

Chris McAllister Limited

Specification Booklet for

NVQ Level 2 in Team Leading

Awarded by EDI/Goal (Formerly LCCI)

**EDI HeadOffice
International House
Siskin Parkway East
Middlemarch Business Park
Coventry
CV3 4PE
Tele:08707 202909
Fax:024 76516505**

**Chris McAllister Limited
2 Riverside Walk
ANNAN
Dumfries and Galloway
DG12 6BE**

Tel: 01461 205866

Fax: 01461 205838

Mobile and text messaging; 07802 251713

<http://www.chrismca.com>

e-mail: chris@chrismca.com

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e-mail: chris@chrismca.com

IMPORTANT NOTE

The qualification NVQ Level 2 in Team Leading is delivered by ourselves and awarded by EDI/Goal (formerly LCCI - London Chamber of Commerce International). This Specification Booklet is a cut-down version of the original EDI/Goal publication; EDI/Goal NVQ Level 2 in Team Leading Support Pack (or Candidate pack) and should be consulted in conjunction with it. The pack can be downloaded in full from the EDI/Goal website by following the routing below:

<http://www.goalonline.co.uk> > login > qualifications search > S/NVQ > Team Leading 2 > Support Pack

Our own Specification Booklet of just over 45 pages is a considerably shortened version of the above original and contains only the text of the Units in PDF file format.

It is one of the intentions of this Website to make available the text of each Unit in the following additional formats:

WORD and RTF formats (.doc) or (.rtf)

HTML format (.html)

You will find hyperlinks in our website directing you to these formats (e.g. LDUnits.html or ManUnits.html), but we need to warn you that all of these links may not be activated by the time you read this. Please be warned!



Chris McAllister

1/9/2006

What is the structure of this NVQ?

The qualification structure describes all the units that are contained in the qualification and how many units the candidate needs to complete to achieve a full award. The Optional and Mandatory units are detailed below:

Unit Title	OCR Level 2 NVQ in Team Leading	OCR Level 3 NVQ in Management	OCR Level 4 NVQ in Management	OCR Level 5 NVQ in Management
A1. Manage your own resources	M			
A2. Manage your own resources and professional development		M	O	O
A3. Develop your personal networks			O	O
B1. Develop and implement operational plans for your area of responsibility			M	
B2. Map the environment in which your organisation operates				O
B3. Develop a strategic business plan for your organisation				O
B4. Put the strategic business plan into action				O
B5. Provide leadership for your team	M			
B6. Provide leadership in your area of responsibility		M	O	
B7. Provide leadership for your organisation				M
B8. Ensure compliance with legal, regulatory, ethical and social requirements			O	O
B9. Develop the culture of your organisation				O
B10. Manage risk				O
B11. Promote equality of opportunity and diversity in your area of responsibility		O	O	
B12. Promote equality of opportunity and diversity in your organisation				O
C1. Encourage innovation in your team	O			
C2. Encourage innovation in your area of responsibility		O	M	
C3. Encourage innovation in your organisation				M
C4. Lead change			O	O
C5. Plan change		O	O	O
C6. Implement change		O	O	O
D1. Develop productive working relationships with colleagues	M	O		
D2. Develop productive working relationships with colleagues and stakeholders			M	O
D3. Recruit, select and keep colleagues		O	O	
D4. Plan the workforce				O
D5. Allocate and check work in your team	O			
D6. Allocate and monitor the progress and quality of work in your area of responsibility		M	O	
D7. Provide learning opportunities for colleagues	O	O	O	O
E1. Manage a budget		O		
E2. Manage finance for your area of responsibility			O	
E3. Obtain additional finance for the organisation				O
E4. Promote the use of technology within your organisation				O
E5. Ensure your own action reduce risks to health and safety	M			
E6. Ensure health and safety requirements are met in your area of responsibility		M	M	
E7. Ensure an effective organisational approach to health and safety				M
F1. Manage a project		O	O	
F2. Manage a programme of complementary projects			O	O
F3. Manage business processes			M	
F4. Develop and review a framework for marketing				O
F5. Resolve customer service problems	O			
F6. Monitor and solve customer service problems		O		
F7. Support customer service improvements	O			
F8. Work with others to improve customer service		O	O	
F9. Build your organisation's understanding of its market and customers			O	O
F10. Develop a customer focussed organisation				O
F11. Manage the achievement of customer satisfaction			O	
F12. Improve organisational performance				M

GOAL LEVEL 2 NVQ IN TEAM LEADING

STRUCTURE OF AWARD

To achieve a full Level 2 NVQ in Team Leading, the learner must complete 6 units including the 4 mandatory units.

MANDATORY UNITS (COMPLETE ALL 4)

UNIT 1 (A1)	Manage your own resources
UNIT 2 (B5)	Provide leadership for your team
UNIT 3 (D1)	Develop productive working relationships with colleagues
UNIT 4 (E5)	Ensure your own action reduce risks to health and safety

OPTIONAL UNITS (CHOOSE 2)

UNIT 5 (C1)	Encourage innovation in your team
UNIT 6 (D5)	Allocate and check work in your team
UNIT 7 (D7)	Provide learning opportunities for colleagues
UNIT 8 (F5)	Resolve customer service problems
UNIT 9 (F7)	Support customer service improvements

UNIT 1(A1) MANAGE YOUR OWN RESOURCES

UNIT SUMMARY

What is the unit about?

This unit is mainly about making sure you have the personal resources (particularly knowledge, understanding, skills and time) to undertake your work role and reviewing your performance against agreed objectives. It also covers identifying and undertaking activities to develop your knowledge, skills and understanding where gaps have been identified.

Who is the unit for?

The unit is recommended for team leaders.

Links to other units

This unit is linked to unit **A2. Manage your own resources and professional development** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

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

A1. Manage your own resources

Outcomes of effective performance

You must be able to do the following:

1. Identify and agree the requirements of your work-role with those you report to.
2. Discuss and agree personal work objectives with those you report to and how you will measure progress.
3. Identify any gaps between the requirements of your work-role and your current knowledge, understanding and skills.
4. Discuss and agree, with those you report to, a development plan to address any identified gaps in your current knowledge, understanding and skills.
5. Undertake the activities identified in your development plan and discuss, with those you report to, how they have contributed to your performance.
6. Get regular and useful feedback on your performance from those who are in a good position to judge it and provide you with objective and valid feedback.
7. Discuss and agree, with those you report to, any changes to your personal work objectives and development plan in the light of performance, feedback received, any development activities undertaken and any wider changes.
8. Check, on a regular basis, how you are using your time at work and identify possible improvements.
9. Ensure that your performance consistently meets or goes beyond agreed requirements.

Behaviours which underpin effective performance

1. You recognise changes in circumstances promptly and adjust plans and activities accordingly.
2. You prioritise objectives and plan work to make best use of time and resources.
3. You take personal responsibility for making things happen.
4. You take pride in delivering high quality work.
5. You agree achievable objectives for yourself and give a consistent and reliable performance.
6. You find practical ways to overcome barriers.
7. You make best use of available resources and proactively seek new sources of support when necessary.

A1. Manage your own resources

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

1. Why managing your resources (particularly knowledge, understanding, skills and time) is important
2. How to identify the requirements of a work-role
3. How to set work objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound)
4. How to measure progress against work objectives
5. How to identify development needs to address any identified gaps between the requirements of your work-role and your current knowledge, understanding and skills
6. What an effective development plan should contain
7. The type of development activities which can be undertaken to address identified gaps in knowledge, understanding and skills
8. How to identify whether/how development activities have contributed to your performance
9. How to get and make effective use of feedback on your performance
10. How to update work objectives and development plans in the light of performance, feedback received, any development activities undertaken and any wider changes
11. How to record the use of your time and identify possible improvements

Industry/sector specific knowledge and understanding

1. Industry/sector requirements for the development or maintenance of knowledge, understanding and skills

Context specific knowledge and understanding

1. The agreed requirements of your work-role including the limits of your responsibilities
2. Your agreed personal work objectives
3. The reporting lines in your organisation
4. Your current knowledge, understanding and skills
5. Identified gaps in your current knowledge, understanding and skills
6. Your personal development plan
7. Your organisation's policy and procedures in terms of personal development
8. Available development opportunities and resources in your organisation
9. Possible sources of feedback in your organisation

A1. Manage your own resources

Evidence requirements

Outcomes	Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
O1	Your evaluation of the requirements of your work role, based on both formal and informal sources:				
	▪ your job description	-	2	-	1
	▪ notes of conversations with managers and colleagues about their expectations	5	2, 9	1	1, 2, 3
	▪ personal statement (reflections on role tasks and responsibilities)	5	2	1	1, 2
O2 O9	Your personal work objectives and records of achievement against these objectives:				
	▪ notes, minutes, reports or other records of performance review or appraisal meetings, team meetings or other meetings at which you agreed your work objectives	1, 2, 5	3, 5, 9, 10	1	1, 2, 3, 4
	▪ notes, minutes, reports or other records of performance review or appraisal meetings, team meetings or other meetings, 360° appraisal outcomes, and other formal or informal feedback on your performance	1, 2, 3, 5	5, 9, 10	1	1, 2, 3, 4, 5
	▪ witness statements (comments on your achievement of agreed objectives)	1, 2, 3, 5	-	-	-
O3 O4 O6 O7	Assessment of your current knowledge, understanding and skills, an analysis of how well these reflect the requirements of your work role and your development plan to address any needs:				
	▪ qualification certificates and transcripts	-	5	-	-
	▪ personality and skill inventories and assessment centre reports	-	5, 9	-	5
	▪ appraisal/performance review records and notes or other records of informal feedback	3, 4, 7	1, 2, 4, 5, 9	1	4, 5
	▪ development plans	3, 6, 7	1, 6, 7	1	5, 6, 7, 8
	▪ personal statement (reflections on relationship between knowledge, understanding and skills and the requirements of your work role)	4	1, 5, 6, 7, 9	1	5, 6, 7, 8
O5	Evidence of having undertaken training and development activity to meet identified development needs				
	▪ attendance certificates and post-course evaluation reports	-	-	1	7, 8, 9
	▪ witness statements (comments on your learning and its application to the work role)	4, 6, 7	-	-	-
	▪ personal statements (reflections on learning and its application to the work role)	4, 6, 7	8	1	7, 8, 9
O8	Work schedules, time plans or similar records of work activity that shows task plans and reviews				
	▪ proprietary time planner systems and self-designed schedules or plans that you have prepared	1, 2, 3, 5, 6, 7	3, 4, 10, 11	-	1, 2
	▪ outputs of electronic systems (eg MS Schedule) that you have prepared	1, 2, 3, 5, 6, 7	3, 4, 10, 11	-	1, 2

UNIT 2 (B5) PROVIDE LEADERSHIP FOR YOUR TEAM

UNIT SUMMARY

What is the unit about?

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

Who is the unit for?

The unit is recommended for team leaders.

Links to other units

This unit is linked to units **D1. Develop productive working relationships with colleagues**, **B6. Provide leadership in your area of responsibility** and **D5. Allocate and check work in your team** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- Communicating
- Planning
- Team building
- Leading by example
- Providing feedback
- Setting objectives
- Motivating
- Consulting
- Problem solving
- Valuing and supporting others
- Monitoring
- Managing conflict
- Decision making
- Following

B5. Provide leadership for your team

Outcomes of effective performance

You must be able to do the following:

1. Set out and positively communicate the purpose and objectives of the team to all members.
2. Involve members in planning how the team will achieve its objectives.
3. Ensure that each member of the team has personal work objectives and understands how achieving these will contribute to achievement of the team's objectives.
4. Encourage and support team members to achieve their personal work objectives and those of the team and provide recognition when objectives have been achieved.
5. Win, through your performance, the trust and support of the team for your leadership.
6. Steer the team successfully through difficulties and challenges, including conflict within the team.
7. Encourage and recognise creativity and innovation within the team.
8. Give team members support and advice when they need it especially during periods of setback and change.
9. Motivate team members to present their own ideas and listen to what they say.
10. Encourage team members to take the lead when they have the knowledge and expertise and show willingness to follow this lead.
11. Monitor activities and progress across the team without interfering.

Behaviours which underpin effective performance

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

B5. Provide leadership for your team

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

1. Different ways of communicating effectively with members of a team
2. How to set objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound)
3. How to plan the achievement of team objectives and the importance of involving team members in this process
4. The importance of and being able to show team members how personal work objectives contribute to achievement of team objectives
5. That different styles of leadership exist
6. How to select and successfully apply a limited range of different methods for motivating, supporting and encouraging team members and recognising their achievements
7. Types of difficulties and challenges that may arise, including conflict within the team, and ways of identifying and overcoming them
8. The importance of encouraging others to take the lead and ways in which this can be achieved
9. The benefits of and how to encourage and recognise creativity and innovation within a team

Industry/sector specific knowledge and understanding

1. Legal, regulatory and ethical requirements in the industry/sector

Context specific knowledge and understanding

1. The members, purpose, objectives and plans of your team
2. The personal work objectives of members of your team
3. The types of support and advice that team members are likely to need and how to respond to these
4. Standards of performance for the work of your team

B5. Provide leadership for your team

Evidence requirements

Outcomes	Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
O1 O2 O3 O11	Plans and objectives you have agreed with your team:				
	<ul style="list-style-type: none"> ▪ notes and other records of meetings with individuals and the team you have led to discuss and agree objectives and work plans 	1, 2, 3, 4, 5, 6, 7	1, 2, 3, 4, 5, 6, 8,	1	1, 2, 3, 4
	<ul style="list-style-type: none"> ▪ individual and team objectives and work plans or schedules you have agreed 	1, 2, 4, 5, 6, 7	2, 3, 4	1	1, 2, 4
	<ul style="list-style-type: none"> ▪ records of own appraisal or performance review meetings with manager regarding your role in agreeing individual and team objectives and work plans 	2, 3, 4, 5, 6, 7, 8	2, 3, 4, 6, 7, 8	1	1, 2, 3, 4
	<ul style="list-style-type: none"> ▪ personal statement (commentary on how you involved team members in agreeing demanding but realistic individual and team objectives and work plans) 	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3, 4, 5, 6, 8	1	1, 2, 3, 4
	<ul style="list-style-type: none"> ▪ witness statements by team members (how you encourage them to set demanding but realistic objectives and accept responsibility for achieving them) 	1, 2, 3, 5, 6, 7, 8			
O3 O4 O5 O6 O8 O9 O10 O11	Records of the performance of the team and its members:				
	<ul style="list-style-type: none"> ▪ data on the quantity and quality of individual and team performance, showing achievement of objectives and plans 	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	2, 3, 4, 7	1	1, 2, 4
	<ul style="list-style-type: none"> ▪ notes or other records of meetings, showing how individual and team problems have been resolved 	1, 2, 3, 4, 5, 6, 7, 8	3, 5, 6, 7, 8, 9	1	3, 4
	<ul style="list-style-type: none"> ▪ personal statement (commentary on how you motivated individuals, encouraged them to take responsibility, and dealt with individual and team problems) 	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 3, 4, 5, 6, 7, 8	1	1, 2, 3, 4
	<ul style="list-style-type: none"> ▪ witness statements by team members (how you helped them to overcome problems and motivated them to achieve objectives and take on responsibility for activities) 	1, 2, 3, 4, 5, 6, 7, 8, 9, 10			
O2 O5 O6 O7 O8 O9 O10	Records of how you encouraged creativity and innovation in the team:				
	<ul style="list-style-type: none"> ▪ notes and materials produced during creative ideas-generation activities 	1, 2, 3, 4, 5, 6, 7, 8	5, 6, 7, 8, 9	1	1, 3, 4
	<ul style="list-style-type: none"> ▪ records of agreement by managers to introduce innovative ideas developed by the team 	1, 2, 3, 4, 5, 6, 7, 8	3, 9	1	4
	<ul style="list-style-type: none"> ▪ data on performance improvements arising directly from innovations proposed by the team 	1	3, 6, 9	1	4
	<ul style="list-style-type: none"> ▪ records of own appraisal or performance review meetings with manager regarding your role in encouraging creativity and innovation in the team 	1, 2, 3, 4, 6, 8	6, 8, 9	1	3
	<ul style="list-style-type: none"> ▪ personal statement (commentary on how you led the team in developing creative ideas and innovation) 	1, 2, 3, 4, 5, 6, 7, 8	1, 5, 6, 9	1	1, 2, 3, 4
	<ul style="list-style-type: none"> ▪ witness statements by team members (how you led them to develop creative ideas and innovation) 	1, 2, 3, 4, 5, 6, 7, 8			

UNIT 3 (D1)

DEVELOP PRODUCTIVE WORKING RELATIONSHIPS WITH COLLEAGUES

UNIT SUMMARY

What is the unit about?

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

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

Who is the unit for?

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

Links with other units

This unit is closely linked to unit **D2. Develop productive working relationships with colleagues and stakeholders** in the overall suite of National Occupational Standards for management and leadership.

Skills

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

- Communicating
- Managing conflict
- Empathising
- Networking
- Information management
- Leading by example
- Valuing and supporting others
- Involving others
- Providing feedback
- Obtaining feedback
- Stress management
- Prioritising

D1. Develop productive working relationships with colleagues

Outcomes of effective performance

You must be able to do the following:

1. Establish working relationships with all colleagues who are relevant to the work being carried out.
2. Recognise, agree and respect the roles and responsibilities of colleagues.
3. Understand and take account of the priorities, expectations, and authority of colleagues in decisions and actions.
4. Fulfil agreements made with colleagues and let them know.
5. Advise colleagues promptly of any difficulties or where it will be impossible to fulfil agreements.
6. Identify and sort out conflicts of interest and disagreements with colleagues in ways that minimise damage to the work being carried out.
7. Exchange information and resources with colleagues to make sure that all parties can work effectively.
8. Provide feedback to colleagues on their performance and seek feedback from colleagues on your own performance in order to identify areas for improvement.

Behaviours which underpin effective performance

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

D1. Develop productive working relationships with colleagues

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

1. The benefits of developing productive working relationships with colleagues
2. Principles of effective communication and how to apply them in order to communicate effectively with colleagues
3. How to identify disagreements with colleagues and the techniques for sorting them out
4. How to identify conflicts of interest with colleagues and the measures that can be used to manage or remove them
5. How to take account of diversity issues when developing working relationships with colleagues
6. The importance of exchanging information and resources with colleagues
7. How to get and make use of feedback on your performance from colleagues
8. How to provide colleagues with useful feedback on their performance

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

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

D1. Develop productive working relationships with colleagues

Evidence requirements

Outcomes	Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
O1 O2 O3 O4 O5 O8	Records of activities and agreements with work colleagues that you have completed successfully:				
	<ul style="list-style-type: none"> ▪ notes, minutes or other records of formal and informal meetings with colleagues relating to agreements for action by you and your performance in relation to these agreements 	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
	<ul style="list-style-type: none"> ▪ emails, memos and other correspondence with colleagues relating to actions you have agreed to undertake and your performance in relation to these agreements 	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
	<ul style="list-style-type: none"> ▪ personal statements (reflections on the nature and effectiveness of your relationships with work colleagues and your fulfilment of your commitments to them) 	5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8
	<ul style="list-style-type: none"> ▪ witness statements (comments by colleagues on the nature and effectiveness of your relationships with them and your fulfilment of your commitments to them) 	1, 2, 3, 4, 6, 7, 10	-	-	-
O1 O2 O3 O5 O6 O7 O8	Records of relationship difficulties or conflicts at work that you have successfully addressed and feedback you have given and received:				
	<ul style="list-style-type: none"> ▪ notes, minutes or other records of formal and informal meetings with colleagues relating to relationship difficulties or conflicts 	1, 2, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7, 8	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
	<ul style="list-style-type: none"> ▪ emails, memos and other correspondence with colleagues relating to relationship difficulties or conflicts 	1, 2, 4, 5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8, 9
	<ul style="list-style-type: none"> ▪ notes or other records of verbal feedback and copies of memos, emails and letters you have sent in which you have given feedback to colleagues 	1, 2, 3, 4, 5, 6, 8, 10	1, 2, 3, 4, 5, 6, 8	2, 3	5, 6, 7, 8
	<ul style="list-style-type: none"> ▪ notes or other records of verbal feedback and copies of memos, emails and letters you have received in which colleagues have given feedback to you 	10	1, 2, 3, 4, 5, 6, 7	2, 3	5, 6, 7
	<ul style="list-style-type: none"> ▪ personal statements (reflections on your ability to deal effectively with relationship difficulties or conflicts) 	5, 6, 7, 8, 9, 10	1, 2, 3, 4, 5, 6, 7	1, 2, 3	1, 2, 3, 4, 5, 6, 7, 8
	<ul style="list-style-type: none"> ▪ witness statements (comments by colleagues on your ability to deal effectively with relationship difficulties or conflicts) 	1, 2, 3, 4, 6, 7, 10	-	-	-

UNIT 4 (E5) ENSURE YOUR OWN ACTIONS REDUCE RISKS TO HEALTH AND SAFETY

Note: This unit has been taken from the National Occupational Standards developed by ENTO, the standards-setting body for employment and associated areas. The format of the unit is different to that used by the Management Standards Centre (MSC) for the units the MSC has developed.

Elements in this unit are:

- 1 Identify the hazards and evaluate the risks in your workplace
- 2 Reduce the risks to health and safety in your workplace

Unit Overview

Fundamental to this unit is an understanding of the terms "hazard" and "risk". They have been defined overleaf and it is VERY IMPORTANT that they are understood before undertaking the Unit.

This unit is for:

Everyone at work - (whether paid, unpaid, full or part-time). The scope of the Health and Safety at Work Act 1974 covers "all persons" whether employers, employees, self-employed, contractors, etc. Amongst other things the Act seeks to secure the health, safety and welfare of people whilst they work and protect other people against risks to health or safety arising from the activity of people at work. This unit does not require the candidate to undertake a full risk assessment, it is about having an appreciation of significant risks in the workplace and knowing how to identify them and deal with them.

This unit covers:

The health and safety duties for everyone in the workplace. It describes the competences required to ensure that:

- your own actions do not create any health and safety risks,
- you do not ignore significant risks in your workplace, and
- you take sensible action to put things right, including: reporting situations which pose a danger to people in the workplace and seeking advice

This is what you need to show:

In element 1 you need to show that you understand the health and safety requirements and policies in the workplace, and that you check your own working practices and work area for any risk of you or others being harmed. You should be able to identify the risk arising from any hazards you have identified and know which you can deal with safely yourself, and those which you must report to the "responsible person" for attention.

Element 2 requires you to show you have taken steps to reduce those health and safety risks with which you might come into contact during the course of your work. It covers carrying out tasks safely and in accordance with instructions and workplace requirements.

This is what you need to do next:

Read the section on "Key Words and Phrases". This explains how some words and phrases have been used in this unit and will help you understand it more easily.

Unit 4 (E5) Ensure your own actions reduce risks to health and safety

Key Words and phrases which you might see used frequently within the Health and Safety for People at Work units

The Health and Safety Executive (HSE) is the body appointed to support and enforce health and safety law. They have defined two important concepts as follows:

Hazard "a hazard is something with potential to cause harm".

Risk "a risk is the likelihood of the hazard's potential being realised".

Almost anything may be a hazard, but may or may not become a risk. For example:

1. A trailing electric cable from a piece of equipment is a hazard. If it is trailing across a passageway there is a high risk of someone tripping over it, but if it lies along a wall out of the way, the risk is much less.
2. Toxic or flammable chemicals stored in a building are a hazard, and by their nature may present a high risk. However, if they are kept in a properly designed secure store, and handled by properly trained and equipped people, the risk is much less than if they are left about in a busy workshop for anyone to use - or misuse.
3. A failed light bulb is a hazard. If it is just one bulb out of many in a room it presents very little risk, but if it is the only light on a stairwell, it is a very high risk. Changing the bulb may be a high risk, if it is high up, or if the power has been left on, or low risk if it is in a table lamp which has been unplugged.
4. A box of heavy material is a hazard. It presents a higher risk to someone who lifts it manually than if a mechanical handling device is properly used.

Workplace:

This word is used to describe the single or multiple areas in which you carry out your work.

Working practices:

Any activities, procedures, use of materials or equipment and working techniques used in carrying out your job. In this unit it also covers any omissions in good working practice which may pose a threat to health and safety.

Workplace policies:

This covers the documentation prepared by the employer on the procedures to be followed regarding health and safety matters. It could be the employer's safety policy statement, or general health and safety statements and written safety procedures covering aspects of the workplace that should be drawn to the employees' (and "other persons' ") attention.

Other persons:

This phrase refers to everyone covered by the Health and Safety at Work Act including: visitors, members of the public, colleagues, contractors, clients, customers, patients, students, pupils.

Personal presentation:

This includes personal hygiene; use of personal protection equipment; clothing and accessories suitable to the particular workplace.

Responsible persons:

The person or persons at work to whom you should report any health and safety issues or hazards. This could be a supervisor, line manager or your employer.

Unit 4 (E5) Ensure your own actions reduce risks to health and safety

Key points regarding Health and Safety legislation and regulations

"Health and Safety At Work Act 1974"

The Health and Safety at Work Act 1974 is the main piece of legislation under which nearly all the other regulations are made. It is for this reason that only this piece of legislation is specifically referred to in this Unit.

Employers have a legal duty under this Act to ensure, so far as is reasonably practicable, the health, safety and welfare at work of the people for whom they are responsible and the people who may be affected by the work they do.

Under this Act it is also important to be aware that all people at work, not just employers, have a duty to take reasonable care to avoid harming themselves or others through the work they do.

Risks should be reduced "so far as is reasonably practicable". This term means the duty-holder (in most instances the employer) can balance the cost against the degree of risk although obviously any Health and Safety Inspectors would expect that relevant good practice is followed.

According to the Act:

Employers must safeguard so far as is reasonably practicable, the health, safety and welfare at work of all the people who work for them and "other persons". This applies in particular to the provision and maintenance of safe plant and systems of work, and covers all machinery, equipment and substances used.

People at work also have a duty under the Act to take reasonable care to avoid harm to themselves or to others by their working practices, and to co-operate with employers and others in meeting statutory requirements. The Act also requires employees not to interfere with or misuse anything provided to protect their health, safety or welfare in compliance with the Act.

Other Legislation

There is an array of health and safety regulations and codes of practice which affect people at work. There are regulations for those who, for example, work with electricity, or work on construction projects, as well as regulations covering noise at work, manual handling, working with VDUs, or dealing with substances hazardous to health, etc. The specific requirements for all or any of these can be obtained from HSE local offices.

As many of the regulations are only relevant to certain workplaces or working practices no specific reference has been made in the Knowledge Requirements to any of these regulations. The phrase "your responsibilities for health and safety as required by any specific legislation covering your job role" is intended to relate to those specific pieces of legislation important to your workplace and/or working practices which you should be able to find out about.

Unit 4 (E5) Ensure your own actions reduce risks to health and safety

Knowledge Requirements:

Essential knowledge and understanding for this Unit:

To ensure your own actions reduce risks to Health and Safety you should know and understand the following aspects of health and safety legislation:

- a your legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974
- b your duties for health and safety as defined by any specific legislation covering your job role

To ensure your own actions reduce risks to Health and Safety you should know and understand the following relating to risks to health and safety:

- a what hazards may exist in your workplace
- b the particular health and safety risks which may be present in your own job role and the precautions you must take
- c the importance of remaining alert to the presence of hazards in the whole work place
- d the importance of dealing with or promptly reporting risks
- e the requirements and guidance on the precautions

Evidence Requirements:

- You should satisfy the Assessor that you can consistently meet the Standards.
- Evidence should be drawn from real working practices, and evidence must be provided across all the performance criteria in both elements. Your Assessor must see performance evidence for the number of range items, as specified in both elements, appropriate to your own workplace context.
- Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

Assessor Guidance:

- In order to demonstrate competence the candidate must be able to show consistent competent performance.
- In this unit evidence from performance is required and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of the candidate's ability to perform competently across all the range items listed.

Unit 4 (E5) Ensure your own actions reduce risks to health and safety

Element 1: Identify the hazards and evaluate the risks in your workplace

Performance Criteria:

You must ensure that

1. you correctly name and locate the persons responsible for health and safety in the workplace
2. you identify which workplace policies are relevant to your working practices
3. you identify those working practices in any part of your job role which could harm yourself or other persons
4. you identify those aspects of the workplace which could harm yourself or other persons
5. you evaluate which of the potentially harmful working practices and the potentially -harmful aspects of the workplace are those with the highest risk to you or to others
6. you report those hazards which present a high risk to the persons responsible for health and safety in the workplace
7. you deal with hazards with low risks in accordance with workplace policies and legal requirements

Range Statement:

Risks resulting from:

- I the use and maintenance of machinery or equipment
- II the use of materials or substances
- III working practices which do not conform to laid down policies
- IV unsafe behaviour
- V accidental breakages and spillages
- VI environmental factors

Specific knowledge for this element:

You must know and understand:

- a agreed workplace policies relating to controlling risks to health and safety,
- b responsibilities for health and safety in your job description,
- c the responsible persons to whom to report health and safety matters.

Evidence Requirements

Evidence must be provided to demonstrate competence in identifying hazards with reference to working activities or aspects of the workplace and acting upon your decisions as to whether the hazard presents a high or low risk.

Performance evidence must be provided against each of the performance criteria. The assessor will also need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this unit.

You must show from the range that you have:

- identified a minimum of two types of **risks** resulting from those listed.

Performance evidence must be provided from real working practices.

Unit 4 (E5) Ensure your own actions reduce risks to health and safety

Element 2: Reduce the risks to health and safety in your workplace

Performance Criteria:

You must ensure that

1. you carry out your working practices in accordance with legal requirements
2. you follow the most recent workplace policies for your job role
3. you rectify those health and safety risks within your capability and the scope of your job responsibilities
4. you pass on any suggestions for reducing risks to health and safety within your job role to the responsible persons
5. your personal conduct in the workplace does not endanger the health and safety of yourself or other persons
6. you follow the workplace policies and suppliers' or manufacturers' instructions for the safe use of equipment, materials and products
7. you report any differences between workplace policies and suppliers' or manufacturers' instructions as appropriate
8. your personal presentation at work
 - ensures the health and safety of yourself and others,
 - meets any legal duties, and
 - is in accordance with workplace policies

Range Statement:

Workplace policies covering:

- I the use of safe working methods and equipment
- II the safe use of hazardous substances
- III smoking, eating, drinking and drugs
- IV what to do in the event of an emergency
- V personal presentation

Specific Knowledge for this element:

You must know and understand

- a the specific workplace policies covering your job role
- b suppliers' and manufacturers' instruction for the safe use of equipment, materials and products
- c safe working practices for your own job role
- d the importance of personal presentation in maintaining health and safety in the workplace
- e the importance of personal conduct in maintaining the health and safety of yourself and others
- f your scope and responsibility for rectifying risks
- g workplace procedures for handling risks which you are unable to deal with

Evidence Requirements:

Evidence must be provided to demonstrate competence in reducing the risk to health and safety.

Performance evidence must be provided against each of the performance criteria. The Assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

You must show evidence that you have followed a minimum of four types of **workplace policies**.

Performance evidence must be provided from real working practices.

UNIT 5 (C1) ENCOURAGE INNOVATION IN YOUR TEAM

UNIT SUMMARY

What is the unit about?

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

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

Who is the unit for?

The unit is recommended for team leaders.

Links to other units

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

Skills

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

- Communicating
- Leadership
- Team building
- Problem solving
- Motivating
- Monitoring
- Providing feedback
- Learning
- Valuing and supporting others
- Risk management
- Thinking creatively

C1. Encourage innovation in your team

Outcomes of effective performance

You must be able to do the following:

1. Motivate members of your team, including yourself, to identify ideas for new products and/or services and improvements.
2. Respond enthusiastically to ideas identified by members of your team and provide constructive feedback.
3. Encourage members of your team to share, discuss and work together in developing initial ideas.
4. Identify and pursue opportunities to work with other teams to generate and develop ideas.
5. Discuss and agree with members of your team those ideas which should be developed further, how they should be developed and the required resources.
6. Provide ongoing support, encouragement and resources to members of your team who are developing and testing ideas and help to remove any identified obstacles.
7. Agree the practical implementation of ideas, based on the identified benefits, risks and required resources, when you have the authority to do so.
8. Support members of your team in submitting formal proposals and plans for the practical implementation of ideas to other people for approval.
9. Oversee practical implementation of ideas by your team and monitor and report on progress.
10. Encourage and develop the creativity of members of your team.
11. Encourage members of your team to take acceptable risks in pursuing innovation and to make and learn from mistakes.
12. Ensure that the originators and developers of any ideas which are successfully implemented receive recognition for their achievement.

Behaviours which underpin effective performance

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

C1. Encourage innovation in your team

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

1. The benefits of innovation to your team, the overall organisation and its customers
2. The key differences between creativity and innovation
3. How to make time available for identifying and developing ideas
4. How to motivate people to generate and develop ideas
5. How to provide constructive feedback on ideas to individuals
6. The importance of communication in innovation and how to encourage communication across your team
7. The potential obstacles to creativity and whether/how they can be removed
8. The reasons for selecting initial ideas for further development
9. How initial ideas might be further developed and tested
10. How to recognise and manage risk in innovation
11. How to develop formal proposals and plans for the practical implementation of an idea and how to support others in doing this
12. How to develop creativity in yourself and others
13. The resources required for creativity and innovation, particularly time
14. How to learn from mistakes
15. How to recognise the achievements of the originators/developers of ideas which have been successfully implemented

Industry/sector specific knowledge and understanding

1. The sector(s) in which your organisation works

Context specific knowledge and understanding

1. Your organisation's strategy, if it has one, for innovation
2. The limits of your authority
3. Organisational guidelines and procedures for developing and implementing ideas, including whom to submit formal proposals and plans to
4. The needs of your customers
5. Opportunities to work with other teams in your organisation

C1. Encourage innovation in your team

Evidence requirements

Outcomes	Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
Examples of creative ideas and innovation that you have enabled your team to generate or propose:					
O1 O2 O3 O4 O5 O6 O8 O10 O11 O12	<ul style="list-style-type: none"> ▪ notes, reports and other materials emanating from creative ideas generation sessions that you have led your team and others to produce 	1, 2, 3, 4, 6, 7	1, 2, 3, 4, 5, 7, 8, 9, 11, 12, 14	1	1, 2, 3, 4, 5
	<ul style="list-style-type: none"> ▪ proposals that your team has made for innovative products, services or processes 	4, 5, 6, 7, 8	2, 6, 7, 8, 9, 10, 11, 12	1	1, 2, 3, 4, 5
	<ul style="list-style-type: none"> ▪ notes of meetings you have had with, or presentations you have made to, managers customers, suppliers and others 	1, 2, 3, 5, 6, 7	1, 2, 6, 7, 8, 9, 10, 11	1	2, 4, 5
	<ul style="list-style-type: none"> ▪ personal statement (reflections on your role in leading or encouraging the team to be creative and develop innovative products, services or processes) 	1, 4, 5, 6, 7	1, 2, 3, 4, 7, 8, 9, 10, 11, 12, 13	1	1, 2, 3, 4, 5
	<ul style="list-style-type: none"> ▪ witness statements (commentaries on your role in leading or encouraging the team to be creative and develop innovative products, services or processes) 	1, 4, 5, 6, 7	-	-	-
Examples and recognitions of innovations that your team has proposed that have been implemented:					
O3 O4 O6 O7 O9 O11 O12	<ul style="list-style-type: none"> ▪ innovative product, service or process specifications arising from proposals made by your team 	1, 7	1, 8, 9, 10, 11, 13, 14	1	1, 3, 4
	<ul style="list-style-type: none"> ▪ action plans to introduce innovative products, services or processes 	1, 2, 3, 4, 5, 6	1, 6, 9, 10, 11, 13, 14	1	1, 3, 4, 5
	<ul style="list-style-type: none"> ▪ records of prizes, bonuses, awards and other recognition that the team and its members have received for developing innovative products, services or processes 	2, 3, 8	4, 15	1	1, 2, 3
	<ul style="list-style-type: none"> ▪ personal statement (reflections on your role in leading the team in introducing innovative products, services or processes that they have proposed) 	1, 4, 5, 6, 7	1, 2, 3, 6, 7, 8, 9, 10, 11, 13, 14, 15	1	1, 2, 3, 4, 5
	<ul style="list-style-type: none"> ▪ witness statements (commentaries on your role in leading the team in introducing innovative products, services or processes that they have proposed) 	1, 2, 3, 4, 6, 7, 8	-	-	-

UNIT 6 (D5) ALLOCATE AND CHECK WORK IN YOUR TEAM

UNIT SUMMARY

What is the unit about?

This unit is about ensuring that the work required of your team is effectively and fairly allocated amongst team members. It also involves checking on the progress and quality of the work of team members to ensure that the required level or standard or performance is being met.

Who is the unit for?

The unit is recommended for team leaders.

Links to other units

This unit is linked to units **B5. Provide leadership for your team, D1. Develop productive working relationships with colleagues** and **D6 Allocate and monitor the progress and quality of work in your area of responsibility** in the overall suite of National Occupational Standards for management and leadership.

Skills

Listed below are the main generic ‘skills’ which need to be applied in allocating and checking work in your team. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Providing feedback
- Planning
- Reviewing
- Motivating
- Valuing and supporting others
- Problem solving
- Monitoring
- Decision making
- Prioritising
- Team building
- Managing conflict
- Information management
- Leadership
- Coaching
- Delegating
- Setting objectives
- Stress management

D5. Allocate and check work in your team

Outcomes of effective performance

You must be able to do the following:

1. Confirm the work required of the team with your manager and seek clarification, where necessary, on any outstanding points and issues.
2. Plan how the team will undertake its work, identifying any priorities or critical activities and making best use of the available resources.
3. Allocate work to team members on a fair basis taking account of their skills, knowledge and understanding, experience and workloads and the opportunity for development.
4. Brief team members on the work they have been allocated and the standard or level of expected performance.
5. Encourage team members to ask questions, make suggestions and seek clarification in relation to the work they have been allocated.
6. Check the progress and quality of the work of team members on a regular and fair basis against the standard or level of expected performance and provide prompt and constructive feedback.
7. Support team members in identifying and dealing with problems and unforeseen events.
8. Motivate team members to complete the work they have been allocated and provide, where requested and where possible, any additional support and/or resources to help completion.
9. Monitor the team for conflict, identifying the cause(s) when it occurs and dealing with it promptly and effectively.
10. Identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with team members.
11. Recognise successful completion of significant pieces of work or work activities by team members and the overall team and advise your manager.
12. Use information collected on the performance of team members in any formal appraisal of performance.

Behaviours which underpin effective performance

1. You make time available to support others.
2. You clearly agree what is expected of others and hold them to account.
3. You prioritise objectives and plan work to make best use of time and resources.
4. You state your own position and views clearly and confidently in conflict situations.
5. You show integrity, fairness and consistency in decision-making.
6. You seek to understand people's needs and motivations.
7. You take pride in delivering high quality work.
8. You take personal responsibility for making things happen.
9. You encourage and support others to make the best use of their abilities.
10. You are vigilant for possible risks and hazards.

D5. Allocate and check work in your team

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

1. Different ways of communicating effectively with members of a team
2. The importance of confirming/clarifying the work required of the team with your manager and how to do this effectively
3. How to plan the work of a team, including how to identify any priorities or critical activities and the available resources
4. How to identify and take due account of health and safety issues in the planning, allocation and checking of work
5. Why it is important to allocate work across the team on a fair basis and how to do so
6. Why it is important to brief team members on the work they have been allocated and the standard or level of expected performance and how to do so
7. Ways of encouraging team members to ask questions and/or seek clarification and make suggestions in relation to the work which they have been allocated.
8. Effective ways of regularly and fairly checking the progress and quality of the work of team members
9. How to provide prompt and constructive feedback to team members
10. How to select and apply a limited range of different methods for motivating, supporting and encouraging team members to complete the work they have been allocated, improve their performance and for recognising their achievements
11. The additional support and/or resources which team members might require to help them complete their work and how to assist in providing this
12. Why it is important to monitor the team for conflict and how to identify the cause(s) of conflict when it occurs and deal with it promptly and effectively
13. Why it is important to identify unacceptable or poor performance by members of the team and how to discuss the cause(s) and agree ways of improving performance with team members
14. The type of problems and unforeseen events that may occur and how to support team members in dealing with them
15. How to log information on the ongoing performance of team members and use this information for performance appraisal purposes

Industry/sector specific knowledge and understanding

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

Context specific knowledge and understanding

1. The members, purpose and objectives of your team
2. The work required of your team
3. The available resources for undertaking the required work
4. The organisation's written health and safety policy statement and associated information and requirements
5. Your team's plan for undertaking the required work
6. The skills, knowledge and understanding, experience and workloads of team members
7. Your organisation's policy and procedures in terms of personal development
8. Reporting lines in the organisation and the limits of your authority
9. Organisational standards or levels of expected performance
10. Organisational policies and procedures for dealing with poor performance
11. Organisational grievance and disciplinary policies and procedures
12. Organisational performance appraisal systems

D5. Allocate and check work in your team

Evidence requirements

Outcomes	Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
O1 O2 O3 O4 O5	Records of work allocation to your team and its members:				
	<ul style="list-style-type: none"> ▪ notes of meetings with your manager, schedules and other documents recording the work required from your team, and any priorities 	7, 8	2, 3, 4, 11	1	1, 2, 3, 4
	<ul style="list-style-type: none"> ▪ detailed work schedules, timetables and other plans for individual and team work activities, tasks, production targets or other ways of defining workloads 	2, 3, 5, 7, 8, 10	3, 4, 5, 11	1, 2	1, 2, 3, 4, 5, 6, 8, 9
	<ul style="list-style-type: none"> ▪ notes of team briefings to allocate individual and team work activities, tasks, targets, etc 	1, 2, 3, 4, 5, 6, 7, 9	1, 5, 6, 7, 9, 11	1, 2	1, 2, 3, 4, 5, 6, 7,
	<ul style="list-style-type: none"> ▪ personal statements (reflections on the process and reasoning behind work allocation, including work priorities, availability of resources, and the relative abilities and development needs of team members) 	3, 5, 7, 8, 10	3, 4, 5, 6, 11	1, 2	1, 2, 3, 4, 5, 6, 7, 8, 9
	<ul style="list-style-type: none"> ▪ witness statements (comments on the process of work allocation and perceptions of its fairness, appropriateness and clarity) 	1, 4, 5, 6, 9	-	-	-

Records of the quality and quantity of the team's output:					
O5 O6 O7 O8 O9 O10 O11 O12	<ul style="list-style-type: none"> records of the monitoring of work output/production for quality, consistency with specifications, etc (eg quality control charts, etc) that you have collected 	2, 5, 7, 8	1, 8, 9, 12, 13, 14, 15	1	1, 2, 3, 4.
	<ul style="list-style-type: none"> records of individual and team work output or production records, production/operational reports that you have prepared, etc 	2, 5, 7, 8	1, 8, 9, 12, 13, 14, 15	1, 2	1, 2, 3, 4, 5, 6, 8
	<ul style="list-style-type: none"> notes, reports, recommendations to managers or other records of problems or critical incidents and action you have taken in relation to supplied materials; equipment, vehicles or facilities; product/service quality; health, safety or security; customers; or team members' work performance (including issues requiring disciplinary action, and training or coaching activity you have undertaken) 	4, 5, 7, 8	4, 8, 12, 12, 14, 15	1	1, 2, 3, 5, 6, 7, 8, 9, 10, 11, 12
	<ul style="list-style-type: none"> notes, emails, memos or other records of formal or informal feedback or performance appraisal of team members 	2, 5, 9	1, 6, 7, 8, 9, 10, 13, 15	1, 2	1, 2, 5, 6, 7, 8, 9, 10, 11, 12
	<ul style="list-style-type: none"> personal statement (reflections on your own role in dealing with problems or critical incidents affecting the team and its performance, and how you encourage the team and individual members to work to the best of their ability to achieve or exceed targets for quality and quantity of products or services) 	1, 2, 3, 4, 5, 6, 7, 8, 9	4, 8, 12, 12, 14, 15	1, 2	1, 2, 5, 6, 7, 8, 9, 10, 11, 12
	<ul style="list-style-type: none"> witness statements (comments on your own role in dealing with problems or critical incidents affecting the team and its performance, and how you encourage the team and individual members to work to the best of their ability to achieve or exceed targets for quality and quantity of products or services) 	1, 2, 4, 5, 6, 9	-	-	-

UNIT 7 (D7) PROVIDE LEARNING OPPORTUNITIES FOR COLLEAGUES

UNIT SUMMARY

What is the unit about?

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

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

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

Who is the unit for?

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

Links with other units

This unit is linked to units **D3. Recruit, select and keep colleagues**, **D5. Allocate and check work in your team** and **D6. Allocate and monitor the progress and quality of work in your area of responsibility** in the overall suite of National Occupational Standards for management and leadership.

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

Skills

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

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

D7. Provide learning opportunities for colleagues

Outcomes of effective performance

You must be able to do the following:

1. Promote the benefits of learning to colleagues and make sure that their willingness and efforts to learn are recognised.
2. Give colleagues fair, regular and useful feedback on their work performance, discussing and agreeing how they can improve.
3. Work with colleagues to identify and prioritise learning needs based on any gaps between the requirements of their work-roles and their current knowledge, understanding and skills.
4. Help colleagues to identify the learning style(s) or combination of styles which works best for them and ensure that these are taken into account in identifying and undertaking learning activities.
5. Work with colleagues to identify and obtain information on a range of possible learning activities to address identified learning needs.
6. Discuss and agree, with each colleague, a development plan which includes learning activities to be undertaken, the learning objectives to be achieved, the required resources and timescales.
7. Work with colleagues to recognise and make use of un-planned learning opportunities.
8. Seek and make use of specialist expertise in relation to identifying and providing learning for colleagues.
9. Support colleagues in undertaking learning activities making sure any required resources are made available and making efforts to remove any obstacles to learning.
10. Evaluate, in discussion with each colleague, whether the learning activities they have undertaken have achieved the desired outcomes and provide positive feedback on the learning experience.
11. Work with colleagues to update their development plan in the light of performance, any learning activities undertaken and any wider changes.
12. Encourage colleagues to take responsibility for their own learning, including practising and reflecting on what they have learned.

Behaviours which underpin effective performance

1. You recognise the opportunities presented by the diversity of people.
2. You find practical ways to overcome barriers.
3. You make time available to support others.
4. You seek to understand individuals' needs, feelings and motivations and take an active interest in their concerns.
5. You encourage and support others to make the best use of their abilities.
6. You recognise the achievements and the success of others.
7. You inspire others with the excitement of learning.
8. You confront performance issues and sort them out directly with the people involved.
9. You say no to unreasonable requests.
10. You show integrity, fairness and consistency in decision making.

D7. Provide learning opportunities for colleagues

Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

1. The benefits of learning for individuals and organisations and how to promote these to colleagues
2. Ways in which you can develop an 'environment' in which learning is valued and willingness and efforts to learn are recognised
3. Why it is important to encourage colleagues to take responsibility for their own learning
4. How to provide fair, regular and useful feedback to colleagues on their work performance
5. How to identify learning needs based on identified gaps between the requirements of colleagues' work-roles and their current knowledge, understanding and skills
6. How to prioritise learning needs of colleagues, including taking account of organisational needs and priorities and the personal and career development needs of colleagues
7. The range of different learning styles and how to support colleagues in identifying the particular learning style(s) or combination of learning styles which works best for them
8. Different types of learning activities, their advantages and disadvantages and the required resources (for example, time, fees, substitute staff)
9. How/where to identify and obtain information on different learning activities
10. Why it is important for colleagues to have a written development plan and what it should contain (for example, identified learning needs, learning activities to be undertaken and the learning objectives to be achieved, timescales and required resources)
11. How to set learning objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-Bound)
12. Sources of specialist expertise in relation to identifying and providing learning for colleagues
13. What type of support colleagues might need to undertake learning activities, the resources needed and the types of obstacles they may face and how they can be resolved
14. How to evaluate whether a learning activity has achieved the desired learning objectives
15. The importance of regularly reviewing and updating written development plans in the light of performance, any learning activities undertaken and any wider changes
16. How to take account of equality legislation, any relevant codes of practice and general diversity issues in providing learning opportunities for colleagues

Industry/sector specific knowledge and understanding

1. Industry/sector requirements for the development or maintenance of knowledge, skills and understanding and professional development
2. Learning issues and specific initiatives and arrangements that apply within the industry/sector
3. Working culture and practices of the industry/sector

1.

Context specific knowledge and understanding

2. Relevant information on the purpose, objectives and plans of your team or area of responsibility or the wider organisation
3. The work roles of colleagues, including the limits of their responsibilities and their personal work objectives
4. The current knowledge, understanding and skills of colleagues
5. Identified gaps in the knowledge, understanding and skills of colleagues
6. Identified learning needs of colleagues
7. Learning style(s) or combinations of styles preferred by colleagues
8. The written development plans of colleagues
9. Sources of specialist expertise available in/to your organisation in relation to identifying and providing learning for colleagues
10. Learning activities and resources available in/to your organisation
11. Your organisation's policies in relation to equality and diversity
12. Your organisation's policies and procedures in relation to learning
13. Your organisation's performance appraisal systems

D7. Provide learning opportunities for colleagues

Evidence requirements

Out-Comes	Evidence of Outcomes: possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
	Identification of development needs, plans to meet development needs and monitoring and review of development activity:				
	<ul style="list-style-type: none"> ▪ notes, memos, emails or other records of feedback and performance appraisals/reviews, and of discussions or identification of learning and development preferences and needs (including learning styles, personal constraints, learning disabilities and difficulties that affect learning) 	3, 4, 5, 6, 7, 8, 9, 10	1, 4, 5, 6, 7, 8, 12, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 8, 10, 11, 12
	<ul style="list-style-type: none"> ▪ details of support arrangements inside and outside the organisation (eg a training department's or external supplier's assessment services) that you have identified and arranged for a colleague to access 	2, 3, 4, 5	1, 4, 12, 13, 16	1, 2, 3	5, 6, 8, 9, 10, 11, 12
O1 O2 O3 O4 O5 O6 O7 O8	<ul style="list-style-type: none"> ▪ training and development opportunities (eg coaching, internal and external courses, learning centre/e-learning programmes) that you have identified and enabled colleagues to access to meet agreed learning and development requirements 	1, 2, 3, 4, 5, 7, 9, 10	1, 2, 3, 5, 6, 8, 9, 10, 12, 13, 16	1, 2, 3	3, 4, 5, 6, 7, 8, 9, 10, 11, 12
O9 O10 O11 O12	<ul style="list-style-type: none"> ▪ copies of development or learning plans you have discussed, agreed, reviewed and revised with colleagues 	3, 4, 5, 7, 10	1, 2, 3, 10, 11	1, 2, 3	4, 5, 6, 7, 9, 10, 11, 12
	<ul style="list-style-type: none"> ▪ notes, memos, emails or other records of meeting or discussions you have had with colleagues to review their learning and its effect on their performance 	3, 4, 5, 6, 8, 10	1, 2, 3, 14, 15	1, 2, 3	1, 2, 3, 4, 5, 10, 11, 12
	<ul style="list-style-type: none"> ▪ personal statement (your reflections on your role in identifying learning requirements, organisation of development activity and review of its effectiveness in improving or enhancing performance) 	1, 2, 4, 5, 6, 8, 9	2, 3, 4, 5, 6, 7, 8, 10, 13, 14, 15, 16	1, 2, 3	1, 2, 3, 4, 5, 6, 9, 10, 11, 12
	<ul style="list-style-type: none"> ▪ witness statement (comments on your role in identifying learning requirements, organising development activity and reviewing of its effectiveness in improving or enhancing performance) 	2, 3, 4, 5, 6, 7, 10	-	-	-

UNIT 8 (F5) RESOLVE CUSTOMER SERVICE PROBLEMS

Note: This unit has been taken from the National Occupational Standards developed by the Institute of Customer Service (ICS), the standards-setting body for customer service. The format of the unit is different to that used by the Management Standards Centre (MSC) for the units the MSC has developed.

Unit Overview

The delivery of excellent customer service involves meeting and exceeding customer expectations. However, even if your customer service overall is excellent, some customers will experience problems. Part of your job is to help to resolve those problems.

Some problems are reported by customers. In other situations, you spot the problem first and resolve it before your customer has even noticed that there might be a problem.

For this Unit you need to resolve both types of problem having looked at all the options.

This Unit is particularly important to customer service because many customers judge the customer service of your organisation by the way in which their problems are resolved.

N.B. This is unit 4 from the Customer Service National Occupational Standards at level 2.

F5. Resolve customer service problems

Element 1 Identify customer service problems

You need to show that you:

- 1.1 gather and interpret information from your customers about problems they have raised
- 1.2 ask your customers appropriate questions to check your understanding of their problems
- 1.3 identify repeated problems and alert the appropriate authority
- 1.4 share customer feedback with others to help identify potential problems before they occur
- 1.5 work independently or with others to identify problems with systems and procedures before they begin to affect your customers

Element 2 Select the best solution to resolve customer service problems

You need to show that you:

- 2.1 identify the available options for resolving customer service problems
- 2.2 consult with others to identify and confirm the options available to resolve those problems
- 2.3 work out the advantages and disadvantages of each option for your customer and your organisation
- 2.4 select the best overall option for your customer and your organisation
- 2.5 suggest to your customer other ways that problems may be resolved if you are unable to help

Element 3 Implement the solution to customer service problems

You need to show that you:

- 3.1 discuss and agree the proposed option for solving the problem with your customers
- 3.2 take action to implement the option agreed with your customers
- 3.3 work with others and your customers to make sure that any commitments related to solving the problem are kept
- 3.4 keep your customers fully informed about what is happening to resolve problems
- 3.5 check with your customers to make sure the problem has been resolved to their satisfaction
- 3.6 give clear reasons to your customers when the problem has not been resolved to their satisfaction

Knowledge and Understanding

You will have an awareness of the basic legal and organisational responsibilities you need to apply when you are dealing with your customers.

You will need to show in your evidence that you have worked within the rules and regulations of your organisation and, where your knowledge of these is limited, you will need to show that you have gone to others for help or advice.

The rules and procedures you need to apply will depend on the industry and organisation you are working in. How much you need to know and understand will depend on your job role and your position in your organisation. You may need to ask somebody in your organisation or your assessor what these rules and regulations are and how they apply to your current job, or you may already know.

In addition you will need to demonstrate that you know and understand:

1. what your customers' rights are and how these rights limit what you are able to do for your customer
2. the specific aspects of:
 - health and safety
 - data protection
 - equal opportunities
 - disability discrimination
 - legislation and regulationsthat affect the way the products or services you deal with can be delivered to your customers
3. industry, organisational and professional codes of practice and ethical standards that affect the way the products or services you deal with can be delivered to your customers
4. any contractual agreements that your customers have with your organisation
5. the products or services of your organisation relevant to your customer service role
6. the guidelines laid down by your organisation that limit what you can do within your job
7. the limits of your own authority and when you need to seek agreement with or permission from others
8. any organisational targets relevant to your job, your role in meeting them and the implications for your organisation if those targets are not met
9. how to communicate in a clear, polite, confident way and why this is important

You will also need to show that you know and understand:

10. organisational procedures and systems for dealing with customer service problems
11. how to defuse potentially stressful situations
12. how to negotiate
13. the limitations of what you are able to offer your customer

Evidence requirements

Simulation is not allowed for any performance evidence within this Unit. You must supply all the evidence from work you have carried out with customers in your workplace. Your customers can be internal or external to the organisation or a combination of both.

You must prove that you have dealt effectively with a series of customer service problems. You must produce evidence that shows you have done this over a period of time with different customers on different occasions.

Your evidence must include examples of solving problems involving each of the following:

- problems first identified by customers
- problems that you have identified before they affect your customer
- problems due to differences between your customers' expectations and what your organisation can offer
- problems due to a system or procedure failure
- problems due to a lack of resources or human error

Your evidence will need to show that you:

- have made positive efforts to keep your customers informed at all times while problems are being resolved
- supplied relevant information tactfully when customers have requested it
- supplied relevant information tactfully when customers have not requested it
- have used agreed organisational procedures when solving problems
- have made exceptions to usual practice with the agreement of others

All options you have considered must be based on the existing products or services offered by your organisation.

Your evidence must show that you have applied the knowledge and understanding requirements when you are dealing with your customers.

UNIT 9 (F7) SUPPORT CUSTOMER SERVICE IMPROVEMENTS

Note: This unit has been taken from the National Occupational Standards developed by the Institute of Customer Service (ICS), the standards-setting body for customer service. The format of the unit is different to that used by the Management Standards Centre (MSC) for the units the MSC has developed.

Unit Overview

If you have chosen this Unit your organisation should be encouraging you to get involved with making changes to improve customer service.

Organisations change the way they deliver service to their customers because customer expectations rise and other organisations improve the services they offer.

Your job involves delivering customer service. If your organisation has decided to make changes it is your job to support them and to present them positively to your customers. Also, by listening to customer comments you may have your own ideas about how the service you deliver could be improved.

In this Unit you need to show how you provide support for changes that your organisation has introduced. In addition, you need to present your own ideas for improvements to someone in your organisation who will be able to judge whether your idea has possibilities for change and improvement.

N.B. This is unit 5 from the Customer Service National Occupational Standards at level 2.

F7. Support customer service improvements

Element 1 Use feedback to identify potential customer service improvements

You need to show that you:

- 1.1 gather informal feedback from your customers when you deal with them
- 1.2 use agreed customer feedback procedures to obtain information from your customers on their needs and expectations
- 1.3 use the information obtained from your customers to develop a better understanding of their needs and expectations
- 1.4 identify ways the service you give your customers could be improved based on the information you have gathered
- 1.5 discuss your ideas for improving customer service with others

Element 2 Contribute to the implementation of changes in customer service

You need to show that you:

- 2.1 identify a possible change that could be made to improve the service you give to your customers
- 2.2 present your idea for improving the service you give to the appropriate authority
- 2.3 carry out changes to customer service systems or procedures either based on your own idea or proposed by your organisation
- 2.4 keep your customers informed of changes to customer service in accordance with organisational guidelines
- 2.5 work positively with others to support the changes made by your organisation

Element 3 Assist with the evaluation of changes in customer service

You need to show that you:

- 3.1 discuss with others how changes to customer service are working
- 3.2 work with others to identify the negative aspects of changes and how these can be resolved

Knowledge and Understanding

You will have an awareness of the basic legal and organisational responsibilities you need to apply when you are dealing with your customers.

You will need to show in your evidence that you have worked within the rules and regulations of your organisation and, where your knowledge of these is limited, you will need to show that you have gone to others for help or advice.

The rules and procedures you need to apply will depend on the industry and organisation you are working in.

How much you need to know and understand will depend on your job role and your position in your organisation. You may need to ask somebody in your organisation or your assessor what these rules and regulations are and how they apply to your current job, or you may already know.

In addition you will need to demonstrate that you know and understand:

1. what your customers' rights are and how these rights limit what you are able to do for your customer
2. the specific aspects of:
 - health and safety
 - data protection
 - equal opportunities
 - disability discrimination
 - legislation and regulations

that affect the way the products or services you deal with can be delivered to your customers

3. industry, organisational and professional codes of practice and ethical standards that affect the way the products or services you deal with can be delivered to your customers
4. any contractual agreements that your customers have with your organisation
5. the products or services of your organisation relevant to your customer service role
6. the guidelines laid down by your organisation that limit what you can do within your job
7. the limits of your own authority and when you need to seek agreement with or permission from others
8. any organisational targets relevant to your job, your role in meeting them and the implications for your organisation if those targets are not met
9. how to communicate in a clear, polite, confident way and why this is important

You will also need to show that you know and understand:

10. how the customer experience is influenced by the way service is delivered
11. how customer feedback from customers is obtained
how to work with others to identify and support change in the way service is delivered

Evidence requirements

Simulation is not allowed for any performance evidence within this Unit. You must supply all the evidence from work you have carried out with customers in your workplace. Your customers can be internal or external to the organisation or a combination of both.

You must prove that you have worked to support customer service improvement initiatives within your organisation.

You must also show that you:

- have supported improvements to customer service over a period of time
- have made positive contributions to improving customer service through both your individual efforts and by working with others

Your evidence is likely to result from two or three changes with which you have been actively involved. In each case you must be able to identify the part you played in:

- collecting customer feedback and linking it to change
- implementing the change
- gathering customer reactions to change

Your evidence will also need to show:

- how the changes have improved customer service
- how your customers have reacted to the changes

The changes which form the basis of your evidence may be either:

- changes in the products or services offered by your organisation
or
- changes in how products or services are supplied
or
- changes in how you and your colleagues behave when delivering products or services

Your evidence must show that you have applied the knowledge and understanding requirements when you are dealing with your customers.