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PUBLICATIONS (related to this qualification)

The NVQ Toolbox (reference code L391)
OCR publications may be purchased from:
OCR Publications, PO Box 5050, Annesley, Nottingham, NG15 0DL.
Telephone: 0870 870 6622
Facsimile: 0870 870 6621
Email: publications@ocr.org.uk

FURTHER INFORMATION

Further information may be obtained by visiting the OCR website at www.ocr.org.uk or, from the OCR Information
Bureau - Telephone: (024) 7685 1509, Email: cib@ocr.org.uk - from whom the following literature is available:
National Vocational Qualifications and Other Verified Qualifications – Centre Guidance (reference code L526)
Access to Vocational Assessment (reference code L16)

(Please note that as part of our quality assurance programme, your call may be recorded or monitored for training
purposes.)
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INTRODUCTION

About this scheme book and cumulative assessment record (CAR)

This scheme book and cumulative assessment record (CAR) contains important information for anyone working towards or involved in assessing or verifying the following qualification:

OCR Level 5 NVQ in Learning and Development

The OCR scheme code for this qualification is 3347

The QCA qualification accreditation number for this qualification is 100/2540/6

What is an NVQ?

An NVQ (National Vocational Qualification) is a qualification which assesses someone’s competence (that is the skills, knowledge and understanding they have) in a work situation. NVQs are based on national occupational standards. The standards describe the level and breadth of performance that is expected of anyone working in the industry or sector which the NVQ covers. This NVQ is based on the national occupational standards developed by the Employment National Training Organisation (ENTO), which was the government-approved national training organisation (NTO) for employment at the time of the development.

The awarding body for this NVQ is Oxford Cambridge and RSA Examinations (OCR) and the regulatory body is the Qualifications and Curriculum Authority (QCA).

What is a CAR?

A CAR is the candidate’s record of their assessment over time. Hence the title, cumulative assessment record, or CAR for short. OCR will provide a CAR for each candidate registered for these awards. Master recording document pages are included in this booklet to enable candidates to assemble a CAR for each of the other awards.

The information in this scheme book and CAR is in eight sections:

- Guidance for candidates
- Guidance for centres
- Other related OCR qualifications
- Assessor, adviser and internal verifier requirements
- Key Skills signposting
- Glossary of terms
- NVQ units of competence
- Recording documents (for CAR and other purposes)
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GUIDANCE FOR CANDIDATES

How do I achieve this NVQ?

To achieve this NVQ you must prove that you have the skills, knowledge and understanding detailed in the units of competence. Your assessor will judge, from your evidence, whether you have demonstrated the skills, knowledge and understanding to the necessary standard. You do not have to pass a written exam or have any previous qualifications, learning or experience to be able to take this qualification. You will be expected to have a reasonable standard of literacy and numeracy.

Do I have to find my own assessor and adviser?

Your centre (the place where you have registered to take your qualification) will allocate a main assessor (or assessors) to you. A separate assessor to carry out the independent assessment will also be allocated.

Assessment will be carried out, mainly in your workplace, by qualified assessors. Your centre will also allocate an independent adviser if your choice of qualification includes personnel or management units.

What is independent assessment?

You are required to present a balance of evidence which must include a substantive component which has been assessed by someone who is independent from you. Substantive is defined here as a primary piece of outcome evidence eg an observation report. Independence is defined here as a competent job holder who is qualified as an assessor but will not act as your primary assessor or your internal verifier.

What are the units of competence?

The national occupational standards that apply to this qualification are listed below. Each unit covers a particular activity:

<table>
<thead>
<tr>
<th>Unit title</th>
<th>Unit Number</th>
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</thead>
<tbody>
<tr>
<td><strong>Mandatory units</strong></td>
<td></td>
</tr>
<tr>
<td>Contribute to the development of learning within the organisation</td>
<td>G2</td>
</tr>
<tr>
<td>Evaluate and develop own practice</td>
<td>G3</td>
</tr>
<tr>
<td>Develop a strategy and plan for learning and development</td>
<td>L1</td>
</tr>
<tr>
<td>Identify the learning and development needs of the organisation</td>
<td>L2</td>
</tr>
<tr>
<td>Respond to changes in learning and development</td>
<td>L18</td>
</tr>
<tr>
<td>Develop a strategy and plan for the promotion of equality of opportunity and diversity</td>
<td>P8</td>
</tr>
<tr>
<td>Establish strategies to guide the work of your organisation</td>
<td>A7</td>
</tr>
<tr>
<td><strong>Either</strong></td>
<td></td>
</tr>
<tr>
<td>Manage the use of financial resources</td>
<td>B3</td>
</tr>
<tr>
<td><strong>Or</strong></td>
<td></td>
</tr>
<tr>
<td>Secure financial resources for your organisation’s plans</td>
<td>B5</td>
</tr>
</tbody>
</table>
Optional units

Design learning programmes \hspace{1cm} L4
Manage the contribution of other people to the learning process \hspace{1cm} L8
Evaluate and improve learning and development programmes \hspace{1cm} L17
Design, deliver and evaluate changes to organisational structure \hspace{1cm} P13
Evaluate and improve organisational performance \hspace{1cm} A8
Develop management teams \hspace{1cm} C11
Manage the performance of teams and individuals \hspace{1cm} C13

The national occupational standards that apply to the OCR Level 5 NVQ in Learning and Development can be found in the section NVQ units of competence.

Each unit is broken down into elements, each with its own title describing the tasks to be carried out. For example:

**Unit L2** Identify the learning and development needs of the organisation
- Element L2.1 Review how capable the whole organisation is of meeting its development needs
- Element L2.2 Develop a learning and development programme for the organisation

**Unit L4** Design learning programmes
- Element L4.1 Choose options for meeting learning needs
- Element L4.2 Design learning programmes for learners

**Do I have to finish all the units to achieve my qualification?**

No. The section NVQ units of competence on pages 53 - 55 will show you the units you will need to achieve your full qualification.

You should choose the optional units that best suit your work situation and job role. If you finish all of the units required, you will receive a certificate listing the name of your full qualification and another certificate listing the individual units that you have achieved.

**What if I have already achieved one of the units?**

If you have already achieved a unit (or units) from the qualification you are registered for through another awarding body, please tell your assessor and they will arrange for this to count towards your full qualification. You will need to give your assessor your original unit certificate from your previous awarding body.

**What if I cannot complete enough units to claim my qualification?**

These are very flexible qualifications. They allow you to achieve recognition for what you have already achieved even if you do not finish the full qualification. We have systems in place which allow you to be awarded a certificate listing the unit (or units) you have achieved even if you are unable to complete the full qualification. This may also be useful to you if you need to take a break part way through your qualification, and you want us to recognise your achievements so far.
Your assessor will fill in the necessary forms to claim certificates for you.

**Is this the right qualification for me?**

Your assessor will carry out an initial assessment of your past experience, current skills, knowledge and understanding, and look at your real work situation and job role before agreeing with you which qualification is suitable for you.

We would recommend that you also carry out a self-assessment of your real work situation. To do this, look at the first page of each unit. This tells you about the unit and who it would be suitable for. You should consider the mandatory units first. Do the units reflect what you already do? Then look at the titles of any optional units and decide which best match your current job role. If you can match the mandatory units and sufficient optional units to your current job role, this qualification is probably the right one for you. You should ask your assessor to confirm that this is the right qualification for you. Your assessor will also help you confirm the most suitable optional units.

You may find that a unit or part of a unit matches something you did some time ago, perhaps in a previous job. Tell your assessor about this. While past achievements may only be acceptable if they reflect what you can do now, you may be able to use your past achievements as evidence for this qualification.

The OCR Level 5 NVQ in Learning and Development will be suitable for you if your learning and development role is at a management and strategic level. Your work situation must give you the opportunity to be involved in a range of strategic level learning and development related tasks, which may include:

- developing a strategy and plan
- identifying the learning and development needs of the organisation
- responding to changes in the learning environment
- developing a strategy and plan to provide all people resources for an organisation
- managing the performance of teams and individuals.

**What is a real work situation?**

A real work situation could be a full-time or part-time job, voluntary work, or work carried out while on work placement within an operational organisation.

It is important that your real work situation gives you the chance to carry out the tasks listed in the units of competence and to the level described.

**What do the different sections of each unit describe?**

Each unit describes exactly:

- what you need to **do**
- what you need to **know and understand** and
- the **evidence** you need to provide to prove you are competent to the standard specified.
With the exception of the Management units (A7, A8, B3, B5, C11 and C13) the first page of each unit contains an overview of the unit. It briefly describes what the unit is about and will help you decide if the unit is suitable for you. The preferred methods of assessment are included on the first page.

The next section shows the **elements** that make up the unit. Each element has its own title and describes what you need to do.

The national occupational standards contain a list of performance criteria (the lettered items). Performance criteria describe what you must do and how you must do it. You must show that you can do all the things listed as performance criteria.

Following the elements are the **evidence requirements**. These list the type, quality and quantity of evidence that you need to provide to demonstrate your competence. You should read this section carefully and agree the exact nature of the evidence you will produce and how you will be assessed with your assessor.

After the evidence requirements comes a list of the **knowledge requirements** you need to be able to carry out the tasks listed in the elements to the standard specified. You can sometimes prove that you have knowledge simply by doing something, but not all the knowledge requirements for this qualification can be evidenced in this way.

For example: one knowledge requirement in Management Unit B5, Element B5.2 specifies that you need to know ‘**why the thorough evaluation of proposals for expenditure is essential and your role and responsibilities in relation to this**’.

If you provide a record describing how you evaluate proposals for expenditure (see **What is evidence?**) this will show that you know and understand how to do this. However, your assessor may not be confident that you know why evaluation is important without you providing separate evidence to prove this. In this situation, the best way to prove the why aspect of understanding is for your assessor to ask you some questions about why evaluation of proposals is important. Your assessor’s record of the questions put to you and your answers will be the evidence you need for this part of the knowledge requirement as additional evidence.

The Management units also contain personal competencies which do not have to be evidenced separately. Instead they provide a useful guide to the behaviour associated with competent achievement of the unit.

**What is evidence?**

Evidence is your proof that you meet the requirements of the qualification.

Evidence could be:

- letters, faxes or emails you have prepared and sent to colleagues and students
- schedules and diaries you use to plan your work
- training sessions and materials you have prepared
- statements from witnesses
- records of discussions between yourself and your assessor
- video recordings or records of your assessor observing you carrying out your work
• completed documents you have used during your work
• reports you have written to support your other evidence and relate it to your work role.

Your assessor can also supply evidence (through their records of assessment for example, observations they have carried out and/or your responses to questions they have asked you).

Evidence can be anything that proves:
• what you can do
• how well you do it
• the level of knowledge you have in relation to what you do and
• the level of understanding you have about what you do, how you do it, and why you do it.

For example, evidence that you give contributors to the learning process clear and accurate information about the learning programme, the needs of learners and the planned outcomes (Element L8.1, performance criterion a) could be:
• assessor’s notes from observing you giving information to a contributor to the learning process
• your report on how you manage the contribution of other people to the learning process
• a witness testimony from a contributor to the learning process
• correspondence with a contributor to the learning process
• record of a professional discussion.

You must ensure that you always have the minimum evidence listed in the evidence requirements for each unit.

Statements written by other people are called witness testimonies and they must be signed and dated by the person making the statement.

Your assessor can also provide evidence to prove your skills, knowledge and understanding. Your assessor can do this by observing you carry out your duties in the workplace and writing a report on what they observed. After your assessor has observed you, they will ask you questions to confirm what you know and understand. Your assessor’s report (one piece of evidence) could be enough evidence to fulfil a number of requirements of this qualification.

For each unit of this qualification you need evidence to prove that you:
• can do all the things described in the performance criteria (the lettered items listed for each element) across all the circumstances and situations described
• have provided the evidence described under evidence requirements
• have shown that you have the knowledge requirements specified and

How much evidence do I need?

You do not have to produce a separate piece of evidence for each of the performance criteria and each knowledge requirement. Try to match each piece of evidence to as many performance criteria and knowledge requirements as possible. Minimum requirements for the quantity of evidence you must provide are listed in the section evidence requirements.
What happens to my evidence?

The evidence you provide will be assessed (checked by your assessor or assessors against the unit requirements). Your assessor will want you to continue providing evidence until they are satisfied that there is enough consistent proof that you are competent. To be accepted as proof of your competence, your evidence must:

- come from work you have carried out in a real work situation
- be your own work or relate to you and
- reflect what you can do now, not what you could do a few years ago.

Where do I keep my evidence?

You may decide to keep some of your evidence in a file (a portfolio of evidence) or you may want to record what the evidence is and where it can be found. For example, if you keep records of learner progress on a spreadsheet you may want to print a section from this record as evidence to be stored in your portfolio. However, you may decide to make a note of what records you entered and where they can be found. This is called the signposting of evidence. The important thing to remember about evidence is that it must be available for your assessor to assess and for other people (called internal and external verifiers) to have access to in the future.

Using confidential information

In some situations, the work that you are involved with may include confidential information relating to an organisation or individuals. It may not be appropriate to include this information in your portfolio of evidence.

If the evidence contains, for example, a trainee’s name and address, this information could be removed from the document before it is submitted as evidence. If the evidence takes the form of a document which is reporting on an aspect of an organisation’s business or which contains personal details throughout, you could either:

- signpost the evidence within your portfolio (as long as it would be available for your assessor, internal verifier and external verifier to see) or
- arrange with your assessor to provide an observation report of what they have seen and how it shows that you are competent. This observation report would then form part of the evidence in your portfolio.

Who are internal and external verifiers?

An internal verifier will be employed by your centre to look after this qualification. Internal verifiers make sure that all assessors judge evidence in the same way and to the same standard (this is called internal verification).

The external verifier is employed by OCR to monitor the quality of the assessment and internal verification decisions at a number of centres.
What records must I keep?

It is very important that you record what your assessed evidence is and where it can be found. We have designed an evidence record sheet for you to record your evidence and where it is located. This will allow you, your assessor and the internal and external verifiers to see what performance criteria each piece of evidence refers to. We have provided an evidence record sheet which can be used for each element. In addition we have provided a separate knowledge evidence record sheet which will allow you to record evidence which proves you have the knowledge and understanding for the unit (see recording documents). The recording sheets included in this booklet may be photocopied for recording further evidence. Instructions on how to use these records are included on pages 179 - 180.

Your assessor may give you alternative forms to use. This is acceptable as long as they include all the information needed.

Where do I keep all my records?

You must keep your evidence record sheets and knowledge evidence record sheets (or alternatives that your assessor may give you) together in a file. These sheets form your Cumulative Assessment Record or CAR for short. This is a compulsory requirement of this qualification.

Reminders

When collecting evidence, you should do the following:

1. Start by thinking about what activities you do in your current role and match these to the units of competence specified for your chosen qualification.
2. Identify evidence that you could gather naturally while carrying out your everyday work and cross-reference these to as many performance criteria, knowledge and/or evidence requirements as possible (either within the same unit or across other units). Apply a single piece of evidence to as many units as possible. This is not only economical in terms of collecting evidence, but it also gives a more holistic, or rounded, picture of your competence.
3. Go for quality rather than quantity. Well-chosen pieces of evidence can count for much more than a vast amount of evidence which only loosely applies.
4. Mix the types of evidence you offer. A good mixture containing some observation of practice, some products of your work, some witness reports and so on, leads to a more streamlined, better-balanced approach which is more convincing to your assessor.
5. Choose evidence that reflects your current competence. Evidence can come from things you did in the past but your assessor must be convinced that the evidence you offer reflects your current competence.
6. Do not treat reference materials, such as company policies and training materials, as evidence because they do not demonstrate your competence.
7. You can also use your assessor’s records of your assessment as evidence.
8  **You do not have to keep all evidence in a portfolio.** If you keep evidence somewhere else, for example, in a filing cabinet, or on a computer disk, record what the evidence is and where the evidence is located. The location of evidence needs to be clearly signposted on your evidence record sheets and knowledge evidence record sheets.

9  **The units of competence** do not form part of your evidence. The record sheets will identify which performance criteria and knowledge requirements the evidence refers to. You will probably want to keep the units alongside your evidence but we do not need you to include a copy of the units with your evidence for assessment or verification.

10  Although not compulsory, you may find it useful to include a copy of your curriculum vitae (CV) with your evidence to show your previous qualifications and work history.

11  **Confidential and unavailable evidence.** Your assessor should have access to this type of evidence to assess your competence. However, in some cases your assessor’s description of the evidence they have seen will be more suitable, depending on the type of evidence.

12  **Show your evidence to your assessor regularly.**

**Don’t forget your CAR** (this consists of your evidence record sheets for each element and knowledge evidence record sheet for each unit). Your CAR belongs to you, it gives details of what evidence has been accepted as proof of your competence and where that evidence can be found. It is your record of what evidence has been assessed and signed off by your assessor. Your assessor will help you prepare your CAR (see page 30).

Once your assessor has decided that you have provided enough evidence to prove your competence in all elements within a unit, they will sign the unit off, and you will not need to collect any more evidence for that unit. A unit certificate can be claimed from OCR at this point. You should discuss this with your assessor.

**Personal Competence and the Management Units**

As a Management NVQ unit candidate you will find the Personal Competency Model (PCM) useful for self-assessment. Reflect on the impact of your personal competencies and use this PCM to inform your personal development plans.

**Introduction to the Personal Competency Model (PCM) for Managers**

To be assessed as competent for individual management units, you need the functional (occupational) competence, based on workplace performance and the relevant knowledge and understanding that underpins that performance. Additionally, for the Management NVQs, the necessary personal competencies - skills and attitudes - are required to convince your assessors that you can apply that competence in different situations at work.

The extent to which managers possess these personal competencies can be measured by observing behaviour at work. This model is integrated with the National Occupational Standards in Management to enhance the application of the functional competence.
The Personal Competency Model (PCM) for management highlights ten competencies with a brief descriptor and some sub-divisions:

- Acting assertively
- Acting strategically
- Behaving ethically
- Building teams:
  - Relating to others
  - Managing others
- Communicating
- Focusing on results:
  - Planning and prioritising
  - Striving for excellence
- Influencing others
- Managing self:
  - Controlling emotions and stress
  - Managing personal learning and development
- Searching for information
- Thinking and taking decisions:
  - Analysing
  - Conceptualising
  - Taking decisions

The PCM, which can be applied to the performance of all managers, is a behavioural model in that it describes how managers approach or react to work situations. Identifying behaviour can be a complex area although the expression ‘to behave in a certain way’ is one with which most people will be familiar.

Each NVQ unit or key role demands a different mix of personal competencies. The model describes the essential mix for each qualification, or key role, and each unit provides a list of the appropriate competencies and behaviours.

**Purpose and uses of the PCM**

Each competency is described by a series of behavioural indicators that show how a manager who possesses this competency would be expected to behave. Within each competency, the behavioural indicators become progressively more demanding. It is the appropriate use of behaviour that can raise performance from satisfactory to excellent. The whole model is included on pages 13 to 17.

The PCM framework can be used for reference, diagnosis and development. Managers can use the personal competencies to assess their own behaviour and hence the skills and attitudes underpinning this behaviour. They can identify any areas where they need to develop and plan activities to do so. The assessment strategy for Management NVQs encourages the self-assessment of personal competency.

Approved assessment centres already using the PCM for various behavioural assessment approaches have identified the following major uses of the model. Managers use the PCM as:

- reference document to collect evidence and compile their portfolio
• framework for action (linked with existing organisational competencies) and psychometric testing
• key to management level and as a checklist
• guide to identify learning outcomes
• basis for discussion with adviser/assessor
• benchmarking aid
• self-appraisal instrument.

Additionally the PCM can be employed for:

• 360° analysis of personal competencies
• the analysis of areas for development
• production of personal development plans
• personal target setting, in conjunction with appraisal targets
• underpinning the evidence being produced for portfolios.

Using the PCM as a diagnostic tool

The PCM can be used effectively to assist managers to identify and demonstrate their personal competencies. The behavioural indicators, used in a questionnaire form, help to determine a starting point.

For example

Do you/I… take a leading role in initiating action and making decisions?
Do you/I… take personal responsibility for making things happen?
Do you/I… take control of situations and events?

The same approach can be considered later to identify the changes in behaviour.

Measurement of behaviours is difficult to achieve and traditional assessment of behaviours is open to various interpretations. The aim is to measure how the quality of performance has improved. As long as the same measurement is used at all times for individual managers, there will be consistency in terms of purpose and achievements required.

This means that managers will be able to demonstrate for themselves that their overall effectiveness has improved. This can be highlighted in personal reports and by completing CPD (Continuing Professional Development) logs etc. This will be readily apparent because managers will have:

• actively sought to improve things
• used change as an activity to effect improvements
• sought information from a wide range of sources.

Using the PCM as a development tool

Management trainers and educators can use the personal competencies to describe the outcomes of development programmes. They can prepare activities to develop the skills and encourage the attitudes required.
Managers should regularly review their performance in conjunction with others, especially their line manager and/or mentor as appropriate. It is important that each manager identifies their own need for development within the personal competency framework and devises his or her own approach to further development.

**Using the PCM in the context of Management NVQs**

The assessor (or adviser) will be instrumental in the reflective process for diagnosis of individual strengths and development needs identified by comparison with the PCM. These discussions will help the manager to focus on those personal competencies that will enhance their workplace performance.

**Personal competency model**

<table>
<thead>
<tr>
<th>Competency</th>
<th>Behavioural Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Acting assertively</strong></td>
<td>• Takes a leading role in initiating action and making decision &lt;br&gt;• Takes personal responsibility for making things happen &lt;br&gt;• Takes control of situations and events &lt;br&gt;• Acts in an assured and unhesitating manner when faced with a challenger &lt;br&gt;• Says no to unreasonable requests &lt;br&gt;• States own position and views clearly in conflict situations &lt;br&gt;• Maintains beliefs, commitment and effort in spite of setbacks or opposition</td>
</tr>
<tr>
<td>Managers who act assertively show resilience and determination to succeed in the face of pressure and difficulties</td>
<td></td>
</tr>
<tr>
<td><strong>Acting strategically</strong></td>
<td>• Displays an understanding of how different parts of the organisation and its environment fit together &lt;br&gt;• Works towards a clearly defined vision of the future &lt;br&gt;• Clearly relates goals and actions to the strategic aims of the organisation &lt;br&gt;• Takes opportunities when they arise to achieve the longer-term aims or needs of the organisation</td>
</tr>
<tr>
<td>Managers who act strategically identify the way forward in a complex environment, referring constantly to a longer term vision for the organisation</td>
<td></td>
</tr>
<tr>
<td>Competency</td>
<td>Behavioural Indicators</td>
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<td>--------------------</td>
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</tbody>
</table>
| Behaving Ethically | • Complies with legislation, industry regulation, professional and organisational codes  
• Shows integrity and fairness in decision-making  
• Sets objectives and creates cultures which are ethical  
• Identifies the interests of stakeholders and their implications for the organisation and individuals  
• Clearly identifies and raises ethical concerns relevant to the organisation  
• Works towards resolution of ethical dilemmas based on reasoned approaches  
• Understands and resists personal pressures which encourage non-ethical behaviour  
• Understands and resists apparent pressures from organisational systems to achieve results by any means |
| Building teams     | **Managing Others**  
• Actively builds relationships with others  
• Makes time available to support others  
• Encourages and stimulates others to make the best use of their abilities  
• Evaluates and enhances people’s capability to do their jobs  
• Provides feedback designed to improve people’s future performance  
• Shows respect for the views and actions of others  
• Shows sensitivity to the needs and feelings of others  
• Uses power and authority in a fair and equitable manner  

**Relating to others**  
• Keeps others informed about plans and progress  
• Clearly identifies what is required of others  
• Invites others to contribute to planning and organising work  
• Sets objectives which are both achievable and challenging  
• Checks individuals’ commitment to a specific course of action  
• Uses a variety of techniques to promote morale and productivity  
• Protects the work of others against negative impacts  
• Identifies and resolves causes of conflict or resistance  
• Communicates a vision which generates excitement, enthusiasm and commitment |

Managers who behave ethically identify concerns and resolve complex dilemmas in an open, reasoned manner

Managers who build effective teams encourage team effort, build cohesion and maintain motivation
### Competency: Communicating
Managers who communicate effectively are able to share information, ideas and arguments with a variety of audiences

- Listens actively, asks questions, clarifies points and rephrases others’ statements to check mutual understanding
- Identifies the information needs of listeners
- Adopts communication styles appropriate to listeners and situations, including selecting an appropriate time and place
- Uses a variety of media and communication aids to reinforce points and maintain interest
- Presents difficult ideas and problems in ways that promote understanding
- Confirms listeners’ understanding through questioning and interpretation of non-verbal signals
- Encourages listeners to ask questions or rephrase statements to clarify their understanding
- Modifies communication in response to feedback from listeners

### Competency: Focusing on results
Managers who focus on results are proactive and take responsibility for getting things done

<table>
<thead>
<tr>
<th>Competency</th>
<th>Behavioural Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Planning and prioritising</strong></td>
<td></td>
</tr>
<tr>
<td>- Maintains a focus on objectives</td>
<td></td>
</tr>
<tr>
<td>- Tackles problems or takes advantage of opportunities as they arise</td>
<td></td>
</tr>
<tr>
<td>- Prioritises objectives and schedules work to make best use of time and resources</td>
<td></td>
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<tr>
<td>- Sets objectives in uncertain and complex situations</td>
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<tr>
<td>- Focuses personal attention on specific details that are critical to the success of a key event</td>
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*Striving for excellence*

- Actively seeks to do things better
- Uses change as an opportunity for improvement
- Establishes and communicates high expectations of performance, including setting an example to others
- Sets goals that are demanding of self and others
- Monitors quality of work and progress against plans
- Continually strives to identify and minimise barriers to excellence
<table>
<thead>
<tr>
<th>Competency</th>
<th>Behavioural Indicators</th>
</tr>
</thead>
</table>
| **Influencing others**   | • Develops and uses contacts to trade information and obtain support and resources  
|                          | • Presents oneself positively to others  
|                          | • Creates and prepares strategies for influencing others  
|                          | • Uses a variety of means to influence others  
|                          | • Understands the culture of the organisation and acts to work within it or influence it                                                                 |
| **Managing Self**        | Controlling emotions and stress  
|                          | • Accepts personal comments or criticism without becoming defensive  
|                          | • Remains calm in difficult or uncertain situations  
|                          | • Handles others’ emotions without becoming personally involved in them  
|                          | • Gives a consistent and stable performance  
|                          | Managing personal learning and development  
|                          | • Takes responsibility for meeting own learning and development needs  
|                          | • Seeks feedback on performance to identify strengths and weaknesses  
|                          | • Learns from own mistakes and those of others  
|                          | • Changes behaviour where needed as a result of feedback  
|                          | • Reflects systematically on own performance and modifies behaviour accordingly  
|                          | • Develops self to meet the demands changing situations  
|                          | • Transfers learning from one situation to another  
| **Searching for information** | Establishes information networks to search for and gather relevant information  
|                          | • Actively encourages the free exchange of information  
|                          | • Makes best use of existing sources of information  
|                          | • Seeks information from multiple sources  
|                          | • Challenges the validity and reliability of sources of information  
<p>|                          | • Pushes for concrete information in an ambiguous situation  |</p>
<table>
<thead>
<tr>
<th>Competency</th>
<th>Behavioural Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Thinking and taking decisions</strong></td>
<td><strong>Analysing</strong></td>
</tr>
<tr>
<td>Managers displaying thinking</td>
<td>• Breaks processes down into tasks and activities</td>
</tr>
<tr>
<td>and decision-making skills analyse and</td>
<td>• Identifies a range of elements in and perspectives on a</td>
</tr>
<tr>
<td>make deductions from information in</td>
<td>• Identifies implications, consequences or causal</td>
</tr>
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<td>order to form judgements and take</td>
<td>• Identifies implications, consequences or causal</td>
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<tr>
<td>decisions</td>
<td>relationships in a situation</td>
</tr>
<tr>
<td></td>
<td>• Uses a range of ideas to explain the actions, needs and</td>
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<tr>
<td></td>
<td>motives of others</td>
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<td></td>
<td><strong>Conceptualising</strong></td>
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<tr>
<td></td>
<td>• Uses own experience and evidence from others to identify</td>
</tr>
<tr>
<td></td>
<td>• Identifies patterns or meaning from events and data which</td>
</tr>
<tr>
<td></td>
<td>are not obviously related</td>
</tr>
<tr>
<td></td>
<td>• Builds a total and valid picture from restricted or</td>
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<tr>
<td></td>
<td>incomplete data</td>
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<td></td>
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<tr>
<td></td>
<td><strong>Taking decisions</strong></td>
</tr>
<tr>
<td></td>
<td>• Produces a variety of solutions before taking a decision</td>
</tr>
<tr>
<td></td>
<td>• Balances intuition with logic in decision making</td>
</tr>
<tr>
<td></td>
<td>• Reconciles and makes use of a variety of perspectives</td>
</tr>
<tr>
<td></td>
<td>when making sense of a situation</td>
</tr>
<tr>
<td></td>
<td>• Produces own ideas from experience and practice</td>
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<tr>
<td></td>
<td>• Takes decisions which are realistic for the situation</td>
</tr>
<tr>
<td></td>
<td>• Focuses on facts, problems and solutions when handling an</td>
</tr>
<tr>
<td></td>
<td>emotional situation</td>
</tr>
<tr>
<td></td>
<td>• Takes decision in uncertain situations or bases on</td>
</tr>
<tr>
<td></td>
<td>restricted information when necessary</td>
</tr>
</tbody>
</table>

**Can my evidence count towards Key Skills units?**

The evidence you produce for your qualification may prove you have the skills required for the Key Skills units. Signposting to Key Skills appears in a later section. Further guidance is given on page 45.

**Access to assessment**

We have tried to make sure that no unnecessary restrictions will slow down your progress. You must have the same chances as everyone else to prove your competence and collect evidence. If you need mechanical, electronic or other aids to show your competence, please talk to your
assessor about this. You can use aids as long as they are generally commercially available and it is practical to use them on your employer’s premises.

 Appeals procedure

 We do not think that you will ever have to use our appeals procedure, but if you do, the process is described on page 33 of this booklet.

 We wish you success

 To gain a full NVQ you must collect enough evidence to prove you are competent in the required units. You can then claim a full certificate. If you cannot finish all of the units for the full qualification, you may claim a ‘unit certificate’ which lists the unit or units which have been signed off by your assessor. You may do more than the necessary number of units in which case the additional units will be shown on your unit certificate.

 You cannot fail an NVQ, and we do not grade your results.
 You are either competent or not yet competent.
GUIDANCE FOR CENTRES

Who is this NVQ for?

This is a work-oriented qualification and is suitable for those who have current real work experience. It is open to candidates of any age or gender and there are no entry barriers on grounds such as race, creed or previous academic attainment or learning. Candidates are expected to have a reasonable standard of literacy and numeracy.

The OCR Level 5 NVQ in Learning and Development is designed to reflect the work of those whose learning and development role is at a management and strategic level. It is suitable for candidates who work on the learning needs of an organisation developing strategies and plans to meet these needs and managing the teams/individuals who implement them.

What is its purpose?

The purpose of learning and development is to support learners and provide services and resources to facilitate learning. It is recognised that employment in a learning and development role involves a diverse range of functions, tasks and activities which are constantly developing in light of technological advances and changes in working practices. Learning and development may involve more specialised tasks such as evaluation and the analysis of data or delivery of training using information technology.

It is recognised that individuals and employers must be responsible for gaining the skills needed to meet ever changing business objectives, which will in turn lead to improvement in efficiency and effectiveness throughout organisations.

This qualification assesses a candidate’s competence against the national occupational standards for Learning and Development at Level 5. Candidates must prove they are competent in a wide range of learning and development activities. Candidates must demonstrate that they are evaluating and developing their own practice.

The aim of the overall qualification is to assess the candidate’s ability to manage the learning and development function within an organisation at a strategic level.

Who is involved in the delivery of this qualification?

Assessment centre

Any organisation, whether it is a place of employment, college or private training organisation can be approved to offer this qualification, as long as it meets the criteria set out in the OCR publication ‘National Vocational Qualifications and Other Verified Qualifications - Centre Guidance’ (reference code L526). This includes being able to provide suitable assessors and internal verifiers. For more information on how to become an OCR-approved assessment centre turn to page 33.

Once approved, an assessment centre will register candidates for their qualification and allocate each candidate an assessor or assessors.
**Trainer**

The trainer will develop a candidate’s knowledge, understanding and skills in relation to the qualification that is being undertaken.

Trainers will:

- provide opportunities for learning
- provide ongoing mentoring to the candidate, including review and feedback on learning experiences and development of competence
- provide opportunities for a candidate to practice what they have learnt in a realistic, but safe and protected, working environment or, where this is not appropriate, in a simulated environment.

**Adviser**

Independent assessment for the personal and management units is achieved by allocating an advisor to each candidate whose qualification includes their units. This ensures that:

- the adviser develops a relationship with the management unit candidate and provides support, advice and guidance
- independence is mentioned as the adviser is not part of the assessment (judgement) process but could be part of the training process.

The criteria for appointment advisers are set on pages 37 and 38.

The assessor on the other hand can be much more objective as they have not had the same involvement. The interpersonal skills required of the adviser can be quite different from the assessor’s skills; individuals may adopt both roles but with different candidates.

A minimum of three individuals are required to form the assessment and verification team, (adviser, assessor and internal verifier) at an approved centre. Each should take on a different role for any one candidate for management NVQs. Smaller centres would need to consider networking with other centres and sub-contracting to freelance advisers and (independent) assessors. The model has the additional advantage that there is greater opportunity to develop the individual skills of the assessment and verification team, where perhaps all the team can develop crossover roles.

Attention has been given to the situation where assessors work remotely from the candidate and the cost of additional visits by a separate adviser would be onerous. The development of workplace advisers should be encouraged in these circumstances and will improve the acceptability of the NVQ Processes into the organisation. Alternatively, visiting advisers and assessors could justify the separation of the roles by clearly differentiating the activities.

**Assessor**

The assessor will judge the evidence of a candidate’s performance and knowledge and understanding against the units of competence in order to decide whether the candidate has demonstrated competence. The assessor will have suitable and reliable experience and be trained and qualified as an NVQ assessor. The criteria for appointing assessors are set out on pages 38 to 40. An assessor may be a candidate’s line manager, a tutor at college, or someone specially appointed to this role. Assessments may also be carried out by a team of assessors.
The roles of trainer and assessor are inextricably linked and may be carried out by the same person, however, training activities must be clearly separated from assessment and only **assessed evidence of competence** should be presented as evidence towards the qualification.

**Independent assessor**

The candidate is required to present a substantive primary piece of outcome evidence, which has been assessed by a second assessor who is independent from the candidate. This primary piece of outcome evidence can be for one or more units of competence.

The independent assessor must be a competent job holder who is qualified as an assessor, but will not act as the candidate’s primary assessor. They may be employed by the same assessment centre or by another assessment centre. The independent assessor must not be the internal verifier of the candidate but could also carry out the adviser role for the Personnel or Management units if included.

**Internal verifier**

Each assessor’s work must be checked and confirmed by an **internal verifier** who is also a member of the staff of the assessment centre. The criteria for appointing internal verifiers are set out on pages 41 to 43. The internal verifier checks and standardises assessment decisions made by the assessors in the centre.

**External verifier**

The **external verifier** checks the assessment and internal verification processes and decisions made in the centre and authorises the claims for certificates. The external verifier is appointed by OCR.

**How is this NVQ assessed?**

This qualification is **competence-based**. This means that it is linked to a person’s ability to competently perform a range of tasks connected with their work.

To gain a Learning and Development qualification a candidate must achieve the level of competence described in the units of competence. The units of competence contain the national occupational standards for Learning and Development.

Each unit contains:

- an overview, which describes what the unit is about and the activities the candidate is likely to be involved in
- knowledge requirements, which describe what the candidate must know and understand for each unit (shown as knowledge and understanding in the Management units)
- evidence requirements which describe what type of evidence is needed. **This section is important for assessors as it gives guidance on the minimum evidence needed.**
- key words and concepts (Management units only)
- personal competencies (Management units only).
Each element contains:

- performance criteria (listed within the national occupational standards) against which assessors will assess candidates’ competence
- knowledge requirements (Management units only) that are essential for effective performance
- evidence requirements (Management units only) that specify the minimum evidence required to be judged competent
- examples of evidence (Management units only) that may be used.

The mandatory requirements for each unit of this qualification are as follows:

- each candidate must prove that they are consistently competent in meeting the performance criteria listed for each element
- each candidate must provide evidence which meets the criteria specified under evidence requirements
- each candidate must prove that they have the necessary knowledge while demonstrating competence.

What is the structure of this qualification?

The section NVQ units of competence on pages 53 to 55 outlines the structure of this qualification.

A unit is normally the smallest part of an NVQ that a candidate can get a certificate for.

What if candidates have already achieved units?

If a candidate has achieved any of the units in this award through another awarding body, OCR will accept the unit certificates issued by that body. Candidates should supply their original unit certificates with their portfolio of evidence to claim the full qualification. Only units with the same QCA reference number can be accepted towards their NVQ.

Please note that where a candidate has registered for a qualification, they should not enter with another awarding body for a qualification at the same level with the same title.

Assessment – How does it work?

It is the assessor’s role to satisfy themselves that evidence is available for all the performance criteria, evidence requirements and knowledge and understanding before they can decide that a candidate has finished a unit of competence. Where performance and knowledge requirements allow evidence to be generated by indirect methods, for example by questioning the candidate, assessors must be satisfied that the candidate will be competent under these conditions or in these types of situations in the workplace in the future.

Candidates may claim accreditation of prior achievement for any of the elements or units of competence, as long as the evidence fully meets the criteria and the candidate can prove that it is all their own work. It is important also that assessors are convinced that the competence claimed is still current. If the assessors have some doubts, they should take steps to assess the candidate’s
competence directly. An initial assessment of candidates is recommended (see initial assessment).

When assessors are satisfied that the candidate has met all of the requirements for a unit, they must confirm this by signing the evidence record sheet and knowledge evidence record sheet for that unit to show that the assessment process is complete.

**Independent assessment**

Candidates must present a balance of evidence. They must include a primary piece of outcome evidence which has been assessed by a second assessor who is independent from the candidate. This primary piece of outcome evidence can be for one or more units of competence eg one strategic plan for learning and development for the organisation.

Independence is defined here as a competent job holder who is qualified as an assessor but will not act as the candidate’s primary assessor or internal verifier.

**Initial assessment**

It is important for centres to carry out some form of initial assessment which identifies what competence and knowledge a candidate already has and the gaps which they need to look at. This will help centres to plan the assessment because it allows the assessors to help candidates understand the best place to start collecting evidence. It will also identify units which candidates might have difficulty finishing. It is important at the initial assessment stage to ensure that candidates commence a programme leading to an appropriate qualification at the appropriate level.

**Assessment planning**

Assessors must take responsibility for assessment planning with candidates. This will involve agreeing a number of issues with candidates including:

- finding the best source of evidence to use for particular units
- finding the best way of assessing the candidate and
- confirming the best times, dates and places for the assessments to take place.

Assessors must make a note of their assessment planning and regularly give feedback to candidates.

The standards require evidence of consistent occupational competence as defined by the standards, through relevant work activities. A variety of assessment methods should be used to confirm competence as defined in the standards. Assessment of knowledge should be integrated with the assessment of performance wherever possible and appropriate.

**Making assessment decisions**

It is not important that candidates meet all the criteria every time they carry out an activity but they must consistently provide enough evidence for assessors to believe that the candidate will be competent in their working environment.

In line with the Learning and Development standard A1, assessors should:
Guidance for centres

• assess candidate performance, knowledge and understanding
• look at the evidence and
• question and give feedback to the candidate working towards this qualification.

They should also be satisfied that the candidate has demonstrated competence over a reasonable period of time.

Assessors should be careful to deal with the criteria as a whole when assessing a candidate’s work. They cannot assess individual criteria separately, without recognising how all the criteria are connected to one another.

You can get more information on assessment in our publication, ‘National Vocational Qualifications and Other Verified Qualifications - Centre Guidance’ (reference code L526).

Methods of assessment

It is the assessor’s responsibility to choose the best method (from the preferred list for each unit) of assessing a candidate in relation to their individual circumstances. The methods chosen must be:

• valid
• reliable
• safe and manageable and
• suitable to the needs of the candidate.

Valid

A valid assessment method is one which is capable of measuring the knowledge or skills in question. For example, a written test cannot measure a candidate’s practical skills or their ability to work well with others.

Validity can also be compromised if a candidate does not understand what is required of them. For example, one valid method of assessing a candidate’s knowledge and understanding is to question them. If the questions posed are difficult for the candidate to understand (not in terms of the content but the way they are phrased, for example), the validity of the assessment method is questionable.

As well as assessment methods being valid, the evidence presented must also be valid. For example, it would not be appropriate to present an organisation’s equal opportunities policy as evidence towards Element L1.2, performance criterion g ‘Ensure that the plans clearly promote equal opportunities and good practice in Human Resource development’ as it would not allow valid assessment of that criterion. It would be more appropriate for the candidate and assessor to have a discussion about the policy and for the candidate to explain how it is relevant, illustrated with examples of their compliance to the requirements. This discussion could then be assessed by the assessor and recorded as evidence. Alternatively the candidate could submit an explanatory report.
Reliable

A reliable method of assessment will produce consistent results for different assessors on each assessment occasion. Internal verifiers must make sure that all assessors’ decisions are consistent.

Safe and manageable

Assessors and internal verifiers must make sure that the assessment methods are safe and manageable and do not put unnecessary demands on the candidate and/or the organisation they work for.

Suitable to the needs of the candidate

OCR has tried to make sure that achievement of this qualification is free from constraints outside the requirements of the candidate’s job role.

Assessment arrangements can be changed, where the standards allow. The type of any special arrangement will depend on a candidate’s personal circumstances, their job role, and the requirements of the particular unit (see access to assessment).

If centre staff think that any aspect of this qualification unfairly restricts access and progression, they should talk to their OCR external verifier about this.

OCR has identified the following main assessment methods which are suitable for this qualification:

- **Observation** by an assessor of a candidate doing something
- **Examining the evidence** by an assessor
- **Questioning** the candidate or witness by an assessor.

In some situations, the assessor can speak with the candidate to provide evidence of the candidate’s performance and knowledge (see professional discussion).

Observation

Only approved and qualified assessors (see assessor, adviser and internal verifier requirements) may carry out observations for the assessment of this award. Observations carried out by others should be classed as witness testimonies.

The assessor and candidate should plan observations together but it is the assessor’s responsibility to record the observation properly.

After the observation has taken place, the assessor needs to record an assessment decision and the justification for the decision. The assessor should also give feedback to the candidate.

Examining the evidence

Only approved and qualified assessors (see assessor, adviser and internal verifier requirements) may examine the evidence for the assessment of this award.
Evidence can reflect how the candidate carried out the process or it can be the product of a candidate’s work or a product relating to the candidate’s competence.

For example:
The process that the candidate carries out could be recorded in a case history, personal statement or witness testimony. It is the assessor’s responsibility to make sure that the evidence a candidate submits for assessment meets the requirements of the qualification.

The product of a candidate’s work could be assessment plans or email messages to or from colleagues. Products relating to a candidate’s competence could be minutes of meetings or notes for a presentation.

After the assessor has examined the evidence, the assessor must record an assessment decision and the justification for the decision. The assessor should also give feedback to the candidate.

**Questioning**

Only approved and qualified assessors (see assessor, adviser and internal verifier requirements) may verbally question a candidate or witness for the assessment of this qualification.

Questioning the candidate is normally an ongoing part of the assessment process, and is necessary to:
- test a candidate’s knowledge of facts and procedures
- check if a candidate understands principles and theories and
- collect information on the type and purpose of the processes a candidate has gone through.

Assessors should ask open questions, that is questions where the candidate has to give an answer other than ‘yes’ or ‘no’. You should be careful to avoid complicated questions which may confuse the candidate.

It is important that assessors record assessment decisions after they have questioned the candidate. They must record enough information to justify the decisions they make. This does not mean that assessors must record, word for word, the questions put to the candidate and the answers the candidate gives. However, assessors must record enough information about what they asked and how the candidate replied to allow the assessment to be verified.

Questioning witnesses is normally an ongoing part of validating written witness statements. However, questioning witnesses should not just be used for this purpose. Assessors should be able to speak to witnesses such as managers or supervisors and record, in whatever way is suitable, the verbal statements of these witnesses. A record of verbal statement is a form of witness statement and could provide valuable evidence to confirm a candidate’s competence over a period of time.

All evidence must be derived from performance within the workplace, with the exception of: Unit L8, Element 3, performance criterion e for which the preferred form of assessment is assessor questioning using hypothetical context.

**Professional discussion** is a discussion between a candidate and an assessor. The discussion focuses on one or more case histories. The assessor asks the candidate a series of questions about
the case histories and records the discussion (in writing, on audio tape, or on video tape). The assessor will need the candidate to prove how they are able to confirm their verbal testimony (and case history) in other ways, for example, product evidence and witness testimonies.

**Witness testimonies** can be used as evidence of a candidate’s performance. Such testimonies could be made verbally to the assessor or could be written in a short note.

If a witness provides a written statement they should include the following:

- the candidate’s name
- the date, time and venue of the activity carried out
- a description of the activities performed by the candidate
- the date of writing the testimony
- a description of their relationship to the candidate
- their signature and job title
- their contact details (such as telephone number).

It is not appropriate for witness testimonies to contain a list of the performance criteria to which it relates. Witnesses must direct the information in their testimonies to describing what the candidate did. The assessor will then judge whether the candidate’s activities demonstrate competence to the standards.

**Personal statements** are a candidate’s own account of what they did, backed up by reference to evidence or witnesses. Candidates can also produce logs or diaries, but these must be countersigned by someone who can authenticate them as a true account of what took place.

**Recording assessment**

All assessed evidence must be recorded (if possible by the candidate) in the CAR (see cumulative assessment record). We have provided evidence record sheets and knowledge record sheets in this booklet for candidates to record their evidence. When evidence is recorded on the evidence record sheets and the knowledge evidence record sheets, assessors must identify the method they have used to assess the evidence presented (see recording the method of assessment). OCR external verifiers will look for this information when verifying the qualification.

It is not acceptable for the evidence record sheets and knowledge evidence record sheets to act as the only assessment records. There must be centre records which describe the assessment decision made by the assessor based on how the evidence from the candidate meets the performance criteria, evidence requirements and knowledge and understanding specifications (see centre records).
Recording the method of assessment

The evidence record sheets and knowledge evidence record sheets in this booklet include a box to record the method of assessment in, next to the evidence the candidate has submitted. The following list shows the individual codes you should use when filling in these record sheets:

<table>
<thead>
<tr>
<th>Method of assessment used</th>
<th>Code to be inserted on record sheets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observing the candidate by the assessor</td>
<td>O</td>
</tr>
<tr>
<td>Examining the evidence by the assessor:</td>
<td></td>
</tr>
<tr>
<td>Examining the product</td>
<td>EP</td>
</tr>
<tr>
<td>Examining the witness testimony</td>
<td>EWT</td>
</tr>
<tr>
<td>Examining the case history</td>
<td>ECH</td>
</tr>
<tr>
<td>Examining the personal statement</td>
<td>EPS</td>
</tr>
<tr>
<td>Examining the written answers to questions</td>
<td>EWA</td>
</tr>
<tr>
<td>Questioning the candidate or witness by the assessor:</td>
<td></td>
</tr>
<tr>
<td>Questioning the candidate</td>
<td>QC</td>
</tr>
<tr>
<td>Questioning the witness</td>
<td>QW</td>
</tr>
<tr>
<td>Professional discussion</td>
<td>PD</td>
</tr>
</tbody>
</table>

If a piece of evidence has been independently assessed, please add (I) after the evidence title.

You can find help on filling in the evidence record sheets and knowledge evidence record sheets on pages 179 and 180 of this booklet.

Performance evidence

Performance evidence provides proof of what a candidate can do. Sometimes, performance evidence can also provide evidence of what a candidate knows. Performance evidence can take the form of the following:

- products or outcomes of the candidate’s work (such as, things that the candidate produced or worked on). The evidence presented for assessment may be the actual product or a record or photograph of the product. If group work is used as evidence, the candidate’s contribution must be identified clearly. Other products (for example, evaluation of a training session) may have been produced by someone else but relate to the candidate and their competence
- proof of the way the candidate carried out their work (that is, the process they went through). An assessor’s observation of a candidate or a witness’s testimony both provide performance evidence and would be suitable for this qualification.

It is important that candidates provide performance evidence for each unit as specified in the evidence requirements.
Where does evidence come from?

Evidence may come from a number of different sources, for example:

- performance evidence may come from a candidate carrying out workplace activities and
- knowledge evidence may come from a candidate carrying out workplace activities or from the candidate answering the assessor’s questions.

**Important**: Real work

All performance evidence must come from real work.

Real work is not where performance evidence is produced by assignments set by tutors or trainers for units or elements in a controlled classroom situation.

**Important**: Simulation

Simulation is not allowed for this qualification.

What medium can be used?

Evidence can take many forms, for example, photographs, videos, audio tapes, CD-ROMs, floppy disks and paper-based documents.

How much evidence is needed?

It is difficult to give a detailed answer to this question as it depends on the type of evidence collected and the judgement of assessors. The main principles, however, are as follows:

For a candidate to be judged competent in a unit, the evidence presented must satisfy:

- all the performance criteria in each element listed in the national occupational standards
- all the knowledge requirements
- all the evidence requirements

The quality and breadth of evidence provided should determine whether an assessor is confident that a candidate is competent or not. Assessors must be convinced that candidates working on their own can work independently to the required standard.

OCR may accept some evidence from candidates who have been assessed in a language other than English or Welsh as long as there is enough evidence to show that candidates are competent in English or Welsh, or both, to the standard required for competent performance throughout the UK.
**Cumulative assessment record (CAR)**

As well as collecting evidence, candidates must record all their assessed evidence in their personal cumulative assessment record (CAR). The CAR is the candidate’s record of what evidence has been accepted as proof of competence and where that evidence can be found. It can also be used to record progress towards, and achievement of, elements and units of competence.

To build a CAR a candidate will need to fill in an evidence record sheet and a knowledge evidence record sheet for each unit.

Filling in the CAR is an ongoing process involving discussion and agreement between the candidate and their assessor. The candidate should fill in and keep the CAR while working towards their qualification.

Centres can design their own recording documents if they want. You should talk about any document you want to use with your external verifier before you use them. OCR’s publication ‘National Vocational Qualifications and Other Verified Qualifications - Centre Guidance’ (reference code L526) includes information and criteria for designing recording documents.

We have provided other forms and recording documents that assessors and candidates might want to use for this qualification (see recording documents).

**Verification – How does it work?**

**Internal verification**

It is the centre’s responsibility to appoint an internal verifier to manage the internal verification process. The purpose of internal verification is to make sure and show that assessment is valid and consistent, through monitoring and sampling assessment decisions.

The role of the internal verifier is more fully explained in ‘National Vocational Qualifications and Other Verified Qualifications - Centre Guidance’.

**External verification**

We will appoint and train an external verifier who will visit the centre regularly to monitor the quality of assessments and internal verification.

External verifiers will want to interview candidates and assessors during their visits. Assessment records and evidence for all candidates must also be available for verifiers to see if they ask to. It is the assessor’s (and not the internal or external verifiers’) responsibility to ‘sign off’ each element and unit of competence.

Centres should have the following available for each external verification visit:

- a list of candidates registered for this qualification, together with their achievements to date plus certification records
• access to evidence (for example, up-to-date portfolios) and CARs
• completed certification record forms (CRFs) and certification summary forms (UB99s) for those candidates claiming certification
• relevant assessors and selected candidates as requested by the external verifier (EV), including those whose certificates have been claimed through direct claims status (DCS)
• all portfolios (access to evidence) relating to certificates claimed through DCS
• a copy of the external verifier’s last visit report
• a sample signature list for all assessors and internal verifiers
• curricula vitae and relevant certificates of new members of the assessment team
• all centre records (see centre records – assessment and verification for more details)
• evidence of achieving action points since the last external verifier visit and systems audit report
• notes of any action carried out due to particular points mentioned by the systems auditor or external verifier in any correspondence since their last visit
• tutor qualification candidate matrix
• recommendations to the external verifier
• if professional discussion is used ensure all tapes and appropriate equipment (eg, video recorders) are available.

Centre records – assessment and verification

A centre must make sure that assessment and verification records are available for external verification purposes. Assessment and/or internal verification records must record the following minimum information:
• candidate’s name
• title and level of qualification they are taking
• candidate’s start date on the programme and confirmation of registration with OCR
• name of the assessor
• name of the internal verifier
• date and outcome of the initial assessment of the candidate
• dates and details of candidate reviews and feedback sessions
• dates of all assessments and their outcomes (that is, the decision whether the candidate has met the requirements or not) cross referenced to the element/unit
• enough detail of the assessment to justify the decision made
• dates and outcomes of internal verification
• action resulting from internal verification
• certification.

Records should show formative assessment decisions (ongoing decision-making), summative assessment decisions and feedback to the candidate.

Certification

Claiming certificates

The internal verifier must fill in a Certification Record Form (CRF) when a candidate has finished as much of the award as they want at that time.
• You can only submit a claim for certification when the candidate has finished the unit and the candidate’s assessor has accepted and signed off the unit.

• Where a candidate has special assessment needs and is only able to achieve selected elements within a unit, the centre can ask for element certification. Candidates must show they have fulfilled the knowledge requirements for the unit, and the performance evidence requirements for the element, to be able to achieve an element certificate. This can be requested from Operations, OCR, Coventry Office, Westwood Way, Coventry, CV4 8JQ.

If the candidate is claiming the full qualification, then we will issue two certificates:

• a certificate listing the units and

• a certificate giving the full qualification title:

OCR Level 5 NVQ in Learning and Development

Candidates achieving one or more units of competence but who do not meet the requirements for a full certificate, will receive a certificate listing the units they have achieved.

**Important: Ten-week rule**

Candidates must be registered with us for this NVQ for at least ten weeks before they claim for certification for a full award.

**Key Skills units**

This NVQ has been signposted to Key Skills 2000 specifications, which are available as individual units. Signposting has been provided in the section entitled **Key Skills signposting** and is designed to help candidates to identify opportunities to:

• develop Key Skills within the context of developing occupational competence

• collect evidence of achievement of Key Skills along with evidence for the qualification being assessed.

Further guidance on the signposting to Key Skills is provided on page 45.

Individual Key Skills units are available in the following six areas:

• Communication
• Application of Number
• Information Technology
• Personal Skills - Working with Others
• Personal Skills - Improving Own Learning and Performance
• Problem Solving.

For more information on Key Skills contact the OCR Information Bureau on (024) 7685 1509, email cib@ocr.org.uk

(Please note that as part of our quality assurance programme, your call may be recorded or monitored for training purposes.)
Access to assessment

OCR aims to make sure that all candidates are given equal opportunity to demonstrate their attainment. This qualification accredits competence against specified criteria. All of these criteria must be met by all candidates independently and may not be reworded or omitted in any circumstances.

However, candidates may use mechanical, electronic and other aids in order to demonstrate competence so long as the aids are generally commercially available and can feasibly be used on employer’s premises. OCR’s publication ‘Access to Vocational Assessment’ (reference code L16) provides further advice on assessment arrangements for candidates with special needs.

Appeals procedure

In exceptional circumstances, if a centre disagrees with a decision made by an OCR external verifier, systems auditor or evaluator the centre has the right to appeal.

Equally, if a candidate disagrees with the assessment decision, the candidate has the right to appeal.

You can get more information on the OCR Appeals Procedure in our publication ‘National Vocational Qualifications and Other Verified Qualifications – Centre Guidance’ (reference code L526). This publication is also available on the OCR website www.ocr.org.uk

Centre approval

To seek approval to offer this qualification, centres must obtain and complete an application form. Centres who are new to OCR must complete an ‘Application for Approval as an OCR Centre for N/VQs (VQ1)’. Centres who already offer NVQs with OCR must complete an ‘Application for Approval to Run Additional N/VQs (VQ1a)’.

These forms are available from Operations, OCR, Coventry Office, Westwood Way, Coventry, CV4 8JQ - Telephone (024) 7685 1509 Fax (024) 7646 8080

Once the application and supporting documentation has been submitted to OCR, the centre can expect to be contacted with a view to setting up an evaluation visit.

Before submitting the application form, centres are advised to read the OCR booklet ‘National Vocational Qualifications and Other Verified Qualifications - Centre Guidance’ for more details on all aspects covered in this introduction, including full details of the approval process and criteria.
OCR's advisory service

Centres considering seeking approval to offer this qualification (or any other qualification we offer) might be interested to know that OCR staff are available to help with any aspect of setting up an assessment centre. Through an advisory telephone call or visit centres can benefit from experience gained in existing centres. Many centres ask for help in the following areas:

- identifying potential candidates and marketing opportunities
- meeting OCR requirements
- identifying resourcing levels both in terms of staff and equipment
- the documents needed, both for the benefit of future candidates and to ensure a smooth-running operation
- help in filling in centre approval forms (VQ1).

More information on our advisory service can be requested from the OCR Information Bureau, OCR, Coventry Office, Westwood Way, Coventry, CV4 8JQ Telephone (024) 7685 1509 or email cib@ocr.org.uk

(Please note that as part of our quality assurance programme, your call may be recorded or monitored for training purposes.)

Customer feedback

We welcome feedback from customers on all aspects of our provision. Comments relating to this documentation should be sent to:

The Professional Officer
(Learning and Development)
NVQ Processes
OCR
Coventry Office
Westwood Way
Coventry
CV4 8JQ
OTHER RELATED OCR QUALIFICATIONS

OCR offers a wide range of qualifications relevant to those working, or preparing to work, in the learning and development field, including:

**OCR Level 3 Award in Assessing Candidates Using a Range of Methods (3435)**
**OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process (3439)**

These qualifications are designed for those who wish to develop knowledge and skills in the areas of learning and development and are widely recognised by employers.

Candidates working in further education may also be interested in the FENTO-endorsed qualifications that OCR offers. These qualifications lead to recognised further education tutor status.
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## ASSESSOR, ADVISER AND INTERNAL VERIFIER REQUIREMENTS

### Important: Assessor, adviser and internal verifier requirements

The following table indicates the roles that are required for each type of unit within this qualification.

<table>
<thead>
<tr>
<th>Role</th>
<th>Learning and Development units L &amp; G</th>
<th>Personnel units</th>
<th>Management units</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trainer</td>
<td>Optional</td>
<td>Optional</td>
<td>Optional</td>
<td>May also carry out one other role</td>
</tr>
<tr>
<td>Adviser</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>May also carry out Trainer or Independent Assessor role</td>
</tr>
<tr>
<td>Assessor</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Must carry out this role only</td>
</tr>
<tr>
<td>Independent Assessor</td>
<td>Required</td>
<td></td>
<td></td>
<td>May also carry out Trainer or Adviser role but must not be primary Assessor or IV</td>
</tr>
<tr>
<td>Internal Verifier</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Must not carry out other roles relating to any one candidate assessment</td>
</tr>
</tbody>
</table>

### Advisers

Advisers are required wherever a candidate is working towards a Personnel or Management unit.

All advisers must have at least two years’ relevant and credible occupational experience across the level and breadth of National Occupational Standards in Personnel. Advisers should have occupational competence to at least the level in which they are advising.

### Advisers - Personnel ‘P’ units

Advisers should hold or be working towards an appropriate Adviser Award. For example, one of the following Learning and Development Units

- L15: Support and advise individual learners
- L20: Support competence achieved in the workplace

Other Learning and Development Units which would be useful for advisers include

- A1: Assess candidates using a range of methods
- L14: Support learners by mentoring in the workplace
- L16: Monitor and review progress with learners

Advisers may have other qualifications with similar outcomes.
Advisers - Management units

The role of an adviser is crucial to the development of any manager because an adviser tends to be much more involved with the progress and development of the management candidate. The key activity will be at the assessment planning stage. Advising is about a relationship developing with the management candidate. The adviser will enable the candidate to identify their current level of performance, the gaps in that performance which must be filled through learning and development and the appropriate routes. They may also carry out workplace observations.

<table>
<thead>
<tr>
<th>Occupational Competence</th>
<th>Evidence Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advisers must have:</td>
<td>Competence might be indicated by:</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>- explanation and putting the National Occupational Standards for Management in the appropriate context</td>
</tr>
<tr>
<td></td>
<td>- a qualification in support of a management job at the appropriate level/specialism</td>
</tr>
<tr>
<td></td>
<td>- training, development and experience as an adviser and/or assessor in the relevant managerial area</td>
</tr>
<tr>
<td>2</td>
<td>- a CPD type portfolio or updated development programme</td>
</tr>
<tr>
<td></td>
<td>- D11 ‘Monitor and Review Progress with Learners’ or be working towards it</td>
</tr>
<tr>
<td></td>
<td>- D32, D33, D36 units gained through the advising, and/or assessment of Management candidates</td>
</tr>
<tr>
<td>3</td>
<td>- current (2 years within the last five years) managerial experience appropriate to the level(s), key roles and individual role concerned</td>
</tr>
<tr>
<td></td>
<td>- a history of progressive industrial/commercial experience in the last 5 years</td>
</tr>
<tr>
<td>4</td>
<td>- the development of managers appropriate to the level and/or specialism concerned</td>
</tr>
<tr>
<td></td>
<td>- effective two-way communication</td>
</tr>
<tr>
<td>5</td>
<td>- training, development and two years’ practice in assessment processes and techniques for managers</td>
</tr>
<tr>
<td></td>
<td>- current research to identify changing management practices</td>
</tr>
<tr>
<td>6</td>
<td>- a thorough understanding of the National Occupational Standards for Management, with the ability to interpret them across a wide variety of management operational environments and sectors</td>
</tr>
<tr>
<td></td>
<td>- knowledge of current management practice and emerging issues in the NVQ area</td>
</tr>
<tr>
<td></td>
<td>- experience and a working knowledge of the operational and assessment processes for Management NVQs</td>
</tr>
<tr>
<td></td>
<td>- relevant and credible occupational management experience across the level and breadth of National Occupational Standards for Management against which they are working</td>
</tr>
<tr>
<td></td>
<td>- well-developed interpersonal skills - particularly spoken and written communication skills</td>
</tr>
<tr>
<td></td>
<td>- a commitment to the philosophy of competence-based management development</td>
</tr>
</tbody>
</table>
Assessor and internal verifier requirements

Assessors

All assessors selected by centres must have sufficient occupational competence to ensure an up-to-date working knowledge and experience of the principles and practices specified in the standards they are assessing.

Assessors - L and G units

All assessors will have a sound working knowledge of the content of the standards they are assessing and their assessment requirements. All assessors will either hold the assessor units D32 and D33 or A1 or, have a development plan indicating their progress towards them.

Sufficient occupational competence is defined as:

- having held a post for a minimum of one year within the last two years, which involved performing the activities defined in the standards as an experienced practitioner;
  or
- being an experienced trainer or instructor of at least one year’s standing in the competence area of the standards;

and for both of the above:

- having demonstrated updating within the last year involving at least two of the following activities:
  ◊ work placement
  ◊ job shadowing
  ◊ technical skill update training
  ◊ attending courses
  ◊ studying for learning and development units
  ◊ study related to job role
  ◊ collaborative working with Awarding Bodies
  ◊ examining
  ◊ qualifications development work
  ◊ other appropriate occupational activity as agreed with the internal verifier.

Assessors - Management units

<table>
<thead>
<tr>
<th>Occupational Competence Assessors must have:</th>
<th>Evidence Indicators Competence might be indicated by:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 a thorough understanding of the National Occupational Standards for Management, with the ability to interpret them across a wide variety of management operational environments and sectors</td>
<td>- explanation and putting the National Occupational Standards for Management in the appropriate context</td>
</tr>
<tr>
<td>2 knowledge of current management practice and emerging issues in the NVQ area</td>
<td>- a qualification in support of a management job at the appropriate level/specialism</td>
</tr>
</tbody>
</table>

- training, development and experience as an adviser and/or assessor in the relevant managerial area |
### Assessor and internal verifier requirements

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assessor and internal verifier requirements</strong></td>
<td><strong>3</strong> experience and a working knowledge of the operational and assessment processes for Management NVQs</td>
</tr>
<tr>
<td></td>
<td>- a CPD type portfolio or updated development programme</td>
</tr>
<tr>
<td></td>
<td>- at least 2 years’ experience and working knowledge</td>
</tr>
<tr>
<td></td>
<td>- fully assessed at least one management qualification (or its equivalent in units) within the first year in role</td>
</tr>
<tr>
<td></td>
<td>- fully assessed at least three management qualifications (or equivalent in units) within the first two years in role</td>
</tr>
<tr>
<td></td>
<td>- recent (within 2 years) assessment evidence</td>
</tr>
<tr>
<td><strong>4</strong> relevant and credible occupational management experience across the level and breadth of National Occupational Standards for Management against which they are working</td>
<td>- current (2 years within the last five years) managerial experience appropriate to the level(s), key roles and individual role concerned</td>
</tr>
<tr>
<td></td>
<td>- a history of progressive industrial/commercial experience</td>
</tr>
<tr>
<td></td>
<td>- development of managers appropriate to the level and/or specialism concerned</td>
</tr>
<tr>
<td><strong>5</strong> D32 and/or D33, or evidence of working towards them. In England and Wales assessors should achieve D Units within 18 months of beginning assessment</td>
<td>- D32, D33 units or evidence of working towards them in an agreed timeframe</td>
</tr>
<tr>
<td><strong>6</strong> well-developed interpersonal skills - particularly spoken and written communication skills</td>
<td>- provision of positive feedback leading to development of others</td>
</tr>
<tr>
<td></td>
<td>- ability to probe and elicit information</td>
</tr>
<tr>
<td><strong>7</strong> a commitment to the philosophy of competence-based management development</td>
<td>- training, development and two years’ practice in assessment processes and techniques for managers</td>
</tr>
<tr>
<td></td>
<td>- current research to identify changing management practices</td>
</tr>
</tbody>
</table>

**Assessors - Personnel ‘P’ units**

All assessors must have at least two years relevant and credible occupational experience across the level and breadth of National Occupational Standards in Personnel. Assessors should have occupational competence to at least the level in which they are assessing.

In addition assessors must have knowledge and understanding of Personnel normally demonstrated by qualifications at least to the level they are assessing.

All assessors will either hold the relevant qualifications for Assessors of National Occupational Standards or must achieve the appropriate assessor award within twelve months of access to assessment opportunities. The work of all trainee assessors must be supervised and countersigned by an occupationally competent qualified assessor who is uninvolved with any assessment or verification process related to the assessor-candidate.
**Internal verifiers**

All internal verifiers will have sufficient experience of having conducted assessments of the specific national occupational standards they are verifying or in an appropriate and related occupational area.

**Internal verifiers - L and G units**

All internal verifiers will have direct responsibility and quality control of assessments of the occupational standards or the quality assurance of the assessment process within an assessment centre, which has been approved by an awarding body.

All internal verifiers will have sound working knowledge of assessment and verification principles as defined in the national standards for internal quality assurance and the particular internal verification requirements. All internal verifiers must either hold the relevant qualification for internal verifiers of national occupational standards (D34 or V1) or, have a development plan indicating their progress towards the qualification.

Sufficient occupational competence is defined as:

- having been an assessor for the standards being assessed, or for a set of standards in a related occupational area, for a minimum of one year within the last two years;
  
  **and**

- having demonstrated updating within the last year involving at least two of the following activities:
  - attending awarding body verification training courses
  - studying for learning and development units
  - study related to job role
  - collaborative working with awarding bodies
  - qualifications development work
  - other appropriate occupational activity as agreed with the external verifier.

**Internal verifiers - Management units**

Internal verifiers will have to include advisers as part of the assessment team for verification purposes.

<table>
<thead>
<tr>
<th>Occupational Competence</th>
<th>Evidence Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Internal Verifiers must have:</strong></td>
<td><strong>Competence might be indicated by:</strong></td>
</tr>
<tr>
<td>1 a thorough understanding of the National Occupational Standards for Management, with the ability to interpret them across a wide variety of management operational environments and sectors</td>
<td>- explanation and putting the National Occupational Standards for Management in the appropriate context</td>
</tr>
</tbody>
</table>
| 2 knowledge of current management practice and emerging issues in the NVQ area | - a qualification in support of a management job at the appropriate level/specialism  
- Management NVQ and/or other management (or related) qualification appropriate to the level of award |
<table>
<thead>
<tr>
<th>Requirement</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 experience and a working knowledge of the operational and assessment</td>
<td>- training, development and experience as an adviser and/or assessor in the relevant managerial area</td>
</tr>
<tr>
<td>processes for Management NVQs</td>
<td>- a CPD type portfolio or updated development programme</td>
</tr>
<tr>
<td></td>
<td>- at least two years’ experience and working knowledge</td>
</tr>
<tr>
<td></td>
<td>- demonstrating understanding of the organisation’s management centre policies and procedures</td>
</tr>
<tr>
<td></td>
<td>- demonstrating knowledge and understanding of OCR, accrediting body etc procedures, criteria, outcomes and expectations</td>
</tr>
<tr>
<td></td>
<td>- practice, understanding and knowledge of auditing and its requirements</td>
</tr>
<tr>
<td></td>
<td>- practice, understanding and knowledge of quality management systems and procedures</td>
</tr>
<tr>
<td></td>
<td>- at least two years managerial NVQ assessment experience</td>
</tr>
<tr>
<td></td>
<td>- D32/33 units before becoming an IV</td>
</tr>
<tr>
<td>4 relevant and credible occupational management experience across the level</td>
<td>- current (2 years within the last five years) managerial experience appropriate to the level(s), key roles and individual role concerned</td>
</tr>
<tr>
<td>and breadth of National Occupational Standards for Management against which</td>
<td>- a history of progressive industrial/commercial experience</td>
</tr>
<tr>
<td>they are working</td>
<td>- a Management NVQ/SVQ and/or other management (or related) qualification appropriate to the level of award</td>
</tr>
<tr>
<td>5 D34 or evidence of working towards it. It is recommended that IVs also</td>
<td>- D34 unit or working towards in an agreed timeframe</td>
</tr>
<tr>
<td>hold D32 and/or D33. New IVs in England and Wales should have an action</td>
<td></td>
</tr>
<tr>
<td>plan for achieving D34 within 18 months of beginning internal verification</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>6 well-developed interpersonal skills - particularly spoken and written</td>
<td>- practice in the training and development of others</td>
</tr>
<tr>
<td>communication skills</td>
<td>- high level interpersonal skills, especially in evaluation, review and feedback to others</td>
</tr>
<tr>
<td></td>
<td>- a qualification in advising, counselling or training and development</td>
</tr>
<tr>
<td></td>
<td>- effective two-way communication</td>
</tr>
</tbody>
</table>
7 a commitment to the philosophy of competence-based management development

- the development of managers appropriate to the level and/or specialism concerned
- training, development and two years’ practice in assessment processes and techniques for managers
- current research to identify changing management practices
- at least two years’ managerial NVQ assessment experience
- practice in the training and development of others
- carrying out, or contributing to, research into management practices to identify changes and developments

Internal verifiers - Personnel units

All internal verifiers must have at least two years relevant and credible occupational experience across the level and breadth of National Occupational Standards in Personnel. Internal verifiers should have occupational competence to at least the level in which they are verifying.

In addition internal verifiers must have knowledge and understanding of Personnel normally demonstrated by qualifications at least to the level they are verifying.

All internal verifiers will either hold the relevant qualifications for assessors and internal verifiers of National Occupational Standards or must achieve the appropriate Awards within twelve months of access to verification opportunities. The work of all trainee internal verifiers must be supervised and countersigned by an occupationally competent qualified internal verifier who is uninvolved with any assessment or verification process related to the verifier-candidate.

Without a suitably qualified internal verifier, the approved assessment centre cannot submit claims for certification to OCR. (See OCR’s ‘National Vocational Qualifications and Other Verified Qualifications - Centre Guidance’, reference code I.526.)
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KEY SKILLS SIGNPOSTING

Some candidates may want to put forward evidence from their qualification towards their achievement of Key Skills units. To show where evidence from their qualification may also provide evidence opportunities for Key Skills, the Employment NTO has provided OCR with details of their signposting of the national occupational standards to the Key Skills 2000 specifications.

Signposting can only identify the possibility that a piece of evidence put forward for an NVQ unit may also meet the requirements of Key Skills. Each piece of evidence must be assessed against the Key Skills specifications to see if it is suitable.

For the Learning and Development standards, the Key Skills are signposted at unit level. A table is provided to identify which of the Key Skills are likely to be evidenced by evidence from the Learning and Development units.

**Getting the evidence right**

Candidates and assessors should check carefully the specific assessment requirements of the Key Skills, as they may encounter situations where they differ from that of the Learning and Development unit. A signposted opportunity should not be taken to guarantee that the form of evidence will necessarily satisfy both sets of standards.

<table>
<thead>
<tr>
<th>Unit No</th>
<th>Communication</th>
<th>Application of Number</th>
<th>Information Technology</th>
<th>Working with Others</th>
<th>Improving Own Learning &amp; Performance</th>
<th>Problem Solving</th>
<th>Personal Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>L1</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>L2</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>3</td>
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<td>5</td>
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<tr>
<td>L4</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>5</td>
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<td>L8</td>
<td>4</td>
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<td>2</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>L17</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>L18</td>
<td>3</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>P8</td>
<td>4</td>
<td>2</td>
<td>2</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>5</td>
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<td>P13</td>
<td>4</td>
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<td>G2</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>G3</td>
<td>3</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>4</td>
</tr>
</tbody>
</table>
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GLOSSARY OF TERMS

Action plan

An agreed set of learning and training activities for an individual candidate based on a review of the requirements of the standards contained within a recognised award. It should contain a structured programme of learning experiences within an agreed time frame.

Assessment plan

A detailed statement of how and when specific outcomes in the standards will be assessed and by which method(s). It must also provide a clear set of actions to be carried out by the candidate, the assessor(s) and any others involved in the process with a timescale attached to each activity. This will be agreed between the candidates and one or more assessor. It may also indicate how other people such as supervisors, college tutors and others may contribute to the assessment process.

Assessment record

A record of which outcomes have been assessed with an indication of the success or otherwise of the outcome. The record must provide details of the candidate and the assessor and the outcomes assessed by which method. The record may be a standardised pro-forma issued by an awarding body, an internal record devised by an organisation or an individual assessors record system.

Element/component of an award

A discrete assessable outcome, or group of outcomes, drawn from a set of national standards within the national qualifications framework. In NVQs and SVQs this is usually a unit of competence. It must represent a substantive outcome rather than a set of sub-activities and relate to a primary function within the qualification.

Endorsed assessment plan

A candidate assessment plan which has been counter-signed and approved by a recognised assessor. The endorsement can relate to both the initial agreed plan and to all/any subsequent modifications to the plan in the light of progress and assessment activities. There should be a clear indication of how and why the original plan has been altered and a new set of agreed actions with timescale produced.

External audit and sampling

An agreed set of activities by which internal assessment decisions are monitored, and checked for intra-assessor and extra-assessor accuracy and consistency. It also includes the review of internal standardisation processes to ensure the quality of assessment decisions and the support provided to assessors and others. It is normally a formalised process defined by an awarding body recognised by the Regulatory Authorities or other appropriate agency. It will contain procedures for identifying the frequency, level and coverage of the sampling of assessment decisions within and between recognised centres.
Internal quality assurance and standardisation of assessment

An agreed set of activities by which internal assessment decisions by different assessors are monitored and reviewed. This includes specific arrangements for ensuring the selection of suitable assessors, their induction and training in relation to specific standards and their use of appropriate assessment methods which are valid in relation to the standards being assessed. It will also include specific arrangements for the standardisation of assessment decisions between different assessors and monitoring the consistency of a single assessor’s judgements over time and with a number of candidates (if appropriate). The overall quality assurance system must be endorsed by the organisation and be acceptable to the body responsible for external quality assurance of the assessment process.

Professional discussion

A structured review of practice conducted between an assessor or verifier and a person making a judgement on their competence which identifies and explores key aspects of competence not readily manifested by product evidence. The specific areas of activity to be explored must be clearly identified and agreed in advance as must the methods by which the discussion will be conducted. This could be via a presentation followed by questioning, ‘what if’ questioning to cover contingencies or the use of scenarios to explore practice (or other forms of mutually agreed processes). The common evidence requirements clearly state which aspects of competence are to be covered by each professional discussion and these must form the basis of the exchange. The purpose of the discussion is to probe the level of competence of the individual and to be certain that their actions are based on a firm understanding of principles which support practice. Thus the questioning will normally centre on the reasons for selecting specific actions, the alternatives considered and the factors taken into consideration as well as an evaluation of successes and failures and learning points for the future. The outcomes of the professional discussion should be captured by means of audio/video-tape, written summaries and evidence of structured questioning (eg question checklist or structured interview schedule).

Progress reviews

Formal or semi-formal meetings between assessors and candidates to identify progress within an agreed action plan and achievements against an agreed assessment plan. They should identify areas of success and identify where additional learning and training opportunities are needed, and how they will be provided by whom and when. They also provide opportunities to identify the next stages in the assessment process and the re-development of an assessment plan for the completion of the qualification.

Sampling framework/strategy

The methods to be used by external verifiers to monitor the quality of assessment decisions and internal quality assurance within a recognised centre using agreed procedures set down by an external awarding body. It will provide details of the level, nature and frequency of external reviews of assessment decision, by assessor, by type of evidence, by numbers of candidates and by type of centre depending upon the requirements of the qualification. It will meet the requirements for sampling imposed by appropriate external agencies and the specific monitoring regimes set down by a recognised awarding body.
Systems documentation

Those documents used by an assessment centre for recording all appropriate assessment decisions and internal quality assurance auditing processes. This will include records of candidates, their action plans, their assessment plans and the outcomes of progress reviews. It will also include details of assessor selection, induction, standardisation and support as well as the written outcomes of internal quality auditing and reviews. The documents used within the system can be designed by the recognised assessment centre or be those required and produced by recognised awarding bodies.
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# NVQ UNITS OF COMPETENCE

The table below shows how the OCR Level 5 NVQ in Learning and Development is made up. The table also shows, where applicable, the old TDLB unit that the new ENTO unit replaces.

<table>
<thead>
<tr>
<th>Unit number</th>
<th>Unit title</th>
<th>Level 5 L &amp; D</th>
<th>Replacing TDLB unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>L1</td>
<td>Develop a strategy and plan for learning and development</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>L2</td>
<td>Identify the learning and development needs of the organisation</td>
<td>M</td>
<td>A13</td>
</tr>
<tr>
<td>L4</td>
<td>Design learning programmes</td>
<td>O</td>
<td>B21</td>
</tr>
<tr>
<td>L8</td>
<td>Manage the contribution of other people to the learning process</td>
<td>O</td>
<td>C11</td>
</tr>
<tr>
<td>L17</td>
<td>Evaluate and improve learning and development programmes</td>
<td>O</td>
<td>E21/22</td>
</tr>
<tr>
<td>L18</td>
<td>Respond to changes in learning and development</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>G2</td>
<td>Contribute to the development of learning within the organisation</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>G3</td>
<td>Evaluate and develop own practice</td>
<td>M</td>
<td>E31</td>
</tr>
<tr>
<td>P8</td>
<td>Develop a strategy and plan for the promotion of equality of opportunity and diversity</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>P13</td>
<td>Design, deliver and evaluate changes to organisational structure</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>A7</td>
<td>Establish strategies to guide the work of your organisation</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>A8</td>
<td>Evaluate and improve organisational performance</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>B3</td>
<td>Manage the use of financial resources</td>
<td>M*</td>
<td></td>
</tr>
<tr>
<td>B5</td>
<td>Secure financial resources for your organisation’s plans</td>
<td>M*</td>
<td></td>
</tr>
<tr>
<td>C11</td>
<td>Develop management teams</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>C13</td>
<td>Manage the performance of teams and individuals</td>
<td>O</td>
<td></td>
</tr>
</tbody>
</table>

* Candidates may choose either unit B3 or B5
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OCR LEVEL 5 NVQ IN LEARNING AND DEVELOPMENT
(QUALIFICATION ACCREDITATION NUMBER - 100/2540/6)

To achieve the qualification the candidate must complete twelve units in total. These are drawn from eight mandatory units and four optional units.

Mandatory units

L1  Develop a strategy and plan for learning and development  
    (H/101/4368)  
    L1.1  Develop a plan for learning and development  
    L1.2  Produce a learning and development programme for the organisation  
    L1.3  Evaluate how effective the learning and development process is  

L2  Identify the learning and development needs of the organisation  
    (R/101/4365)  
    L2.1  Review how capable the whole organisation is of meeting its development needs  
    L2.2  Develop a learning and development programme for the organisation  

L18  Respond to changes in learning and development  
     (M/101/4356)  
     L18.1  Research the ways people learn  
     L18.2  Develop learning and training methods  
     L18.3  Test and change proposed training and development methods  

G2  Contribute to the development of learning within the organisation  
    (Y/101/4383)  
    G2.1  Ensure the contribution of learning to the organisation  
    G2.2  Contribute to the learning strategies and processes of the organisation  
    G2.3  Assist the organisation to sustain learning processes  

G3  Evaluate and develop own practice  
    (L/101/2940)  
    G3.1  Evaluate own practice  
    G3.2  Identify self-development needs  

P8  Develop a strategy and plan for the promotion of equality of opportunity and diversity  
    (T/101/4374)  
    P8.1  Review and develop a strategy for promoting equality of opportunity and recognising diversity  
    P8.2  Gain support for equal opportunity and diversity policies and processes  
    P8.3  Take responsibility for implementing equality of opportunity and diversity plans  
    P8.4  Evaluate the effectiveness of the equal opportunity and diversity strategy
A7 Establish strategies to guide the work of your organisation
(U1027779)
A7.1 Create a shared vision and mission to give purpose to your organisation
A7.2 Define values and policies to guide the work of your organisation
A7.3 Formulate objectives and strategies to guide your organisation
A7.4 Gain support for organisational strategies

Either

B3 Manage the use of financial resources
(U1027783)
B3.1 Make recommendations for expenditure
B3.2 Control expenditure against budgets

Or

B5 Secure financial resources for your organisation’s plans
(U1027785)
B5.1 Review the generation and allocation of financial resources
B5.2 Evaluate proposals for expenditure
B5.3 Obtain financial resources for your organisation’s activities

Optional units

L4 Design learning programmes
(A/101/4358)
L4.1 Choose options for meeting learning needs
L4.2 Design learning programmes for learners

L8 Manage the contribution of other people to the learning process
(H/101/4371)
L8.1 Agree roles and resources with contributors
L8.2 Co-ordinate the activities of contributors
L8.3 Monitor and review how effective contributors are

L17 Evaluate and improve learning and development programmes
(D/101/4370)
L17.1 Choosing how to evaluate programmes
L17.2 Analyse information to improve learning and development programmes
L17.3 Make improvements to learning and development programmes

P13 Design, deliver and evaluate changes to organisational structure
(L/101/4378)
P13.1 Review the current organisational structure
P13.2 Make appropriate recommendations for changes to organisational structure
P13.3 Implement recommended changes to organisational structure
P13.4 Develop the processes and evaluate the changes to organisational structure
A8  Evaluate and improve organisational performance  
(U1027780)  
A8.1  Develop measures and criteria to evaluate your organisation’s performance  
A8.2  Evaluate your organisation’s performance  
A8.3  Explain the causes of success and failure in organisational strategies  

C11  Develop management teams  
(U1027796)  
C11.1  Assess the effectiveness of management teams  
C11.2  Improve the effectiveness of management teams  

C13  Manage the performance of teams and individuals  
(U1027798)  
C13.1  Allocate work to teams and individuals  
C13.2  Agree objectives and work plans with teams and individuals  
C13.3  Assess the performance of teams and individuals  
C13.4  Provide feedback to teams and individuals on their performance
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UNIT L1 DEVELOP A STRATEGY AND PLAN FOR LEARNING AND DEVELOPMENT

UNIT OVERVIEW

This unit is appropriate for you if your role involves:

- identifying the strategic requirements of learning and development
- contributing to the learning and development of the organisation
- working out what resources are needed to deliver learning and development
- developing strategies to help organisations respond to external forces and new ways of structuring and delivering learning and development

The activities you are likely to be involved in:

- reviewing structures and systems for the resources needed for learning and development
- identifying the things that influence learning and development within the organisation and ways of bringing about change in response to them
- reviewing the potential of technology-based learning and development, including e-learning and support
- matching people, systems and resources to identified needs
- developing systems to manage the overall learning and development programme
- developing detailed plans on resources
- auditing existing systems
- setting up delivery systems
- developing quality assurance systems and quality control procedures
- selling the benefits of learning to other people and getting their commitment

What the unit covers:

1. developing a plan for learning and development
2. producing a learning and development programme for the organisation
3. evaluating how effective the learning and development process is

Preferred methods of assessment for this unit:

The minimum evidence that you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- examination of evidence
- questioning

For example, your strategic plan for learning and development for the organisation may take the form of a presentation (see Evidence requirements) and your assessor may observe you and ask some questions about your presentation.
UNIT L1  DEVELOP A STRATEGY AND PLAN FOR LEARNING AND DEVELOPMENT

Element L1.1
Develop a plan for learning and development

Performance criteria

You must be able to do the following:

a) identify the external factors that influence the organisation to change
b) assess the effect on and risk to the organisation of changes and their consequences for learning and development
c) identify the value of learning and development to achieving the goals of the organisation and individuals
d) identify the potential and role of technology-based learning when designing an overall learning and development plan
e) balance the interests and objectives of the organisation and individuals in relation to learning and development opportunities
f) quantify the learning and development requirements of the organisation
g) evaluate alternative learning plans and ways of providing development opportunities within and outside the organisation
h) develop flexible structures for managing and delivering of learning opportunities against clear criteria for success
i) ensure that the interests of all stakeholders are considered when developing effective learning partnerships with individuals and learning providers
j) accurately identify the resources needed to put the plans into practice
UNIT L1 DEVELOP A STRATEGY AND PLAN FOR LEARNING AND DEVELOPMENT

Element L1.2
Produce a learning and development programme for the organisation

Performance criteria

You must be able to do the following:

a) identify the cultural and structural changes necessary to introduce the learning and development programme
b) identify the key agents needed to bring about change and their roles and responsibilities in learning and development
c) ensure that plans identify expected outcomes and criteria for success which relate to other areas of the wider Human Resource strategy
d) investigate alternative ways of achieving the results needed to put the plans within the overall Human Resource strategy into practice
e) develop learning and development opportunities which take account of different learning styles and methods of delivering learning
f) develop plans which get the most cost-effective use out of e-learning opportunities for delivering and supporting learners
g) ensure that the plans clearly promote equal opportunities and good practice in Human Resource development
h) ensure that the plans clearly show how they help to achieve the specific objectives of the organisation and individuals
i) agree with all key stakeholders how learning and development opportunities will be delivered
UNIT L1  DEVELOP A STRATEGY AND PLAN FOR LEARNING AND DEVELOPMENT

Element L1.3
Evaluate how effective the learning and development process is

Performance criteria

You must be able to do the following:

a) apply the criteria for success which the learning and development process will be measured by, along with how effective the process will be
b) collect and analyse information about how effective the learning and development programme is and how effectively resources are used
c) identify specific measures for evaluating changes in how technology and e-learning are delivered, which could improve the learning and development programme
d) build stakeholder feedback into the monitoring process
e) ensure that the information you collect is valid, reliable and comprehensive
f) evaluate the information against the objectives of the organisation and individuals
g) make recommendations to alter the learning and development programme or keep it as it is
h) put the recommendations into practice and/or incorporate them into the process of analysing the organisation’s needs
UNIT L1  DEVELOP A STRATEGY AND PLAN FOR LEARNING AND DEVELOPMENT

**Evidence requirements**

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

The minimum evidence you need for this unit is listed below:

<table>
<thead>
<tr>
<th>ONE Strategic Plan for learning and development for the organisation.</th>
<th>It is expected that your <strong>Strategic Plan</strong> for learning and development for the organisation will include evidence to demonstrate your competence in respect of all performance criteria from element L1.1.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PLUS</strong></td>
<td></td>
</tr>
<tr>
<td>ONE Programme for learning and development for the organisation.</td>
<td>It is expected that your <strong>Programme</strong> for learning and development for the organisation will include evidence to demonstrate your competence in respect of all performance criteria from element L1.2.</td>
</tr>
<tr>
<td><strong>PLUS</strong></td>
<td></td>
</tr>
<tr>
<td>ONE Evaluation Report</td>
<td>It is expected that your <strong>Evaluation Report</strong> will include evidence to demonstrate your competence in respect of all performance criteria from element L1.3.</td>
</tr>
</tbody>
</table>

**NOTE:** The plan and the programme and report must be for the same organisation. The strategic plan and programme and evaluation report should be endorsed by a senior member of staff.

In preparing your evidence the majority of the knowledge evidence should be addressed. You may need to pay particular attention to including evidence to consider knowledge items 6, 8, 10, 12 and 16.
UNIT L1 DEVELOP A STRATEGY AND PLAN FOR LEARNING AND DEVELOPMENT

Knowledge requirements

You need the following knowledge to perform this Unit 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 and prioritise the main internal and external factors that influence change within the organisation
2. how learning and development can contribute to the growth of the organisation and a learning culture in times of change
3. how to identify existing structures and systems and alternative ways of delivering learning
4. how to identify and respond to the internal factors that drive learning and development needs
5. how to begin and maintain programmes of change in learning and development within the organisation
6. how to respond to the possibilities and limits within existing systems
7. how to work out what resources are needed for different approaches to learning

Principles and concepts

8. how to identify and use criteria of success in persuading people how important learning and development is
9. where to find, and how to use, information about learning and development opportunities and alternative methods of delivering learning, including technology-based learning and support for learners
10. how to compensate for the limits of published information
11. how to choose and apply appropriate techniques of collecting and analysing information, including checking how reliable the information is
12. how to identify the things that motivate people and affect their behaviour, which will make sure that learning and development is delivered effectively within the organisation
13. how to evaluate the ways resources are used against efficiency and other appropriate criteria
14. how to evaluate information learning and development against a range of criteria, including the budget, the marketplace, individual goals, the organisation’s strategy and legal requirements
15. how to summarise and present information
External factors influencing learning and development

16 how to identify the external influences on putting learning and development policies into practice, including economic, social and political factors
17 how to analyse and use developments in learning and new ways of delivering learning
18 how to identify and use developments in e-learning and other technological developments when planning learning
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UNIT L2 IDENTIFY THE LEARNING AND DEVELOPMENT NEEDS OF THE ORGANISATION

UNIT OVERVIEW

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

What the unit covers:

1. reviewing how capable the whole organisation is of meeting its development needs
2. developing a learning and development programme for the organisation

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion

For example, if your record of how your organisation can meet its development needs through the development of its personnel takes the form of a presentation (see Evidence requirements), your assessor may choose to observe your presentation or examine the evidence of your presentation eg presentation script/slides. In addition, your assessor may wish to ask you some questions about your presentation.
UNIT L2 IDENTIFY THE LEARNING AND DEVELOPMENT NEEDS OF THE ORGANISATION

Element L2.1
Review how capable the whole organisation is of meeting its development needs

Performance criteria

You must be able to do the following:

a) identify the organisation’s needs and expectations of learning and development
b) identify how learning and development contributes to the organisation’s objectives and confirm this with key stakeholders
c) identify the abilities and competences the organisation needs to meet its objectives
d) evaluate the effect of the organisation’s future needs on its ability to carry out its business
e) collect information on the existing levels of skills, knowledge and experience of individuals
f) identify the resources and structures available to meet the needs of the organisation
g) match the abilities of individuals with the needs of the organisation
h) identify priority areas for learning and development across the organisation

Element L2.2
Develop a learning and development programme for the organisation

Performance criteria

You must be able to do the following:

a) identify development opportunities for individuals which will improve the organisation
b) identify how skills and competences can be shared and transferred between individuals in the organisation
c) identify appropriate learning and development opportunities inside and outside the organisation
d) consider different ways of structuring and delivering learning and development, including technology-based delivery and support
e) identify effective management systems to review and monitor learning programmes
f) develop learning and development programmes for individuals and groups within the organisation that recognise the needs of the people involved
g) set out how you will put the programmes into practice and the outcomes you need to achieve
h) identify the resources you need to put the programmes into practice and how you will get those resources
i) identify the roles and responsibilities of the people delivering the programme
j) get the commitment of the people who will put the programme into practice
UNIT L2 IDENTIFY THE LEARNING AND DEVELOPMENT NEEDS OF THE ORGANISATION

Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

The minimum evidence you need for this unit is listed below:

| ONE record which identifies how your organisation can meet its development needs through the development of its personnel. | This record should be confirmed by a senior member of staff and could be in the form of a presentation, a professional discussion, report, or minutes of a meeting.

It is expected that your record will include evidence to demonstrate your competence in respect of all performance criteria in element L2.1 and the first five of L2.2 (ie a to e).

In preparing your record the majority of the knowledge evidence should be addressed as you describe the circumstances of your organisation but you may need to pay particular attention to including evidence to cover knowledge items 3, 7, 11 and 13 if these are not evidenced naturally through your record.

| PLUS ONE Learning and Development programme for the organisation. | This programme must have been endorsed by a senior member of staff.

It is expected that your programme will provide evidence to demonstrate your competence in respect of performance criteria f, g, h, i and j from L2.2. |
UNIT L2 IDENTIFY THE LEARNING AND DEVELOPMENT NEEDS OF THE ORGANISATION

Knowledge requirements

You need the following knowledge to perform this Unit 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
UNIT L18  RESPOND TO CHANGES IN LEARNING AND DEVELOPMENT

UNIT OVERVIEW

This unit is appropriate for you if your role involves:

- researching learning and training theories and concepts
- developing new ways of promoting learning and training
- evaluating developments in technology-based learning and e-learning

The activities you are likely to be involved in:

- examining the things that affect learning and development
- researching learning theories and concepts through journals, articles, conferences and discussions
- reviewing developments in technology-based learning and development and the role of e-learning
- adapting systems to suit particular learning styles
- testing proposed methods and making appropriate changes to them

What the unit covers:

1. researching the ways people learn
2. developing learning and training methods
3. testing and changing proposed training and development methods

Preferred methods of assessment for this unit:

The minimum evidence that you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning

For example, your record of how you have researched the ways people learn may take the form of a presentation (see Evidence requirements) and your assessor may observe you and ask some questions about your presentation.
UNIT L18  RESPOND TO CHANGES IN LEARNING AND DEVELOPMENT

Element L18.1  Research the ways people learn

Performance criteria

You must be able to do the following:

a) identify and review current developments in learning styles and methods
b) identify the things that affect learning
c) assess how developments in learning theories and concepts affect the organisation and how current training and development is delivered
d) identify and assess the effect of technology-based learning and different ways of delivering learning
e) identify the advantages and disadvantages of different training and development methods
f) share ideas and developments on learning theories and concepts with the appropriate colleagues

Element L18.2  Develop learning and training methods

Performance criteria

You must be able to do the following:

a) identify different learning styles and their features
b) assess how effective existing methods of learning are
c) develop methods to improve learning
d) use appropriate types of technology-based learning and delivery in the ways you work
e) involve learners and other people in developing improved methods of learning
f) give other people clear and relevant information on improved learning methods
g) identify the roles and responsibilities of all those involved in putting improved learning methods into practice
h) identify the resources you need to put improved learning methods into practice.
UNIT L18  RESPOND TO CHANGES IN LEARNING AND DEVELOPMENT

Element L18.3
Test and change proposed training and development methods

Performance criteria

You must be able to do the following:

a) identify the training and development methods you are going to test
b) choose valid and cost-effective ways of testing which will produce reliable results
c) give the people involved clear and accurate information on why you are carrying out the test
d) identify the evaluation criteria you will use for the test
e) deliver the training using the method you have chosen and get feedback from the people taking part
f) assess how effective the method is against agreed evaluation criteria
g) identify parts of the method you could improve or change
h) explain the new delivery method to the people who will be using it in the future
UNIT L18  RESPOND TO CHANGES IN LEARNING AND DEVELOPMENT

Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

The minimum evidence you need for this unit is listed below:

<table>
<thead>
<tr>
<th>ONE Record of how you have RESEARCHED the ways people learn.</th>
<th>It is expected that your record of how you have RESEARCHED the ways people learn will include evidence to demonstrate your competence in respect of all performance criteria from element L18.1.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PLUS</td>
<td></td>
</tr>
<tr>
<td>ONE Record of how you have DEVELOPED learning and training methods.</td>
<td>It is expected that your record of how you have DEVELOPED learning and training methods will include evidence to demonstrate your competence in respect of all performance criteria from element L18.2.</td>
</tr>
<tr>
<td>PLUS</td>
<td></td>
</tr>
<tr>
<td>ONE Record of how you TESTED and CHANGED proposed training and development methods.</td>
<td>It is expected that your record of how you TESTED and CHANGED proposed training and development methods will include evidence to demonstrate your competence in respect of all performance criteria from element L18.3.</td>
</tr>
</tbody>
</table>

In preparing your records the majority of the knowledge evidence should be addressed. You may need to pay particular attention to including evidence to consider knowledge items 3, 4, 5, 10, 15, 16, 17, 18, 19, 20 and 21.
UNIT L18  RESPOND TO CHANGES IN LEARNING AND DEVELOPMENT

Knowledge requirements

You need the following knowledge to perform this Unit 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 developments in learning

1. how to identify and use learning theories and concepts
2. how to recognise different learning styles and their features
3. how to match learning styles with learning methods
4. how to identify and evaluate developments in technology-based delivery and e-learning
5. how to identify and assess the things that affect learning, including access to materials, learning environments, social settings and relationships

Principles and concepts

6. how to identify appropriate sources of information on learning theories and concepts and how to access them
7. how to use appropriate professional sources
8. how to analyse information and draw conclusions from it
9. how to identify and use appropriate sources of information about learning theories and concepts
10. how to assess the effect of developments on the organisation’s delivery methods
11. how to recognise different learning styles and their features
12. how to get the views of learners and other people
13. how to test different learning and development methods
14. how to get constructive feedback on the testing process
15. how to apply appropriate techniques to analyse information

External factors influencing human resource development

16. how to ensure that everybody acts in line with health, safety and environmental protection legislation and best practice
17. how to identify and apply the concepts of unlawful, direct or indirect discrimination
18. how to use equal opportunities codes of practice effectively
19. how to identify and apply relevant legislation on individuals’ rights
20. how to evaluate developments in education, training and qualifications which have a direct effect on the design of learning materials
21. how to analyse and use developments in learning and new ways of delivery, including technology-based delivery and e-learning
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UNIT G2 CONTRIBUTE TO THE DEVELOPMENT OF LEARNING WITHIN THE ORGANISATION

UNIT OVERVIEW

This unit is appropriate for you if your role involves:

• developing learning within the organisation
• sustaining 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

What the unit covers:

1 ensuring the contribution of learning to the organisation
2 contributing to learning strategies and processes of the organisation
3 assisting the organisation to sustain learning processes

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

• examination of evidence
• questioning
• professional discussion

For example, if your record of how your organisation can meet its development needs through the development of its personnel takes the form of a presentation (see Evidence requirements), your assessor may choose to observe your presentation or examine the evidence of your presentation eg presentation script/slides. In addition, your assessor may wish to ask you some questions about your presentation.
UNIT G2 CONTRIBUTE TO THE DEVELOPMENT OF LEARNING WITHIN THE ORGANISATION

Element G2.1
Ensure the contribution of learning to the organisation

Performance criteria

You must be able to do the following:

a) contribute to the definition of learning and its role within the organisation
b) establish how learning will contribute to organisational performance
c) contribute to a shared understanding of the learning needs of the organisation
d) establish the indicators for successful organisational learning
e) identify existing opportunities for learning within the organisation
f) identify the barriers to organisational learning and how they may be overcome

Element G2.2
Contribute to the learning strategies and processes of the organisation

Performance criteria

You must be able to do the following:

a) maximise access to learning opportunities in all the core activities of the organisation
b) encourage individuals to take responsibility for and structure their own learning and contribute to the learning of others
c) build learning potential and opportunities into appropriate aspects of the organisation’s structures and activities
d) identify barriers to effective learning inherent in organisational structures and processes and review ways of overcoming them
e) match individual learning aspirations to organisational needs
f) identify alternative forms of delivering learning and development and match them to individual and organisational priorities
g) create opportunities for group and team learning
UNIT G2 CONTRIBUTE TO THE DEVELOPMENT OF LEARNING WITHIN THE ORGANISATION

Element G2.3
Assist the organisation to sustain learning processes

Performance criteria

You must be able to do the following:

a) create opportunities for regular personal and team audits of learning successes, mistakes and future needs
b) contribute to the review of shared organisational learning goals
c) review achievements against indicators of success and continuous learning
d) apply the results of learning throughout the organisation and its processes
e) gather information on individual and shared future learning needs across the organisation
f) share assumptions and results of reviews openly with others
g) review alternative ways of delivering learning which cater for diversity of need and differing learning styles
UNIT G2   CONTRIBUTE TO THE DEVELOPMENT OF LEARNING WITHIN THE ORGANISATION

Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

The minimum evidence you need for this unit is listed below:

ONE record

and/or

A record of a professional discussion showing how you contribute to the development of learning within the organisation.

Note: The evidence provided must be for ONE organisation with supporting documentation.

It is expected that your record and/or professional discussion will include evidence to demonstrate your competence in respect of all performance criteria.

In preparing your record and/or professional discussion the knowledge evidence should be addressed but you will need to pay particular attention to cover knowledge items 1, 2, 3, 5, 8, 9, 15, 16, 17, 20, 21, 22, 26 and 27.
UNIT G2       CONTRIBUTE TO THE DEVELOPMENT OF LEARNING WITHIN THE ORGANISATION

Knowledge requirements

You need the following knowledge to perform this Unit 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 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 motivation 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 using 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 learning within the organisation

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
UNIT G3 EVALUATE AND DEVELOP OWN PRACTICE

UNIT OVERVIEW

This unit is appropriate for you if your role involves:

- reflecting on own practice
- reviewing own practice against goals
- setting and prioritising goals and targets for self-development
- adapting 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 policy and procedures.

What the unit covers:

- evaluating own practice
- identifying self-development needs.

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion

For example, if your record of how you evaluate your own practice and identify your own development needs takes the form of a presentation (see Evidence requirements), your assessor may choose to observe your presentation or examine the evidence of your presentation eg presentation script/slides. In addition, your assessor may wish to ask you some questions about your presentation.
UNIT G3    EVALUATE AND DEVELOP OWN PRACTICE

Element G3.1
Evaluate own practice

Performance criteria

You must be able to do the following:

a) evaluate own practice against set targets and goals
b) 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
c) involve others in the interpretation of evidence
d) use evidence to reflect on own practice and professional issues
e) accept criticism in a positive manner and assess its validity and importance
f) revise goals and targets in the light of reviewing evidence of performance

Element G3.2
Identify self-development needs

Performance criteria

You must be able to do the following:

a) set and prioritise clear and realistic goals and targets for own development
b) 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
c) devise a personal plan and review it regularly
d) try out developments in own practice in a way which does not cause problems for others
e) evaluate developments in own practice and ensure continued self-development
UNIT G3  EVALUATE AND DEVELOP OWN PRACTICE

Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this unit.

The minimum evidence you need for this unit is listed below:

| ONE record identifying how you evaluate your own practice and identify your own development needs. | It is expected that your **record and personal action plan** will include evidence to demonstrate your competence in respect of **all** performance criteria listed in element G3.1 and G3.2. |
| PLUS A **personal action plan** showing how you review and develop yourself. | Knowledge criteria 3 to 9 should occur naturally within your record but you will need to ensure that knowledge criteria 1, 2, 10 and 11 are also covered. |
UNIT G3 EVALUATE AND DEVELOP OWN PRACTICE

Knowledge requirements

You need the following knowledge to perform this unit 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 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 personal 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.
UNIT P8  DEVELOP A STRATEGY AND PLAN FOR THE PROMOTION OF EQUALITY OF OPPORTUNITY AND DIVERSITY

UNIT OVERVIEW

This unit is appropriate for you if your role involves:

• reviewing and developing systems which ensure that employees are fairly treated and that equality of opportunity and diversity are promoted
• establishing clear policy statements and effective processes for ensuring equality of opportunity, including the recognition of diversity within the workforce across a range of organisational disciplines, functions and levels
• designing and establishing effective monitoring and evaluation procedures

The activities you are likely to be involved in:

• creating and disseminating organisational statements and policies about equal opportunities and diversity
• setting the direction for training and development programmes to increase awareness, knowledge and skills levels in relation to equality of opportunity and diversity issues
• reviewing all primary functions within the organisation to ensure fair and equitable practices and procedures, including recruitment and selection, individual development and support
• 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
• creating a positive culture which encourages good practice
• setting up monitoring systems to gather and evaluate information on equality of opportunity and diversity policies and practices

What the unit covers:

1. reviewing and developing a strategy for promoting equality of opportunity and recognising diversity
2. gaining support for equal opportunity and diversity policies and processes
3. taking responsibility for implementing equality of opportunity and diversity plans
4. evaluating the effectiveness of the equal opportunity and diversity strategy
UNIT P8 DEVELOP A STRATEGY AND PLAN FOR THE PROMOTION OF EQUALITY OF OPPORTUNITY AND DIVERSITY

UNIT OVERVIEW (continued)

Preferred methods of assessment for this unit:

The minimum evidence that you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- Observation
- Examination of evidence
- Questioning

For example, your report describing your strategy and plan for the promotion of equality of opportunity and diversity may take the form of a presentation (see Evidence requirements) and your assessor may observe you and ask some questions about your presentation.

Element P8.1
Review and develop a strategy for promoting equality of opportunity and recognising diversity

Performance criteria

You must be able to do the following:

a) develop policies and procedures which reflect the beliefs of the organisation, uphold equality of opportunity for all, and reflect the principles of diversity in employment
b) apply and embed the requirements of all equal opportunities legislation and relevant codes of practice across the organisation’s functions
c) review existing equality and diversity strategies and evaluate them against organisational needs
d) seek advice and guidance from recognised sources of expertise in the development of policies and procedures for their implementation
e) involve all interested and affected parties in the development and consultation on policies and procedures
f) base policies and practices on current best practice
g) identify the potential role and impact of e-personnel systems
h) establish systems that monitor compliance with legal requirements, codes of practice and organisational policy
UNIT P8 DEVELOP A STRATEGY AND PLAN FOR THE PROMOTION OF EQUALITY OF OPPORTUNITY AND DIVERSITY

Element P8.2
Gain support for equal opportunity and diversity policies and processes

Performance criteria

You must be able to do the following:

a) communicate sufficient and clear information about the policies and procedures in a way that meets the needs of the different audiences, and in a manner likely to promote trust and goodwill
b) explain the benefits and implications of effective equal opportunities and diversity procedures to the organisation, and support your case with valid data and sound argument
c) seek and obtain the support of all key stakeholders in the organisation
d) make clear the benefits to the organisation and the ways in which any changes will contribute to the organisation’s strategy
e) encourage questions, contributions and feedback and give them due consideration
f) handle fears and objections in an equitable manner in accordance with legislation, policy and practice, and resolve them as far as is possible

Element P8.3
Take responsibility for implementing equality of opportunity and diversity plans

Performance criteria

You must be able to do the following:

a) carry out benchmark activities to identify agreed good practice
b) identify the overall structure needed to implement the process
c) identify the requirements needed to implement the process, and the best way of meeting them
d) identify appropriate people to implement the process
e) develop a detailed action plan for the implementation
f) identify the key stakeholders in the process and gain their commitment
g) delegate activities to appropriate people to ensure effective implementation
h) take direct responsibility for steering and influencing the implementation process
UNIT P8 DEVELOP A STRATEGY AND PLAN FOR THE PROMOTION OF EQUALITY OF OPPORTUNITY AND DIVERSITY

Element P8.4
Evaluate the effectiveness of the equal opportunity and diversity strategy

Performance criteria

You must be able to do the following:

a) establish the success criteria by which the equality of opportunity and diversity programme will be measured
b) assess the effectiveness and efficiency of the equality and diversity programme
c) build stakeholder feedback into the evaluation process
d) choose cost-effective methodologies for evaluating programmes
e) collect valid and comprehensive data
f) evaluate the data against the organisation’s wider strategic objectives
g) make recommendations to modify or maintain the equality and diversity programme
UNIT P8 DEVELOP A STRATEGY AND PLAN FOR THE PROMOTION OF EQUALITY OF OPPORTUNITY AND DIVERSITY

Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

The minimum evidence you need for this unit is listed below:

<table>
<thead>
<tr>
<th>ONE or more Report(s) supported by evidence to demonstrate your competence.</th>
<th>It is expected that your Report(s) describing your strategy and plan for the promotion of equality of opportunity and diversity will include evidence to demonstrate your competence in respect of all performance criteria from all elements of P8. You should ensure that your evidence includes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• A review of existing strategy, policies and procedures for equal opportunities and diversity within the organisation</td>
<td></td>
</tr>
<tr>
<td>• Advice and guidance from recognised sources of expertise and the involvement of other interested parties</td>
<td></td>
</tr>
<tr>
<td>• The impact of e-personnel systems on equality of opportunity and diversity</td>
<td></td>
</tr>
<tr>
<td>• Development of best practice policies and procedures for equal opportunities and diversity within the organisation</td>
<td></td>
</tr>
<tr>
<td>• Systems to monitor compliance with legal requirements, codes of practice and organisational policy</td>
<td></td>
</tr>
<tr>
<td>• Effective communication of the equal opportunity and diversity strategy, policies and procedures to key stakeholders and records of gaining support</td>
<td></td>
</tr>
<tr>
<td>Evidence requirements (continued)</td>
<td></td>
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<td>----------------------------------</td>
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<tr>
<td>• Benchmarks of agreed good practice and success criteria for the measurement of internal procedures</td>
<td></td>
</tr>
<tr>
<td>• Detailed implementation plan demonstrating your responsibility and involvement for steering and influencing the implementation process</td>
<td></td>
</tr>
<tr>
<td>• An evaluation of the cost effectiveness and efficiency of the equality and diversity programme, including stakeholder feedback and the organisation’s wider strategic objectives</td>
<td></td>
</tr>
<tr>
<td>• Appropriate recommendations to modify or maintain the equality and diversity programme.</td>
<td></td>
</tr>
</tbody>
</table>
UNIT P8 DEVELOP A STRATEGY AND PLAN FOR THE PROMOTION OF EQUALITY OF OPPORTUNITY AND DIVERSITY

Knowledge requirements

You need the following knowledge to perform this Unit 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 equality of opportunity and diversity within the organisation

1. how to establish the strategic link between equality of opportunity and diversity and the organisation’s aims and objectives
2. how strategies designed to enhance equality of opportunity and diversity relate to the overall management strategy
3. how to apply criteria for assessing the contribution of equal opportunity and diversity strategies to the achievement of the goals of the organisation
4. how to establish equal opportunity and diversity policies which inform and support other organisational policies
5. how to present the implications to the organisation of poor equal opportunities and diversity practices
6. how to select and use appropriate forms of communication with all those involved in the process
7. how to identify and manage the impact of the processes on day-to-day activity
8. how to tailor communication methods to gain the support of different interest groups
9. how to establish the organisation’s approach to key aspects of equality of opportunity and diversity, including approaches to equality, equity, access and entitlements across the full range of the organisation’s functions
10. how to set up effective measures for the profiling of the organisation’s workforce in relation to key aspects of equality of opportunity and diversity
UNIT P8 DEVELOP A STRATEGY AND PLAN FOR THE PROMOTION OF EQUALITY OF OPPORTUNITY AND DIVERSITY

Knowledge requirements (continued)

Principles and concepts

11. how to identify and make use of appropriate benchmarks of good practice
12. how to make effective use of action planning techniques
13. how to interpret the concepts of direct and indirect discrimination and their impact on policies and practices
14. how to identify and accommodate the key features of diversity and their impact on all employment functions
15. how to identify the key stakeholders in the process, and appropriate ways of engaging them in the process
16. how to set up and operate equality audit procedures
17. how to present equality and diversity issues in a non-threatening and supportive manner
18. how to overcome resistance to confronting and challenging issues of direct and indirect discrimination
19. how to select comprehensive and incisive monitoring systems which ensure policies and procedures can be evaluated
20. how to develop positive attitudes and motivation towards equality and diversity
21. how to identify appropriate methods to document and explain policies and procedures
22. how to obtain appropriate information about equal opportunities and diversity practices
23. how to select and apply appropriate data collection and analysis techniques, including representative sampling, and testing for reliability and validity
24. how to evaluate equality and diversity 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
25. how to select and apply appropriate questionnaire survey and interview techniques
26. how to summarise and present data

External factors influencing equality of opportunity and diversity

27. how to apply the main provisions of statute and case law in relation to equality of opportunity and diversity
28. how to identify and follow codes of practice and current best practice in relation to equality of opportunity and diversity within employment contexts
29. how to identify and seek guidance from appropriate statutory bodies, commissions and other organisations capable of assisting organisations to implement best practice
30. how to identify and make use of developments in e-personnel and other technological developments when planning the delivery of personnel services
UNIT A7 ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

UNIT OVERVIEW

This unit has been imported from the Management Standards.

This unit is about strategic planning. This involves helping to create a shared vision and mission for your organisation, helping to define its policies and values, formulating objectives and strategies, and gaining support for the strategies you are proposing.

This unit is 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, and
- lead high-level meetings.

This unit contains four elements

A7.1 Create a shared vision and mission to give purpose to your organisation
A7.2 Define values and policies to guide the work of your organisation
A7.3 Formulate objectives and strategies to guide your organisation
A7.4 Gain support for organisational strategies.

To create a shared vision and mission to give purpose to your organisation, you need to consult with your organisation’s governing body and stakeholders and take account of your organisation’s nature and its values. You need to develop a mission which can help employees focus their contributions effectively, and you need to review the vision and mission on a regular basis.

To define values and policies to guide the work of your organisation, you need to consult with your organisation’s governing body and stakeholders, provide values and policies which are clear and consistent with your organisation’s vision and mission. You need to provide guidance on how people should respond under pressure, and you need to review values and policies regularly.

To formulate objectives and strategies to guide your organisation, you need to consult with your organisation’s governing body and stakeholders and take account of your organisation’s mission and values. You need to make sure the objectives are realistic, achievable and measurable, provide sufficient detail so that effective planning can take place, and revise your objectives and strategies to take account of changing circumstances.

To gain support for organisational strategies, you need to ensure that your strategies are consistent with stakeholders’ interests. You need to achieve necessary compromises which balance any competing interests, present strategies in a persuasive manner and take regular action to ensure that support is ongoing.
UNIT A7  ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the evidence requirements sections for each element. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion.

Key words and concepts

_These definitions are provided to explain how key words and concepts are used in this unit_

**consultation**  asking others for their views and involving them openly in decision making

**mission**  the long-term goal your organisation seeks to achieve

**organisational objectives**  clearly defined and measurable results which your organisation should achieve

**policies**  rules which govern the way your organisation deals with key issues, for example health and safety, employment practices or customer relations

**stakeholders**  all those who have an interest in, or may be affected by, your organisation and its activities; stakeholders may include, for example, shareholders, directors, elected members, employees, customers, suppliers, local communities and many others

**strategies**  long-term plans which will guide your organisation in achieving 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

**vision**  the model for the way you would like your organisation to be in the future
UNIT A7    ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Knowledge and understanding

*To perform effectively in this unit, you need to have knowledge and understanding in the areas of*

- Communication
- Involvement and motivation
- Organisational context
- Providing support
- Strategic planning
- Working relationships

You will find detailed knowledge requirements listed with each element.

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 goals and actions to the strategic aims of the organisation
- take opportunities when they arise to achieve the longer-term aims or needs of the organisation

**Behaving ethically**

- set objectives and create cultures which are ethical
- identify the interests of stakeholders and their implications for the organisation and individuals
- clearly identify and raise ethical concerns relevant to the organisation
- work towards the resolution of ethical dilemmas based on reasoned approaches
- understand and resist apparent pressures from organisational systems to achieve results by any means

**Building teams**

- communicate a vision which generates excitement, enthusiasm and commitment
UNIT A7 ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Personal competencies (continued)

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

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

Searching for information
• establish information networks to search for and gather relevant information
• make best use of existing sources of information
• seek information from multiple sources

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.
UNIT A7 ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Element A7.1
Create a shared vision and mission to give purpose to your organisation

Performance criteria

You must ensure that:

a) your consultation with your organisation’s governing body and appropriate stakeholders on the vision and mission is open, realistic and likely to engage their support
b) the vision and mission you propose take into account the requirements, expectations and interests of your organisation’s governing body and appropriate stakeholders
c) the vision and mission you propose reflect the nature and values of your organisation and its role in the environment
d) the mission is both challenging and realistic
e) the mission helps members of your organisation to focus their contributions creatively
f) your organisation's vision and mission are regularly reviewed in the light of trends and opportunities.

Evidence requirements

Range

Both of the following types of stakeholders:
1 those with a direct contractual interest
2 those with no contractual interest but affected by the organisation’s activities.

Both of the following types of trends and opportunities:
3 internal
4 external.

You must prove that you create a shared vision and mission to give purpose to your organisation 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.
UNIT A7 ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Knowledge requirements

You need to know and understand

Communication
1 the importance of consulting thoroughly with your organisation’s governing body and all relevant stakeholders on the vision and mission
2 the methods available to consult effectively on your proposed vision and mission, and how to select a method appropriate to the circumstances.

Involvement and motivation
3 how to identify your organisation’s stakeholders and identify and analyse their requirements and interests.

Organisational context
4 key factors in your organisation’s operating environment which impact on the formulation of vision and mission
5 the values of your organisation which should be reflected in the shared vision and mission.

Strategic planning
6 the importance of your organisation developing a shared vision and mission and your role and responsibilities in contributing to this
7 how to develop and frame statements of the vision and mission and ensure they are challenging, realistic, and capable of winning support at all levels within your organisation and amongst your external stakeholders
8 how to review your organisation’s vision and mission to ensure they are up-to-date, relevant to emerging trends and opportunities and capable of guiding the organisation’s work.
UNIT A7   ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Element A7.2
Define values and policies to guide the work of your organisation

Performance criteria

You must ensure that:

a) you consult with your organisation's governing body and appropriate stakeholders over values and policies in a way which is open, realistic and likely to engage their support
b) you define values and policies which take into account the requirements, expectations and interests of your organisation's governing body and appropriate stakeholders
c) you define values and policies which are clear and consistent with your organisation's vision and mission
d) your statements on values and policies include guidance on how to respond when under pressure and how to respond when stakeholders' interests and organisational policies are in conflict
e) you review the values and policies of your organisation regularly and ensure they take account of likely future circumstances.

Evidence requirements

Range

Both of the following types of stakeholders:
1 those with a direct contractual interest
2 those with no contractual interest but affected by the organisation’s activities.

Values and policies which cover both:
3 corporate principles
4 legal requirements

And at least two the following:
5 internal relationships
6 external relationships
7 environmental impact
8 cultural differences in other countries.
UNIT A7  ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Evidence requirements (continued)

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of values and policies, listed above.

You must prove that you define values and policies to guide the work of your organisation 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.

Knowledge requirements

You need to know and understand

Communication
1   the importance of consulting thoroughly with your organisation’s governing body and its stakeholders on values and policies
2   the methods available to consult effectively on values and policies and how to select a method appropriate to the circumstances.

Organisational context
3   your organisation’s vision and mission and how these may affect the formulation of values and policies.

Providing support
4   why values and policies need to provide staff with guidance on how to respond under pressure and resolve conflicts of interest.

Strategic planning
5   the importance of your organisation having clear policies and values and your role and responsibility in relation to developing these
6   how to develop values and policies which reflect the requirements, expectations and interests of your governing body and all your organisation’s stakeholders
7   the methods of regularly reviewing values and policies to ensure they are up-to-date and capable of meeting likely future circumstances
8   how to select an appropriate method to review values and policies.

Working relationships
9   how stakeholders’ interests and organisational policies may come into conflict.
UNIT A7  ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Element A7.3
Formulate objectives and strategies to guide your organisation

Performance criteria

You must ensure that:

a) your consultation with the organisation's governing body and appropriate stakeholders over objectives and strategies is open, realistic and likely to engage their support
b) the objectives and strategies which you formulate take into account the requirements, expectations and interests of your organisation's governing body and appropriate stakeholders
c) the objectives and strategies which you formulate are consistent with your organisation's mission and values
d) the objectives are attainable within the agreed timescale and budget
e) the objectives and strategies contain sufficient detail to allow the planning and development of specific programmes of work
f) you take full account of the constraints upon objectives and strategies
g) the objectives are achievable and measurable, and include the types of measurement criteria to be used
h) your revisions to objectives and strategies take advantage of actual and anticipated changes in circumstances.

Evidence requirements

Range

All of the following types of objectives and strategies:

1  long-term and broad to achieve mission
2  medium-term and specific to meet operational requirements
3  short-term and specific to address threats and opportunities
UNIT A7   ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Evidence requirements (continued)

You must prove that you formulate objectives and strategies to guide your organisation 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.

Knowledge requirements

You need to know and understand

Communication
1 the importance of consulting thoroughly with your organisation’s governing body and stakeholders on objectives and strategies
2 methods available to consult effectively on objectives and strategies and how to select a method appropriate to the circumstances.

Organisational context
3 the organisation’s mission and values and their implications for developing objectives and strategies.

Strategic planning
4 the importance of your organisation developing clear objectives and strategies and your role and responsibility in contributing to this process
5 methods of developing, reviewing and revising objectives and strategies
6 how to select a method of developing and reviewing objectives and strategies to ensure that they meet the requirements and interests of your governing body and stakeholders
7 how to ensure that objectives and strategies are attainable within timescale and budget
8 the level of detail required to enable effective planning throughout the organisation
9 the importance of objectives being realistic, achievable and measurable and how to develop objectives which meet these criteria
10 how to devise performance measures for objectives
11 the constraints which are likely to impact on the formulation of objectives and strategies and how to respond to these.
UNIT A7 ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Element A7.4
Gain support for organisational strategies

Performance criteria

You must ensure that:

a) the consultations and negotiations which you carry out allow strategies to be influenced by, and made more consistent with, stakeholders’ interests

b) the compromises which you make to resolve conflicts in stakeholders' interests are realistic, balance these competing interests, and acknowledge the tensions between them

c) you present strategies to stakeholders in a way which is likely to attract their support

d) where stakeholders do not fully support strategies, you take action to minimise potential problems

e) you consult with stakeholders on a regular basis and ensure that support for the organisation's vision, mission, objectives and strategies is available when needed.

Evidence requirements

Range

Both of the following types of stakeholders’ interests:

1 present
2 future.

Both of the following types of stakeholders:

4 those with a direct contractual interest
5 those with no contractual interest but affected by the organisation’s activities.

You must prove that you gain support for organisational strategies 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.
UNIT A7 ESTABLISH STRATEGIES TO GUIDE THE WORK OF YOUR ORGANISATION

Knowledge requirements

You need to know and understand

Communication
1 the importance of consulting and negotiating on organisational strategies with your stakeholders to ensure these strategies reflect their interests
2 methods to consult effectively on strategies and how to select a method appropriate to circumstances.

Involvement and motivation
3 the importance of having widespread support for organisational strategies throughout your organisation and amongst external stakeholders and your role and responsibilities in relation to this.

Working relationships
4 how to identify your stakeholders and their current and future interests, and analyse possible areas of conflict
5 the importance of making compromises to resolve competing interests and how to achieve acceptable and realistic compromises.
UNIT B3 MANAGE THE USE OF FINANCIAL RESOURCES

UNIT OVERVIEW

This unit has been imported from the Management Standards.

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 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, and
- contributing to broader activities such as change programmes and recruitment.

This unit contains two elements:

B3.1 Make recommendations for expenditure
B3.2 Control expenditure against budgets.

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.

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the evidence requirements sections for each element. Evidence will be assessed using one or more of the following assessment methods:

- examination of evidence
- questioning
- professional discussion.
## UNIT B3 MANAGE THE USE OF FINANCIAL RESOURCES

### Key words and concepts

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

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>budgets</td>
<td>agreed plans for expenditure covering programmes of work in your area of responsibility</td>
</tr>
<tr>
<td>corrective action</td>
<td>action taken to match actual expenditure to budget, such as altering activities, rescheduling expenditure, altering budget allocations and renegotiating budgets</td>
</tr>
<tr>
<td>expenditure</td>
<td>outlay for the supplies of goods and services, for personnel, overheads, capital equipment and premises</td>
</tr>
<tr>
<td>monitoring</td>
<td>keeping a close eye on activities and expenditure and comparing these with your plans</td>
</tr>
<tr>
<td>organisational objectives</td>
<td>clearly defined and measurable results which your organisation is scheduled to achieve</td>
</tr>
<tr>
<td>organisational requirements</td>
<td>the policies, guidelines and procedures of your organisation which you must observe when recommending and monitoring expenditure</td>
</tr>
<tr>
<td>plans</td>
<td>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</td>
</tr>
<tr>
<td>relevant people</td>
<td>team members, colleagues working at the same level as yourself, higher-level managers or sponsors, specialists and people outside your organisation</td>
</tr>
<tr>
<td>significant variations</td>
<td>substantial differences between actual and budgeted expenditure, which require action in order to maintain overall performance</td>
</tr>
<tr>
<td>team members</td>
<td>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</td>
</tr>
<tr>
<td>trends and developments</td>
<td>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</td>
</tr>
</tbody>
</table>
UNIT B3 MANAGE THE USE OF FINANCIAL RESOURCES

Knowledge and understanding

To perform effectively in this unit, you need to have knowledge and understanding in the areas of

- Analytical techniques
- Communication
- Information handling
- Involvement and motivation
- Organisational context
- Resource management

You will find detailed knowledge requirements listed with each element.

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
UNIT B3 MANAGE THE USE OF FINANCIAL RESOURCES

Personal competencies (continued)

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.
UNIT B3 MANAGE THE USE OF FINANCIAL RESOURCES

Element B3.1
Make recommendations for expenditure

Performance criteria

You must ensure that:

a) you give opportunities to relevant people to make suggestions for future expenditure
b) your recommendations take account of past experience, trends, developments and other factors likely to affect future expenditure
c) you clearly state the expected benefits from the recommended expenditure, and any potential negative consequences
d) where you have considered alternative options for expenditure, you provide valid reasons why you have rejected them
e) you provide sufficient, valid information for relevant people to make a decision on your recommendations
f) your recommendations for expenditure are consistent with your organisation's plans and objectives
g) you present your recommendations to relevant people in an appropriate format and at an appropriate time.

Evidence requirements

Range

At least two of the following types of relevant people:
1 team members
2 colleagues working at the same level
3 higher-level managers or sponsors
4 financial specialists.

At least two of the following types of expenditure:
5 supplies
6 people
7 overhead expenses
8 capital equipment.

Both the following types of alternative options:
9 other courses of action to achieve the same results
10 other ways of funding the same course of actions
UNIT B3 MANAGE THE USE OF FINANCIAL RESOURCES

Evidence requirements (continued)

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of relevant people and expenditure, listed above.

You must prove that you make recommendations 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.

Knowledge requirements

You need to know and understand

Analytical techniques
1 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 how to carry out cost-benefit analyses in regard to proposed expenditure
3 how to identify and evaluate alternative options to proposals on expenditure.

Communication
4 how to communicate effectively on issues to do with proposed expenditure.

Involvement and motivation
5 how to enable team members, colleagues and line managers to identify and communicate their needs regarding expenditure
6 how to develop and argue an effective case for expenditure.

Organisational context
7 the trends and developments which may influence future expenditure and how to forecast and plan for these
8 the procedures which need to be followed to make recommendations for expenditure.

Resource management
9 the importance of effective budgetary control to team and organisational efficiency and your role and responsibilities in relation to this
10 the principles and methods which underpin effective budgetary control
11 the importance of keeping accurate records of past expenditure
12 the information which others need to make decisions on expenditure and how to gather and check the validity of this information.
UNIT B3  MANAGE THE USE OF FINANCIAL RESOURCES

Element B3.2
Control expenditure against budgets

Performance criteria

You must ensure that:

a) you give team members clear and consistent advice on how they can help to control expenditure
b) you give team members opportunities to take individual responsibility for monitoring and controlling expenditure
c) your methods of monitoring expenditure are reliable and comply with organisational requirements
d) you monitor expenditure against agreed budgets at appropriate intervals
e) you control expenditure in line with budgets and organisational requirements
f) the corrective action you take in response to actual or potential significant variations from budget is prompt and complies with organisational requirements
g) you refer requests for expenditure outside your responsibility promptly to the appropriate people
h) your records of expenditure are complete, accurate and available to authorised people only.

Evidence requirements

Range

At least two of the following types of monitoring:
1 considering oral information
2 considering written information
3 examining financial information

At least two of the following types of expenditure:
4 supplies
5 people
6 overhead expenses
7 capital equipment

At least two of the following types of corrective action:
8 altering activities
9 rescheduling expenditure
10 altering budget allocations within the limits of your responsibility
11 renegotiating budgets
UNIT B3 MANAGE THE USE OF FINANCIAL RESOURCES

Evidence requirements (continued)

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of monitoring, expenditure and corrective action, listed above.

You must prove that you control expenditure against budgets 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.

Knowledge requirements

You need to know and understand

Information handling
1 the principles of confidentiality in relation to budgets - what information may be provided to which people.

Involvement and motivation
2 the contributions your team members can make to expenditure control
3 how to advise, encourage and motivate team members to help in controlling expenditure.

Organisational context
4 your organisation’s requirements for expenditure control
5 the range of variations from the budget which may occur and what effective corrective action to take in response to these
6 the types of requests for expenditure outside your control which are likely to occur and the correct procedures to follow in response to these.

Resource management
7 the importance of effective expenditure control to your team and organisation’s efficiency and your role and responsibilities in relation to this
8 the principles and systems which underpin effective expenditure control
9 the importance of accurate and comprehensive record keeping to expenditure control and systems to achieve this
UNIT B5  SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

UNIT OVERVIEW

This unit has been imported from the Management Standards.

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 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, and
• lead high-level meetings.

This unit contains three elements:

B5.1 Review the generation and allocation of financial resources
B5.2 Evaluate proposals for expenditure
B5.3 Obtain financial resources for your organisation’s activities.

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.

In order 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.

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the evidence requirements sections for each element. Evidence will be assessed using one or more of the following assessment methods:

• observation
• examination of evidence
• questioning
• professional discussion.
UNIT B5 SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Key words and concepts

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

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

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UNIT B5  SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Knowledge and understanding

To perform effectively in this unit, you need to have knowledge and understanding in the areas of:

- Communication
- Involvement and motivation
- Legal requirements
- Monitoring and evaluation
- Organisational context
- Providing support
- Resource management
- Working relationships

You will find detailed knowledge requirements listed with each element.

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
UNIT B5    SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Personal competencies (continued)

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.
UNIT B5  SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Element B5.1
Review the generation and allocation of financial resources

Performance criteria

You must ensure that:

a) your systems for reviewing the generation and allocation of financial resources provide accurate, comprehensive and up-to-date information
b) 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
c) the criteria you use include commonly accepted performance measures for the generation and allocation of financial resources
d) your review shows how well the organisation is performing compared with other organisations
e) your review shows how effective the organisation’s methods are compared to alternative methods of generation and allocation of financial resources
f) you gather, store and use information on the generation and allocation of financial resources in accordance with organisational policies and legal requirements

Evidence requirements

Range

At least two of the following methods for the generation of financial resources:

1. raising equity finance
2. obtaining loans
3. obtaining venture capital
4. negotiating with government for funds
5. obtaining sponsorship
6. creative and innovative approaches

At least one of the following methods for the allocation of financial resources:

7. budgeted plans
8. internal bidding and departmental competition or collaboration
9. external bidding and interorganisational competition or collaboration
UNIT B5  SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Evidence requirements (continued)

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of generation and allocation of financial resources, listed above.

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.

Knowledge requirements

You need to know and understand

Legal requirements
1  legal requirements for the handling of information on the generation and allocation of financial resources.

Monitoring and evaluation
2  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  the information which is needed to review the generation and allocation of financial resources and how to collect this information
4  how to select criteria which are appropriate to your organisation, its context and culture
5  the commonly accepted performance measures for the generation and allocation of financial resources
6  how to compare your organisation’s performance with that of others
7  alternative methods of generating and allocating financial resources which may be appropriate and how to evaluate these.

Organisational context
8  the context and culture of the organisation and the implications of these for resource generation and allocation
9  organisational requirements for the handling of information
10  other organisations against which it is appropriate to compare your organisation’s performance.

Resource management
11  the importance of continuously reviewing the generation and allocation of financial resources and your role and responsibilities in this regard.
UNIT B5  SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Element B5.2  
Evaluate proposals for expenditure

Performance criteria

You must ensure that:

a) you select evaluation criteria which are relevant, fair and clear
b) you provide those submitting proposals with sufficient help to make their proposals effective
c) you evaluate proposals against your stated criteria within the agreed timescale
d) you evaluate proposals for their expected benefits and costs, and according to how realistic and achievable these benefits and costs appear to be
e) the proposals you accept clearly show how they support the organisation's objectives, strategies, values and policies
f) you highlight weaknesses or inconsistencies in proposals and form a justifiable case for rejection or amendment
g) you clearly explain the reasons for the rejection or amendment of proposals to those submitting the proposals
h) you conduct negotiations over proposals in a manner likely to ensure the co-operation, confidence and goodwill of the people involved

Evidence requirements

Range

At least one of the following types of evaluation:
1 comparative
2 absolute

All the following types of proposals:
3 for long-term programmes of work
4 for medium-term programmes of work
5 for short-term programmes of work.
UNIT B5 SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Evidence requirements (continued)

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of evaluation, listed above.

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.

Knowledge requirements

You need to know and understand

Communication
1 how to develop and present a case for the acceptance or rejection of proposals.

Monitoring and evaluation
2 the range of criteria for evaluating proposals for expenditure and their relative advantages and disadvantages to your role and responsibilities
3 how to evaluate proposals against selected criteria and carry out cost-benefit analyses of these
4 what weaknesses and inconsistencies may be present in proposals and how to identify and evaluate these.

Organisational context
5 your organisation’s objectives, strategies, values and policies relevant to evaluating proposals for expenditure.

Providing support
6 the types of help those making proposals may need and how to provide support effectively.

Resource management
7 why the thorough evaluation of proposals for expenditure is essential and your role and responsibilities in relation to this.

Working relationships
8 strategies to use when carrying out negotiations on expenditure proposals so that the cooperation, confidence and goodwill of those involved is maintained.
UNIT B5 SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Element B5.3
Obtain financial resources for your organisation’s activities

**Performance criteria**

You must ensure that:

a) you give opportunities to **relevant people** to help to obtain financial resources for your organisation’s activities
b) the case you make for obtaining resources is clear, consistent and supported by sound argument
c) the way you present your case reflects the commitment of those who will be using the resources
d) your **activities to obtain resources** are consistent with the good name and image of your organisation and with legal requirements
e) when the resources you need are not obtained in full, you agree realistic alternative courses of action with **relevant people**
f) all your agreements, communications and other **activities to obtain resources** are consistent with the mission, values and policies of the organisation

**Evidence requirements**

**Range**

At least **two** the following types of **relevant people**:

1. team members
2. colleagues working at the same level
3. higher-level managers or sponsors

At least **two** of the following types of **activities to obtain resources**:

4. formal proposals
5. consultation
6. lobbying
7. private discussion
8. media usage
9. publishing documents
UNIT B5 SECURE FINANCIAL RESOURCES FOR YOUR ORGANISATION’S PLANS

Evidence requirements (continued)

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of relevant people and activities to obtain resources, listed above.

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.

Knowledge requirements

You need to know and understand

Involvement and motivation
1 how to encourage and enable team members, colleagues and line managers to help to obtain financial resources for your organisation’s work
2 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.

Legal requirements
3 legislation relevant to obtaining financial resources.

Organisational context
4 the relevant aspects of the organisation’s mission, values and policies which may affect agreements and communications concerning the obtaining of financial resources
5 how to interpret these and ensure compliance with them.

Resource management
6 the range of activities to obtain financial resources and their relative advantages and disadvantages in relation to your organisation
7 the importance of having alternative methods of obtaining resources and how to identify and evaluate them.
UNIT L4 DESIGN LEARNING PROGRAMMES

UNIT OVERVIEW

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

What the unit covers:

1. choosing options for meeting learning needs
2. designing learning programmes for learners

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- examination of evidence
- questioning
- professional discussion

For example, if your record of how you choose options for meeting learning needs takes the form of a presentation (see Evidence requirements), your assessor may choose to observe your presentation or examine the evidence of your presentation eg presentation script/slides. In addition, your assessor may wish to ask you some questions about your presentation.
UNIT L4   DESIGN LEARNING PROGRAMMES

Element L4.1
Choose options for meeting learning needs

Performance criteria

You must be able to do the following:

a) identify the learning needs you must deal with
b) identify a range of options for meeting the learning needs
c) identify how technology-based learning and delivery will influence the options available
d) choose the most appropriate options to meet the learning needs
e) provide equal opportunities and access to learning and achievement

Element L4.2
Design learning programmes for learners

Performance criteria

You must be able to do the following:

a) set out how learning programmes will meet learning objectives
b) choose appropriate methods of delivery to meet learning objectives, including technology-based and e-learning if appropriate
c) plan learning experiences that are relevant to the necessary outcomes
d) combine different learning and assessment opportunities
e) choose relevant methods of evaluating how effective the learning programme is
f) set out how you will monitor and review learners’ progress and assess their achievements
g) identify the support and guidance that is available to learners
h) explain the roles and responsibilities of all those involved in delivering the learning programme
i) identify the resources needed to deliver the programme
j) agree learning programmes with the appropriate people
UNIT L4 DESIGN LEARNING PROGRAMMES

Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

The minimum evidence you need for this unit is listed below:

<table>
<thead>
<tr>
<th><strong>ONE record</strong> which identifies how you choose options for meeting learning needs.</th>
<th>It is expected that your record will include evidence to demonstrate your competence in respect of all performance criteria in element L4.1.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PLUS</td>
<td>It is expected that your programmes will provide evidence to demonstrate your competence in respect of all performance criteria in element L4.2.</td>
</tr>
<tr>
<td><strong>ONE Learning Programme</strong> for each of the <strong>TWO</strong> individual learners.</td>
<td>These should be agreed by an appropriate person (eg supervisor, senior manager).</td>
</tr>
<tr>
<td></td>
<td>In preparing your programmes the majority of the knowledge evidence should be addressed but you will need to pay particular attention to including evidence to cover knowledge items, 2, 5, 6, 11, 12 and 13 as these require a more commentary approach.</td>
</tr>
</tbody>
</table>
UNIT L4 DESIGN LEARNING PROGRAMMES

Knowledge requirements

You need the following knowledge to perform this Unit 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 of the 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 delivery 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
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
UNIT L8 MANAGE THE CONTRIBUTION OF OTHER PEOPLE TO THE LEARNING PROCESS

UNIT OVERVIEW

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

What the unit covers:

1 agreeing roles and resources with contributors
2 co-ordinating the activities of contributors
3 monitoring and reviewing how effective contributors are

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

• observation
• examination of evidence
• questioning

For example, if your record of how you manage the contribution of other people to the learning process takes the form of an observation (see Evidence requirements) your assessor may observe you and ask some questions about your presentation.
UNIT L8  MANAGE THE CONTRIBUTION OF OTHER PEOPLE TO THE LEARNING PROCESS

Element L8.1
Agree roles and resources with contributors

Performance criteria

You must be able to do the following:

a) give contributors clear and accurate information about the learning programme, the needs of learners and the planned outcomes
b) ensure that individual contributions are co-ordinated as part of an organised learning programme
c) assess how competent the contributor is to provide the necessary input
d) agree the learning objectives to be covered
e) agree how you will evaluate inputs
f) give contributors appropriate support materials, including technology-based materials

Element L8.2
Co-ordinate the activities of contributors

Performance criteria

You must be able to do the following:

a) give contributors accurate information about learners and their progress and the activities of other contributors
b) give contributors the opportunities to work together effectively
c) regularly work with contributors to monitor progress
d) give each contributor all necessary guidance and support on requirements, procedures and timescales
UNIT L8 MANAGE THE CONTRIBUTION OF OTHER PEOPLE TO THE LEARNING PROCESS

Element L8.3
Monitor and review how effective contributors are

Performance criteria

You must be able to do the following:

a) give contributors the opportunities to respond to comments on their performance and the quality of their input
b) monitor how organised the learning experience is and the value of individual contributions to it
c) ensure that contributors give evidence of having achieved the agreed outcomes
d) evaluate contributions against agreed criteria
e) give contributors constructive feedback on their performance, including poor performance or lack of competence
f) give clear and justified reasons if you no longer want to use a contributor for future learning programmes
UNIT L8  MANAGE THE CONTRIBUTION OF OTHER PEOPLE TO THE LEARNING PROCESS

**Evidence requirements**

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

The minimum evidence you need for this unit is listed below:

<table>
<thead>
<tr>
<th>Evidence</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ONE Record</strong> of how you manage the contribution of other people to the learning process.</td>
<td>It is expected that your <strong>Record</strong> of how you manage the contribution of other people to the learning process will include evidence to demonstrate your competence in respect of performance criteria b, c and f from L8.1, performance criteria a, b and c from L8.2 and b, c and d from element L8.3.</td>
</tr>
<tr>
<td><strong>PLUS</strong></td>
<td></td>
</tr>
<tr>
<td><strong>ONE or MORE</strong> of the following:</td>
<td></td>
</tr>
<tr>
<td><strong>ONE Record</strong> of an Observation by an Assessor</td>
<td>It is expected that your <strong>Observation</strong> or <strong>Professional Discussion</strong> will include evidence to demonstrate your competence in respect of performance criteria a, d and e from element L8.1, d from L8.2 and a, e and f from L8.3.</td>
</tr>
<tr>
<td>OR</td>
<td></td>
</tr>
<tr>
<td>A Witness</td>
<td>In preparing your evidence the majority of the knowledge evidence should be addressed.</td>
</tr>
<tr>
<td>(This witness must have been agreed by the Assessor prior to the observation taking place.)</td>
<td>You may need to pay particular attention to including evidence to consider knowledge items 8, 12, 16, 17, 18 and 19.</td>
</tr>
<tr>
<td>OR</td>
<td></td>
</tr>
<tr>
<td><strong>ONE Record</strong> of a Professional Discussion</td>
<td></td>
</tr>
</tbody>
</table>

**Note:**
Assessor questioning using hypothetical context may be accepted as evidence for element L8.3 (e).
UNIT L8 MANAGE THE CONTRIBUTION OF OTHER PEOPLE TO THE LEARNING PROCESS

Knowledge requirements

You need the following knowledge to perform this Unit 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 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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UNIT L17  EVALUATE AND IMPROVE LEARNING AND DEVELOPMENT PROGRAMMES

UNIT OVERVIEW

This unit is appropriate for you if your role involves:

- providing quality learning and development programmes
- evaluating learning and development programmes
- responding to developments in learning and development
- planning and introducing improvements in learning and development programmes

The activities you are likely to be involved in:

- setting evaluation objectives and criteria, including performance indicators, national standards and organisational standards
- evaluating delivery methods and systems, assessment procedures, how resources are used, including people, finance, time, aims, objectives and outcomes
- reviewing the possibility of greater use of technology-based learning programmes and learner support
- collecting information from learners, practitioners, colleagues and clients through questionnaires, individual interviews, group interviews and desk research
- analysing results
- making proposals for improvements to programmes
- preparing detailed plans with colleagues

What the unit covers:

1. choosing how to evaluate programmes
2. analysing information to improve learning and development programmes
3. making improvements to learning and development programmes

Preferred methods of assessment for this unit:

The minimum evidence that you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- examination of evidence
- questioning

For example, your record of how you evaluate learning and development programmes takes the form of an observation (see Evidence requirements) your assessor may observe you and ask some questions about your presentation.
UNIT L17   EVALUATE AND IMPROVE LEARNING AND DEVELOPMENT PROGRAMMES

Element L17.1
Choosing how to evaluate programmes

Performance criteria

You must be able to do the following:

a) identify which of the organisation’s objectives the learning and development programme needs to meet and measure how far it does this
b) identify the main objectives and outcomes of the programme against the needs of the organisation and the individuals taking part in the programme
c) identify the purpose, range and level of the evaluation
d) choose appropriate ways of evaluating how learning is delivered
e) specify the evaluation criteria for outcomes and delivery
f) confirm that the resources are available to carry out the evaluation
g) agree with the appropriate people how you will carry out the evaluation
h) specify a plan for putting the evaluation into practice

Element L17.2
Analyse information to improve learning and development programmes

Performance criteria

You must be able to do the following:

a) identify the information you need to evaluate programmes
b) collect relevant information using suitable methods and procedures
c) produce samples which are sufficiently representative to give reliable results
d) ask questions which are clear
e) ensure that your evaluation causes as little disruption as possible to the training and development of learners
f) tell learners why you are carrying out the evaluation and encourage them to give their views
g) record information accurately and follow the rules of confidentiality
UNIT L17 EVALUATE AND IMPROVE LEARNING AND DEVELOPMENT PROGRAMMES

Element L17.3
Make improvements to learning and development programmes

Performance criteria

You must be able to do the following:

a) set out the objectives you will achieve by making improvements
b) discuss how practical the proposed improvements are with other people
c) prioritise improvements according to their cost and benefit
d) identify the resources you need to make improvements to programmes
e) identify how technology-based delivery and e-learning could be introduced to improve the programme
f) ensure that plans to make improvements are practical and realistic
g) speak to the people who will put the plans into practice and take account of their views in the final plan
h) give the people affected by the plan clear information about the changes and the opportunities to ask for explanations on anything they do not understand
i) identify and deal with obstacles and problems when putting the plans into practice and report them to the appropriate people
j) collect enough information to monitor how successful the plans are
UNIT L17  EVALUATE AND IMPROVE LEARNING AND DEVELOPMENT PROGRAMMES

Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

The minimum evidence you need for this unit is listed below:

<table>
<thead>
<tr>
<th>ONE Record of how you choose to evaluate learning and development programmes.</th>
<th>It is expected that your Record of how you choose to evaluate learning and development programmes will include evidence to demonstrate your competence in respect of all performance criteria from element L17.1.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PLUS</td>
<td>It is expected that your Evaluation report which shows how you analysed and made improvements to TWO learning and development programmes will include evidence to demonstrate your competence in respect of all performance from element L17.2 and L17.3.</td>
</tr>
<tr>
<td>ONE Evaluation report which shows how you analysed and made improvements to TWO learning and development programmes.</td>
<td>In preparing your record and report the majority of the knowledge evidence should be addressed. You may need to pay particular attention to including evidence to consider knowledge items 1, 2, 6, 9, 10, 11 and 12.</td>
</tr>
</tbody>
</table>
UNIT L17 EVALUATE AND IMPROVE LEARNING AND DEVELOPMENT PROGRAMMES

Knowledge requirements

You need the following knowledge to perform this Unit 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 evaluation within learning and development

1. how to identify and apply specific conditions to effectively measure:
   - the quality of the learning experience
   - the effectiveness of the delivery methods used, including the potential of technology-based learning and e-learning
   - the thoroughness of quality assurance arrangements
2. how to identify all valid sources of feedback, including learners and colleagues, and examining and inspection authorities
3. how to use information taken from evaluations to improve the quality of learning and development programmes

Principles and concepts

4. how to analyse information and draw conclusions from it
5. how to choose methods and procedures for collecting information
6. how to identify and assess the potential of technology-based learning and e-learning when evaluating programmes
7. how to establish a representative sample
8. how to use appropriate techniques for asking questions

External factors influencing human resource development

9. how to keep to data protection legislation
10. how to meet the requirements of awarding bodies and inspection authorities
11. how to ensure that everyone acts in line with health, safety and environmental protection legislation and best practice
12. how to analyse and use developments in learning and new ways of delivery, including technology-based learning and e-learning
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UNIT P13 DESIGN, DELIVER AND EVALUATE CHANGES  
TO ORGANISATIONAL STRUCTURE

UNIT OVERVIEW

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

What the unit covers:

1. reviewing the current organisational structure
2. making appropriate recommendations for changes to organisational structure
3. implementing recommended changes to organisational structure
4. developing the processes and evaluating the changes to organisational structure

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion

For example, if your report of how you design, deliver and evaluate changes to organisational structure takes the form of a presentation (see Evidence requirements), your assessor may choose to observe your presentation or examine the evidence of your presentation eg presentation script/slides. In addition, your assessor may wish to ask you some questions about your presentation.
UNIT P13 DESIGN, DELIVER AND EVALUATE CHANGES TO ORGANISATIONAL STRUCTURE

Element P13.1
Review the current organisational structure

Performance criteria

You must be able to do the following:

a) define the criteria to be used to measure the effectiveness of existing structures
b) identify the factors which influence the need to change organisational structures
c) review existing structures and evaluate them against organisational needs
d) evaluate the effectiveness of structures in each functional area and how they relate to each other
e) identify the potential role and impact of e-personnel systems
f) identify the changes required to organisational structure which will enhance efficiency and effectiveness
g) evaluate the alternative ways of delivering the changes
h) assess the impact of the proposed changes on organisational structures and individual employees

Element P13.2
Make appropriate recommendations for changes to organisational structure

Performance criteria

You must be able to do the following:

a) identify the key stakeholders involved in making changes to organisational structures
b) prioritise recommendations in line with overall organisational strategy and needs
c) prepare a clear case for the recommendations with justification for them
d) provide accurate and detailed estimates of the time, people and resources needed to deliver the recommendations
e) identify the potential role and impact of e-personnel systems
f) present recommendations to appropriate stakeholders in a manner which is likely to gain their support
g) provide opportunities for stakeholders to raise concerns and queries
UNIT P13   DESIGN, DELIVER AND EVALUATE CHANGES TO ORGANISATIONAL STRUCTURE

Element P13.3
Implement recommended changes to organisational structure

Performance criteria

You must be able to do the following:

a) establish the resources available and required in order to bring about the changes
b) draw up detailed implementation plans for changes to specific structures and processes based on identified priorities
c) ensure the understanding and commitment of all parties involved in the implementation based on clear information
d) implement changes within specified budget and timescale
e) identify problems over implementation promptly and inform all parties of any changes or delays in the implementation plan
f) maintain accurate, complete and up-to-date records of changes made
g) provide regular reports on the progress to internal sponsors and disseminate to others
h) ensure that the implementation process complies with legal requirements, codes of practice and organisational policy

Element P13.4
Develop the processes and evaluate the changes to organisational structure

Performance criteria

You must be able to do the following:

a) define the success criteria by which to measure changes to structures
b) design and select procedures for evaluating the effectiveness of existing structures with appropriate key stakeholders
c) involve appropriate senior managers in the evaluation process
d) ensure that review procedures and data collection are fully documented
e) base information used on reliable and valid data which is collected regularly and systematically
f) make objective and thorough evaluations of the information which contain accurate cost and benefit analyses, as well as practical and realistic implementation plans
g) 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
UNIT P13  DESIGN, DELIVER AND EVALUATE CHANGES TO ORGANISATIONAL STRUCTURE

Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is **not** acceptable for this unit.

The minimum evidence you need for this unit is listed below:

<table>
<thead>
<tr>
<th>One or more candidate report(s)</th>
<th>It is expected that your report(s) will include evidence to demonstrate your competence in respect of all performance criteria.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PLUS</td>
<td>You should pay particular attention to ensure that your evidence includes:</td>
</tr>
<tr>
<td>Supporting evidence to demonstrate your competence.</td>
<td>• an evaluation of the existing organisational structures against organisational needs</td>
</tr>
<tr>
<td></td>
<td>• justified recommendations for any change(s) proposed to organisational structures</td>
</tr>
<tr>
<td></td>
<td>• an assessment of the impact of the proposed changes</td>
</tr>
<tr>
<td></td>
<td>• evidence of consultation with key stakeholders</td>
</tr>
<tr>
<td></td>
<td>• a detailed implementation plan</td>
</tr>
<tr>
<td></td>
<td>• accurate, complete and up-to-date records of any changes made</td>
</tr>
<tr>
<td></td>
<td>• a review and evaluation of the change processes against organisational needs, taking account of internal and external factors.</td>
</tr>
<tr>
<td></td>
<td>In preparing your report(s) you should ensure that the knowledge evidence is fully addressed.</td>
</tr>
</tbody>
</table>
UNIT P13 DESIGN, DELIVER AND EVALUATE CHANGES TO ORGANISATIONAL STRUCTURE

Knowledge requirements

You need the following knowledge to perform this Unit 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
UNIT A8   EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

UNIT OVERVIEW

This unit has been imported from the Management Standards.

This unit is about managing the strategic performance of your organisation and achieving necessary improvements. This involves developing measures and criteria to evaluate your organisation’s performance, carrying out evaluations, and finding the reasons for success and failure in your organisation’s strategy.

This unit is 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, and
• lead high-level meetings.

This unit contains three elements:

A8.1   Develop measures and criteria to evaluate your organisation’s performance
A8.2   Evaluate your organisation’s performance
A8.3   Explain the causes of success and failure in organisational strategies.

To develop measures and criteria to evaluate your organisation’s performance, you need to select measures and criteria which are cost-effective, make best use of available resources and provide the information you need to judge your organisation’s progress.

To evaluate your organisation’s performance, you need to gather and analyse valid and reliable evidence, present a complete and balanced view of what you have found, and ensure your evaluation and its presentation are compatible with organisational values, policies and legal requirements.

In order to explain the causes of success and failure in organisational strategies, you need to gather and analyse valid and relevant information, weigh up possible explanations and identify ones which are realistic and plausible, present your case clearly and concisely, and identify what lessons your organisation should draw from its successes and failures.
UNIT A8   EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the evidence requirements sections for each element. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion.

Key words and concepts

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

- **criteria**: principles or standards against which performance can be evaluated
- **evaluation**: a balanced assessment of what has been achieved
- **measures**: methods of assessing how well your organisation is performing
- **mission**: the long-term goal your organisation seeks to achieve
- **organisational objectives**: clearly defined and measurable results which your organisation should achieve
- **policies**: guideline covering the way the organisation deals with key issues, for example, health and safety, employment practices or customer relations
- **strategies**: long-term plans which will guide your organisation in achieving its mission
- **values**: those things the organisation believes in and seeks to realise in its work, for example, customer service, team working, quality or value for money
- **vision**: the model for the way you would like your organisation to be in the future
UNIT A8 EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Knowledge and understanding

To perform effectively in this unit, you need to have knowledge and understanding in the areas of:

- Analytical techniques
- Communication
- Continuous improvement
- Information handling
- Monitoring and evaluation
- Organisational context
- Strategic planning

You will find detailed knowledge requirements listed with each element.

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 goals and actions to the strategic aims of the organisation
- take opportunities when they arise to achieve the longer-term aims or needs of the organisation

Communicating

- listen actively, ask questions, clarify points and rephrase others’ statements to 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 the organisation and act to work within it or influence it
UNIT A8 EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Personal competencies (continued)

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.
UNIT A8 EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Element A8.1
Develop measures and criteria to evaluate your organisation’s performance

Performance criteria

You must ensure that:

a) the measures and criteria you develop are cost-effective and make optimum use of existing sources of data and means of data gathering
b) the measures and criteria you develop are capable of providing information in time to enable an effective response

c) the measures and criteria you develop provide sufficient information to make judgements about progress towards the mission and objectives and the implementation of policies.

Evidence requirements

Range

Measures and criteria for at least two of the following areas:

1 performance against organisational objectives
2 performance against other relevant organisations
3 performance against externally imposed indicators.

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of measures and criteria, listed above.

You must prove that you develop measures and criteria to evaluate your organisation’s 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.
UNIT A8 EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Knowledge requirements

You must know and understand

Information handling
1. the existing sources of data and means of data gathering available to you
2. how these sources may be optimised to review organisational performance.

Monitoring and evaluation
3. how to develop appropriate measures and criteria to review your organisation’s performance.

Organisational context
4. your organisation’s mission, objectives and policies and how to interpret these, drawing out the implications for strategic planning
5. your organisation’s principal competitors, collaborators and other relevant organisations
6. the externally imposed indicators which are relevant to measuring your organisation’s performance.

Strategic planning
7. the principles of strategic planning and review and their importance in maintaining organisational performance
8. your role and responsibilities for strategic planning
9. different models of strategic planning and review and their relative advantages and disadvantages to your organisation, your work and available resources.
UNIT A8 EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Element A8.2
Evaluate your organisation’s performance

Performance criteria

You must ensure that:

a) your evaluations of your organisation’s performance are based on sufficient, reliable evidence against agreed criteria
b) your evaluations of your organisation’s performance take account of all relevant factors
c) the way you present the results of evaluations gives a complete and balanced picture of the organisation’s performance
d) where performance fails to meet the agreed criteria, you identify possible reasons and discuss these with stakeholders
e) your evaluations and your presentation of results are consistent with organisational values and policies and with legal requirements.

Evidence requirements

Range

Both of the following types of evaluation:
1 qualitative
2 quantitative.

You must prove that you evaluate your organisation’s 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.
UNIT A8 EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Knowledge requirements

You need to know and understand

Analytical techniques
1 how to identify possible reasons for failure in meeting organisational mission, objectives, values and policies.

Communication
2 how to present the evaluation results effectively, both formally and informally
3 how to consult effectively with stakeholders on organisational performance.

Information handling
4 the types of information required to evaluate organisational performance and how to gather and validate such information.

Monitoring and evaluation
5 the principles and methods underpinning the evaluation of organisational performance
6 the different models of organisational performance evaluation and their relative advantages and disadvantages to your own organisation, work and available resources
7 how to evaluate organisational performance using both quantitative and qualitative methods.
UNIT A8 EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Element A8.3
Explain the causes of success and failure in organisational strategies

Performance criteria

You must ensure that:

a) your explanations of the causes of success and failure are based on sufficient, reliable information
b) your explanations, and reasons for rejection of any alternative explanations, are clear, concise and appropriate to the audience you are presenting to
c) where it is likely to be difficult to find remedies for the causes of failure, you offer reasons to counter possible objections
d) you make the lessons to be drawn from success and failure available for use in future organisational planning.

Evidence requirements

Range

Both of the following types of explanations:

1. informal briefings
2. formal reports

You must prove that you explain the causes of success and failure in organisational strategies 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.
UNIT A8 EVALUATE AND IMPROVE ORGANISATIONAL PERFORMANCE

Knowledge requirements

You need to know and understand

Analytical techniques
1 how to analyse the reasons for success and failure in achieving mission, objectives, policies and values.

Communication
2 how to present possible causes of success and failure effectively to a range of different audiences both formally and informally.

Continuous improvement
3 how to identify the lessons which may be drawn from past successes and failures and their implications for future organisational planning.

Information handling
4 the types of information required to identify potential causes of success and failure in meeting the mission, objectives, policies and values and how to gather and validate such information.
UNIT C11 DEVELOP MANAGEMENT TEAMS

UNIT OVERVIEW

This unit has been imported from the Management Standards.

This unit is about improving the performance of your management team. This involves analysing the strengths and weaknesses of your team and its members, and then taking steps to improve your team’s effectiveness.

This unit is 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, and
- lead high-level meetings.

This unit contains two elements:

C11.1 Assess the effectiveness of management teams
C11.2 Improve the effectiveness of management teams

To assess the effectiveness of management teams, you need to help team members to assess their own strengths and weaknesses and those of the team as a whole. You need to ensure that the audits and assessments you carry out are clear and objective and take place in good time to make decisions on developing the team. You also need to present the results of your assessments in a balanced way, and observe rules and guidelines on confidentiality.

To improve the effectiveness of management teams, you need to recruit and remove team members according to the needs of your organisation. You need to use a variety of different methods to develop the team, taking account of team members’ experience, their expertise and their current and future roles in your organisation. You also need to evaluate how effective your development activities have been.

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the evidence requirements sections for each element. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion.
# UNIT C11 DEVELOP MANAGEMENT TEAMS

## Key words and concepts

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

| **assessment** | using various techniques such as tests, observations of performance and discussions, to measure your team members’ current skills, knowledge and competence against what your organisation requires them to do; these assessments may be carried out by you or by specialists working under your direction |
| **audit** | identifying and collecting information on all of the skills, knowledge and competences which your team possesses; these audits may be carried out by you or by specialists working under your direction |
| **confidentiality** | only providing information to those who are authorised to have it |
| **development activities** | any action or experience which develops the competence of team members or of the team as a whole; these activities may be formal or informal training and education, experiences which naturally occur in the day-to-day work of the team, or self-directed learning |
| **evaluation** | a balanced assessment of what has been achieved against your plans |
| **learning preferences** | ways of learning which individual managers find most comfortable and effective |
| **methods of developing the team** | improvements to team structure, composition, working methods or the competence of individual members |
| **policies** | guidelines which cover the way your organisation deals with key issues, for example recruitment and removal, employment practices or human resource development |
| **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 |
UNIT C11   DEVELOP MANAGEMENT TEAMS

Knowledge and understanding

To perform effectively in this unit, you need to have knowledge and understanding in the areas of:

- Communication
- Continuous improvement
- Equal opportunities
- Information handling
- Involvement and motivation
- Organisational context
- Recruitment and selection
- Training and development
- Working relationships

You will find detailed knowledge requirements listed with each element.

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
- act in an assured and unhesitating manner when faced with a challenge
- state your own position and views clearly in conflict situations
- Acting strategically
- understand 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

Behaving ethically

- comply with legislation, industry regulation, professional and organisational codes
- show integrity and fairness in decision-making
UNIT C11 DEVELOP MANAGEMENT TEAMS

Personal competencies (continued)

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
• encourage listeners to ask questions or rephrase statements to clarify their understanding
• modify communication in response to feedback from listeners

Thinking and taking decisions

• break processes down into tasks and activities
• identify patterns or meaning from events and data which are not obviously related
• take decisions which are realistic for the situation.
UNIT C11   DEVELOP MANAGEMENT TEAMS

Element C11.1
Assess the effectiveness of management teams

Performance criteria

You must ensure that:

a) you enable your managers to contribute to assessments of their own competence and to audits of the strengths and weaknesses of the management team as a whole
b) the assessments and audits you use take account of current and likely future circumstances
c) the assessments you use are objective and are based on sufficient, reliable information
d) the assessments you use are capable of identifying the potential of managers with diverse backgrounds and experience
e) the results of assessments and audits are available in time to support decisions about the structure and development of the management team
f) you report the results of audits and assessments and present identified strengths, potential and areas for improvement in a balanced way
g) you make the results of the assessments and audits available to authorised people only

Evidence requirements

Range

At least one of the following types of assessment:
1. conducted by yourself
2. conducted by specialists within the organisation
3. conducted by specialists outside the organisation

At least one of the following types of audits:
4. conducted by yourself
5. conducted by specialists within the organisation
6. conducted by specialists outside the organisation

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of assessment and audits, listed above.
UNIT C11 DEVELOP MANAGEMENT TEAMS

Evidence requirements (continued)

You must prove that you assess the effectiveness of management 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.

Knowledge requirements

You need to know and understand

Communication
1 how to report the results of assessments and audits in a fair and balanced manner.

Equal opportunities
2 the importance of equality of opportunity in making assessments of competence and potential, and how to ensure this is provided.

Information handling
3 how to collect and validate required information
4 the importance of confidentiality in handling assessments and audits.

Involvement and motivation
5 the importance of providing opportunities for managers to contribute to their own assessments and to those of the team as a whole
6 how to enable managers to contribute to their own assessments.

Organisational context
7 the circumstances against which managers’ strengths and weaknesses need to be measured.

Training and development
8 the importance of evaluating the strengths and weaknesses of your management team
9 different methods to carry out assessments and audits and their relative advantages and disadvantages to your work
10 types of specialists you may use
11 how to select assessment and audit methods appropriate to your situation
12 the principles of fair and objective assessment
13 the information needed to assess management competence.
UNIT C11 DEVELOP MANAGEMENT TEAMS

Element C11.2
Improve the effectiveness of management teams

Performance criteria

You must ensure that:

a) you recruit and remove managers from the team in a way which is fair, legal and consistent with the organisational values and policies
b) you share your decisions on the development of the team with the managers involved, whilst respecting personal feelings and issues of confidentiality
c) you choose appropriate methods to develop the team from a variety of suitable approaches
d) the methods you choose take account of the different backgrounds, experiences and learning preferences of the managers involved
e) the development activities you choose build on existing achievement, and provide feedback and recognition of achievement
f) the development activities you choose ensure managers are able to carry out present and likely future work roles
g) you accurately evaluate the contribution of your chosen development activities and methods to the effectiveness of your team
h) your evaluation clearly shows the improvements required to the development activities and methods used

Evidence requirements

Range

At least one of the following types of manager:
1 existing
2 potential

At least two of the following types of methods:
3 changing team composition
4 changing team structure
5 changing work methods
6 developing the competence of team members
UNIT C11  DEVELOP MANAGEMENT TEAMS

Evidence requirements (continued)

At least **two** of the following types of **development activities**:  
7 naturally occurring learning opportunities at work  
8 specifically designed learning opportunities at work  
9 formal training  
10 informal training  
11 team working  
12 self-directed learning

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of **manager, methods** and **development activities**, listed above.

You must prove that you **improve the effectiveness of management teams** 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 a) in this element.

Knowledge requirements

You need to know and understand

**Continuous improvement**  
1 the importance of continuously developing the effectiveness of your management team  
2 the importance of identifying management potential.

**Organisational context**  
3 the current and likely future demands of your team’s work roles  
4 the organisational values and policies which affect recruitment and removal.

**Recruitment and selection**  
5 principles of fairness in the recruitment and removal of managers from your team  
6 legal requirements for the recruitment and removal of managers.
UNIT C11 DEVELOP MANAGEMENT TEAMS

Knowledge requirements (continued)

Training and development
7 methods to develop the effectiveness of management teams and their relative advantages and disadvantages to your work
8 why development activities should build on existing achievements and offer accurate and objective feedback and positive recognition
9 how to evaluate the effectiveness of development activities
10 how to use evaluation results to identify possible improvements in development activities and methods
11 the importance of confidentiality.

Working relationships
12 how people work in groups especially at the senior level
13 the importance of sharing decisions on team development with the team.
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UNIT C13  MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

UNIT OVERVIEW

This unit has been imported from the Management Standards.

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, and contributing to, or controlling, substantial operational programmes and budgets.

This unit contains four elements

C13.1 Allocate work to teams and individuals
C13.2 Agree objectives and work plans with teams and individuals
C13.3 Assess the performance of teams and individuals
C13.4 Provide feedback to teams and individuals on their performance.

In order 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.

In order 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.

In order 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.

In order 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.
UNIT C13   MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion.

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
### UNIT C13   MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

| 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. |
UNIT C13 MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Knowledge and understanding

To perform effectively in this unit, you need to have knowledge and understanding in the areas of:

- Communication
- Continuous improvement
- Delegation
- Information handling
- Involvement and motivation
- Organisational context
- Planning
- Providing support.

You will find detailed knowledge requirements listed with each element.

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.
UNIT C13  MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Element C13.1
Allocate work to teams and individuals

Performance criteria

You must ensure that:

a) you give opportunities to your team members to recommend how you should allocate work within the team
b) your allocation of work makes the best use of your team’s resources and the abilities of all its members
c) your allocation of work provides your team members with suitable learning opportunities to meet their personal development objectives
d) your allocation of work is consistent with your team’s objectives, and the objectives, policies and values of your organisation
e) you clearly define the responsibilities of your team and its individual members, and the limits of their authority
f) you provide sufficient information on your allocation of work in a manner and at a level and pace appropriate to the individuals concerned
g) you confirm team and individual understanding of, and commitment to, work allocations at appropriate intervals
h) where team resources are insufficient, you reach agreement with relevant people on the prioritisation of objectives or reallocation of resources
i) you inform your team and its members of changes to work allocations in a way which minimises the impact on time, cost and inconvenience

Evidence requirements

Range

Both of the following contexts:
1  normal working
2  emergencies

At least two of the following types of information:
3  spoken
4  written
5  graphical
UNIT C13 MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Evidence requirements (continued)

At least two of the following types of relevant people:

6 team members
7 colleagues working at the same level as yourself
8 higher-level managers or sponsors
9 customers
10 suppliers

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of information and relevant people, listed above.

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.

Knowledge requirements

You need to know and understand

Communication
1 the importance of defining and communicating team and individual responsibilities clearly
2 how to communicate team and individual responsibilities clearly to those involved
3 how to develop and present work plans using spoken, written and graphical means.

Delegation
4 the importance of the effective allocation of work to your team’s performance and your role and responsibilities in relation to this
5 the factors which you need to consider when allocating work to individuals within the team
6 how to match the allocation of work to learning needs and individual development plans
7 how to prioritise and re-prioritise work allocations according to resource availability
8 how your changes to work allocations and negotiations around them can impact on cost, time and convenience.

Involvement and motivation
9 why your team members should have the opportunity to recommend work allocations
10 how to encourage and enable team members to provide suggestions on the allocation of work and be committed to their responsibilities
Organisational context
11 your team objectives, and the organisational policies and values which have a bearing on the allocation of work within your team
12 the relevant people with whom negotiations on the allocation of resources need to take place.
UNIT C13 MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Element C13.2
Agree objectives and work plans with teams and individuals

Performance criteria

You must ensure that:

a) you give opportunities to your team members to help define their own objectives and work plans
b) you develop objectives and work plans which are consistent with team and organisational objectives and agree these with all personnel in your area of responsibility
c) the objectives, work plans and schedules are realistic and achievable within organisational constraints
d) the objectives and work plans take account of team members’ abilities and development needs
e) you explain the objectives and work plans in sufficient detail and at a level and pace appropriate to your individual team members
f) you confirm team and individual understanding of, and commitment to, objectives and work plans at appropriate intervals
g) you provide advice and guidance on how to achieve objectives in sufficient detail and at times appropriate to the needs of teams and individuals
h) you update the objectives and work plans regularly and take account of any individual, team and organisational changes

Evidence requirements

Range

At least one of the following types of team member:
1 people for whom you have line responsibility
2 people for whom you have functional responsibility.

At least two of the following types of objectives and work plans:
3 short-term
4 medium-term
5 long-term

All the following types of organisational constraints:
6 organisational objectives
7 organisational policies
8 resources
You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of team members and objectives and work plans, listed above.

You must prove that you agree objectives and work plans with 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.

**Knowledge requirements**

**You need to know and understand**

**Communication**
1 the importance of good communication when explaining objectives and work plans.

**Involvement and motivation**
2 the importance of consulting with team members and achieving consensus and agreement on objectives and work plans
3 how to encourage and enable team members to define their own work objectives and plans
4 how to gain the commitment of team members to objectives and work plans
5 the types of issues on which your team members may need advice and guidance.

**Organisational context**
6 the organisational objectives and constraints which have a bearing on objectives and work plans.

**Planning**
7 how to identify and devise objectives and work plans for the short, medium and long term
8 the importance of agreeing objectives and work plans which are realistic and achievable
9 how to match objectives and work plans with individuals’ abilities and development needs
10 the importance of regularly updating objectives and work plans
11 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.
UNIT C13   MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Element C13.3
Assess the performance of teams and individuals

Performance criteria

You must ensure that:

a) you clearly explain the purpose of monitoring and assessment to all those involved
b) you give opportunities to teams and individuals to monitor and assess their own performance against objectives and work plans
c) you monitor the performance of teams and individuals at times most likely to maintain and improve effective performance
d) your assessment of the performance of teams and individuals is based on sufficient, valid and reliable information
e) you carry out your assessments objectively, against clear, agreed criteria
f) your assessments take due account of the personal circumstances of team members and the organisational constraints on their work

Evidence requirements

Range

At least two of the following types of purpose:

1 assuring that objectives have been achieved
2 assuring that quality and customer requirements have been met
3 appraising team or individual performance
4 assessing performance for reward
5 recognising competent performance and achievement

At least one of the following types of monitoring and assessment:

6 specific to one activity or objective
7 general to overall performance of the team or individual

Both of the following types of information:

8 qualitative
9 quantitative

All the following types of organisational constraints:

10 organisational objectives
11 organisational policies
12 resources
UNIT C13  MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Evidence requirements (continued)

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of purpose and monitoring and assessment, listed above.

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.

Knowledge requirements

You need to know and understand

Communication
1  the importance of being clear yourself about the purpose of monitoring and assessment and communicating this effectively to those involved.

Continuous improvement
2  the importance of monitoring and assessing the ongoing performance of teams and individuals
3  different purposes of work monitoring and assessment
4  how to make fair and objective assessments
5  how to monitor and assess the performance of teams and individuals
6  the standards against which work is to be assessed
7  the information needed to assess the performance of teams and individuals.

Information handling
8  how the necessary information should be gathered and validated.

Involvement and motivation
9  the importance of providing opportunities to team members to monitor and assess their own work, and how to enable this.

Organisational context
10  the organisational constraints which may affect the achievement of objectives.

Providing support
11  the types of personal circumstances which may impact on individual performance.
UNIT C13 MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Element C13.4
Provide feedback to teams and individuals on their performance

Performance criteria

You must ensure that:

a) you provide feedback to teams and individuals in a situation and in a form and manner most likely to maintain and improve their performance
b) the feedback you provide is clear, and is based on your objective assessment of their performance against agreed objectives
c) your feedback acknowledges your team members’ achievement
d) your feedback provides your team members with constructive suggestions and encouragement for improving future performance against their work and development objectives
e) the way in which you provide feedback shows respect for individuals and the need for confidentiality
f) you give opportunities to teams and individuals to respond to feedback, and to recommend how they could improve their performance in the future

Evidence requirements

Range

Both of the following types of feedback:

1 positive
2 negative

Both of the following forms of feedback:

3 spoken
4 written

At least three of the following types of situation:

5 during normal day-to-day activities
6 when required to maintain motivation, morale and effectiveness
7 during formal appraisals
8 at team meetings and briefings
9 during confidential discussions of work
UNIT C13  MANAGE THE PERFORMANCE OF TEAMS AND INDIVIDUALS

Evidence requirements (continued)

You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of situation, listed above.

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.

Knowledge requirements

You need to know and understand

Communication
1  the importance of good communication skills when providing feedback
2  how to provide both positive and negative feedback to team members on their performance
3  how to choose an appropriate time and a place to give feedback to teams and individuals
4  how to provide feedback in a way which encourages your team members to feel that you respect them.

Continuous improvement
5  the importance of providing clear and accurate feedback to your team members on their performance and your role and responsibilities in relation to this.

Information handling
6  the principles of confidentiality when providing feedback - which people should receive which pieces of information.

Involvement and motivation
7  how to motivate team members and gain their commitment by providing feedback
8  the importance of being encouraging when providing feedback to team members and showing respect for those involved
9  the importance of providing constructive suggestions on how performance can be improved
10  the importance of giving those involved the opportunity to provide suggestions on how to improve their work.
RECORDING DOCUMENTS

The following recording documents are included in this booklet:

- evidence record sheet
- evidence record sheet for Units A7, A8, B3, B5, C11 and C13 only
- knowledge evidence record sheet
- knowledge evidence record sheet for Units A7, A8, B3, B5, C11 and C13 only
- evidence summary record
- record of achievement
- witness list

Evidence record sheet (Candidates need one for each element)

This form (or a suitable alternative) is mandatory for candidates’ CARs. It is the vehicle for linking evidence to the performance criteria. The evidence for the element should be listed (as it is collected) down the left-hand side. The assessment method should be indicated (see the key at the bottom of the page) and then a tick should be placed in the boxes where the evidence shows that the requirements of the element have been met. If the piece of evidence has been independently assessed, please add (I) after the evidence title. The evidence record sheet, where possible, should be filled in by the candidate with the help of an assessor if necessary.

Evidence record sheet for Units A7, A8, B3, B5, C11 and C13 (Candidates need one for each element)

This form (or a suitable alternative) is mandatory for candidates’ CARs. It is the vehicle for linking evidence to the performance criteria and range. The evidence for the element should be listed (as it is collected) down the left-hand side. The assessment method should be indicated (see the key at the bottom of the page) and then a tick should be placed in the boxes where the evidence shows that the requirements of the element have been met. If the piece of evidence has been independently assessed, please add (I) after the evidence title. The evidence record sheet, where possible, should be filled in by the candidate with the help of an assessor if necessary.

Knowledge evidence record sheet (Candidates need one for each unit)

This form (or a suitable alternative) is mandatory for candidates’ CARs. It is the vehicle for linking evidence to the knowledge requirements. The evidence for the unit should be listed (as it is collected) down the left-hand side. The assessment method should be indicated (see the key at the bottom of the page) and then the relevant items of knowledge that the candidate is claiming should be written in the final column. If the piece of evidence has been independently assessed, please add (I) after the evidence title. The knowledge evidence record sheet, where possible, should be filled in by the candidate with the help of an assessor if necessary.

Knowledge evidence record sheet for Units A7, A8, B3, B5, C11 and C13 (Candidates need one for each element)

This form (or a suitable alternative) is mandatory for candidates’ CARs. It is the vehicle for linking evidence to the knowledge requirements. The evidence for the element should be listed (as it is collected) down the left-hand side. The assessment method should be indicated (see the
key at the bottom of the page) and then a tick should be placed in the boxes where the evidence shows that the requirements of the element have been met.

If the piece of evidence has been independently assessed please add (I) after the evidence title. The knowledge evidence record sheet, where possible, should be filled in by the candidate with the help of an assessor if necessary.

**Evidence summary record (one for the whole qualification)**

This form is designed to list all of the assessed evidence, indicating its reference code and where it can be found. It allows the candidate and assessor to see at a glance where to find each piece of evidence. If the piece of evidence has been independently assessed, please add (I) after the evidence title.

**Record of achievement (one for the whole qualification)**

This form is designed to record a candidate’s progress through the qualification. It will show, at a glance, which units the assessor considers the candidate to have finished and met all the requirements for, and which elements and units they still need to finish. The use of this form is optional.

**Witness list (one for the whole qualification)**

This form is designed to hold all the necessary information about witnesses who have contributed to a candidate’s evidence of competence. The use of this form is optional.

**Completed examples and master copies of these forms are provided on the following pages.**
OCR Level 3 Award in Assessing Candidates Using a Range of Methods

Evidence Record Sheet

I confirm that the evidence provided is a result of my own work.

Signature of candidate: John Jones Date: 19-10-02

<table>
<thead>
<tr>
<th>Evidence reference or location</th>
<th>Evidence title</th>
<th>Assessment method</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Assessment plan and rationale for J Brown</td>
<td>EP/ERS</td>
<td>✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>2</td>
<td>Assessment plan and rationale for D Ross</td>
<td>EP/ERS</td>
<td>✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>3</td>
<td>Assessment plan and rationale for D Summers (I)</td>
<td>EP/ERS</td>
<td>✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>4 + 5</td>
<td>Assessment decision record and case history for J Brown</td>
<td>EP/ECH</td>
<td>✓</td>
</tr>
<tr>
<td>6</td>
<td>Assessment review with D Ross</td>
<td>EP</td>
<td>✓</td>
</tr>
<tr>
<td>7</td>
<td>Assessment review with D Summers</td>
<td>EP</td>
<td>✓</td>
</tr>
<tr>
<td>10</td>
<td>Assessor observation of assessment planning, assessment observation and feedback to J Brown</td>
<td>O</td>
<td>✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
</tbody>
</table>

Assessment method key: O = observation of candidate; EP = examination of product; EWT = examination of witness testimony; ECH = examination of case history; EPS = examination of personal statement; EWA = examination of written answers to questions; QC = questioning of candidate; QW = questioning of witness; PD = professional discussion

If the piece of evidence has been independently assessed please add (I) after the evidence title

(Please photocopy this sheet for recording further evidence)

I confirm that the candidate has demonstrated competence by satisfying all of the performance criteria for this element.

Signature of assessor: Jane Ramsden Date: 19-10-02

IV initials (if sampled): Barry Gene Date: 20-10-02
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**Knowledge Evidence Record Sheet**

**Unit A1  Assess candidates using a range of methods**

<table>
<thead>
<tr>
<th>Evidence reference or location</th>
<th>Evidence title</th>
<th>Assessment method</th>
<th>Knowledge requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 + 5</td>
<td>Case history about assessment and assessment decisions for J Brown</td>
<td>EP/ECH</td>
<td>1, 2, 3, 4, 5</td>
</tr>
<tr>
<td>10</td>
<td>Assessor observation of assessment planning, assessment and feedback with J Brown</td>
<td>O</td>
<td>6, 7, 8, 9, 11, 12, 13, 14, 15, 16, 17, 18, 19, 21, 22, 23, 24, 25</td>
</tr>
<tr>
<td>11</td>
<td>Witness testimony from IV about feedback</td>
<td>EWT</td>
<td>12, 13, 14, 15, 16, 17, 18, 19, 21, 22, 23, 24, 25</td>
</tr>
<tr>
<td>13</td>
<td>Professional discussion about A1</td>
<td>PD</td>
<td>1, 2, 3, 4, 5, 6, 7, 8, 9, 11, 12, 17, 21, 22, 23, 24, 25, 27, 31, 32, 33, 34</td>
</tr>
<tr>
<td>16</td>
<td>August standardisation meeting minutes</td>
<td>EP</td>
<td>10, 19, 26, 37</td>
</tr>
<tr>
<td>17</td>
<td>Witness testimony from IV about assessment practices</td>
<td>EWT/QW</td>
<td>18, 27, 33</td>
</tr>
<tr>
<td>18</td>
<td>Personal statement about QA procedures</td>
<td>EPS/EP</td>
<td>16, 20, 26, 28, 30, 31, 32, 33, 35, 36, 37</td>
</tr>
<tr>
<td>19</td>
<td>Knowledge &amp; Understanding questions</td>
<td>EWA</td>
<td>1 - 37</td>
</tr>
</tbody>
</table>

**Assessment method key:**  

- **O** = observation of candidate  
- **EP** = examination of product  
- **EWT** = examination of witness testimony  
- **ECH** = examination of case history  
- **EPS** = examination of personal statement  
- **EWA** = examination of written answers to questions  
- **QC** = questioning of candidate  
- **QW** = questioning of witness  
- **PD** = professional discussion

If the piece of evidence has been independently assessed please add (I) after the evidence title.

(Please photocopy this sheet for recording further evidence)

I confirm that the candidate has demonstrated competence by satisfying all of the knowledge requirements for this unit.

Signature of candidate: **John Jones**  
Date: **19-10-02**

Signature of assessor: **Jane Ramsden**  
Date: **19-10-02**

IV initials (if sampled): **Barry Gene**  
Date: **20-10-02**

(Page 1 of 1)
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### OCR LEVEL 3 AWARD IN ASSESSING CANDIDATES USING A RANGE OF METHODS

#### Evidence Summary Record

**Candidate:** John Jones  
**Assessor:** Jane Ramsden  
**Internal Verifier:** Barry Gene

<table>
<thead>
<tr>
<th>Evidence reference</th>
<th>Evidence title and description</th>
<th>Location if not included in portfolio of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Assessment plan and rationale for J Brown (Candidate 1)</td>
<td>Assessors record folder – JB</td>
</tr>
<tr>
<td>2.</td>
<td>Assessment plan and rationale for D Ross (Candidate 2)</td>
<td>Assessors record folder – DR</td>
</tr>
<tr>
<td>3.</td>
<td>Assessment plan and rationale for D Summers (Candidate 3) (1)</td>
<td>Assessors record folder – DS</td>
</tr>
<tr>
<td>5.</td>
<td>Case history for assessment decision record with J Brown and justification of evidence</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Assessment review with D Ross</td>
<td>Assessors record folder – DR</td>
</tr>
<tr>
<td>7.</td>
<td>Assessment review with D Summers</td>
<td>Assessors record folder – DS</td>
</tr>
<tr>
<td>8.</td>
<td>Assessment decision record for D Ross</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Assessment decision record for D Summers</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Assessor observation of planning, assessment and feedback given to J Brown (Candidate 1)</td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>Witness testimony from IV about feedback given to D Ross (Candidate 2)</td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>Witness testimony from IV about feedback given to D Summers</td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td>Professional discussion about A1</td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td>Evidence record sheets for D Ross (Candidate 2)</td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td>Minutes of August standardisation meeting</td>
<td>Assessors minutes folder</td>
</tr>
<tr>
<td>17.</td>
<td>Witness testimony from IV about assessment practice(s)</td>
<td></td>
</tr>
<tr>
<td>18.</td>
<td>Personal report about internal QA procedures and examples of assessment paperwork</td>
<td>Assessment paperwork located in Quality Manual</td>
</tr>
<tr>
<td>19.</td>
<td>Knowledge and understanding questions</td>
<td></td>
</tr>
<tr>
<td>20.</td>
<td>Witness testimony from D Ross/D Summers’ line manager</td>
<td></td>
</tr>
</tbody>
</table>

If the piece of evidence has been independently assessed please add (I) after the evidence title.
## Witness List

<table>
<thead>
<tr>
<th>Evidence reference</th>
<th>Witness name (including contact address and telephone number and witness signature)</th>
<th>Witness status</th>
</tr>
</thead>
<tbody>
<tr>
<td>11 + 17</td>
<td><strong>Mary Whitehouse, Internal Verifier</strong>&lt;br&gt;ABC Training, Short Street, Inverness</td>
<td>C</td>
</tr>
<tr>
<td></td>
<td>Signature of witness: Mary Whitehouse&lt;br&gt;Date: 18-10-02</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td><strong>Jayne MacDonald, Administration Assessor</strong>&lt;br&gt;ABC Training, Short Street, Inverness</td>
<td>A</td>
</tr>
<tr>
<td></td>
<td>Signature of witness: Jayne MacDonald&lt;br&gt;Date: 16-10-02</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td><strong>Trevor Brown, Customer Service Manager</strong>&lt;br&gt;Scottish Tourist Board&lt;br&gt;High Street&lt;br&gt;INVERNESS</td>
<td>E</td>
</tr>
<tr>
<td></td>
<td>Signature of witness: Trevor J Brown&lt;br&gt;Date: 18-10-02</td>
<td></td>
</tr>
</tbody>
</table>

### Status of witness:

A - An assessor, occupationally competent (but not responsible for the assessment of the candidate)

B - An assessor who is not occupationally competent

C - Not an assessor, but occupationally competent and familiar with the standards (eg line manager, colleague)

D - Not an assessor, but occupationally competent and not familiar with the standards (eg supplier)

E - Not an assessor, not occupationally competent and not familiar with the standards (eg customer)
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OCR Level 5 NVQ in Learning and Development

Evidence Record Sheet

I confirm that the evidence provided is a result of my own work.

Element: ______________________________
Signature of candidate: __________________ Date: ____________

<table>
<thead>
<tr>
<th>Evidence reference or location</th>
<th>Evidence title</th>
<th>Assessment method</th>
<th>Performance criteria</th>
</tr>
</thead>
<tbody>
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<td></td>
<td></td>
<td></td>
<td>a b c d e f g h i j</td>
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</tbody>
</table>

Assessment method key: O = observation of candidate; EP = examination of product; EWT = examination of witness testimony; ECH = examination of case history; EPS = examination of personal statement; EWA = examination of written answers to questions; QC = questioning of candidate; QW = questioning of witness; PD = professional discussion

If the piece of evidence has been independently assessed please add (I) after the evidence title

Shade or cross out unnecessary performance criteria (Please photocopy this sheet for recording further evidence)

I confirm that the candidate has demonstrated competence by satisfying all of the performance criteria for this element.

Signature of assessor: __________________ Date: ____________ Countersignature of qualified assessor (if required) and date: ____________

IV initials (if sampled): __________________ Date: ____________ Countersignature of qualified IV (if required) and date: ____________
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OCR Level 5 NVQ in Learning and Development
Evidence Record Sheet for Units A7, A8, B3, B5, C11 and C13

Unit number and title: _______________________________ Element number and title: _______________________________

<table>
<thead>
<tr>
<th>Evidence reference or location</th>
<th>Evidence title</th>
<th>Assessment method</th>
<th>Performance criteria</th>
<th>Range</th>
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<td>a b c d e f g h i</td>
<td>1 2 3</td>
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<td>10 11</td>
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<td></td>
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<td></td>
<td>12</td>
</tr>
</tbody>
</table>

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If the piece of evidence has been independently assessed please add (I) after the evidence title

(Please photocopy this sheet for recording further evidence)

I confirm that the evidence provided is a result of my own work. Signature of candidate: _______________________________ Date: ______________

I confirm that the candidate has demonstrated competence by satisfying all of the performance criteria and range for this element.

Signature of assessor _______________________________ Date: _______________________________ (Page of )

Countersignature of qualified assessor (if required) and date: _______________________________

IV initials (if sampled) and date: _______________________________ Countersignature of qualified IV (if required) and date: _______________________________
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# Knowledge Evidence Record Sheet

**Unit**: ____________________________

**Signature of candidate**: ____________________________  **Date**: _____________

<table>
<thead>
<tr>
<th>Evidence reference or location</th>
<th>Evidence title</th>
<th>Assessment method</th>
<th>Knowledge requirements</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

**Assessment method key**:  
*O* = observation of candidate;  
*EP* = examination of product;  
*EWT* = examination of witness testimony;  
*ECH* = examination of case history;  
*EPS* = examination of personal statement;  
*EWA* = examination of written answers to questions;  
*QC* = questioning of candidate;  
*QW* = questioning of witness;  
*PD* = professional discussion

*If the piece of evidence has been independently assessed please add (I) after the evidence title.*

---

I confirm that the candidate has demonstrated competence by satisfying all of the knowledge requirements for this unit.

**Signature of assessor**: ____________________________  **Date**: _____________  
**Countersignature of qualified assessor (if required) and date**: _____________

**IV initials (if sampled)**: ____________________________  **Date**: _____________  
**Countersignature of qualified IV (if required) and date**: _____________

---

*(Please photocopy this sheet for recording further evidence)*

---

(Page  of )
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## OCR Level 5 NVQ in Learning and Development

### Knowledge Evidence Record Sheet for Units A7, A8, B3, B5, C11 and C13

**Unit number and title:** ___________________________  **Element number and title:** ___________________________

<table>
<thead>
<tr>
<th>Evidence reference or location</th>
<th>Evidence title</th>
<th>Assessment method</th>
<th>Knowledge requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td>1</td>
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</tr>
</tbody>
</table>

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- ECH = examination of case history;  
- EPS = examination of personal statement;  
- EWA = examination of written answers to questions;  
- QC = questioning of candidate;  
- QW = questioning of witness;  
- PD = professional discussion

**If the piece of evidence has been independently assessed please add (I) after the evidence title**

Shade or cross out unnecessary knowledge requirements columns.

(Please photocopy this sheet for recording further evidence)

I confirm that the evidence provided is a result of my own work.  
**Signature of candidate:** ___________________________  **Date:** __________

I confirm that the candidate has demonstrated competence by satisfying all of the knowledge requirements for this element.

**Signature of assessor** ___________________________  **Date:** ___________________________

**Countersignature of qualified assessor (if required) and date:** ___________________________

**IV initials (if sampled) and date:** ___________________________  **Countersignature of qualified IV (if required) and date:** ___________________________

(Page of )
This page has been left blank
### Evidence Summary Record

Candidate:  
Assessor:  
Internal Verifier:  

<table>
<thead>
<tr>
<th>Evidence reference</th>
<th>Evidence title and description</th>
<th>Location if not included in portfolio of evidence</th>
</tr>
</thead>
</table>

If the piece of evidence has been independently assessed please add (I) after the evidence title.
This page has been left blank
## Witness List

<table>
<thead>
<tr>
<th>Evidence reference</th>
<th>Witness name (including contact address and telephone number and witness signature)</th>
<th>Witness status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Signature of witness: ________________ Date: _________</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Signature of witness: ________________ Date: _________</td>
<td></td>
</tr>
<tr>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>Signature of witness: ________________ Date: _________</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Signature of witness: ________________ Date: _________</td>
<td></td>
</tr>
<tr>
<td>Status of witness:</td>
<td>A - An assessor, occupationally competent (but not responsible for the assessment of the candidate)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>B - An assessor who is not occupationally competent</td>
<td></td>
</tr>
<tr>
<td></td>
<td>C - Not an assessor, but occupationally competent and familiar with the standards (eg line manager, colleague)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>D - Not an assessor, but occupationally competent and not familiar with the standards (eg supplier)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>E - Not an assessor, not occupationally competent and not familiar with the standards (eg customer)</td>
<td></td>
</tr>
</tbody>
</table>
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OCR LEVEL 5 NVQ IN LEARNING AND DEVELOPMENT

Record of Achievement

Candidate name: __________________________________________________________

<table>
<thead>
<tr>
<th>UNIT TITLES</th>
<th>Assessor</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Mandatory Units</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>L1 Develop a strategy and plan for learning and development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Centre informed YES/NO Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>L2 Identify the learning and development needs of the organisation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Centre informed YES/NO Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>L18 Respond to changes in learning and development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Centre informed YES/NO Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>G2 Contribute to the development of learning within the organisation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Centre informed YES/NO Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>G3 Evaluate and develop own practice</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Centre informed YES/NO Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>P8 Develop a strategy and plan for the promotion of equality of opportunity and diversity</td>
<td></td>
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</tr>
<tr>
<td>Centre informed YES/NO Date</td>
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<tr>
<td>A7 Establish strategies to guide the work of your organisation</td>
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<td>Centre informed YES/NO Date</td>
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<tr>
<td>Either</td>
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<tr>
<td>B3 Manage the use of financial resources</td>
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<td>Centre informed YES/NO Date</td>
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<td>Or</td>
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<tr>
<td>B5 Secure financial resources for your organisation’s plans</td>
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<td>Centre informed YES/NO Date</td>
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<tr>
<td><strong>Optional Units</strong></td>
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<tr>
<td>L4 Design learning programmes</td>
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<td>L8 Manage the contribution of other people to the learning process</td>
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<td>Centre informed YES/NO Date</td>
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<td>Description</td>
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<tr>
<td>L17</td>
<td>Evaluate and improve learning and development programmes</td>
<td>YES/NO</td>
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<tr>
<td>P13</td>
<td>Design, deliver and evaluate changes to organisational structure</td>
<td>YES/NO</td>
</tr>
<tr>
<td>A8</td>
<td>Evaluate and improve organisational performance</td>
<td>YES/NO</td>
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<tr>
<td>C11</td>
<td>Develop management teams</td>
<td>YES/NO</td>
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<tr>
<td>C13</td>
<td>Manage the performance of teams and individuals</td>
<td>YES/NO</td>
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