simulation	
Witness Testimony		Portfolio Evidence	
Candidate Statement		Supplementary Evidence	
Written Questions		Accredited Prior Achievement	
Work Products			

Action Plan/Evidence requirements

Feedback Arrangements

Assessor Name …………………………………………………………………………………

Assessor signature …………………………………………….Date …………………….

Candidate signature ……………………………………………..   Date …………………..

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Level 5 NVQ in Occupational Health and Safety Practice Assessment Report

Level ……… Candidate ……………………………………………………….…

Assessor ………………………………………………………………………….

UNIT: …………………   ELEMENT: ………………………………………..

	Yes or No	Is more performance evidence required?	Is more knowledge evidence required?	Is more portfolio evidence required?
Have all the performance criteria been met?				
Have the knowledge & understanding requirements been met?				
Is the portfolio evidence valid, sufficient, current and authentic?				
Has the evidence been properly authenticated?				

Assessor Comments

Assessor Questions	Candidate Answers
	42

Outcome of the Assessment

Assessor signature ……………………………………..Date ……………………….

Candidate signature …………………………………….   Date ……………………

Level 5 NVQ in Occupational Health and Safety Practice
Action Plan and Feedback to Candidate

Level ……… Candidate ……………………………………………………..…

Assessor …………………………………………………………………………..

Date ………………………

UNIT: ………………….. ELEMENT: ………………………………………….

Feedback to candidate:

Action to be taken by candidate:

Assessor signature …………………………………………….Date …………………….

Candidate signature ……………….………………….. Date …………….……

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Level 5 NVQ in Occupational Health and Safety Practice
Candidate Job Sheet

Level ……… Candidate …………………………………………….…

Assessor/expert witness …………………………………………………….

Date ………………………

UNIT: ………………….. ELEMENT: …………………………………………….

Details of the Task

Materials involved

Equipment used

Reference to performance criteria, knowledge and evidence requirements. **PC's** **Knowledge** **Evidence**

Assessor/expert witness signature ………………………..………...   Date ………………

Candidate signature …………………………………………..…..   Date ……………..

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Level 5 NVQ in Occupational Health and Safety Practice
Expert Witness Statement

Candidate	
Level	
Unit	
Element	
Venue	
Date and time	

Candidate Statement
Description of activity to be assessed by the witness

Witness Statement
Give a description of, and authenticate, the activity undertaken by the candidate and confirm the extent to which you consider the candidate to be competent.

Witness Statement (continued)
Give a description of, and authenticate, the activity undertaken by the candidate and confirm the extent to which you consider the candidate to be competent.

Witness Details

Name

Position/Job Title

Relationship to candidate

Contact Details

Candidate signature ...…………………………………….   Date …………………….

Witness signature …..……………………………….…. Date …………………….

Level 5 NVQ in Occupational Health and Safety Practice

Level ……………………..   **Candidate ………………………………………………………………..**

Date	Activity	Unit/ element	Performance Criteria	Knowledge and Understanding	Evidence Requirements

Date	Activity	Unit/ element	Performance Criteria	Knowledge and Understanding	Evidence Requirements

Level 5 NVQ in Occupational Health and Safety Practice
Record of Assessor Questions

Form C&G OHSP13

Level …………………….. **Candidate** ………………………………………………………………..

Question	Candidate Answer	Unit/Element reference

Question	Candidate Answer	Unit/Element reference

Assessor name ……………………………………………………………………….

Assessor signature ……………………………………………………… Date: …………………………

Candidate signature ……………………………………………………… Date: …………………………

Key skills signposting

Level 5 NVQ in Occupational Health and Safety Practice

Key Skills Signposting Summary Relationship Table

Unit No and Title	Communication	Application of Number	Information Technology	Working with others	Improving own learning and performance	Problem Solving
Evaluate and develop own practice	4	3	3	4	4	4
Promote a positive health and safety culture	4	3	2	4	4	3
Develop and implement the health and safety policy	4	3	3	4	3	4
Influence and keep pace with improvements in health and safety practice	3	2	2	3	4	3
Manage the use of financial resources	4	4	3	3	3	4
Develop and review the organisation's health and safety strategy	4	4	3	4	4	4
Develop a strategy and plan for people resourcing change management	4	3	3	4	4	4
Identify organisational learning and development needs	4	2	2	4	4	4
Secure financial resources for your organisation's plans	4	4	3	4	3	4
Contribute to the development of learning within the organisation	4	2	3	4	4	4

Unit No and Title	Communication	Application of Number	Information Technology	Working with others	Improving own learning and performance	Problem Solving
Manage the performance of teams and individuals	4	2	3	4	4	4
Develop and implement effective communication systems for health and safety information	4	3	3	4	3	3
Develop and implement systems and procedures to minimise environmental impact of the organisation	4	3	3	4	4	4
Manage activities to meet requirements	4	2	2	4	4	4
Contribute to improvements at work	4	3	3	4	4	4
Design learning programmes	4	3	3	4	4	4
Manage the contribution of others to the learning process	4	2	2	4	4	4
Design, deliver and evaluate changes to organisational structure	4	2	3	4	4	4
Contribute to the design, delivery and evaluation of work processes	4	3	4	4	4	4

Appeals and equal opportunities

If an occasion should arise when a candidate is not satisfied with the assessor's judgement of his/her competence during the assessment process, or a candidate feels that the opportunity for assessment is being denied, the internal verifier and centre co-ordinator should address the problem. If, however, the problem cannot be resolved, the external verifier may be approached to offer independent advice. In unresolved cases, the external verifier may refer this back to City & Guilds. All appeals must be clearly documented by the centre co-ordinator and made available to the external verifier or City & Guilds if advice is required.

Should occasions arise when centres are not satisfied with any aspect of the external verification process, they should contact City & Guilds Quality Standards department.

Access to the NVQ framework is open to all, irrespective of gender, race, creed, age or special needs and there are no formal entry requirements. The centre co-ordinator should ensure that no candidate is subjected to unfair discrimination on any grounds in relation to access to assessment and to the fairness of the assessment. QCA requires City & Guilds to monitor centres to check whether equal opportunities policies are being adhered to.

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The National Occupational Standards

Level 5 NVQ in Occupational Health and Safety Practice

as supplied by the Employment NTO

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Mandatory units

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401 Evaluate and develop own practice

401.1 Evaluate own practice
401.2 Identify self-development needs

About this unit

This unit is appropriate for those who
- reflect on own practice
- review own practice against goals
- set and prioritise goals and targets for self-development
- adapt practice in the light of changes in professional practices.

The activities you are likely to be involved in:
- identifying goals and targets set by self, national standards and codes of conduct, current competence, anticipated future demands, personal aspirations and organisational needs
- reviewing performance using work results, appraisals, formative assessments and the views of colleagues and clients
- developing and monitoring a personal action plan
- trying out and evaluating the results of developments to own practice
- identifying and responding to changes in professional practice, national and local systems as well as organisational policies and procedures.

THE NATIONAL OCCUPATIONAL STANDARD

Element 401.1
Evaluate own practice

Performance Criteria

You must be able to:

1.   evaluate own practice against set targets and goals

2.   use a range of valid and reliable evidence to assess own work which includes an assessment of the effects of your own behaviour and values on others

3.   involve others in the interpretation of evidence

4.   use evidence to reflect on own practice and professional issues

5.   accept criticism in a positive manner and assess its validity and importance

6.   revise goals and target in the light of reviewing evidence of performance.

THE NATIONAL OCCUPATIONAL STANDARD

Element 401.2
Identify self development needs

Performance Criteria

You must be able to:

1.   set and prioritise clear and realistic goals and targets for own development

2.   base goals and targets on the accurate assessment of all relevant information relating to own work and achievement, including developments in professional practice and related areas

3.   devise a personal action plan and review it regularly

4.   try out developments in own practice in a way which does not cause problems for others

5.   evaluate developments in own practice and ensure continued self-development.

401 Evaluate and develop own practice

Knowledge requirements

The following knowledge is required to perform the Elements of Competence. It will be demonstrated through the outcomes of work activities and evaluations of systems and procedures. It has been brought together in one place and consists of underpinning principles, legislation and procedures and processes.

Detailed assessment procedures are provided which ensure that all aspects of the knowledge and understanding are rigorously assessed using valid methods which reflect the work environment.

You need to know, understand and demonstrate the application of the following knowledge and understanding:

The nature and role of self-evaluation in relation to the organisation
1. ways of identifying job and organisational needs
2. organisational policy relating to professional practice and its implications for own development

Principles and concepts
3. methods of self assessment
4. how to interpret evidence of own performance
5. methods of reviewing and interpreting developments in professional practice
6. factors which impact on the ability to identify own development needs
7. appropriate people to support the interpretation of evidence of own performance
8. how to prioritise self-development needs
9. methods of person action planning
10. methods of evaluating suggested changes in the context of one's own current work

External factors influencing learning within the organisation
11. how to apply external trends and developments into own performance.

402 Promote a positive health and safety culture

402.1 Gain commitment to a positive health and safety culture
402.2 Develop and implement links with appropriate people and groups on health and safety matters

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About this unit

This unit is appropriate for you if your role involves
- advocating a positive health and safety culture for your organisation
- developing and communicating a positive health and safety culture for your organisation
- working with key stakeholders in implementing a positive health and safety culture in your organisation
- maintaining a positive health and safety culture in your organisation
- encouraging directors, senior line, functional and technical mangers and employee representatives of your organisation to lead by example on health and safety matters.

The activities you are likely to be involved in:
- gaining commitment to high standards of health and safety behaviour in individuals and groups in your organisation
- ensuring the health and safety competency of all the employees in your organisation and at all levels
- developing and maintaining effective communication and consultation in your organisation on health and safety matters
- promoting the benefits to your organisation, individuals and other appropriate people and groups
- ensuring that the health and safety performance and improvement reviews of your organisation are regular items on the agenda of all relevant meetings
- advising directors, senior, line, functional and technical managers and employee representatives of your organisation to lead by example on health and safety matters.

THE NATIONAL OCCUPATIONAL STANDARD

Element 402.1
Gain commitment to a positive health and safety culture

Performance Criteria

You must be able to:

1. provide others with sufficient and clear information about the benefits to your organisation of a positive health and safety culture

2. obtain and maintain the support of those in your organisation who can champion a positive health and safety culture

3. use appropriate opportunities to communicate information about a positive health and safety culture and create new opportunities if necessary.

THE NATIONAL OCCUPATIONAL STANDARD

Element 402.2
Develop and implement links with appropriate people and groups on health and safety matters

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Performance Criteria

You must be able to:

1.   identify the appropriate people and groups in your organisation

2.   identify the appropriate people and groups external to your organisation

3.   provide support and assistance to the appropriate people and groups

4.   use appropriate opportunities to develop and implement additional liaison links with people and groups.

402 Promote a positive health and safety culture

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and procedures.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of a positive health and safety culture within the organisation
1.   the nature and role of the health and safety culture within the organisation
2.   how to work within an organisation's communication system to promote the benefits of a positive health and safety culture
3.   how to identify the people and groups who may be affected by the health and safety process
4.   how to engage people and groups in the health and safety process

Principles and concepts
5.   how to identify and engage those who can champion change
6.   how to identify and provide the required information and assistance to others in the appropriate format
7.   how to identify and provide appropriate forms of support and advice

External factors influencing a positive health and safety culture
8.   how to identify and engage with other sources of expertise and advice on health and safety matters.

403 Develop and implement health and safety policy

403.1 Define the statutory and practical health and safety requirements
403.2 Develop the health and safety policy
403.3 Implement the health and safety policy

About this unit

This unit is appropriate for you if your role involves
- developing the health and safety policy of your organisation with respect to the statutory and organisational requirements
- advocating the health and safety policy to all key stakeholders in your organisation
- implementing the health and safety policy in your organisation
- working with key stakeholders in order to integrate health and safety into your organisation.

The activities you are likely to be involved in
- identifying the statutory and practical requirements for health and safety policy relevant to your organisation
- developing, in conjunction with directors and senior managers or your organisation, the overall health and safety policy with respect to:
- the input to your organisation of materials, equipment, goods, services and resources
- the conversion processes of your organisation
- the output from your organisation of products, services, and inadvertent and/or unwanted and/or necessary goods, materials and waste of all types
- employees, contractors, and other people who may be affected by the activities in your organisation
- communicating the policy to line, functional and technical managers and employee representatives of your organisation
- implementing the health and safety policy in conjunction with the key stakeholders of your organisation.

THE NATIONAL OCCUPATIONAL STANDARD

Element 403.1
Define the statutory and practical health and safety requirements

Performance Criteria

You must be able to:

1.   assess the structure of your organisation in relation to health and safety matters

2.   establish the existing health and safety systems and procedures of your organisation

3.   evaluate the health and safety statutory and practical requirements with respect to the input to your organisation of materials, equipment, goods, services and resources

4.   evaluate the health and safety statutory and practical requirements with respect to the conversion processes of your organisation

5.   evaluate the health and safety statutory and practical requirements with respect to the output from your organisation of products, services and inadvertent and/or unwanted and/or necessary goods, materials and waste of all types

6.   evaluate the health and safety statutory and practical requirements with respect to the employees, contractors and other people who may be affected by the activities of your organisation.

THE NATIONAL OCCUPATIONAL STANDARD

Element 403.2
Develop the health and safety policy

Performance Criteria

You must be able to:

1.   identify deficiencies in the current health and safety policy of your organisation

2.   formulate changes to remedy the deficiencies in the health and safety policy of your organisation

3.   establish the resource constraints which may influence the health and safety policy of your organisation

4.   consult with key stakeholders and provide opportunities to review the proposed health and safety policy of your organisation

5.   establish a strategy for promoting a positive commitment to the health and safety policy among directors, senior, line, functional and technical managers and employee representatives of your organisation

6.   advocate the adoption in your organisation of an improved health and safety policy.

THE NATIONAL OCCUPATIONAL STANDARD

Element 403.3
Implement health and safety policy

Performance Criteria

You must be able to:

1. specify the health and safety policy implementation programme for your organisation

2. provide support and assistance to the health and safety policy implementation process in your organisation

3. take effective action should problems arise during the health and safety policy implementation process in your organisation

4. ensure that there are adequate opportunities for feedback during the health and safety policy implementation process in your organisation, and to adequately respond to suggestions.

403 Develop and implement the health and safety policy

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and procedures.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of the health and safety policy within the organisation
1. how to identify and apply the practical health and safety requirements
2. how to analyse policies and procedures in order to identify deficiencies
3. how to identify realistic improvements to remedy deficiencies

Principles and concepts
4. how to apply the input-conversion-output model of organisational systems
5. how to identify and utilise the nature and structure of formal and informal organisational systems
6. how to work within the structure of formal and informal organisational systems
7. how to apply the principles and practices of individual and group motivation
8. how to minimise disruption to an organisation's activities during the implementation process

External factors influencing the health and safety policy
9. how to identify and apply statutory and common law health and safety requirements and industry best practice
10. how to apply quality management requirements to all health and safety documentation.

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415 Influence and keep pace with improvements in health and safety practice

415.1 Identify new developments in health and safety
415.2 Influence professional colleagues on health and safety matters

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About this unit

This unit is appropriate for you if your role involves:
- reading and responding to health and safety literature in print and electronic form
- influencing professional colleagues and others on health and safety matters.

The activities you are likely to be involved in:
- reading health and safety material in print and electronic form
- participating in conferences and seminars on health and safety matters
- participating in professional and sectoral groups and working parties on health and safety matters
- participating in health and safety professional activities
- writing on health and safety matters for journals and books
- maintaining continuous professional development.

THE NATIONAL OCCUPATIONAL STANDARD

Element 415.1
Identify new developments in health and safety

Performance Criteria

You must be able to:

1. identify appropriate sources of information and advice on the latest developments in health and safety

2. evaluate the impact on your organisation of developments in health and safety legislation, policies and practices

3. advocate the adoption in your organisation of new developments in health and safety matters

4. contribute to appropriate professional technical groups to enhance the development of health and safety

5. maintain continuous professional development.

THE NATIONAL OCCUPATIONAL STANDARD

Element 415.2
Influence professional colleagues on health and safety matters

---

Performance Criteria

You must be able to:

1. identify appropriate opportunities to participate in professional discussion and reviews on best practice in health and safety matters

2. contribute to appropriate groups and committees engaged in developing health and safety practice

3. influence the policies and practices of appropriate professional organisations and groups on health and safety matters

4. exchange health and safety best practice with colleagues through meetings, publications, conferences and other appropriated avenues

5. advocate to professional colleagues the adoption of industry best practice.

415 Influence and keep pace with improvements in health and safety practice

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and procedures.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of improvements in health and safety practice within the organisation
1. how to identify and utilise print-based and electronic sources of information and advice on health and safety matters
2. how to identify the most useful, from a health and safety point of view, professional and technical groups and organisations
3. how to participate in and influence the activities of professional and technical groups and organisations

Principles and concepts
4. how to influence organisations, groups and individuals
5. how to write articles for publication in a variety of outlets
6. how to present papers to conferences and seminars
7. how to utilise electronic means of communication

External factors influencing a positive health and safety culture
8. how to identify and access the most appropriate and effective organisations, groups and individuals, both professional and non-professional, regarding health and safety.

417 Manage the use of financial resources (MSC)

417.1 Make recommendations for expenditure
417.2 Control expenditure against budgets

About this unit

This unit is about making sure you use financial resources in the most efficient way possible. It covers making recommendations for the use of financial resources and controlling expenditure against budgets.

This unit is appropriate for you if you are a manager with responsibility for
- allocating work to others
- achieving specific results by using resources effectively
- carrying out policy in your defined area of authority
- controlling limited financial budgets
- contributing to broader activities such as change programmes and recruitment.

In order to *make recommendations for expenditure*, you need to gather information about expenditure in the past and consider current trends and developments as well as other factors which are likely to affect expenditure in the future. When presenting your recommendations, you need to state the expected benefits from the expenditure you are proposing and also any potential negative consequences. You need to select the expenditure option most consistent with your organisation's plans and objectives.

In order to *control expenditure against budgets*, you need to give advice to members of your team on how they can help control costs, and get them involved in the process of monitoring and controlling expenditure. Where there are significant variations between actual costs and your budget, you need to take prompt corrective action. you need to keep complete records of expenditure and refer to others if you need to request expenditure beyond the limits of your authority.

THE NATIONAL OCCUPATIONAL STANDARD

Element 417.1
Make recommendations for expenditure

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. give opportunities to relevant people to make suggestions for future expenditure	a) how to analyse expenditure in the past and use the results to make recommendations on more effective use of financial resources in the future
2. ensure that your recommendations take account of past experience, trends, developments and other factors likely to affect future expenditure	b) how to carry out cost-benefit analyses in regard to proposed expenditure
3. state clearly the expected benefits from the recommended expenditure, and any potential negative consequences	c) how to identify and evaluate alternative options to proposals on expenditure.
4. ensure that where you have considered alternative options for expenditure, you provide valid reasons for rejecting them	d) how to communicate effectively on issues to do with proposed expenditure.
5. provide sufficient, valid information for relevant people to make a decision on your recommendations	e) how to enable team members, colleagues and line managers to identify and communicate their needs regarding expenditure
6. ensure that your recommendations for expenditure are consistent with your organisation's plans and objectives	f) how to develop and argue an effective case for expenditure.
7. present your recommendations to relevant people in an appropriate format and at an appropriate time.	g) the trends and developments which may influence future expenditure and how to forecast and plan for these
	h) the procedures which need to be followed to make recommendations for expenditure.
	i) the importance of effective budgetary control to team and organisational efficiency and your role and responsibilities in relation to this
	j) the principles and methods which underpin effective budgetary control
	k) the importance of keeping accurate records of past expenditure
	l) the information which others need in order to make decisions on expenditure and how to gather and check the validity of this information.

THE NATIONAL OCCUPATIONAL STANDARD

Element 417.1
Make recommendations for expenditure

Evidence Requirements	Range
You must prove that you *make recommendations for expenditure* to the National Standard of competence. To do this you must prove evidence to convince your assessor that you consistently meet **all** the performance criteria. Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	at least two of the following types of **relevant people** • team members • colleagues working at the same level • higher-level managers or sponsors • financial specialists at least two of following types of **expenditure** • supplies • people • overhead expenses • capital equipment both the following types of **alternative options** • other courses of action to achieve the same results • other ways of funding the same course of actions.

THE NATIONAL OCCUPATIONAL STANDARD

Element 417.2
Control expenditure against budgets

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. give team members clear and consistent advice on how they can help to control expenditure	a) the principles of confidentiality in relation to budgets, e.g. what information may be provided to which people.
2. give team members opportunities to take individual responsibility for monitoring and controlling expenditure	b) the contributions your team members can make to expenditure control
3. ensure that your methods of monitoring expenditure are reliable and comply with organisational requirements	c) how to advise, encourage and motivate team members to help in controlling expenditure.
4. monitor expenditure against agreed budgets at appropriate intervals	d) your organisation's requirements for expenditure control
5. control expenditure in line with budgets and organisational requirements	e) the range of variations from the budget which may occur and what effective corrective action to take in response to these
6. ensure that the corrective action you take in response to actual or potential significant variations from budget is prompt and complies with organisational requirements	f) the types of requests for expenditure outside your control which are likely to occur and the correct procedures to follow in response to these
7. refer requests for expenditure outside your responsibility promptly to the appropriate people	g) the importance of effective expenditure control to your team and organisation's efficiency and your role and responsibilities in relation to this
8. ensure that your records of expenditure are complete, accurate and available to authorised people only.	h) the principles and systems which underpin effective expenditure control
	i) the importance of accurate and comprehensive record keeping to expenditure control and systems to achieve this.

THE NATIONAL OCCUPATIONAL STANDARD

Element 417.2
Control expenditure against budgets

Evidence Requirements	Range
You must prove that you *control expenditure against budgets* to the National Standard of competence.	at least two of the following types of **monitoring** • considering oral information • considering written information • examining financial information.
To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria.	at least two of the following types of **expenditure** • supplies • people • overhead expenses • capital equipment.
Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	at least two of the following types of **corrective action**: • altering activities • rescheduling expenditure • altering budget allocations within the limits of your responsibility • renegotiating budgets.

THE NATIONAL OCCUPATIONAL STANDARD

417	**Manage the use of financial resources (MSC)**

Key words and concepts

These definitions are provided to explain how key words and concepts are used in this unit

budgets	agreed plans for expenditure covering programmes of work in your area of responsibility
corrective action	action taken to match actual expenditure to budget, such as altering activities, rescheduling expenditure, altering budget allocations and renegotiating budgets
expenditure	outlay for the supplies of goods and services, for personnel, overheads, capital equipment and premises
monitoring	keeping a close eye on activities and expenditure and comparing these with your plans
organisational objectives	clearly defined and measurable results which your organisation is scheduled to achieve
organisational requirements	the policies, guidelines and procedures of your organisation which you must observe when recommending and monitoring expenditure
plans	documents, or spoken agreements, which describe the work to be carried out, when, by whom, to what standard and with what resources, in order that requirements and objectives can be met
relevant people	team members, colleagues working at the same level as yourself, higher-level managers or sponsors, specialists and people outside your organisation
significant variations	substantial differences between actual and budgeted expenditure, which require action in order to maintain overall performance
team members	people who work with you as part of a functional or project team; team members may report to you either as their line manager or as the manager in charge of a specific project or activity on which they are working
trends and developments	changes, for instance trends and developments in the market, in technology, in products and services or in processes or working practices, which indicate the future level of expenditure required.

THE NATIONAL OCCUPATIONAL STANDARD

417	Manage the use of financial resources (MSC)

Personal competencies

In performing effectively in this unit, you will show that you

Acting assertively
- take personal responsibility for making things happen
- act in an assured and unhesitating manner when faced with a challenge
- say no to unreasonable requests
- state your own position and views clearly in conflict situations

Communicating
- listen actively, ask questions, clarify points and rephrase others' statements and check mutual understanding
- adopt communication styles appropriate to listeners and situations, including selecting an appropriate time and place
- present difficult ideas and problems in ways that promote understanding

Influencing others
- present yourself positively to others
- create and prepare strategies for influencing others
- understand the culture of your organisation and act to work within it or influence it

Focusing on results
- establish and communicate high expectations of performance, including setting an example to others
- set goals that are demanding of self and others

Searching for information
- make best use of existing sources of information
- seek information from multiple sources
- actively encourage the free exchange of information
- challenge the validity and reliability of sources of information

Thinking and taking decisions
- break processes down into tasks and activities
- use your own experience and evidence from others to identify problems and understand situations
- produce a variety of solutions before taking a decision
- take decisions which are realistic for the situation.

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501 Develop and review the organisation's health and safety strategy

501.1 Identify external factors which have an impact on health and safety
501.2 Identify and plan an appropriate change process for health and safety
501.3 Implement the change process

About this unit

This unit is appropriate for you if your role involves
- establishing the organisation's overall health and safety strategy.

The activities you are likely to be involved in:
- reviewing the impact of new developments on the external environment
- identifying and responding to external changes in health and safety legislation and best practice
- assessing the impact of new legislation on employment practices
- deciding upon an appropriate organisational response to external factors
- agreeing an overall strategy to respond to change factors.

THE NATIONAL OCCUPATIONAL STANDARD

Element 501.1

Identify external factors which have an impact on health and safety

Performance Criteria

You must be able to:

1. identify and review the key external factors likely to have an impact on your organisation's health and safety strategy

2. select appropriate and cost-effective ways of gathering information for each relevant external factor

3. obtain comprehensive and robust information for each relevant external factor

4. validate the information gathered with appropriate others

5. identify trends and likely future developments in the external factors reviewed

6. establish the likely impact of external factors on your organisation's employment strategies.

THE NATIONAL OCCUPATIONAL STANDARD

Element 501.2
Identify and plan an appropriate change process for health and safety

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Performance Criteria

You must be able to:

1.   involve appropriate others in the assessment of necessary change and gain their commitment

2.   establish any likely changes needed to organisational strategies in relation to issues

3.   review internal organisational structures and resources against any required changes

4.   identify opportunities and obstacles in structures and systems in relation to any required changes

5.   develop processes for maximising opportunities for change and minimising obstacles to change

6.   assess the impact of any changes on organisational resources.

THE NATIONAL OCCUPATIONAL STANDARD

Element 501.3
Implement the change process

Performance Criteria

You must be able to:

1. obtain and maintain the support of those who can champion and deliver change

2. maximise the effect of communication systems and information about the change process

3. select and develop ways of motivating others to engage in the change process

4. encourage and act upon feedback on the change strategy

5. identify problems in the change process promptly and resolve conflicts where possible

6. create appropriate opportunities for regular and effective review of the change process

7. adapt the change strategy in order to attract and maintain the support and commitment of others.

501 Develop and review the organisation's health and safety strategy

Knowledge requirements

You need the following knowledge to perform the Element of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and procedures.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of health and safety strategy within the organisation
1. how to identify and respond to internal factors, including organisational structures, employment strategies, and human physical resources available
2. how to identify the key change factors impacting on the organisation
3. how to identify and respond to the key drivers of the current internal structure
4. how to identify and respond to internal opportunities and rigidities
5. how to identify and influence the organisation's employment strategies, policies and practices
6. how to evaluate the organisation's business plan in relation to health, safety and environmental protection

Principles and concepts
7. how to select and apply environmental techniques
8. how to identify and make use of information networks and sources
9. how to make effective use of theories of motivation
10. how to identify and gather comprehensive, valid and reliable information on the external environment
11. how to identify the key change factors impacting on the organisation
12. sources of organisational performance data and how to access and use it
13. how to establish the specific organisational changes required
14. how to assess organisational resources against any required changes
15. how to develop and argue an effective case for changes in structure and systems
16. how to encourage participation in, and feedback on, change strategy
17. how to develop detailed change methodologies
18. how to set objectives
19. how to make effective use of the change cycle
20. how to identify and respond to the likely reactions to the change process
21. how to identify the impact on the organisation when implementing the required changes
22. how to involve and motivate others
23. how to make effective use of appropriate communication channels for the change strategy
24. how to acknowledge, manage and resolve conflict
25. how to establish acceptable forms of compromise which maintain the integrity of the change process.

501 Develop and review the organisation's health and safety strategy

Knowledge requirements (continued)

External factors impacting health and safety
26. how to identify and respond to new legislation
27. how to identify and benchmark against current best practice
28. how to identify and respond to technical developments.

502 Develop a strategy and plan for people resourcing change management

502.1   Review and develop a strategy for responding to changes in people resourcing
502.2   Review and develop a plan for responding to changes in people resourcing
502.3   Take responsibility for implementing the people resourcing plan
502.4   Evaluate the effectiveness of the people resourcing change strategy

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About this unit

This unit is appropriate for you if your role involves
- identifying and responding to external forces influencing people resourcing
- reviewing and improving processes to meet organisational human resource requirements.

The activities you are likely to be involved in:
- identifying key factors influencing the people resourcing strategy
- identifying how the organisation can respond to new demands and imperatives through development of its people
- reviewing existing strategies
- identifying ethical issues where there may be conflicts of interest or dilemmas requiring audit and evaluation
- identifying and evaluating the potential for, and impact of, e-personnel approaches
- gaining the commitment and support of those in the organisation to change.

THE NATIONAL OCCUPATIONAL STANDARD

Element 502.1

Review and develop a strategy for responding to changes in people resourcing

Performance Criteria

You must be able to:

1.   establish the external and internal factors exerting influence on the organisation to change

2.   prioritise the impact of change factors on the organisation in relation to its aims and objectives and ethical practice

3.   assess the impact on, and risk to, the organisation of identified factors

4.   review existing change strategies and evaluate them against organisational needs

5.   identify the potential role and impact of e-personnel systems

6.   plan ways of responding to the required changes within the organisation's aims and resources

7.   identify key change agents and sponsors within the organisation and engage their commitment

8.   establish systems to monitor the best use of resources

9.   establish systems for the early identification of problems in implementing change, and possible alternative strategies or contingencies to adopt.

THE NATIONAL OCCUPATIONAL STANDARD

Element 502.2
Review and develop a plan for responding to changes in people resourcing

Performance Criteria

You must be able to:

1. consult with all key stakeholders in the design of the change process

2. establish the cultural and structural changes necessary within the organisation to bring about the required change

3. review existing change plans and evaluate them against organisational needs

4. identify the specific development and communication structures needed for change

5. identify the key agents of change and their role within the process

6. explore alternative structures and ways of working likely to generate change and cope with insufficient levels of change

7. develop an integrated approach to change processes

8. establish methods of maintaining the change process at all levels in the organisation

9. set up implementation and monitoring systems against specific criteria

10. establish ways of identifying when change processes are not working, and a strategy for dealing with this

11. establish systems that monitor compliance with legal requirements, codes of practice and organisational policy.

THE NATIONAL OCCUPATIONAL STANDARD

Element 502.3
Take responsibility for implementing the people resourcing plan

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Performance Criteria

You must be able to:

1.   carry out benchmark activities to identify agreed good practice

2.   identify the requirements needed to implement the plan

3.   identify appropriate people to implement the process

4.   develop a detailed action plan for the implementation

5.   identify the key stakeholders in the process and gain their commitment

6.   delegate activities to appropriate people to ensure effective implementation

7.   take direct responsibility for steering and influencing the implementation process.

THE NATIONAL OCCUPATIONAL STANDARD

Element 502.4
Evaluate the effectiveness of the people resourcing change strategy

Performance Criteria

You must be able to:

1. establish the success criteria by which the change strategy will be measured

2. assess the effectiveness and efficiency of the change management process

3. build stakeholder feedback into the evaluation process

4. choose cost-effective methodologies for evaluating programmes

5. collect valid and comprehensive data

6. evaluate the data against the organisation's wider strategic objectives

7. make recommendations to modify or maintain the change management programme.

502 Develop a strategy and plan for people resourcing change management

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

Nature and role of the change process
1.   how to characterise change and models of the change process
2.   how to assess the consequences of external change factors
3.   how to adopt risk assessment procedures in relation to change
4.   how to identify organisational factors preventing change
5.   how to generate novel structures and ways of working in the face of change
6.   how to change internal organisational dynamics
7.   how to transfer knowledge and encourage reflexive communication systems which aid change management
8.   how to initiate and sustain change programmes at all levels of the organisation
9.   how to motivate individuals in times of change
10.   the dynamics of change and how it impacts on the way individuals and groups work
11.   how to identify and manage the emotional impact change can have on individuals
12.   how to develop indicators of successful change and related monitoring procedures

Principles and concepts
13.   how to identify and make use of appropriate benchmarks of good practice
14.   how to make effective use of action planning techniques
15.   how to identify appropriate forms of ethical auditing to help clarify and resolve ethical tensions where they occur
16.   how to select and apply appropriate data collection and analysis techniques, including representative sampling, reliability and validity
17.   how to evaluate employee relations information against a range of criteria, including budget, the marketplace, employee satisfaction, the organisation's strategy, legal requirements, and the ways of identifying and using quantitative and qualitative information
18.   how to summarise and present data

External factors influencing the change management process
19.   how to identify and prioritise the primary external factors influencing the need to change
20.   where to find, and how to appropriate, information about change management processes
21.   how to identify and make use of developments in e-personnel and other technological developments when planning the delivery of personnel services.

503 Identify the learning and development needs of the organisation

503.1 Review how capable the whole organisation is of meeting its development needs
503.2 Develop a learning and development programme for the organisation

About this unit

This unit is appropriate for you if your role involves:
- identifying the learning and development opportunities within the organisation
- identifying the expectations of stakeholders and sponsors, and getting their commitment
- identifying overall learning and training needs
- managing learning and development in the organisation.

The activities you are likely to be involved in:
- using audits, surveys and interviews to identify learning and development needs
- identifying the development needs and opportunities for individual work roles
- reviewing developments in technology-based learning
- identifying the existing abilities and competences of individuals within the organisation and planning future training and development needs
- responding to external factors that influence human resources
- working with other people on major new developments
- getting the commitment of other people.

THE NATIONAL OCCUPATIONAL STANDARD

Element 503.1

Review how capable the whole organisation is of meeting its development needs

Performance Criteria

You must be able to:

1. identify the organisation's needs and expectations of learning and development

2. identify how learning and development contributes to the organisation's objectives and confirm this with key stakeholders

3. identify the abilities and competences the organisation needs to meet its objectives

4. evaluate the effect of the organisation's future needs on its ability to carry out its business.

5. collect information on the existing levels of skills, knowledge and experience of individuals

6. identify the resources and structures available to meet the needs of the organisation

7. match the abilities of individuals with the needs of the organisation

8. identify priority areas for learning and development across the organisation.

THE NATIONAL OCCUPATIONAL STANDARD

Element 503.2
Develop a learning and development programme for the organisation

Performance Criteria

You must be able to:

1. identify development opportunities for individuals which will improve the organisation

2. identify how skills and competences can be shared and transferred between individuals in the organisation

3. identify appropriate learning and development opportunities inside and outside the organisation

4. consider different ways of structuring and delivering learning and development, including technology-based delivery and support

5. identify effective management systems to review and monitor learning programmes

6. develop learning and development programmes for individuals and groups within the organisation that recognise the needs of the people involved

7. set out how you will put the programmes into practice and the outcomes you need to achieve

8. identify the resources you need to put the programmes into practice and how you will get those resources

9. identify the roles and responsibilities of the people delivering the programme

10. get the commitment of the people who will put the programme into practice.

503 Identify the learning and development needs of the organisation

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of learning and development within the organisation
1. how to identify the features of and necessary conditions for an organisation that continuously learns and develops
2. how to identify and respond to the internal factors that drive learning needs
3. how issues of equality, equity, diversity and access influence the planning of learning and development
4. how to identify a range of possible training and development outcomes that support the organisation's strategy
5. how to identify the things that might affect how training is delivered and how to draw up plans to deal with these
6. who the main people in the organisation are who can bring about change and how to influence them
7. what responses and objections to training and development aims you are likely to get and how to deal with these

Principles and concepts
8. how to evaluate different ways of delivering learning and development - and their relevance to the needs of the organisation and individuals
9. how to identify and evaluate changes and developments in technology and e-learning - and their relevance to how the organisation delivers learning and development
10. how to identify the learning opportunities available and how to use resources to access them
11. how to access sources of information to help forecast trends and developments in learning and development
12. how to choose appropriate quality control and quality assurance systems when delivering training, and how to take account of current national debates on quality improvement

External factors influencing human resource development
13. how to identify the external influences on delivering learning and development policies, including economic, social and political
14. how to analyse and use developments in learning and new ways of delivery
15. how to identify and use developments in e-learning and other technological developments when planning learning.

504 Secure financial resources for your organisation's plans (MSC)

504.1 Review the generation and allocation of financial resources
504.2 Evaluate proposals for expenditure
504.3 Obtain financial resources for your organisation's activities

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About this unit

This unit is about managing your organisation's finance at a strategic level. It covers examining the way your organisation generates and allocates financial resources, evaluating proposals from others on expenditure, and obtaining the financial resources which your organisation needs.

This unit is appropriate for you if you are a manager and you
- have responsibility for substantial programmes and resources
- have responsibility for the strategic development of your organisation
- have a broad span of control
- proactively identify and implement change and quality improvements
- negotiate budgets and contracts
- lead high-level meetings.

To *review the generation and allocation of financial resources,* you need to gather accurate and up-to-date information on how your organisation generates and allocates finance. You need to select criteria to assess the effectiveness of current practice, and review how well your organisation compares with similar ones.

To *evaluate proposals for expenditure*, you need to select fair criteria and explain these to your colleagues. You need to provide help and support when they are making proposals for expenditure. You need to evaluate these for costs, benefits and other relevant factors. Finally you need to negotiate the proposals in a way which maintains your colleagues' goodwill.

To *obtain financial resources for your organisation's activities*, you need to make out a clear and persuasive case for your ideas on generating finance, make sure your activities do not endanger the good name of your organisation, and develop feasible contingency plans in case your proposals are unsuccessful.

THE NATIONAL OCCUPATIONAL STANDARD

Element 504.1
Review the generation and allocation of financial resources

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. ensure that your systems for reviewing the generation and allocation of financial resources provide accurate, comprehensive and up-to-date information	a) the legal requirements for the handling of information on the generation and allocation of financial resources.
2. ensure that the criteria you use for assessing the organisation's performance in the generation and allocation of financial resources take account of the type of organisation, its context and culture	b) the systems which may be used to review the generation and allocation of financial resources and their relative advantages and disadvantages to your area of work and available resources
3. ensure that the criteria you use include commonly accepted performance measures for the generation and allocation of financial resources	c) the information which is needed to review the generation and allocation of financial resources and how to collect this information
4. ensure that your review shows how well the organisation is performing compared with other organisations	d) how to select criteria which are appropriate to your organisation, its context and culture
5. ensure that your review shows how effective the organisation's methods are compared to alternative methods of generation and allocation of financial resources	e) the commonly accepted performance measures for the generation and allocation of financial resources
6. gather, store and use information on the generation and allocation of financial resources in accordance with organisational policies and legal requirements.	f) how to compare your organisation's performance with that of others
	g) the alternative methods of generating and allocating financial resources which may be appropriate and how to evaluate these.
	h) the context and culture of the organisation and the implications of these for resource generation and allocation
	i) the organisational requirements for the handling of information
	j) the other organisations against which it is appropriate to compare your organisation's performance
	k) the importance of continuously reviewing the generation and allocation of financial resources and your role and responsibilities in this regard.

THE NATIONAL OCCUPATIONAL STANDARD

Element 504.1
Review the generation and allocation of financial resources

Evidence Requirements	Range
You must prove that you *review the generation and allocation of financial resources* to the National Standard of competence. To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria. Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	at least two of the following methods for the **generation of financial resources** • raising equity finance • obtaining loans • obtaining venture capital • negotiating with government for funds • obtaining sponsorship • creative and innovative approaches. at least one of the following methods for the **allocation of financial resources**: • budgeted plans • internal bidding and departmental competition or collaboration • external bidding and inter-organisational competition or collaboration.

THE NATIONAL OCCUPATIONAL STANDARD

Element 504.2
Evaluate proposals for expenditure

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. select evaluation criteria which are relevant, fair and clear	a) how to develop and present a case for the acceptance or rejection of proposals
2. provide those submitting proposals with sufficient help to make their proposals effective	b) the range of criteria for evaluating proposals for expenditure and their relative advantages and disadvantages to your role and responsibilities
3. evaluate proposals against your stated criteria within the agreed timescale	
4. evaluate proposals for their expected benefits and costs, and according to how realistic and achievable these benefits and costs appear to be	c) how to evaluate proposals against selected criteria and carry out cost-benefit analyses of these
	d) what weaknesses and inconsistencies may be present in proposals and how to identify and evaluate these
5. ensure that the proposals you accept clearly show how they support the organisation's objectives, strategies, values and policies	e) your organisation's objectives, strategies, values and policies relevant to evaluating proposals for expenditure
6. highlight weaknesses or inconsistencies in proposals and form a justifiable case for rejection or amendment	f) the types of help those making proposals may need and how to provide support effectively
7. clearly explain the reasons for the rejection or amendment of proposals to those submitting the proposals	g) why the thorough evaluation of proposals for expenditure is essential and your role and responsibilities in relation to this
8. conduct negotiations over proposals in a manner likely to ensure the co-operation, confidence and goodwill of the people involved.	h) the strategies to use when carrying out negotiations on expenditure proposals so that the co-operation, confidence and goodwill of those involved is maintained.

THE NATIONAL OCCUPATIONAL STANDARD

Element 504.2
Evaluate proposals for expenditure

Evidence Requirements	Range
You must prove that you *evaluate proposals for expenditure* to the National Standard of competence. To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria. Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	at least one of the following types of **evaluation** • comparative • absolute. all the following types of **proposals** • for long-term programmes of work • for medium-term programmes of work • for short-term programmes of work.

THE NATIONAL OCCUPATIONAL STANDARD

Element 504.3
Obtain financial resources for your organisation's activities

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. give opportunities to relevant people to help to obtain financial resources for your organisation's activities	a) how to encourage and enable team members, colleagues and line managers to help to obtain financial resources for your organisation's work
2. ensure that the case you make for obtaining resources is clear, consistent and supported by sound argument	b) how to develop and present a case for obtaining financial resources in a way which is likely to gain the support of key decision makers
3. ensure that the way you present your case reflects the commitment of those who will be using the resources	c) the legislation relevant to obtaining financial resources
4. ensure that your activities to obtain resources are consistent with the good name and image of your organisation and with legal requirements	d) the relevant aspects of the organisation's mission, values and policies which may affect agreements and communications concerning the obtaining of financial resources
5. agree realistic alternative courses of action with relevant people when the resources you need are not obtained in full	e) how to interpret these and ensure compliance with them
6. ensure that all your agreements, communications and other activities to obtain resources are consistent with the mission, values and policies of the organisation.	f) the range of activities to obtain financial resources and their relative advantages and disadvantages in relation to your organisation
	g) the importance of having alternative methods of obtaining resources and how to identify and evaluate them.

THE NATIONAL OCCUPATIONAL STANDARD

Element 504.3
Obtain financial resources for your organisation's activities

Evidence Requirements	Range
You must prove that you *obtain financial resources for the organisation's activities* to the National Standard of competence. To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria. Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	at least two the following types of **relevant people** • team members • colleagues working at the same level • higher-level managers or sponsors. at least two of the following types of **activities to obtain resources** • formal proposals • consultation • lobbying • private discussion • media usage • publishing documents.

THE NATIONAL OCCUPATIONAL STANDARD

504	Secure financial resources for your organisation's plans (MSC)

Key words and concepts

These definitions are provided to explain how key words and concepts are used in this unit

activities	methods of obtaining the financial resources your programmes and plans need
allocation of financial resources	how finance is distributed within your organisation to support its various programmes and plans
criteria	principles or standards against which proposals can be evaluated
evaluation	a balanced assessment of what has been achieved against plans
generation of financial resources	raising the finances necessary to achieve your organisation's plans, for example, obtaining loans or venture capital, obtaining government funds or winning sponsorship
legal requirements	laws relevant to the management of your organisation's finances and methods of generating finance
measures	methods of assessing how well your organisation is performing
mission	the long-term goal you wish your organisation to achieve
negotiation	the process of reaching agreement with those who are making proposals
organisational objectives	clearly defined and measurable results which your organisation is scheduled to achieve
policies	guidelines which cover the way your organisation deals with key issues, for example preferred lenders or types of sponsors
proposals	requests for financial support for programmes or plans which you are responsible for approving
relevant people	team members, colleagues working at the same level, higher-level managers or sponsors
review	the ongoing or regular process of information collection, assessment and, where necessary, improvement
strategies	long-term plans which guide your organisation in working towards its mission
values	those things your organisation believes in and seeks to realise in its work, for example, customer service, team working, quality or value for money.

THE NATIONAL OCCUPATIONAL STANDARD

504	Manage the use of financial resources (MSC)

Personal competencies

In performing effectively in this unit, you will show that you

Acting strategically
- display an understanding of how the different parts of the organisation and its environment fit together
- work towards a clearly defined vision of the future
- clearly relate your goals and actions to the strategic aims of your organisation
- take opportunities when they arise to achieve the longer-term aims or needs of your organisation

Communicating
- listen actively, ask questions, clarify points and rephrase others' statements and check mutual understanding
- adopt communication styles appropriate to listeners and situations, including selecting an appropriate time and place

Influencing others
- develop and use contacts to trade information, and obtain support and resources
- present yourself positively to others
- create and prepare strategies for influencing others
- understand the culture of your organisation and act to work within it or influence it

Searching for information
- actively encourage the free exchange of information
- make best use of existing sources of information
- seek information from multiple sources
- challenge the validity and reliability of sources of information
- push for concrete information in an ambiguous situation

Thinking and taking decisions
- break processes down into tasks and activities
- identify patterns or meaning from events and data which are not obviously related
- produce a variety of solutions before taking a decision
- take decisions which are realistic for the situation.

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Optional units

Candidates must choose THREE of the following units

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505 Contribute to the development of learning within the organisation

505.1 Ensure the contribution of learning to the organisation
505.2 Contribute to learning strategies and processes of the organisation
505.3 Assist the organisation to sustain learning processes

About this unit

This unit is appropriate for those who
• develop while learning within the organisation
• sustain the learning organisation.

The activities you are likely to be involved in:
• seeking alternative ways of helping others to learn
• conducting audits of existing systems
• selling the benefits of a learning organisation to others
• contributing to learning strategies and systems.

THE NATIONAL OCCUPATIONAL STANDARD

Element 505.1
Ensure the contribution of learning to the organisation

Performance Criteria

You must be able to:

1. contribute to the definition of learning and its role within the organisation

2. establish how learning will contribute to organisational performance

3. contribute to a shared understanding of the learning needs of the organisation

4. establish the indicators for successful organisational learning

5. identify existing opportunities for learning within the organisation

6. identify the barriers to organisational learning and how they may be overcome.

THE NATIONAL OCCUPATIONAL STANDARD

Element 505.2
Contribute to the learning strategies and processes of the organisation

Performance Criteria

You must be able to:

1.   maximise access to learning opportunities in all the core activities of the organisation

2.   encourage individuals to take responsibility for and structure their own learning and contribute to the learning of others

3.   build learning potential and opportunities into appropriate aspects of the organisation's structures and processes and review ways of overcoming them

4.   match individual learning aspirations to organisational needs

5.   identify alternative forms of delivering learning and development and match them to individual and organisational priorities

6.   create opportunities for group and team learning.

THE NATIONAL OCCUPATIONAL STANDARD

Element 505.3
Assist the organisation to sustain learning processes

Performance Criteria

You must be able to:

1. create opportunities for regular personal and team audits of learning successes, mistakes and future needs

2. contribute to the review of shared organisational learning goals

3. review achievements against indicators of success and continuous learning

4. apply the results of learning throughout the organisation and its processes

5. gather information on individual and shared future learning needs across the organisation

6. share assumptions and results of reviews openly with others

7. review alternative ways of delivering learning which cater for diversity of need and differing learning styles.

505 Contribute to the development of learning within the organisation

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and procedures.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of learning within the organisation
1.   how the learning culture relates to organisational aims and objectives
2.   how to promote the organisational benefits of a positive learning culture
3.   how to establish and overcome the likely factors which will hinder a positive learning culture
4.   how to establish the features of, and necessary conditions for, a continuously developing and learning organisation
5.   the indicators of a successful learning organisation in terms of new ways of interacting, re-defining relationships and work practices and learning processes and their outcomes
6.   how to recognise and respond to the influence of organisational culture on the learning process
7.   how to assess the effect of working relationships and work patterns on the effectiveness of learning within the organisation
8.   issues of equality, diversity and access, and how they influence learning entitlement
9.   how to develop a culture of sustained organisational learning
10.   which factors influence motivations and commitment to organisational learning
11.   how to identify and encourage the conditions needed for effective learning

Principles and concepts
12.   ways of extending knowledge and learning across an organisation
13.   ways of identifying learning needs in organisations and creating a shared learning need
14.   how to identify and manage the different learning requirements of individuals, teams and groups
15.   ways of accessing learning opportunities and systems
16.   how to identify the learning processes and tools needed to react to challenges and change
17.   ways of achieving knowledge and skills transfer
18.   how to respond to alternative learning styles of individuals and groups
19.   how to recognise and overcome blocks to learning
20.   ways of motivating individuals to look for learning opportunities in their work
21.   ways of identifying and pooling shared knowledge and experience
22.   the role of learning groups and teams
23.   ways of ensuring collective information about organisational learning
24.   ways of encouraging open and equal feedback on learning
25.   ways of gathering, considering and using information in new and innovative ways

External factors influencing a positive health and safety culture
26.   how to identify and quantify the external influences on the implementation of learning systems within the organisation, including economic, social and political
27.   how to analyse and make use of relevant national and international debates relating to the role of learning within an organisation.

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506 Manage the performance of teams and individuals (MSC)

506.1 Allocate work to teams and individuals
506.2 Agree objectives and work plans with teams and individuals
506.3 Assess the performance of teams and individuals
506.4 Provide feedback to teams and individuals on their performance

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About this unit

This unit is about making the best use of your team and its members so that they can achieve your organisation's objectives. It covers allocating work, agreeing objectives, and setting out plans and methods of working. It also involves monitoring and evaluating your team's work and providing feedback to them on their performance.

This unit is for you if you are a manager with responsibility for
- allocating work to others
- achieving specific results by using resources effectively within a defined area of authority
- contributing to, or controlling, substantial operational programmes and budgets.

To *allocate work to teams and individuals*, you need to decide with your team how to distribute tasks and responsibilities. You need to make sure this allocation makes best use of their abilities, and provides opportunities for them to learn and develop in their roles. You need to make it clear what is expected of team members and check their commitment to their work. Where resources are limited, you may have to prioritise objectives or reallocate resources whilst minimising the disruption this may cause.

To *agree objectives and work plans with teams and individuals,* you need to set out and agree objectives and work plans which are specific, measurable, realistic, time-bound and consistent with your organisation's overall objectives and policies. You need to explain ways of working in sufficient detail for your team members to understand their objectives and responsibilities. You also need to update objectives and work plans in the light of progress and changes.

To *assess the performance of teams and individuals,* you need to make it clear why you are monitoring and assessing their performance. You need to encourage them to evaluate their own performance wherever possible. You need to evaluate their performance against clear, agreed criteria, taking into account organisational constraints and personal circumstances.

To *provide feedback to teams and individuals on their performance,* you need to give them regular feedback based on your objective assessment of their performance. Your feedback should acknowledge their achievements and provide constructive suggestions and encouragement. At all times you need to maintain confidentiality and show respect for the individuals concerned. You should also give them the chance to respond to your feedback and suggest how they could improve their performance in the future.

THE NATIONAL OCCUPATIONAL STANDARD

Element 506.1
Allocate work to teams and individuals

Performance Criteria

You must be able to:

1. give opportunities to your team members to recommend how you should allocate work within the team

2. ensure that your allocation of work makes the best use of your team's resources and the abilities of all its members

3. ensure that your allocation of work provides your team members with suitable learning opportunities to meet their personal development objectives

4. ensure that your allocation of work is consistent with your team's objectives, and the objectives, policies and values of your organisation

5. clearly define the responsibilities of your team and its individual members, and the limits of their authority

6. provide sufficient information on your allocation of work in a manner and at a level and pace appropriate to the individuals concerned

7. confirm team and individual understanding of, and commitment to, work allocations at appropriate intervals

8. reach agreement with relevant people on the prioritisation of objectives or reallocation of resources where team resources are insufficient

9. inform your team and its members of changes to work allocations in a way which minimises the impact on time, cost and inconvenience.

Knowledge and understanding

You must know and understand:

a) the importance of defining and communicating team and individual responsibilities clearly

b) how to communicate team and individual responsibilities clearly to those involved

c) how to develop and present work plans using spoken, written and graphical means.

d) the importance of the effective allocation of work to your team's performance and your role and responsibilities in relation to this

e) the factors which you need to consider when allocating work to individuals within the team

f) how to match the allocation of work to learning needs and individual development plans

g) how to prioritise and re-prioritise work allocations according to resource availability

h) how your changes to work allocations and negotiations around them can impact on cost, time and convenience

i) why your team members should have the opportunity to recommend work allocations

j) how to encourage and enable team members to provide suggestions on the allocation of work and be committed to their responsibilities

k) your team objectives, and the organisational policies and values which have a bearing on the allocation of work within your team

l) the relevant people with whom negotiations on the allocation of resources need to take place.

THE NATIONAL OCCUPATIONAL STANDARD

Element 506.1
Allocate work to teams and individuals

Evidence Requirements	Range
You must prove that you *allocate work to teams and individuals* to the National Standard of competence. To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria. Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **only** acceptable for performance criterion h) in this element.	**both** of the following contexts • normal working • emergencies at least **two** of the following types of **information** • spoken • written • graphical. at least **two** of the following types of **relevant people** • team members • colleagues working at the same level as yourself • higher-level managers or sponsors • customers • suppliers.

THE NATIONAL OCCUPATIONAL STANDARD

Element 506.2
Agree objectives and work plans with teams and individuals

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. give opportunities to your team members to help define their own objectives and work plans	a) the importance of good communication when explaining objectives and work plans
2. develop objectives and work plans which are consistent with team and organisational objectives and agree these with all personnel in your area of responsibility	b) the importance of consulting with team members and achieving consensus and agreement on objectives and work plans
3. ensure that the objectives, work plans and schedules are realistic and achievable within organisational constraints	c) how to encourage and enable team members to define their own work objectives and plans
4. ensure that the objectives and work plans take account of team members' abilities and development needs	d) how to gain the commitment of team members to objectives and work plans
5. explain the objectives and work plans in sufficient detail and at a level and pace appropriate to your individual team members	e) the types of issues on which your team members may need advice and guidance
6. confirm team and individual understanding of, and commitment to, objectives and work plans at appropriate intervals	f) the organisational objectives and constraints which have a bearing on objectives and work plans
7. provide advice and guidance on how to achieve objectives in sufficient detail and at times appropriate to the needs of teams and individuals	g) how to identify and devise objectives and work plans for the short, medium and long term
8. update the objectives and work plans regularly and take account of any individual, team and organisational changes.	h) the importance of agreeing objectives and work plans which are realistic and achievable
	i) how to match objectives and work plans with individuals' abilities and development needs
	j) the importance of regularly updating objectives and work plans
	k) the difference between someone who is within the manager's line management control and someone for whom the manager has functional responsibility, and the implications this difference may have for planning work.

THE NATIONAL OCCUPATIONAL STANDARD

Element 506.2
Agree objectives and work plans with teams and individuals

Evidence Requirements	**Range**
You must prove that you *agree objectives and work plans with teams and individuals* to the National Standard of competence.	at least **one** of the following types of **team member**
	• people for whom you have line responsibility
To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria.	• people for whom you have functional responsibility.
Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	at least **two** of the following types of **objectives and work plans**
	• short-term
	• medium-term
	• long-term.
	all the following types of **organisational constraints**
	• organisational objectives
	• organisational policies
	• resources.

THE NATIONAL OCCUPATIONAL STANDARD

Element 506.3
Assess the performance of teams and individuals

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. clearly explain the purpose of monitoring and assessment to all those involved	a) the importance of being clear yourself about the purpose of monitoring and assessment and communicating this effectively to those involved
2. give opportunities to teams and individuals to monitor and assess their own performance against objectives and work plans	b) the importance of monitoring and assessing the ongoing performance of teams and individuals
3. monitor the performance of teams and individuals at times most likely to maintain and improve effective performance	c) the different purposes of work monitoring and assessment
4. ensure that your assessment of the performance of teams and individuals is based on sufficient, valid and reliable information	d) how to make fair and objective assessments
	e) how to monitor and assess the performance of teams and individuals
5. carry out your assessments objectively, against clear, agreed criteria	f) the standards against which work is to be assessed
6. ensure that your assessments take due account of the personal circumstances of team members and the organisational constraints on their work.	g) the information needed to assess the performance of teams and individuals
	h) how the necessary information should be gathered and validated
	i) the importance of providing opportunities to team members to monitor and assess their own work, and how to enable this
	j) the organisational constraints which may affect the achievement of objectives
	k) the types of personal circumstances which may impact on individual performance.

THE NATIONAL OCCUPATIONAL STANDARD

Element 506.3
Assess the performance of teams and individuals

Evidence Requirements	Range
You must prove that you *assess the performance of teams and individuals* to the National Standard of competence. To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria. Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	at least **two** of the following types of **purpose** • assuring that objectives have been achieved • assuring that quality and customer requirements have been met • appraising team or individual performance • assessing performance for reward • recognising competent performance and achievement. at least **one** of the following types of **monitoring and assessment** • specific to one activity or objective • general to overall performance of the team or individual. **both** of the following types of **information** • qualitative • quantitative. **all** the following types of **organisational constraints** • organisational objectives • organisational policies • resources .

THE NATIONAL OCCUPATIONAL STANDARD

Element 506.4
Provide feedback to teams and individuals on their performance

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. provide feedback to teams and individuals in a situation and in a form and manner most likely to maintain and improve their performance	a) the importance of good communication skills when providing feedback
2. ensure that the feedback you provide is clear, and is based on your objective assessment of their performance against agreed objectives	b) how to provide both positive and negative feedback to team members on their performance
3. ensure that your feedback acknowledges your team members' achievement	c) how to choose an appropriate time and a place to give feedback to teams and individuals
4. ensure that your feedback provides your team members with constructive suggestions and encouragement for improving future performance against their work and development objectives	d) how to provide feedback in a way which encourages your team members to feel that you respect them
5. provide feedback in a way which shows respect for individuals and the need for confidentiality	e) the importance of providing clear and accurate feedback to your team members on their performance and your role and responsibilities in relation to this
6. give opportunities to teams and individuals to respond to feedback, and to recommend how they could improve their performance in the future.	f) the principles of confidentiality when providing feedback - which people should receive which pieces of information
	g) how to motivate team members and gain their commitment by providing feedback
	h) the importance of being encouraging when providing feedback to team members and showing respect for those involved
	i) the importance of providing constructive suggestions on how performance can be improved
	j) the importance of giving those involved the opportunity to provide suggestions on how to improve their work.

THE NATIONAL OCCUPATIONAL STANDARD

Element 506.4

Provide feedback to teams and individuals on their performance

Evidence Requirements	Range
You must prove that you *provide feedback to teams and individuals on their performance* to the National Standard of competence. To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria. Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	**both** of the following types of **feedback** • positive • negative. **both** of the following forms of **feedback** • spoken • written. at least **three** of the following types of **situation** • during normal day-to-day activities • when required to maintain motivation, morale and effectiveness • during formal appraisals • at team meetings and briefings • during confidential discussions of work.

506	Manage the performance of teams and individuals (MSC)

Key words and concepts

These definitions are provided to explain how key words and concepts are used in this unit

allocating work	giving teams and individuals responsibility for tasks which should achieve agreed work objectives
assessment of performance	a balanced analysis of performance against planned objectives, taking all relevant factors into account
confidentiality	only providing information to those who are authorised to have it
feedback on performance	information you give to team members on how well they are performing against the objectives which have been agreed
monitoring	keeping a close eye on activities and results, and comparing these with planned objectives; methods include considering spoken and written information provided by others
objectives	clearly defined results which your team and its members need to achieve; objectives should be specific, measurable, realistic and time-bound
organisational constraints	your organisation's policies, objectives and level of resources, which limit your freedom to take decisions and action
organisational objectives	clearly defined and measurable results which your organisation is scheduled to achieve
plans	documents, or spoken agreements, which describe the work to be carried out, by when, by whom, to what standard and with what resources, in order that requirements and objectives can be met
policies	guidelines which cover the allocation of work, such as equal opportunities, training and development and performance management policies
prioritisation	deciding the relative importance and urgency of objectives and tasks, so that you know in which order to tackle them
relevant people	team members, colleagues working at the same level as yourself, higher-level managers and sponsors, personnel specialists, people outside the organisation, customers and suppliers
resources	the people, time, equipment, materials, services, energy, and premises which you have at your disposal
schedules	documents showing the work to be done, when and, sometimes, by whom
values	the principles which your organisation believes in and seeks to realise in everything it does; values may be reflected in your organisation's mission, standards of work, relationships between individuals at work, relationships with suppliers, customers and other stakeholders, personnel management and reward systems, training, equal opportunities, health and safety and environmental policies.

THE NATIONAL OCCUPATIONAL STANDARD

506	Manage the performance of teams and individuals (MSC)

Personal competencies	*In performing effectively in this unit, you will show that you*
Acting assertively	• take a leading role in initiating action and making decisions • take personal responsibility for making things happen • take control of situations and events
Building teams	• actively build relationships with others • make time available to support others • encourage and stimulate others to make the best use of their abilities • evaluate and enhance people's capability to do their jobs • provide feedback designed to improve people's future performance • show respect for the views and actions of others • show sensitivity to the needs and feelings of others • use power and authority in a fair and equitable manner • keep others informed about plans and progress • clearly identify what is required of others • invite others to contribute to planning and organising work • set objectives which are both achievable and challenging • check individuals' commitment to a specific course of action • use a variety of techniques to promote morale and productivity • identify and resolve causes of conflict or resistance
Communicating	• listen actively, ask questions, clarify points and rephrase others' statements and check mutual understanding • adopt communication styles appropriate to listeners and situations, including selecting an appropriate time and place • confirm listeners' understanding through questioning and interpretation of non-verbal signals • modify communication in response to feedback from listeners
Thinking and taking decisions	• break processes down into tasks and activities • take decisions which are realistic for the situation.

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507 Develop and implement effective communication systems for health and safety information

507.1 Develop and implement communication systems for health and safety information into your organisation

507.2 Develop and implement communication systems for health and safety information within your organisation

507.3 Develop and implement communication systems for health and safety information out of your organisation

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About this unit

This unit is appropriate for you if your role involves:
- evaluating health and safety information external to your organisation
- communicating to your organisation relevant health and safety information generated from outside
- ensuring an effective health and safety communication system within your organisation
- ensuring that relevant health and safety information from within your organisation is communicated to statutory authorities, local authorities and relevant groups and individuals.

The activities you are likely to be involved in:
- ensuring the directors, senior, line, functional and technical managers and employee representatives receive and understand relevant his from outside your organisation on:
  - health and safety information related to input materials, goods, equipment, services and resources
  - developments in health and safety risk assessment and control procedures and practices
  - developments in health and safety best practice
  - proposed and new health and safety legislation, codes of practice and standards

- ensuring that directors, senior, line, functional and technical managers and employee representatives receive and understand relevant his from within your organisation on:
  - health and safety information resulting from active and reactive monitoring and review
  - health and safety performance improvement initiatives and activities
  - health and safety promoting initiatives and activities

- ensuring that directors, senior, line, functional and technical managers and employee representatives receive and understand relevant health and safety information generated within your organisation and given outside concerning:
  - health and safety information communicated to the regulatory authorities
  - health and safety information communicated to the local authorities
  - health and safety information communicated to other relevant groups and individuals
  - health and safety information communicated to trade associations and voluntary bodies

- ensuring that suitable records are kept in you organisation of all health and safety information and communication systems
- maintaining the communication system of your organisation for documented health and safety standards and procedures
- ensuring that the relevant health and safety standards and procedures of your organisation are communicated to contractors and other relevant groups
- ensuring that health and safety information for products, services, scrap goods and materials, and waste outputs of your organisation are produced and issued to relevant receivers
- keeping appropriate records.

THE NATIONAL OCCUPATIONAL STANDARD

Element 507.1

Develop and implement communication systems for health and safety information into your organisation

Performance Criteria

You must be able to:

1   identify and evaluate proposed and new health and safety legislation, codes of practice, and standards of relevance to your organisation

2   evaluate developments in health and safety risk assessment and control procedures and practices, technical developments and best practice

3   develop and implement appropriate communication systems in your organisation for relevant proposed and new health and safety legislation, codes of practice, standards, health and safety risk assessment and control procedures and practices, technical developments and best practiced

4   collect and keep a record of all relevant health and safety information relating to input materials, goods, equipment, services and resources bought in by your organisation

5   develop and implement appropriate communication systems for relevant health and safety information relating to input materials, goods, equipment, services and resources bought in by your organisation

6   identify, evaluate and communicate, as necessary, health and safety information and comment on relevance to your organisation.

THE NATIONAL OCCUPATIONAL STANDARD

Element 507.2
Develop and implement communication systems for health and safety information within your organisation

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Performance Criteria

You must be able to:

1. develop and implement communication systems for the information resulting from the active and reactive monitoring and review of the health and safety performance of your organisation

2. develop and implement communication systems for the health and safety performance initiatives of your organisation

3. develop and implement communication systems for the health and safety promotion activities of your organisation

4. ensure that the health and safety culture and policy are kept in the forefront of the activities of your organisation.

THE NATIONAL OCCUPATIONAL STANDARD

Element 507.3
Develop and implement communication systems for health and safety information out of your organisation

Performance Criteria

You must be able to:

1. ensure that the statutory reporting of the health and safety information of your organisation to the regulatory and local authorities is carried out

2. ensure that the relevant health and safety information of your organisation is communicated to trade associations, voluntary bodies, interested parties and individuals

3. ensure that the relevant health and safety information of your organisation for products, services and waste is given to the relevant recipients

4. ensure that the relevant health and safety standards and procedures of your organisation are given to contractors.

507 Develop and implement effective communication systems for health and safety information

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and procedures.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of effective communication systems for health and safety information within the organisation
1. how to establish the active and reactive performance criteria and records of an organisation

Principles and concepts
2. how to apply the principles and practices of effective written and verbal communication
3. how to make effective use of electronic information, retrieval, storage and communication systems

External factors influencing effective communication systems for health and safety information
4. how to identify and evaluate health and safety risk assessment and control procedures and practices, technical developments and best practice
5. how to identify and evaluate proposed and new health and safety legislation, codes of practice and standards
6. how to identify and select appropriate health and safety promotional activities relevant to the needs of an organisation
7. how to identify and apply the health and safety statutory reporting requirements for an organisation
8. how to identify and apply the health and safety statutory information requirements for the products, services and waste of an organisation
9. how to identify and apply the health and safety standards and procedures of an organisation that are relevant to the contractors used by the organisation.

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508 Develop and implement systems and procedures to minimise environmental impact of the organisation

508.1 Identify the hazards and assess the risks of environmental impact
508.2 Determine environmental impact control measures and active an reactive performance monitoring
508.3 Develop, implement and test emergency procedures for environmental impact events
508.4 Keep stakeholders informed of environmental protection measures

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About this unit

This unit is appropriate for you if your role involves:
• developing, implementing and testing systems and procedures to minimise the environmental impact of the organisation.

The activities you are likely to be involved in:
• reviewing the workplace, activities and organisation in order to identify the potential for environmental impact
• assessing the nature and extent of the potential environmental impact of the workplace, activities and organisation in order to determine the risk of environmental impact
• determining, developing and implementing appropriate risk control measures for your organisation which meet statutory and common law requirements and industry best practice
• developing, implementing and managing environmental protection active and reactive performance monitoring systems and procedures for your organisation
• developing, implementing and testing emergency procedures for your organisation for responding to environmental impact events
• keeping directors, senior, line, functional and technical managers, employee representatives and employees informed of, and where necessary involved in, environmental protection measures and outcomes
• ensuring that the regulatory and local authorities are kept informed of all relevant matters regarding environmental protection
• carrying out appropriate measurements and calculations
• keeping accurate records.

THE NATIONAL OCCUPATIONAL STANDARD

Element 508.1
Identify the hazards and assessing the risks of environmental impact

Performance Criteria

You must be able to:

1. identify and evaluate environmental hazards relating to the procedures and practices of your organisation for dealing with solid, liquid and gaseous materials and substances, by the inspection of the workplace, observation of work activities, and examination of proposed and new workplaces, equipment and processes and activities

2. identify and evaluate and review the policies and procedures of your organisation in relation to the environmental hazards associated with the purchasing and disposal practices

3. determine the risks to the environment from the workplace, the activities and procedures and practices of your organisation

4. decide the tolerability and/or acceptability of risk

5. determine and evaluate the environmental hazards and risk by the use of appropriate measuring equipment and survey techniques

6. involve directors, senior, line, technical and functional managers, employee representatives and employees in the process of identifying environmental hazards and assessing risk

7. keep appropriate records.

THE NATIONAL OCCUPATIONAL STANDARD

Element 508.2
Determine environmental impact control measures and active and reactive performance monitoring

Performance Criteria

You must be able to:

1. identify and evaluate the existing risk control measures and any additional or improved risk control measures that may be needed in your organisation

2. prioritise risk

3. identify and take into consideration the risk control measures required by environmental protection statutory and common law requirements and industry best practice

4. determine the cost-effectiveness of risk control measures in your organisation

5. assist in the implementation of risk control measures in your organisation

6. identify and assist in the implementation of appropriate active and reactive performance measures to identify the extent of compliance with environmental protection statutory and common law requirements and industry best practice

7. interpret and evaluate the results from the use of appropriate monitoring equipment

8. keep appropriate records of environmental protection active and reactive performance monitoring.

THE NATIONAL OCCUPATIONAL STANDARD

Element 508.3

Develop, implement and test emergency procedures for environmental impact events

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Performance Criteria

You must be able to:

1. develop, implement and test emergency procedures for your organisation, taking into account relevant environmental protection statutory and common law requirements and industry best practice dealing with the control and ongoing effects of an environmental impact event

2. establish effective liaison with the appropriate emergency services and the regulatory and local authorities

3. respond to the requests of the regulatory and local authorities, the emergency services and, where necessary, the media and other interested parties

4. ensure that the investigation procedures have been carried out

5. keep adequate records.

THE NATIONAL OCCUPATIONAL STANDARD

Element 508.4
Keep stakeholders informed of environmental protection measures

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Performance Criteria

You must be able to:

1. inform directors, senior, line, technical and functional managers, employee representatives and employees of the outcomes of environmental active and reactive performance monitoring

2. make suitable and appropriate recommendations based on the outcomes of environmental protection active and reactive monitoring outcomes

3. keep the regulatory and local authorities and, where appropriate, the media and other interested parties informed of all relevant matters related to environmental protection.

508 Develop and implement systems and procedures to minimise environmental impact of the organisation

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and procedures.

You need to be able to show that you have general knowledge and understanding of the following

The nature and role of improvements in environmental protection practice within the organisation
1.   how to identify hazards and assess risks of environmental impact
2.   how to use measuring and monitoring equipment and survey techniques to determine the nature and extent of environmental impact events
3.   how to identify and evaluate risk control measures appropriate to environmental impact
4.   how to prioritise environmental impact risk
5.   how to identify and apply appropriate active and reactive performance monitoring systems for environmental impact
6.   how to identify inadequacies in risk assessment and control identified by investigations and environmental impact events

Principles and concepts
7.   how to involve directors, senior, line, technical and functional managers, employee representatives and employees in environmental protection matters
8.   how to apply the principles and practices of effective written and verbal communication
9.   how to keep and utilise appropriate electronic and paper records related to environmental protection
10.   how to advocate the adoption of recommendations

External factors influencing the implementation of the health and safety policy
11.   how to identify and apply the relevant environmental protection statutory and common law requirements and practical requirements
12.   how to identify breaches of statutory and common law requirements
13.   how to apply quality management requirements to all environmental protection documentation.

509 Manage activities to meet requirements (MSC)

509.1 Implement plans to meet customer requirements
509.2 Maintain a healthy, safe and productive work environment
509.3 Ensure products and services meet quality requirements

About this unit

This unit is about managing activities and conditions in the workplace to meet the requirements of your organisation and your customers. This involves agreeing the outputs required, planning work activities to deliver these outputs and monitoring these activities to make sure quality requirements have been met. It also involves maintaining healthy, safe and productive work environment and continuously looking for ways to improve the processes involved.

This unit is for you if you are a manager with responsibility for
- allocating work to others
- achieving specific results by using resources effectively
- carrying out policy in your defined area of authority
- controlling limited financial budgets
- contributing to broader activities such as change programmes and recruitment

To *implement plans to meet customer requirements*, you need to agree these requirements with your customers, plan appropriate work activities, allocate tasks and maintain records in accordance with your organisation's procedures, taking into account organisational constraints and personal circumstances.

To *maintain a healthy, safe and productive work environment*, you need to make sure that all members of your team are aware of their legal and organisational responsibilities for health and safety. You must continuously seek ways to improve the work environment and take effective action in response to breaches in health and safety requirements.

To *ensure products and services meet quality requirements*, you need to monitor the quality of products and services under your control and make recommendations to improve the processes involved. Where products and services do not meet requirements, you need to take effective action to bring them up to standard.

THE NATIONAL OCCUPATIONAL STANDARD

Element 509.1
Implement plans to meet customer requirements

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. agree requirements with customers in sufficient detail to allow work to be planned effectively	a) how to communicate effectively with team members, colleagues, line managers and people outside your organisation
2. ensure that your plans allow requirements to be met within agreed time scales	b) the importance of a focus on customer requirements and quality issues, and your role and responsibilities in relation to this
3. explain plans to relevant people in sufficient detail and at an appropriate level and pace	c) the differences between internal and external customers
4. confirm with relevant people their understanding of, and commitment to, your plans	d) how to encourage and enable team members, colleagues and line managers to help to improve efficiency
5. follow organisational procedures for recording your plans	e) the records which you need to complete and how this should be done
6. give opportunities to relevant people to make recommendations for improving plans.	f) how to identify customer requirements to a level of detail sufficient for planning work
	g) the principles of planning work activities, setting objectives and priorities to ensure requirements are met efficiently.

THE NATIONAL OCCUPATIONAL STANDARD

Element 509.1
Implement plans to meet customer requirements

Evidence Requirements	Range
You must prove that you *implement plans to meet customer requirements* to the National Standard of competence. To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria. Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	**all** the following **requirements** • quality • quantity • delivery • health and safety. **one** of the following types of **customer** • internal • external. **one** of the following types of **relevant people** • team members • colleagues working at your level • higher-level managers or sponsors • people outside you organisation.

THE NATIONAL OCCUPATIONAL STANDARD

Element 509.2
Maintain a healthy, safe and productive work environment

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. inform relevant people about their legal and organisational responsibilities for maintaining a healthy, safe and productive work environment	a) the principles of risk assessment and how to ensure that the work environment is effectively monitored
2. make sufficient support available to relevant people to ensure they can work in a healthy, safe and productive way	b) how to assess current working conditions and identify possible areas for improvement.
3. provide opportunities for relevant people to make recommendations for improving the work environment	c) how to communicate effectively with team members, colleagues, line managers and people outside your organisation
4. ensure that the work environment under your control conforms to organisational and legal requirements	d) the importance of health and safety at work and your role and responsibility in relation to this
5. ensure that the work environment under your control is as conducive to healthy, safe and productive working as possible within organisational constraints	e) the organisational and legal requirements for maintaining a healthy, safe and productive work environment
6. respond to breaches in health and safety requirements promptly and in line with organisational and legal requirements	f) the industrial or professional codes of practice relevant to healthy, safe and productive work environments
7. make recommendations for improving the work environment clearly and promptly to relevant people	g) the types of support it may be necessary to provide on health and safety issues and how to provide such support
8. ensure that your records regarding health and safety and the work environment are complete, accurate and comply with organisational and legal requirements.	h) how to respond to contradictions between health and safety requirements and organisational constraints
	i) the procedures to follow in order to recommend improvements in the work environment
	j) the records which need to be kept and the organisational and legislative requirements for doing so
	k) the types of work environments which are most conducive to productive work.

THE NATIONAL OCCUPATIONAL STANDARD

Element 509.2
Maintain a healthy, safe and productive work environment

Evidence Requirements	Range
You must prove that you *maintain a healthy, safe and productive work environment* to the National Standard of competence.	**two** of the following types of **relevant people** • team members • colleagues working at your level • higher-level managers or sponsors • people outside your organisation.
To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria.	
Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **only** acceptable for performance criterion f) in this element.	**all** the following features of the **work environment** • physical environment • equipment • materials • working procedures

THE NATIONAL OCCUPATIONAL STANDARD

Element 509.3
Ensure products and services meet quality requirements

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1. give opportunities to relevant people to monitor the quality of products and services and recommend improvements to the processes involved	a) the importance of empowering team members to make recommendations on quality improvement and efficiency and how to encourage their contributions
2. ensure that your monitoring of the quality of products and services is continuous and complies with your organisation's procedures	b) how to monitor the quality of work taking place in your area of responsibility
3. ensure that the products and services within your area of responsibility consistently meet your customers' and organisation's requirements	c) the standards and organisational requirements which apply to the activities for which you are responsible
4. take prompt and effective action where products, services and the processes involved do not meet agreed requirements	d) the records which need to be completed and how this should be done
5. ensure that your records relating to the quality of products and services comply with your organisation's procedures.	e) how to interpret your organisation's policies and determine their implications for quality assurance
	f) the meaning and importance of quality in the management of activities
	g) the principles and methods of quality assurance
	h) the deficiencies in quality that are likely to occur and the appropriate corrective actions to take.

THE NATIONAL OCCUPATIONAL STANDARD

Element 509.3

Ensure products and services meet quality requirements

Evidence Requirements	Range
You must prove that you *ensure products and services meet quality requirements* to the National Standard of competence.	**two** of the following types of **relevant people** • team members • colleagues working at the same level • higher-level managers or sponsors • specialists.
To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria.	
Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element	**all** the following types of organisational **requirements** • quality standards • organisational policies • organisational objectives.

THE NATIONAL OCCUPATIONAL STANDARDS

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509   Manage activities to meet requirements (MSC)

Key words and concepts

These definitions are provided to explain how key words and concepts are used in this unit

activities	actions, processes, operations or services in the workplace which must be carried out in order to achieve objectives
corrective action	altering activities, modifying the use of resources or re-negotiating the allocation of resources in response to deviations from plans
customer	the person(s), organisation(s) or department(s), either inside or outside your organisation for whom you are providing services or products
improvements	changes to work conditions or practices designed to improve efficiency or effectiveness
monitoring	keeping a close eye on how resources are being used and comparing this with budgets and other plans
plans	documents, or spoken agreements, which describe the work to be carried out, when, by whom, to what standard and with what resources, in order that requirements and objectives can be met
quality	the standard of product or service required by the customer
relevant people	team members, colleagues working at your level, higher-level managers or sponsors and specialists
requirements	the outputs of work agreed with customers, specified in terms of quality, quantity, delivery and health and safety
team members	people who work with you as part of a functional or project team; team members may report to you either as their line manager or as the manager in charge of a specific project or activity on which they are working
work environment	the circumstances in which you and your team work, including the physical environment, equipment, materials and working procedures.

THE NATIONAL OCCUPATIONAL STANDARDS

509	Manage activities to meet requirements (MSC)

Personal competencies

In performing effectively in this unit, you will show that you

Building teams
- keep others informed about plans and progress
- clearly identify what is required of others
- invite others to contribute to planning and organising work

Communicating
- identify the information needs of listeners
- adopt communication styles appropriate to listeners and situations, including selecting an appropriate time and place
- use a variety of media and communication aids to reinforce points and maintain interest

Focusing on results
- maintain a focus on objectives
- tackle problems and take advantage of opportunities as they arise
- actively seek to do things better
- use change as an opportunity for improvement
- monitor quality of work and progress against plans

Influencing others
- present yourself positively to others
- create and prepare strategies for influencing others
- use a variety of means to influence others

Thinking and taking decisions
- break processes down into tasks and activities
- identify a range of elements in and perspectives on a situation
- identify implications, consequences or causal relationships in a situation
- take decisions which are realistic for the situation.

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510 Contribute to improvements at work (MSC)

510.1 Improve work activities
510.2 Recommend improvements to organisational plans

About this unit

This unit is about making significant contributions to improving team and organisational performance. It covers making improvements in your own area of responsibility as well as making recommendations for improvements to organisational plans.

This unit is for you if you are a manager with responsibility for:
- allocating work to others
- achieving specific results by using resources effectively
- carrying out policy in your defined area of authority
- controlling limited financial budgets
- contributing to broader activities such as change programmes and recruitment

To *improve work activities*, you need to monitor activities, trends and developments and invite others to come forward with their suggestions for improvements. You need to plan the change, check people's understanding and commitment to the change and monitor the implementation of your plans to ensure the intended improvements are achieved. You also need to ensure that work quality is maintained to an acceptable standard during the period of change.

To *recommend improvements to organisational plans*, you need to support your recommendations with reliable information and check that these recommendations support your organisation's mission and objectives. You then need to present these recommendations to relevant people and discuss then positively and constructively.

THE NATIONAL OCCUPATIONAL STANDARD

Element 510.1
Improve work activities

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1 give opportunities to relevant people to make recommendations for improvements to work activities	a) how to recommend improvements and how to make and argue an effective case for change
2 ensure that your monitoring of activities occurs at intervals most likely to identify potential improvements	b) how to plan for the management of change in a way which minimises adverse effects
3 ensure that the information you gather on trends and developments is relevant, reliable and sufficient to identify potential improvements	c) how to identify the broader implications of change for the work of the organisation and its component parts
4 present your recommendations for improvements in activities to relevant people at an appropriate time	d) the importance of monitoring change and its effects, and how to undertake such monitoring.
5 present your plans for implementing change to relevant people at an appropriate time, level and pace	e) how to communicate effectively with colleagues, line managers and specialists
6 confirm relevant people's understanding of the implications of the change and their commitment to their role in it	f) the importance of continuous improvement in activities and plans to organisational effectiveness and your role and responsibility in relation to this
7 ensure that your monitoring of the change is sufficient to ensure the intended improvements are achieved	g) how to assess current work activities and identify areas for improvement
8 report the results of the change to relevant people in the agreed format and timescale	h) the importance of empowering other staff to make recommendations and methods to encourage them to do so
9 ensure that the quality of the work for which you are responsible continues to meet the agreed standard throughout the period of change.	i) how to motivate others to be committed to change
	j) the internal and external trends which have a bearing on the future improvements.

THE NATIONAL OCCUPATIONAL STANDARD

Element 510.1
Improve work activities

Evidence Requirements	Range
You must prove that you *improve work activities* to the National Standard of competence.	at least **two** of the following types of **relevant people**
	• higher-level managers or sponsors
To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria.	• colleagues working at the same level as yourself
	• specialists.
Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	at least **two** of the following types of **monitoring** methods
	• direct observation
	• considering oral information
	• considering written information.
	both of the following types of **trends and developments**
	• inside your organisation
	• outside your organisation.

THE NATIONAL OCCUPATIONAL STANDARD

Element 510.2
Recommend improvements to organisational plans

Performance Criteria	*Knowledge and understanding*
You must be able to:	**You must know and understand:**
1 ensure that your recommendations for improvements to organisational plans are based on sufficient valid and reliable information	a) how to construct and argue an effective case for change both in writing and orally
2 ensure that your recommendations support the achievement of the organisation's mission, aims and objectives	b) how to proceed if recommendations are at variance with the mission, aims and objectives of your organisation
3 accurately identify and record the implications of the recommended changes	c) your organisation's mission, aims and objectives
4 clearly present your recommendations to the people in the organisation most likely to act on them	d) the people in your organisation who are likely to act on recommendations
5 handle the discussions relating to recommendations positively and constructively.	e) the principles of organisational planning and the models which may be used
	f) the types of information which are required to make reliable recommendations to plans and the planning process
	g) how to plan within the framework of the organisation's mission, aims and objectives
	h) how to identify the likely implications of alterations to plans for the organisation
	i) how to handle discussions, actual and potential disagreements in a positive and constructive manner.

THE NATIONAL OCCUPATIONAL STANDARD

Element 510.2
Recommend improvements to organisational plans

Evidence Requirements	Range
You must prove that you *recommend improvements to organisational plans* to the National Standard of competence.	**both** of the following types of **recommendations** • spoken • written.
To do this, you must provide evidence to convince your assessor that you consistently meet **all** the performance criteria.	
Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this element.	**both** the following types of **discussions** • one-to-one • group meetings.

THE NATIONAL OCCUPATIONAL STANDARDS

510	**Contribute to improvements at work (MSC)**

Key words and concepts

These definitions are provided to explain how key words and concepts are used in this unit

activities	actions, processes, operations or services which must be carried out in order to achieve objectives
improvements	changes to work conditions, processes, products and services designed to improve efficiency or effectiveness
mission	the long-term goal your organisation wishes to achieve
monitoring	keeping a close eye on activities in order to identify improvements or modifications which need to be made
organisational objectives	clearly defined and measurable results which your organisation should achieve
plans	documents, or oral plans, which describe the work to be carried out, when, by whom, to what standard and with what resources, in order that requirements and objectives can be met
quality	the standard of product or service required by the customer
relevant people	team members, colleagues working at the same level as yourself, higher-level managers or sponsors, specialists and people outside your organisation
trends and developments	changes, for instance trends and developments in the market, in technology, in products and services or in processes or working practices, which suggest possible improvements you can make.

THE NATIONAL OCCUPATIONAL STANDARDS

510	Contribute to improvements at work (MSC)

Personal competencies

In performing effectively in this unit, you will show that you

Communicating
- listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding
- identify the information needs of listeners
- adopt communication styles appropriate to listeners and situations, including selecting an appropriate time and place
- encourage listeners to ask questions or rephrase statements to clarify their understanding

Focusing on results
- actively seek to do things better
- use change as an opportunity for improvement
- establish and communicate high expectations of performance, including setting an example to others
- monitor quality of work and progress against plans

Influencing others
- present yourself positively to others
- create and prepare strategies for influencing others
- use a variety of means to influence others
- understand the culture of the organisation and act to work within it or influence it

Thinking and taking decisions
- use your own experience and evidence from others to identify problems and understand situations
- produce a variety of solutions before taking a decision
- produce your own ideas from experience and practice
- take decisions which are realistic for the situation.

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511 Design learning programmes

511.1 Choose options for meeting learning needs
511.2 Design learning programmes for learners

About this unit

This unit is appropriate for you if your role involves:
- designing learning programmes
- identifying and choosing training and other learning options to meet learners' needs
- setting out the resources needed to deliver learning programmes
- developing the detailed contents of programmes.

The activities you are likely to be involved in:
- working at a range of issues which affect learners' abilities to meet their learning objectives, including delivery methods, times, places, access, guidance and support, and assessment opportunities
- designing learning programmes for individuals and groups with different needs and circumstances and groups of different sizes
- identifying and evaluating different learning processes, such as work experience, job shadowing, courses, resource-based learning, open and flexible learning, distance learning, mentoring and coaching
- designing programmes which develop competencies, skills, knowledge and Key/Core Skills
- reviewing the effect of technology-based delivery and e-learning on the design of learning programmes.

THE NATIONAL OCCUPATIONAL STANDARD

Element 511.1
Choose options for meeting learning needs

Performance Criteria

You must be able to:

1.   identify the learning needs you must deal with

2.   identify a range of options for meeting the learning needs

3.   identify how technology-based learning and delivery will influence the options available

4.   choose the most appropriate options to meet the learning needs

5.   provide equal opportunities and access to learning and achievement.

THE NATIONAL OCCUPATIONAL STANDARD

Element 511.2
Design learning programmes for learners

Performance Criteria

You must be able to:

1. set out how learning programmes will meet learning objectives

2. choose appropriate methods of delivery to meet learning objectives, including technology-based and e-learning if appropriate

3. plan learning experiences that are relevant to the necessary outcomes

4. combine different learning and assessment opportunities

5. choose relevant methods of evaluating how effective the learning programme is

6. set out how you will monitor and review learners' progress and assess their achievements

7. identify the support and guidance that is available to learners

8. explain the roles and responsibilities of all those involved in delivering the learning programme

9. identify the resources needed to deliver the programme

10. agree learning programmes with the appropriate people.

511 Design learning programmes

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of learning programmes
1.   how to design learning programmes which meet different learning needs
2.   the features and the conditions needed for success in a given learning process
3.   how to use different learning opportunities and create an organised learning programme
4.   how to identify and evaluate the realistic options that are available in learning and development

Principles and concepts
5.   how to identify issues of equal opportunities and practices that do not discriminate against other people in promoting individual learning
6.   how to identify and evaluate changes and developments in technology and e-learning and their relevance to delivering learning and development
7.   which approaches to use in designing learning programmes to meet learning needs
8.   how to monitor and review learning programmes
9.   how to monitor and review learners' progress
10.   how to evaluate how effective learning programmes are

External factors influencing learning programmes
11.   how to evaluate developments in education, training and qualifications which have a direct effect on the design of learning programmes
12.   how to identify the external influences on putting learning and development policies into practice, including economic, social and political
13.   how to analyse and use developments in learning and new ways of delivery, including technology-based delivery and e-learning support.

512 Manage the contribution of other people to the learning process

512.1 Agree roles and resources with contributors
512.2 Co-ordinate the activities of contributors
512.3 Monitor and review how effective contributors are

About this unit

This unit is appropriate for you if your role involves:
- co-ordinating a range of people who contribute to a learning programme
- delivering learning programmes by working with other people
- ensuring that learning programmes are organised.

The activities you are likely to be involved in:
- identifying the people who will contribute to learning programmes and explaining the requirements to them
- giving contributors information on their role in the overall learning programme
- monitoring the quality of individual contributions
- working with contributors and giving them guidance on the requirements.

THE NATIONAL OCCUPATIONAL STANDARD

Element 512.1
Agree roles and resources with contributors

Performance Criteria

You must be able to:

1. give contributors clear and accurate information about the learning programme, the needs of learners and the planned outcomes

2. ensure that individual contributions are co-ordinated as part of an organised learning programme

3. assess how competent the contributor is to provide the necessary input

4. agree the learning objectives to be covered

5. agree how you will evaluate inputs

6. give contributors appropriate support materials, including technology-based materials.

THE NATIONAL OCCUPATIONAL STANDARD

Element 512.2
Co-ordinate the activities of contributors

Performance Criteria

You must be able to:

1. give contributors accurate information about learners and their progress and the activities of other contributors

2. give contributors the opportunities to work together effectively

3. regularly work with contributors to monitor progress

4. give each contributor all necessary guidance and support on requirements, procedures and timescales.

THE NATIONAL OCCUPATIONAL STANDARD

Element 512.3
Monitor and review how effective contributors are

Performance Criteria

You must be able to:

1. give contributors the opportunities to respond to comments on their performance and the quality of their input

2. monitor how organised the learning experience is and the value of individual contributions to it

3. ensure that contributors give evidence of having achieved the agreed outcomes

4. evaluate contributions against agreed criteria

5. give contributors constructive feedback on their performance, including poor performance or lack of competence

6. give clear and justified reasons if you no longer want to use a contributor for future learning programmes.

512 Manage the contribution of other people to the learning process

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of providing learning
1. how to identify the overall aims and objectives of learning programmes and the place of individual contributions
2. how to use individual contributions in an organised learning programme
3. how to identify and evaluate the competence of contributors
4. how to manage individual contributions within an overall budget and timescale

Principles and concepts
5. how to identify and provide the information contributors need
6. how to ensure contributions are suitable for learners' needs
7. how to set out specific outcomes for each contributor
8. how to apply equal opportunities, and practices that do not discriminate against people, to individual contributions
9. how to monitor and review contributors' inputs to the overall learning programme
10. how to evaluate contributions against the necessary outcomes
11. how to work with contributors to ensure they make an effective contribution
12. how to support contributors to ensure they are effective
13. how to produce materials which are suitable for learners
14. what type of evidence is suitable for achieving the agreed outcomes
15. how to give constructive feedback
16. how to identify and meet any legal requirements

External factors influencing learning agreements
17. how to ensure everybody acts in line with health, safety and environmental protection good practice
18. how to evaluate developments in education, training and qualifications which have a direct effect on the design of learning materials
19. how to analyse and use developments in learning and new ways of delivery, including technology-based learning and e-learning.

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513 Design, deliver and evaluate changes to organisational structure

513.1 Review the current organisational structure
513.2 Make appropriate recommendations for changes to organisational structure
513.3 Implement recommended changes to organisational structure
513.4 Develop the processes and evaluate the changes to organisational structure

About this unit

This unit is appropriate for you if your role involves:
- reviewing organisational structures and work processes
- implementing changes to the organisation's structure and work processes
- contributing to the identification and development of organisational culture

The activities you are likely to be involved in:
- evaluating the effectiveness of communication systems and team working
- comparing structures in other organisations
- identifying ethical issues where there may be conflicts of interest or dilemmas requiring audit and evaluation
- evaluating organisational structure in relation to organisational effectiveness and efficiency
- identifying and evaluating the potential for, and impact of, e-personnel approaches.

THE NATIONAL OCCUPATIONAL STANDARD

Element 513.1
Review the current organisational structure

Performance Criteria

You must be able to:

1.   define the criteria to be used to measure the effectiveness of existing structures

2.   identify the factors which influence the need to change organisational structures

3.   review existing structures and evaluate them against organisational needs

4.   evaluate the effectiveness of structures in each functional area and how they relate to each other

5.   identify the potential role and impact of e-personnel systems

6.   identify the changes required to organisational structure which will enhance efficiency and effectiveness

7.   evaluate the alternative ways of delivering the changes

8.   assess the impact of the proposed changes on organisational structures and individual employees.

THE NATIONAL OCCUPATIONAL STANDARD

Element 513.2
Make appropriate recommendations for changes to organisational structure

Performance Criteria

You must be able to:

1. identify the key stakeholders involved in making changes to organisational structures

2. prioritise recommendations in line with overall organisational strategy and needs

3. prepare a clear case for the recommendations with justification for them

4. provide accurate and detailed estimates of the time, people and resources needed to deliver the recommendations

5. identify the potential role and impact of e-personnel systems

6. present recommendations to appropriate stakeholders in a manner which is likely to gain their support

7. provide opportunities for stakeholders to raise concerns and queries.

THE NATIONAL OCCUPATIONAL STANDARD

Element 513.3
Implement recommended changes to organisational structure

Performance Criteria

You must be able to:

1.   establish the resources available and required in order to bring about the changes

2.   draw up detailed implementation plans for changes to specific structures and processes based on identified priorities

3.   ensure the understanding and commitment of all parties involved in the implementation based on clear information

4.   implement changes within specified budget and timescale

5.   identify problems over implementation promptly and inform all parties of any changes or delays in the implementation plan

6.   maintain accurate, complete and up-to-date records of changes made

7.   provide regular reports on the progress to internal sponsors and disseminate to others

8.   ensure that the implementation process complies with legal requirements, codes of practice and organisational policy.

THE NATIONAL OCCUPATIONAL STANDARD

Element 513.4

Develop the processes and evaluate the changes to organisational structure

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Performance Criteria

You must be able to:

1. define the success criteria by which to measure changes to structures

2. design and select procedures for evaluating the effectiveness of existing structures with appropriate key stakeholders

3. involve appropriate senior managers in the evaluation process

4. ensure that review procedures and data collection are fully documented

5. base information used on reliable and valid data which is collected regularly and systematically

6. make objective and thorough evaluations of the information which contain accurate cost and benefit analyses, as well as practical and realistic implementation plans

7. draw conclusions and develop proposals which reflect the objectives of the organisation and the needs of individual departments, as well as taking into account all relevant internal and external factors.

513 Design, deliver and evaluate changes to organisational structure

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

Nature and role of change in organisational structure
1   how to identify and assess the trends, influences and pressures which may lead to change in the organisation
2   how to establish the influence of organisational culture and values on proposed changes
3   how to conduct an accurate risk assessment of introducing changes into the organisation
4   how to establish the key factors which influence the design of the current structures and work processes
5   how to identify and evaluate alternatives to the current structures
6   how to work within the budget and timescales required for implementation
7   how to maintain a clear link between proposed changes and the organisation's goals and objectives
8   how to ensure effective project management of the improvement plan

Principles and concepts
9   how to develop internal processes to review organisational structures
10   how to identify and involve key stakeholders in the evaluation of organisational structures
11   how to establish and take account of the needs, aspirations and capabilities of employees
12   how to identify appropriate forms of ethical auditing to help clarify and resolve ethical tensions where they occur
13   how to identify those aspects of the changes likely to meet with opposition, and how to overcome such opposition
14   how the organisation gathers and processes information
15   how to ensure that appropriate data is gathered to support the decision-making process
16   how to ensure the accuracy, back-up and security of information and ways of avoiding any lapses in data storage, including compliance with appropriate legislation
17   how to select appropriate survey methods and review procedures to obtain good quality information
18   how to apply data collection and analysis principles
19   how to recognise and overcome the limitations of data
20   how to apply cost/benefit analyses within the evaluation process
21   how the perceptions, aspirations and capabilities of employees can be taken into account when evaluating existing structures and work processes and making proposals for change
22   how to summarise and present information and proposals to decision-makers

External factors influencing organisational structure and work processes
23   how to identify and assess the main external trends, influences and pressures which may lead to change in the organisation
24   how to identify and apply the legislation which influences organisational structures
25   where and how to find appropriate external information to benchmark or otherwise contrast other responses to organisational structure
26   how to identify and make use of developments in e-personnel and other technological developments when planning the delivery of personnel services.

514 Contribute to the design, delivery and evaluation of work procedures

514.1 Review current work processes
514.2 Review the impact of changes to technology on work processes
514.3 Make appropriate recommendations for change to work processes
514.4 Implement changes to work processes
514.5 Develop the procedures and systems to evaluate the changes to work processes

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About this unit

This unit is appropriate for you if your role involves:
- reviewing work processes
- implementing changes to work processes.

The activities you are likely to be involved in:
- evaluating the effectiveness of communication systems and team working
- identifying changes needed in relation to job design and new patterns of working
- reviewing practices in other organisations through surveys and interviews
- identifying ethical issues where there may be conflicts of interest or dilemmas requiring audit and evaluation
- evaluating work practices in relation to organisational efficiency and effectiveness
- identifying and evaluating the potential for, and impact of, e-personnel approaches.

THE NATIONAL OCCUPATIONAL STANDARD

Element 514.1
Review current work processes

Performance Criteria

You must be able to:

1.   define the criteria to be used to measure the effectiveness of work processes

2.   identify the factors which influence the need to change work processes

3.   review existing work processes and evaluate them against organisational needs

4.   evaluate the effectiveness of each work process and how they relate to each other

5.   identify the role and potential impact of e-personnel systems

6.   identify the changes required to work processes which will enhance efficiency and effectiveness

7.   evaluate the alternative ways of delivering the changes

8.   assess the impact of the proposed changes on work processes and individual employees.

THE NATIONAL OCCUPATIONAL STANDARD

Element 514.2
Review the impact of changes to technology on work processes

Performance Criteria

You must be able to:

1. identify appropriate benchmarks of good practice in relation to new technologies

2. establish the organisation's plans for the introduction of new technology, and evaluate its impact on how job roles will be defined

3. identify the major changes in technology which will have an impact on the way in which work roles are organised

4. evaluate the potential of e-personnel and its impact on work practices

5. identify opportunities for new technologies to enhance existing work practices

6. assess the implications of introducing new technologies on the nature and structure of existing work processes.

THE NATIONAL OCCUPATIONAL STANDARD

Element 514.3
Make appropriate recommendations for change to work processes

Performance Criteria

You must be able to:

1.   identify the key stakeholders involved in making changes to work structures

2.   prioritise recommendations in line with overall organisational need

3.   prepare a clear case for the recommendations with justification for them

4.   provide accurate and detailed estimates of the time, people and resources needed to deliver the recommendations

5.   present recommendations to appropriate stakeholders in a manner which is likely to gain their support

6.   provide opportunities for stakeholders to raise concerns and queries.

THE NATIONAL OCCUPATIONAL STANDARD

Element 514.4
Implement changes to work processes

Performance Criteria

You must be able to:

1. establish the resources available and required in order to bring about the changes

2. draw up detailed implementation plans for changes to specific work processes based on identified priorities

3. ensure the understanding and commitment of all parties involved in the implementation based on clear information

4. implement changes within specified budget and timescale

5. identify problems over implementation promptly and inform all parties of any changes or delays in the implementation plan

6. maintain accurate, complete and up-to-date records of changes made

7. provide regular reports on the progress to internal sponsors and disseminate to others

8. ensure that the implementation process complies with legal requirements, codes of practice and organisational policy.

THE NATIONAL OCCUPATIONAL STANDARD

Element 514.5

Develop the procedures and systems to evaluate the changes to work processes

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Performance Criteria

You must be able to:

1.   define the success criteria by which to measure changes to work processes

2.   design and select procedures for evaluating the effectiveness of existing work processes with appropriate key stakeholders

3.   involve appropriate senior managers, employee representatives and employees in the evaluation process

4.   ensure that review procedures and data collection are fully documented

5.   base information used on reliable and valid data which is collected regularly and systematically

6.   make objective and thorough evaluations of the information which contain accurate cost and benefit analyses, as well as practical and realistic implementation plans

7.   draw conclusions and develop proposals which reflect the objectives of the organisation and the needs of individual departments, as well as taking into account all relevant internal and external factors.

514 Contribute to the design, delivery and evaluation of work procedures

Knowledge requirements

You need the following knowledge to perform the Elements of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

Nature and role of change in organisational work processes
1. how to identify and assess the trends, influences and pressures which may lead to change in the organisation
2. how to establish the influence of organisational culture and values on proposed changes
3. how to conduct an accurate risk assessment of introducing changes into the organisation
4. how to establish the key factors which influence the design of the current work processes
5. how to identify and evaluate alternatives to the current work processes
6. how to work within the budget and timescales required for implementation
7. how to maintain a clear link between proposed changes and the organisation's goals and objectives
8. how to ensure effective project management of the improvement plan

Principles and concepts
9. how to develop internal processes to review organisational work processes
10. how to identify and involve key stakeholders in the evaluation of organisational work processes
11. how to identify appropriate forms of ethical auditing to help clarify and resolve ethical tensions where they occur
12. how to establish and take account of the needs, aspirations and capabilities of employees
13. how to identify those aspects of the changes likely to meet with opposition, and how to overcome such opposition
14. how the organisation gathers and processes information
15. how to ensure that appropriate data is gathered to support the decision-making process
16. how to ensure the accuracy, back-up and security of information and ways of avoiding any lapses in data storage, including compliance with appropriate legislation
17. how to select appropriate survey methods and review procedures to obtain good quality information
18. how to apply data collection and analysis principles
19. how to recognise and overcome the limitations of data
20. how to apply cost/benefit analyses within the evaluation process
21. how the perceptions, aspirations and capabilities of employees can be taken into account when evaluating existing structures and work processes and making proposals for change
22. how to summarise and present information and proposals to decision-makers

External factors influencing work processes
23. how to identify and assess the main external trends, influences and pressures which may lead to change in the organisation
24. how to identify and apply the legislation which influences organisational work processes
25. where and how to find appropriate external information to benchmark or otherwise contrast other responses to organisational work processes
26. how to identify and make use of developments in e-personnel and other technological developments when planning the delivery of personnel services.

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Glossary

Approved centre - an organisation inspected by the awarding body and deemed to have the trained staff and resources to make assessment arrangements for particular NVQs.

APEL - the Assessment of Prior Experiential Learning. The facility for an individual to receive credit for previously acquired (and still current) competence. Also known as APA (Assessment of Prior Achievement).

Assessor - person accountable to the external verifier (through the internal verifier) who is both experienced and qualified / or working towards qualifications in assessing candidates. Assessor skills include observation, evaluation, making judgements about individual performance.

Assessors may be based in the workplace, in an approved centre such as a college, or be peripatetic, visiting candidates in a variety of situations.

Awarding body - an organisation recognised by the Qualifications and Curriculum Authority (QCA) for the purpose of awarding National Vocational Qualifications (NVQs) e.g. City & Guilds.

Candidate - employee or student/trainee, registered with City & Guilds, who wishes to be assessed in order to gain a qualification.

Certificate of unit credit - document issued by the awarding body to show that a candidate has successfully met the required standard for part of a qualification.

Competence - an assessment based on the candidate's ability to perform a task to a defined standard specified in the National Occupational Standards.

Evidence - the means by which an external verifier can be satisfied that an individual has been properly assessed, usually a combination of completed/endorsed witness statements, and assessments by a qualified assessor with additional documentation collected in a portfolio of evidence.

External verifier - person accountable to the awarding body who effects quality assurance by monitoring and advising internal verifiers and assessors.

Internal verifier - person accountable to the external verifier and awarding body who is based in the approved centre and who co-ordinates assessment arrangements and monitors assessor standards.

Portfolio - a structured collection of evidence from several sources, gathered together and referenced to the National Occupational Standards, in which a candidate's achievements are recorded.

National Vocational Qualification - a qualification recognised by the Qualifications and Curriculum Authority (QCA) as being relevant to the need of industry.

Realistic work environment (RWE) - a model environment, having an acceptable level of appropriate equipment and operating continually to professional standards. It should provide the opportunity for candidate assessment under conditions approximating as closely as possible to the workplace, under the control of a qualified assessor.

Work-based assessment - assessment of candidates' performance on realistic tasks such as would be carried out in the workplace. May take place in the workplace or under conditions which approximate as far as can be practically arranged to the workplace (see RWE).

Workplace assessment - assessment of candidates' performance on real work activities in a real work situation. Assessment may be completed by either a qualified workplace assessor (the candidate's manager or supervisor) or a qualified visiting assessor (an assessor employed by an approved centre).