

**Candidate guidance and log book**

**Level 4**  
**NVQ**  
**Registered Manager (Adults)**  
February 2003

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Authorised by Peter Goff

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# Section 1: General information about NVQs

## Introduction

This section provides an overview of NVQs. If you are already familiar with the concept of NVQs, you may wish to go straight to *Section 2*.

## What are NVQs?

National Vocational Qualifications (NVQs) are work-based qualifications that assess the skills and knowledge people need to perform their job role effectively. The qualifications are based on national occupational standards, which define what employees, or potential employees, must be able to do and know, how well they must do these things, and the circumstances in which they have to use the skills or carry out the activities.

The standards are usually defined by national training organisations (NTOs), which are made up of representatives from the relevant industrial sector.

The organisation responsible for the standards in the Registered Manager (Adults) NVQ is:

The Training Organisation for the Personal Social Services  
TOPSS  
26 Park Row  
Leeds  
LS1 5QB

Telephone: 0113 245 1716  
Fax: 0113 243 6417  
Email: [www.topss.org.uk/](http://www.topss.org.uk/)

(It is anticipated that NTOs will be replaced by Sector Skills Council during 2003.)

Each NVQ is designed to fit into a broad qualifications framework, which allows for the comparison of different qualifications in the UK and throughout Europe.

NVQs are open to all. There are no entry requirements, no prescribed methods of delivery, no time constraints for completion and no age limits. Candidates do not have to achieve their NVQ all at once, unit accreditation is available for those wishing to achieve an NVQ unit by unit over a period of time.

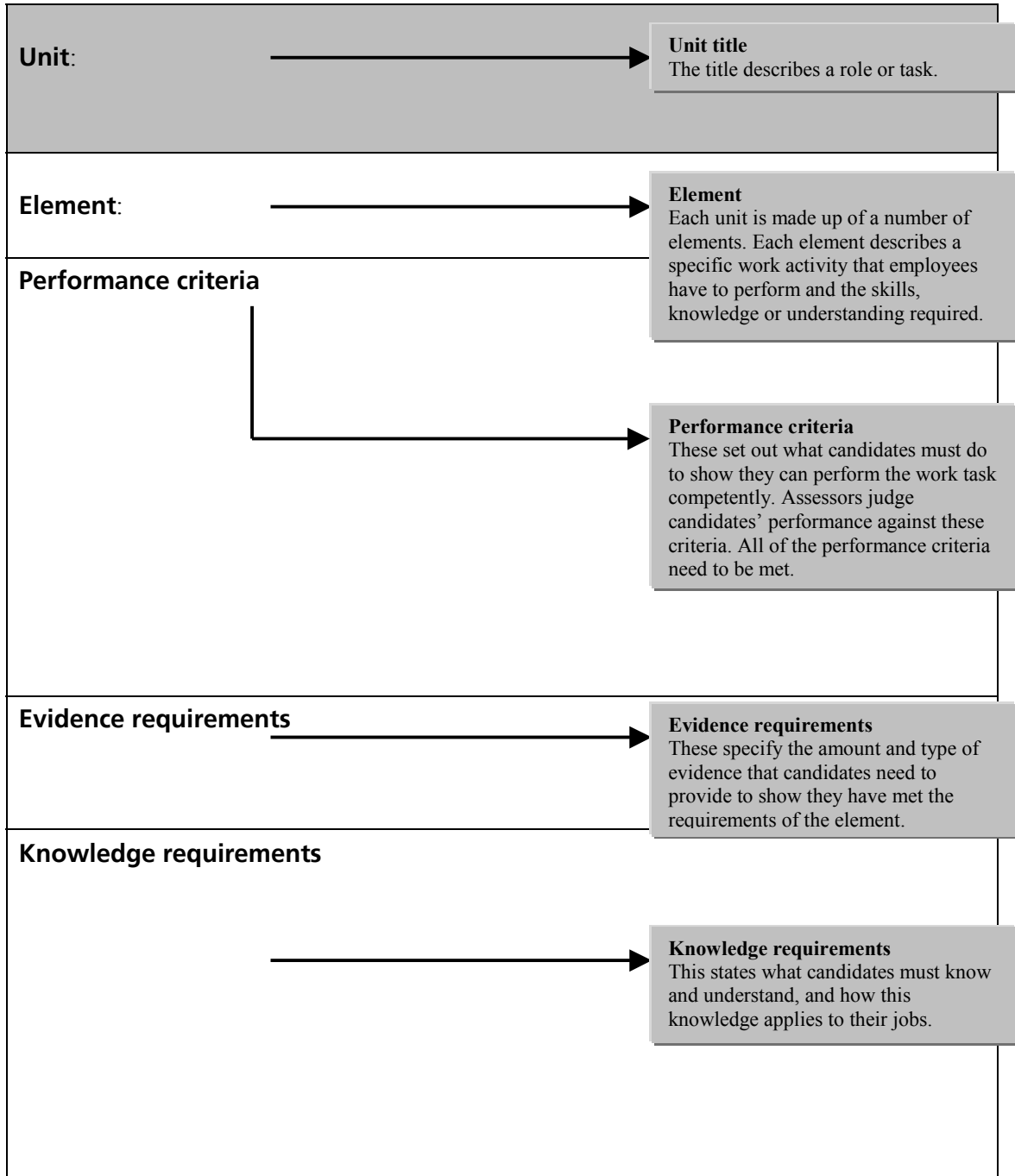
NVQs are available at five levels, which reflect the range of technical and supervisory skills, knowledge, and experience that employees should have as they progress in their industry. An explanation of the levels is provided on the following page.

## Explanation of levels

| Level          | Candidates must show their competence:  |
|----------------|---|
| <b>Level 1</b> | in a range of activities that are largely routine and predictable.  |
| <b>Level 2</b> | in a broader range of work activities that are less routine and predictable. Their job role will need to have some autonomy and responsibility and may require them to work as part of a team.  |
| <b>Level 3</b> | by applying their knowledge and skills while carrying out a broad range of varied work activities, most of which are complex and non-routine. Their job role will have considerable autonomy or responsibility, and often require them to manage others.  |
| <b>Level 4</b> | through complex work activities which that require technical knowledge. Their job role requires substantial personal autonomy and often requires them to take responsibility for the work of others and for allocating resources.   |
| <b>Level 5</b> | when carrying out activities in a wide range of situations, which are often unpredictable. Substantial responsibility and autonomy is involved in the job role, which requires deciding on the allocation of resources and the work of others. It requires the use of complex skills such as analysis, design and evaluation. |

## What is the structure of an NVQ?

All NVQs have a common structure. They consist of standards that can be broken down into the following parts:



## Who is involved in NVQs?

A number of individuals and organisations are involvement in NVQ assessment. Their roles have been designed to guarantee fair, accurate and consistent assessment.

|                     | <b>Who are they?</b>  | <b>What is their role?</b>   |
|---------------------|---|--|
| Approved Centres    | <ul style="list-style-type: none"> <li>Organisations approved by Edexcel to co-ordinate assessment arrangements for NVQs. They may be a school, college, university, training provider or employer.</li> </ul>  | <ul style="list-style-type: none"> <li>Manage assessment on a day-to-day basis.</li> <li>Must have effective assessment practices and internal verification procedures.</li> <li>Must meet criteria laid down by awarding bodies and be able to provide sufficiently competent assessors and internal verifiers.</li> </ul>        |
| Candidates          | <ul style="list-style-type: none"> <li>The people who want to achieve the NVQ.</li> </ul>   | <ul style="list-style-type: none"> <li>Need to show they can perform to national standards in order to be awarded an NVQ or unit(s).</li> </ul>  |
| Advisers *          | <ul style="list-style-type: none"> <li>The person who helps the candidate prepare for assessment.</li> </ul>  | <ul style="list-style-type: none"> <li>Encourage and support the candidate through the assessment process</li> <li>Identify opportunities for the candidate to gather relevant evidence</li> </ul>   |
| Assessors*          | <ul style="list-style-type: none"> <li>The person who assesses the candidates and decides if they have met the required standard.</li> </ul>  | <ul style="list-style-type: none"> <li>Judge candidate's evidence of performance, knowledge and understanding against the national standards and decide whether candidates have demonstrated competence.</li> </ul>  |
| Internal verifiers* | <ul style="list-style-type: none"> <li>Individuals appointed by the centre to ensure the quality of advice and assessment within the centre.</li> </ul>   | <ul style="list-style-type: none"> <li>Advise and support assessors and advisers to maintain the quality of assessment in a centre.</li> <li>They systematically sample assessments to confirm the quality and consistency of assessment decisions.</li> </ul>   |
| External verifiers* | <ul style="list-style-type: none"> <li>Individuals appointed by Edexcel to ensure that standards are being applied uniformly and consistently across all centres offering the NVQ.</li> </ul>   | <ul style="list-style-type: none"> <li>Check the quality and consistency of assessments, both within and between centres by systematic sampling.</li> <li>Make regular visits to centres to ensure they continue to meet the approval criteria.</li> </ul>   |
| Edexcel             | <ul style="list-style-type: none"> <li>Your awarding body, approved by the government to offer qualifications and awards. Edexcel provides qualifications throughout the world and was formed in 1996 by the merger of the Business and Technician Education Council (BTEC) and London Examinations.</li> </ul> | <ul style="list-style-type: none"> <li>They approve centres.</li> <li>Operate quality assurance systems.</li> <li>Appoint external verifiers to ensure that standards of assessment and verification are maintained.</li> <li>Liaise with NTOs to provide guidance for centres.</li> <li>Issue candidates' certificate.</li> </ul> |

\*Advisers, assessors and internal and external verifiers are required to have occupational expertise in the NVQs which they are assessing/verifying. Assessors and internal verifiers must also have, or be working toward an appropriate qualification in assessment or verification.

Edexcel expects all assessors, internal verifiers and external verifiers to obtain the appropriate qualifications within **18 months** of starting assessing or verifying.

You can contact us at:

Edexcel Foundation  
Stewart House  
32 Russell Square  
London WC1B 5DN

Customer Services:

Telephone: 0870 240 9800  
Fax: 020 7393 4501  
Email: enquiries@edexcel.org.uk

## How are NVQs achieved?

When you consistently meet the standards described in the elements and show that you have the required skills and knowledge, you can then claim that you are competent in each unit. You can claim certification for single units or whole awards. Your claim to competence is registered through the awarding body. The awarding body you are registered with for this NVQ is Edexcel, who can be contacted at:

Edexcel Foundation  
Stewart House  
32 Russell Square  
London WC1B 5DN

### Customer Services

Telephone: 0870 240 9800  
Fax: 020 7393 4501  
Email: enquiries@edexcel.org.uk

To achieve an NVQ, or a unit of an NVQ, you must:

demonstrate you meet the requirements of the performance criteria by collecting appropriate evidence as specified by the evidence requirements. This evidence is assessed against the national standards by a qualified assessor, who will be allocated to you by your centre.

Evidence may come from:

- **current practice** – where evidence is generated from a current job role or
- the **accreditation of prior learning** – where evidence relates to past experience or achievements
- a combination of these.

## How are NVQs assessed?

Assessment is based on what you can do and involves you (the candidate), your assessor, an internal verifier and an external verifier – see *Who is involved in NVQs?* on page 4.

You will be asked to prove you are competent by providing evidence that shows you:

- can perform consistently to the required standard
- understand why you are doing things (**knowledge and understanding**)
- can apply the required skills in different ways (**evidence requirements**).

Assessment is flexible and you can be awarded a certificate for each unit you successfully achieve, even if you do not complete the full NVQ. There is no set period of time in which you need to complete a unit or NVQ. However, you and your assessor should still set target dates for completing each unit. Be realistic though, as there are many factors such as your previous experience and demands within your workplace which will affect how quickly you are able to achieve the qualification.

## What is evidence?

To claim competence for an NVQ unit you need to gather evidence which shows you have met the standards. It is important that your evidence is easily understood so that it can be checked against the standards, by both your assessor and the awarding body.

Evidence can take many forms including:

- direct observation of your performance by your assessor
- products of your work
- authenticated statement – witness testimony
- personal statement
- outcomes from questioning
- outcomes from simulation
- case studies
- assignments or projects
- Accreditation of Prior Learning (APL) – evidence from the past.

It is important that your evidence is:

- **valid** – it relates to the NVQ standard you are trying to prove
- **authentic** – the evidence, or an identified part of it (eg a report) was produced by **you**
- **consistent** – achieved on more than one occasion
- **current** – that it demonstrates your present ability to meet the standards
- **sufficient** – covers all the performance and knowledge requirements laid down in the standards.

**Note:** You should check carefully that your evidence covers all of the above criteria – if you are in any doubt about whether to use a piece of evidence, you should ask your assessor for guidance.

Your evidence may be collected through a range of sources, such as employment, voluntary work, training programmes and interests/activities which you perform outside your work. It can also be produced in various formats, eg your own reports; testimonies from colleagues, supervisors or members of the public; projects; audio tapes, photographs; videos.

When you first begin your NVQ, you and your assessor should identify all the units and elements where you can use **integration of assessment**. Further details about integration of assessment can be found on page 8.

### **Demonstrating knowledge, understanding**

In order to meet the standards, you may also be required to prove knowledge and understanding. Each unit contains a list summarising the knowledge a candidate must possess. Evidence of how these have been achieved and applied could be included in the performance evidence as one or all of the following:

- descriptions of why a particular approach was used
- personal reports about the learning process
- reflective reports which include how a theory or principle was applied
- professional discussion
- responses to questioning.

These should be included in your portfolio.

### **How will my assessor check I have the knowledge listed in the standards?**

For some units, it will be clear to your assessor that you have the required knowledge and understanding from how you carry out your work. This is often referred to as knowledge and understanding apparent from performance. There will be other occasions though, when your assessor will be unsure if you know why, for example, it is important to give information to clients in certain situations. This could be because your assessor has not had the opportunity to observe all the performance criteria and evidence requirements during assessment. In these situations, your assessor may wish to assess your knowledge and understanding by asking you some questions. These questions can be given orally or in writing.

Your assessor will also check you have the required level of knowledge and understanding through your personal statements.

### **What if I have previous experience and knowledge from work and other qualifications?**

If you have previous work experience, skills, and knowledge which you feel is relevant to your NVQ, you should tell your assessor about it. Your assessor will ask you for evidence.

For example, you may have achieved an HNC in a relevant subject in which case your assessor will look at how this can be used to demonstrate your knowledge required for the NVQ.

The process of matching your previous experience and learning is referred to as the Accreditation of Prior Learning (APL). The purpose of this process is to try and give you some credit towards your NVQ for things you can already do to the national standard. This means that your assessor should not have to assess you for these things all over again.

However, the success of this process depends on **you** telling **your assessor** what previous work experience or knowledge and understanding you have and how you think it is relevant to your NVQ. The more information you can supply to support your claims, the easier it should be to convince your assessor that you are competent.

Further guidance on *Accreditation of Prior Learning* can be found in Section 3.2 of the Assessment Guidance (*Appendix I*).

## When can simulation be used?

The assessment strategy for the Registered Manager NVQ/SVQ specifies:

*“The use of evidence generated from real work activities is always the preferred method. However in some situations it may not be possible for candidates to provide evidence generated from real work activities. Simulation of work can provide an acceptable alternative; the elements where this can be used are specified.*

*In order to ensure the validity of these simulations awarding bodies must issue guidance to their centres outlining how simulations should be planned and organised. This guidance must ensure that the demands on candidates during simulation are consistent with those they would meet in their real work situation.”*

Further guidance on simulation can be found in Section 3.5 of the Joint Awarding Body Assessment Guidance (*Appendix I*).

## Integration of assessment

It is not necessary for you to have each performance criterion assessed separately – doing so could result in assessment which takes too long and places too great a burden on you and your assessor.

There will be instances when you will be able to use one piece of evidence to prove your competence across different elements or performance criteria. You may even find that evidence is relevant for different units – this is called **integration of assessment**.

When you first begin your NVQ, you and your assessor will spend time looking at the standards, planning how much time you are both able to devote to the qualification and drawing up an action plan.

At this stage, you should identify any activities which relate to more than one unit or outcome and arrange for the best way to collect a single piece of evidence which satisfactorily covers all the performance criteria.

If you are going to integrate assessments, make sure that the evidence is cross-referenced to the relevant units. Details of how to cross reference your evidence can be found in *How to compile your portfolio* Section 2.

## **Section 2: How to compile your portfolio (including worked examples)**

### **General information**

A portfolio, like a log book, is a way of recording evidence of your achievements. It is a collection of different items of evidence which indicates that you have the required skills, knowledge and understanding to support your claim to a qualification.

The production of a well-organised, clearly labelled portfolio which relates each piece of evidence to the relevant performance criteria requires a careful methodical approach. When your assessor looks through your portfolio, they will find the task of making judgements about your competence much easier if the information in it is presented in a logical sequence.

You will need to present your evidence in a format that is easy to read and in which materials can be added or taken away. This section gives suggestions on how to lay out and present your evidence and includes worked examples. There are also forms and matrices which will assist you to chart your progress.

You do not have to lay out your evidence in the way suggested but you may find it helpful to do so. Each portfolio will be different in content but all should include information about you (the candidate), the organisation where you are undertaking your qualification, the assessor and so on.

There has been a general move toward using a range of assessment methods that means candidates do not have to rely solely upon using a portfolio where centres have arrangements for an alternative presentation by the candidate of their competence. Whatever assessment route is used, there needs to be clear documentation that shows what evidence has been presented and how the assessor has come to his/her judgement.

The following advice assumes that a portfolio is being used, but many of the principles and paperwork would apply whatever assessment approach was used.

### **Planning your portfolio**

Start by carefully reading through the standards and, together with your assessor, decide which units you might like to work on first. You do not have to do the units in order. There may be some units that relate to tasks which you carry out on a regular basis, therefore making it easier to collect evidence right away. Alternatively, there may be activities in other units which you only undertake now and again, these can be left until the opportunity arises for you to collect evidence.

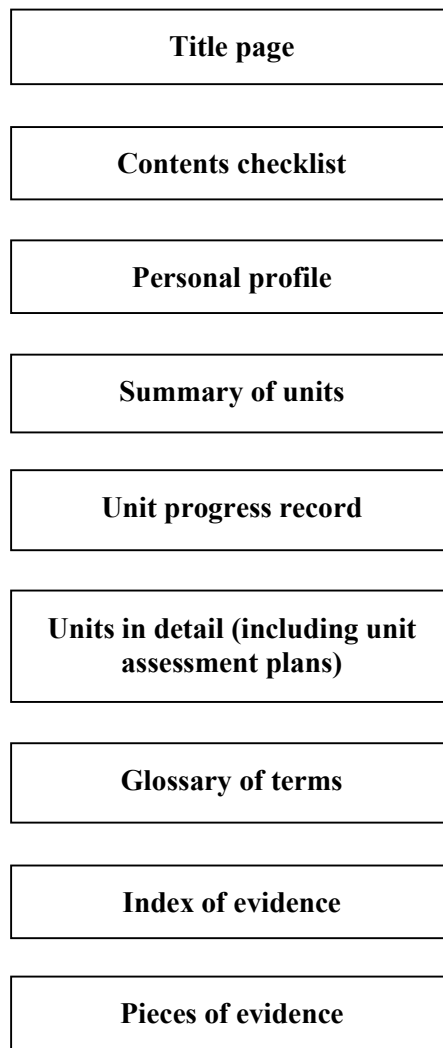
Before you start looking for different kinds of evidence and deciding if they should be included in your portfolio, you will find it helpful to plan how you will carry out the tasks and how long they may take.

## Starting your portfolio

Make sure that you clearly label your portfolio (or disk if you are recording your evidence electronically) with your name together with the title and level of the award.

Your portfolio will need a title page and a contents page. You should also complete a Personal Profile, which records details about yourself and your job as well as providing information about your employer, training provider or college. Blank samples of these forms are provided in *Section 4*.

We recommend that you compile your portfolio in the following order:



## Contents checklist

You might also find it useful to complete the following checklist as you work your way through your portfolio. This will help you to see if you have included all the relevant items. Once you have completed your portfolio, you will be able to use this checklist again as a contents page, by inserting the relevant page or section numbers in the right hand column.

|  | COMPLETED?               | PAGE/SECTION<br>NUMBER |
|--|--------------------------|------------------------|
| <b>Title page for the portfolio</b>  | <input type="checkbox"/> |                        |
| <b>Personal profile</b>  |                          |                        |
| • your own personal details  | <input type="checkbox"/> |                        |
| • a brief CV or career profile   | <input type="checkbox"/> |                        |
| • description of your job  | <input type="checkbox"/> |                        |
| • information about your employer/training provider/college                    | <input type="checkbox"/> |                        |
| <b>Summary of the units</b>  | <input type="checkbox"/> |                        |
| <b>Completed units</b>   |                          |                        |
| • signed by yourself, your assessor and the internal verifier (where relevant) | <input type="checkbox"/> |                        |
| • reference numbers included   | <input type="checkbox"/> |                        |
| • unit assessment plans  | <input type="checkbox"/> |                        |
| <b>Unit progress record</b>  | <input type="checkbox"/> |                        |
| <b>Index of evidence</b> (with cross-referencing information completed)        | <input type="checkbox"/> |                        |
| <b>Evidence</b> (with reference numbers)                                       |                          |                        |
| • observation records  | <input type="checkbox"/> |                        |
| • witnesses status list  | <input type="checkbox"/> |                        |
| • witness testimony  | <input type="checkbox"/> |                        |
| • personal statements  | <input type="checkbox"/> |                        |
| • work products  | <input type="checkbox"/> |                        |
| <b>Record of assessor feedback</b>   | <input type="checkbox"/> |                        |
| <b>Record of questions and answers</b>   | <input type="checkbox"/> |                        |

## Collecting your evidence

All of the evidence which you collect and present for assessment must be relevant to your NVQ. Your assessor will help you choose which pieces of evidence you should include.

We have provided blank forms in this document, which you can photocopy to help you record and present your evidence. Although we have provided you with sample forms, your centre may have their own recording documents which they would prefer you to use.

Some of these forms eg **observation records** and the **record of questions and answers**, will be completed by your assessor. Other forms (**witness testimonies**) will be used by people other than your assessor to testify that they have observed you doing your job, and there is one for you to complete called a **personal statement**.

Explanations are given below about how and when these forms should be used.

### Example 1: Unit progress record

This form enables you and your assessor to see at a glance what stage you are at in this qualification.

Each time you achieve a unit of your NVQ, you should ask your assessor to put his/her signature and the date next to the relevant unit title. Before signing next to a unit title, the assessor will need to make sure that you have completed the recording documents correctly and that your evidence can be easily located.

### Example 2: Index of evidence

The index of evidence should be placed at the front of your portfolio. As you produce pieces of evidence, you should give each piece a unique number. You should then complete the index of evidence so the evidence can be located easily. Every piece of evidence should be numbered and referenced on the index, including evidence that is not located in the portfolio, such as confidential information that it would be inappropriate to take out of the workplace.

The internal verifier should complete the final column of the sheet if they sample the evidence.

### Example 3: Unit assessment plan

Before you begin to collect any evidence it will be helpful for you to compile, with your assessor's help, an assessment plan. The plan will define the tasks to be carried out and the evidence that will be generated. The tasks will be your normal working activities and the plan will identify assessment methods.

Producing an assessment plan will help to identify suitable opportunities for integrating assessment of different units.

### Example 4: Evidence reference form

This lists the performance criteria, evidence and knowledge requirements in an element. You should list the evidence you are presenting for the element and cross-reference it to indicate what the evidence demonstrates.

## **Example 5: Personal statement**

You should use a personal statement to describe your practice and how it meets the standards. It can record your experience of how you handled a specific situation. You should describe what you did, how you did it and why you did it. You can refer to other people who were present (who may provide you with a 'witness testimony') (see example 7). Witness testimonies and other evidence referred to in the personal statement should be noted in the 'Links to other evidence' column on the statement form.

You might also use the personal statement to put a piece of evidence in context for your assessor so that he/she can see its relevance to the NVQ.

The personal statement is a piece of evidence in itself and should therefore have an evidence number and be included on the index of evidence.

## **Example 6: Observation record**

Your assessor should use this form to record his/her observations of you as you work. The form allows them to:

- describe the skills they have seen you use
- describe the activities they have seen you perform
- specify the parts of the units that are covered by the observation
- provide details of the knowledge and understanding apparent from your performance
- list the units/elements to which the evidence contributes (integration of assessment).

There is space on the form for your assessor to note his/her comments or feedback to you. Once completed, the form should be referenced as evidence and included in your portfolio and index of evidence.

There are six units within the qualification where there must be evidence for each element through direct observation by the assessor of the candidate undertaking real work activities.

## **Example 7: Witness testimony**

In some instances, it may be appropriate for another person to comment on your performance by completing a statement called a 'witness testimony'.

Witness testimony should:

- be provided by a person who is not related to you and is in a position to make a valid comment about your performance, eg a supervisor, line manager, a client or customer.
- contain comments that specifically relate your performance to the NVQ standards and describe your behaviour as perceived by the witness, rather than simply affirm that you meet the standards.
- include a description of the context in which your performance has been observed by the witness.
- be authenticated by the inclusion of the witness's signature, role, address, telephone number and the date testimony was provided.

Witness testimony may be very strong evidence where its provided by a qualified assessor with knowledge of the standards and/or who has particular expertise in the subject being commented upon. It may also be very strong evidence where the performance criteria are about the impact of your behaviour on other people and the witness describes the impact they experienced.

### **Example 8: Witness status list**

The assessor needs to judge the relevance and weight of witness testimony. It is therefore important to know the relationship between you and the witness and the qualification of the witness to comment upon your performance. This form must be an original to help the assessor use these signatures as a basis for assuring her/himself of authenticity of witness testimonies used by you.

### **Example 9: Record of assessor feedback**

On completion of assessment events your assessor should give you feedback about your performance, informing you if you have been successful in achieving the required level of competence. The assessor should make sure that you are clear about their assessment decision and fully understand what they are saying. The form should record the feedback in sufficient detail for an internal verifier to see how your assessor arrived at their assessment decision. You should both sign and date it before filing it into the relevant section of your portfolio.

### **Example 10: Record of questions and candidate's answers**

This form is used to record any questions your assessor asks you to establish that you meet the standards and particularly that you have the knowledge and understanding required by a unit. Your answers will also be noted. Both you and the assessor should sign and date the form.

### **Worked examples**

To give you a clearer picture of how to compile your portfolio, you will find worked examples of the various forms over the next few pages. You should ask your assessor for further advice and support if you are still unsure about how to use the forms and who should complete them.

### Example 1: Unit progress record

**Qualification and level:** Registered Manager (Adults) Level 4

**Candidate:** Claire Masters

| Unit No | Unit title  | Date     | Candidate signature | Assessor signature | Independent assessor signature | Units sampled IV signature | Units sampled EV signature |
|---------|---|----------|---------------------|--------------------|--------------------------------|----------------------------|----------------------------|
| O3      | Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people |          |                     |                    |                                |                            |                            |
| RM1     | Manage a service which meets the best possible outcomes for the individual  | 12/04/02 | <i>C Masters</i>    | <i>S. Coombs</i>   |                                |                            |                            |
| B3      | Manage the use of financial resources   | 12/04/02 | <i>C Masters</i>    | <i>S. Coombs</i>   |                                |                            |                            |
| C13     | Manage the performance of teams and individuals   |          |                     |                    |                                |                            |                            |

**Full award achieved on:** .....

**Signature of internal verifier:** ..... **Date:** .....

## Example 2: Index of evidence

**NVQ title and level: Registered Manager (Adults) Level 4**

**Candidate name:** Claire Masters

| <b>Evidence number</b> | <b>Description of evidence</b>      | <b>Included in portfolio (Yes/No)<br/><i>If No, state location</i></b> | <b>Units/elements to which evidence links</b> | <b>Internal verifier signature and date of sampling</b> |
|------------------------|-------------------------------------|--|---|---|
| 1                      | Personal statement                  | Yes  | B3  |   |
| 2                      | Personal statement                  | Yes  | HSCL4U9                                       | <b>M DAY</b><br>24/03/02                                |
| 3                      | Personal statement                  | Yes  | D2  |   |
| 4                      | Observation record                  | Yes  | HSCL4U9.4                                     |   |
| 5                      | Minutes from Team meeting           | RH's File (Personnel)  | D2.1<br>D4.4<br>HSCL4U9.1                     | <b>M DAY</b><br>24/03/02                                |
| 6                      | Witness Testimony/<br>J Stansfield  | Yes  | HSCL4U9.3<br>D4.4                             | <b>M DAY</b><br>24/03/02                                |
| 7                      | Diary entry re meeting with S Green | Unit diary kept in office  | HSCL4U9.4                                     |   |
| 8                      | Witness Testimony/J Black           | Yes  | RG6.3   |   |
|                        |                                     |  |   |   |
|                        |                                     |  |   |   |
|                        |                                     |  |   |   |
|                        |                                     |  |   |   |
|                        |                                     |  |   |   |

### Example 3: Unit assessment plan

**Unit B3: Manage the use of financial resources**

**Candidate:** *Claire Masters*    **Assessor:** *Sandy Coombs*    **Expected completion date:** *20/03/02*

**Identified relevant work activities and evidence to be generated**

| Activity  | Evidence   | Performance criteria, evidence & knowledge requirements                | Links to other units/elements       |
|---|--|--|-------------------------------------|
| <b>Element 1: Make recommendations for expenditure</b>                |  |  |                                     |
| Consultation with team at team meeting about expenditure suggestions. | Team minutes.  | Pc: a<br>Ev : 1a, 2b, d<br>Kn: a, e                                    | Units O3, OM4U2, SNH4U1             |
| Prepare and deliver presentation for management team meeting.         | Notes and materials from presentation.<br>Observed performance.<br>Witness testimony and feedback. Minutes of meeting. Completed presentation checklist. | Pc: b, c, d, e, f, g<br>Ev: 1b, 1c, 2b, 2d, 3a, 3b<br>K: b, c, d, f, l |                                     |
| <b>Element 2: Control expenditure against budgets</b>                 |  |  |                                     |
| Set objectives with team members at team meeting.                     | Direct observation   | Pc: a, b<br>Kn: b, c, d  | Units O3, OM4U2, SNH4U1, D2.1, D4.3 |
| Supervision and day to day walking the job.                           | Supervision records and witness testimony from supervisor  | Pc: a, b, c<br>Ev: 1a, 1b, 2a, 2b, 2c, 2d<br>Kn: a, g                  |                                     |
| Completing and analysing monthly financial returns.                   | Financial records and returns, budget statements with explanation of analysis and corrective actions   | Pc: c, d, e, f, h<br>Ev: 1c, 3a, 3c<br>Kn: d, e, g, h, i               |                                     |

**Additional comments:** Claire to brief team on my attendance for observation. Element B3.2 performance criteria g and knowledge f to be covered through oral questioning.

**Assessor's signature:** *Sandy Coombs*

**Candidate's signature:** *Claire Masters*

**Date:** *13/03/02*

### Example 4: Evidence reference form

| Element number/title: C10.4 Support individual learning and development |                 |                                     |   |   |   |   |   |   |   |   |   |   |   | Candidate name: <i>Claire Masters</i> |                             |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
|---|-----------------|-------------------------------------|---|---|---|---|---|---|---|---|---|---|---|---------------------------------------|-----------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Item of evidence  | Evidence number | Related to performance criteria (✓) |   |   |   |   |   |   |   |   |   |   |   | Range/<br>Evidence requirements       | Knowledge evidence link (✓) |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
|   |                 | a                                   | b | c | d | e | f | g | h | i | j | k | l |                                       | a                           | b | c | d | e | f | g | h | i | j | k | l | m | n | o | p | q | r | s |
| Personal account  | 87              | ✓                                   | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |   |   |   |   | 1a 2a                                 | ✓                           | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |   |   |   |   |   |   |   |   |   |
| MPL profiles  | 88              | ✓                                   |   |   |   |   |   |   |   |   |   |   |   | 1a 2a                                 |                             |   |   |   |   |   |   | ✓ | ✓ | ✓ |   |   |   |   |   |   |   |   |   |
| Supervision records   | 89              | ✓                                   | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |   |   |   |   |   | 1a 2a                                 |                             | ✓ | ✓ |   | ✓ | ✓ | ✓ | ✓ |   |   |   |   |   |   |   |   |   |   |   |
| JM and BD witness testimony   | 90              | ✓                                   | ✓ | ✓ |   | ✓ | ✓ | ✓ |   |   |   |   |   | 2a                                    |                             |   |   | ✓ | ✓ |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Task brief and mentor agreement   | 91              | ✓                                   | ✓ |   |   |   |   |   |   |   |   |   |   | 1a 1c<br>2a                           |                             | ✓ | ✓ |   | ✓ |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Manager's meeting observation   | 92              | ✓                                   | ✓ | ✓ |   |   |   |   |   |   |   |   |   |                                       |                             |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Business plan abstract  | 93              |                                     | ✓ |   |   |   |   |   |   |   |   |   |   |                                       |                             |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| Promoting independence trg prog   | 94              | ✓                                   | ✓ | ✓ |   |   |   |   |   |   |   |   |   |                                       | ✓                           |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |

I have reviewed this evidence with the candidate and I am satisfied that sufficient evidence has been collected to demonstrate competence for this element.

**Independent assessor/assessor signature:** *Sandy Coombs* **Date:** *13/03/02*

I have received feedback on my assessor's judgements during the collection of this evidence.

**Candidate signature:** *Claire Masters* **Date:** *13/03/02*

## Example 5: Personal statement

| Element C10.4 Support Individual Learning and Development |  |   |
|---|--|---|
| Units, elements, PCs and range                            | Details of statement   | Evidence index number                             |
| a   | I have come to appreciate that not every member of staff needs the same amount or type of support as each other.   |   |
| b   |  |   |
| c   | <p>For example, two of my assistant managers have done the management NVQ level three and their approach was very different. JM occasionally wanted witness testimonies from me, but otherwise preferred to get on with it without reference to me. BD seemed to need to talk with me about almost everything that he submitted. I had been aware of their different needs before they completed the MPL questionnaires, but spending time in supervision to look at each of their profiles helped us to talk about and agree the support that each of them needed. I agreed to spend more time with JM than I might otherwise have done because we acknowledged that her tendency to feel that she didn't need a lot of my attention meant she ran the risk of not benefiting from my greater professional knowledge and experience. Therefore, we have a standing item within supervision to discuss her NVQ work and for me to share my professional experience. With BD almost the reverse is true! He has a lot of experience but lacks confidence until he has checked things out with me. He was seeking me out throughout the days and weeks to discuss his NVQ work on an ad hoc basis. We have agreed that monthly supervision is too infrequent to meet his needs for support but have also agreed that ad hoc interruptions to my work are inefficient for both of us. We considered brief meetings on a pre-planned daily basis, but could not identify any regular daily time that wouldn't disrupt his work, my work or others in the team. Therefore we agreed to meet mid morning every Thursday to look at what he's doing on his NVQ. (Evidence 88, MPL profiles; Evidence 89 supervision records, evidence 90 witness testimony from JM and BD.)</p> <p>It could be very easy to slip into allocating tasks to staff on the basis of who can already do it. But if we did this we would run the risk of creating specialists who would become indispensable and we'd have problems if they left. It is also more interesting for staff if they get the chance to learn and do a variety of tasks. At our fortnightly meeting between the three assistant managers and myself I frequently challenge their ideas about how tasks should be allocated. For example, we had decided to re-write our admissions procedure and it would have been natural for one of the assistants to take the lead. After discussing it we agreed that PP, one of the senior care assistants should be given the task because it would provide a good learning opportunity for her. (Evidence 91 Admissions procedure re-write task brief and mentoring agreement, Evidence 92, Assessor observation report on fortnightly managers meeting.)</p> | <p>88</p> <p>89</p> <p>90</p> <p>91</p> <p>92</p> |

|          |   |                     |
|----------|---|---------------------|
|          | <p>Every member of staff has monthly supervision part of the purpose of which is that they receive coaching and mentoring from their supervisor. I supervise the three assistants, the cook and the clerical assistant. All the other staff are supervised by the assistant managers, but I sample their supervision records to ensure that everyone is getting supervision and that the quality of it is ok. This includes making sure that it is developmental and not just task focused.</p> <p>Annually (February) there is a development plan agreed between the supervisor and supervisee and this is reviewed and revised in monthly supervisions. In February we also have to agree our centre's business plan which includes the team's staff development plan. (Evidence 93, extract from last years business plan.) I make sure that we have thought about the developmental implications of the business plan for each individual. It can be quite hard to get the night care staff (particularly the older staff) to take an interest in their development and it is also very easy for them to miss out on the things that we do as a team – inevitably in the daytime. I have run early evening sessions and paid for the night staff to attend when I have given presentations based on seminars that I have been to. (Evidence 94, programme for training session on promoting independence, led by Mary Shelley.)</p> | <p>93</p> <p>94</p> |
| <p>d</p> | <p>Mainly this happens through supervision, but not exclusively. I am routinely responsible for monitoring the administration of medicine, but when someone new is doing it I look especially carefully at their record keeping. I regularly walk the job and try to connect with what training programmes staff are currently doing. For instance when the cook was doing a course on West Indian cooking I made a point of more frequently spending time in the kitchen and talking to her about how things were going. As a result I was able to quickly pick up on her need for some different utensils, without which she could not practice some of what she had been taught.</p> <p>Another example is how I detected that the clerical assistant was failing to use the database software properly. When I debriefed him after the course he had attended he was positive and successfully produced a database of all our residents. However, the next time we needed to send a letter to relatives I noticed that he hand wrote the envelopes and therefore I asked him why he'd not printed address labels. It became clear that he'd not used and thus forgotten some of the database functions, so I arranged for our IT specialist to spend half an hour coaching him as a refresher.</p>  |                     |

|                            |   |           |
|----------------------------|---|-----------|
| <p>e</p> <p>f</p> <p>g</p> | <p>My supervision sessions always end with some discussion and reflection on how well the session has gone. This includes my getting feedback about how supportive I have been. Staff do not always respond in an uninhibited way. With my three assistant managers, they have learnt that I am genuinely interested in getting feedback and that I am not likely to be defensive or aggressive. (Evidence 90 witness testimony from JM and BD.) The cook is relatively new to the centre and I am only just establishing my relationship with her.</p> <p>At one level I am clear about the feedback that she gives me, for instance, when I go into the kitchen at the ‘wrong time’ and I think I respond positively by getting out and leaving it until later to speak to her. In supervision she has been cautious about what she says to me, but more latterly she has realised that when I understand her needs, then I have been able to support her better. For example, she was quite dismissive of the praise that I gave her when she cooked West Indian dishes after the course she had attended. I picked this up as difficulty in accepting compliments, but when I addressed this in supervision she explained that what she wanted was feedback from someone who knew what it should taste like. I arranged for two things to happen – I invited a West Indian colleague to have lunch at the centre and I encouraged the cook to get feedback from our two West Indian residents. She was delighted to get a thumbs up and suggestions about how to improve.</p> <p>In theory it’s supposed to be best to give feedback as soon as possible after the event, but there are a variety of reasons why I rarely do this. Often feedback is about how staff treat residents and it’s highly inappropriate to comment in front of residents. So I make notes of what I saw or heard and use these to make sure that I can give very specific feedback. It’s also pointless to give feedback unless you think that the person is ready to hear it. So when they are very stressed is a bad time. Supervision is a good setting for talking about practice and helping staff learn from feedback but a month is too long to wait. So if they are calm and private and I have time to discuss it, I will give feedback immediately after the event. Normally I have to look for a moment later in the day or the week. I try to remember to make a note of what I saw/heard and what I then said so that we can discuss it at supervision if necessary. (Evidence 90 witness testimony from JM and BD.)</p> <p>I am particularly conscious of how easy it is to give someone feedback about how they are doing something wrong and talk about how they should do it, but never acknowledge when they have got it right. I try to make a point of looking out for a chance to give positive feedback when this happens and aim to repeat this more than once. I believe that positive feedback needs a lot of repetition to reinforce new habits.</p> | <p>90</p> |
|----------------------------|---|-----------|

|   |   |  |
|---|---|--|
| h | <p>The biggest blockage we experience is time. Time to reflect; time to be deliberate and slower when trying something new. What I try to do is allocate work across the team so that time is allowed for people who are engaged in learning programmes. I try to make this an open process that involves the whole team, so that the whole team understands the pressures that each person is under. I do some planning with my assistant managers but then put our proposals to the team at our monthly briefing meeting. I find that allowing staff to see what each other have on their plate tends to lead to greater cooperation and a willingness to take on tasks.</p> <p>By giving staff a chance, I have been surprised by what people volunteer for – tasks that I would not have thought to delegate to them. I strongly believe that if we allow someone time for their studies you have to reduce their workload, otherwise it's a sham, and you have not given them anything at all. So its my job to agree our priorities with my assistant managers and be clear about how we do less or work smarter to accommodate development.</p> <p><b>Name (candidate):</b> <i>Mary Shelley</i></p> <p><b>Signed (candidate):</b> <i>Mary Shelley</i>      <b>Date:</b> <i>13/3/02</i></p> |  |
|---|---|--|

## Example 6: Observation record

**Unit/element(s):** D2.1, D4.1, C10.4

**Candidate:** Mary Shelley **Date of observation:** 16/11/01

**Independent assessor/assessor:** Bill Blake

**Evidence index number:** 92

| Skills/activities observed:   | Unit/element | PCs       | Range/evidence requirements | Knowledge |
|---|--------------|-----------|-----------------------------|-----------|
| I observed Mary lead her regular fortnightly meeting with her three assistant managers, JM, BD and AP, on 16 November 2001.   |              |           |                             |           |
| Although she did not have a written agenda it was clear that the meeting follows a well-established pattern and that they all understood its purpose. Mary had told me that the purpose of the meeting is to make sure that they are collectively briefed on emerging issues and activities and that they collectively participate in looking ahead to how work and problems will be tackled. The meeting itself demonstrated that this purpose was understood by all and I saw that they worked through a standing agenda of: Information from HQ; new admissions; client issues; staff issues; work allocation.   | D2.1         | b         |                             |           |
| I was impressed by the care Mary took to clear her desk of all papers and files before the assistant managers gathered in her office for the meeting. As they gathered, it was very informal and friendly with Mary joining in the social banter, but at the start of the meeting Mary shifted the style and was quite business like in setting an end time for the meeting and highlighting that she wanted to spend at least 15 minutes discussing a task to re-write the admissions procedures. Mary gave her assistant managers a chance to say whether there was anything that they were bringing to the meeting that they felt needed more time than usual. | D2.1         | c         |                             | h, k      |
| Mary asked AP to take the minutes, but throughout the meeting Mary very helpfully summarised the discussion so that there was no doubt what should be minuted.  | D2.1         | f         |                             |           |
| Mary briefed about a new format for business planning and a discussion ensued about what it would mean for the team. When AP started to get quite heated about how HQ don't understand the realities at the coal face Mary was skilful at deflecting the discussion back to the agenda.   | D2.1         | d         |                             | a, b, c   |
| Mary gave information about a new client shortly to be admitted and they discussed who should be the key worker. Mary encouraged contributions from each of the managers so that collectively they had good information about the workload demands on those who might be identified, their suitability for this client and what development opportunities this might give them.   | D2.1<br>D4.1 | d<br>a, e |                             |           |
| Each assistant manager in turn was given a chance to raise issues related to clients and then there was a second round to raise issues related to staff. Mary ensured that each assistant manager was listened to without interruption, on a couple of occasions asking others to wait until someone else had finished what they were saying.   | D2.1         | d         |                             |           |

|   |               |                 |  |   |
|---|---------------|-----------------|--|---|
| At one point JM started to talk about a problem that she was managing with one of her supervisees, but Mary quickly stopped her. Mary asked what if anything the other two assistant managers need to know about this problem and could JM stick to the knowledge that need to be shared, and hold on to the rest of the issues to discuss privately with Mary.   | D2.1          | d, e            |  |   |
| BD raised an issue about a member of staff applying for other jobs and for whom a job reference had been requested. The member of staff was unhappy because she believed that the reference had been typed and therefore seen by Mary's clerical assistant. Mary explained that the Senior Manager's private secretary typed all references to avoid the lack of confidentiality. What impressed me was that Mary also picked up on the fact that none of her assistant managers understood this was the procedure and that there was a risk that in her absence one of them might get this wrong, but that her explanation would now prevent that happening.   | D2.1          | d               |  | b |
| Mary opened the discussion about new admission procedures by explaining how the latest inspection report had highlighted the risk that client property was not safeguarded by the centre because there were anomalies in the inventories of what clients brought in with them. She also reminded them how they had previously agreed that they should be more thorough in establishing what clients would like and offering them choices. D2.1 f) She got them to brainstorm the key issues that should be covered by an admissions procedure. They discussed and agreed that there would be distinct audiences (clients, carers, staff) and that separate documents would be needed. Mary led a discussion of who should lead the work saying that it would be good development for one of the senior care staff thinking through the issues and leading a consultation process with staff, clients and carers. They agreed that of those able to do it, PP would benefit the most but that Mary should meet with her to discuss the task and to agree what direct mentoring Mary should provide to help her do it and learn from it. I was impressed by the care Mary took to assess who should do this task, how she drew information out of her assistant managers, and the knowledge she had of her wider staff team about their aspirations and capabilities. After the meeting I questioned and discussed with Mary her decision to mentor PP and how in my view she would have achieved more by supporting AP in mentoring PP. D2.1 d) C10.4 a) b) c) | D2.1<br>C10.4 | d<br>a, b,<br>c |  |   |
| The meeting finished by the agreed deadline having covered the ground and made the necessary decisions.   | D2.1          | g               |  |   |

**Assessor comments and feedback to candidate:**

This was a very well run meeting showing evidence of involving people within your organisation for the purposes of information giving, consultation and decision making.

I can confirm the candidate's performance was satisfactory.

**Assessor's signature:** *Bill Blake*

**Date:** *16/11/01*

**Candidate's signature:** *Mary Shelley*

**Date:** *16/11/01*

## Example 7: Witness testimony

|   |   |
|---|---|
| <b>NVQ title and level:</b>   | Registered Manager (Adults) NVQ Level 4   |
| <b>Candidate name:</b>  | Mary Shelley  |
| <b>Evidence index no:</b>   | 90  |
| <b>Date of testimony:</b>   | 5/11/01   |
| <b>Witness name:</b>  | Jo Madden   |
| <b>Designation/relationship to candidate:</b>   | Assistant manager/Accountable to candidate  |
| <b>Witness address and tel no:</b>  | 22 The Crescent, Worksop, 01345 67894   |
| <b>Details of testimony:</b>  | <b>Reference to standards (to be completed by the candidate)</b>  |
| <p>Mary has supported my progress toward my NVQ by regularly discussing it in supervision. Her comments on my practice and the way she offers her experience is very constructive. For instance, she was very helpful in helping me see alternative ways that I could discharge the situation when I came under attack from a resident's daughter who was distressed about the declining health of her mother. I had been very frustrated about how to handle the daughter and thought that there was nothing else I could do, but was surprised after my discussion with Mary that she was able to help me see a couple of other strategies.</p> <p>Not only was this a good example of Mary sharing her experience, but she also gave me constructive feedback about the non-verbal signals she had seen me giving out when I had been in conversation with the daughter. It was good that Mary had observed this and waited until my next supervision to discuss it – I was far too wound up to look objectively at my self at the time!</p> <p>Mary has encouraged me to prepare for supervision by deciding what I want to discuss. I find that most things can wait until our supervision session, but I am quite confident that I can call upon Mary's help at any time I need it.</p> | <p>C10.4 a, b, f, g</p> <p>RG6.3 a, d</p> <p>C13.3 a, b, d, e</p> <p>C13.4 a, b, d, e</p> <p>C10.4 c, e</p> |

|   |   |
|---|---|
| <b>Witness signature:</b> <i>Jo Madden</i>                        | <b>Date:</b> <i>5/11/01</i>                               |
| <b>Name:</b> Jo Madden  |   |
| <b>Witness status categories</b> Please tick the appropriate box: |   |
| <input type="checkbox"/>  | 1 Occupational expert and is familiar with the standards  |
| <input type="checkbox"/>  | 2 Occupational expert and not familiar with the standards |
| <input checked="" type="checkbox"/>                               | 3 Non expert familiar with the standards                  |
| <input type="checkbox"/>  | 4 Non expert not familiar with the standards              |

## Example 8: Witness status list

**Candidate name:** *Mary Shelley*

Please ensure that all witnesses who have signed the candidate's evidence or written a report are included on this witness status list. Please ensure that all necessary details are included and then signed by the witness as being correct.

| Name of contact<br>Address of witness | Status of witness | Relationship to the candidate | Elements witnessed | Witness signature | Date    |
|---------------------------------------|-------------------|-------------------------------|--------------------|-------------------|---------|
| Jo Madden                             | 3                 | Accountable to candidate      | C10.4              | <i>Jo Madden</i>  | 5/11/01 |
|                                       |                   |                               |                    |                   |         |
|                                       |                   |                               |                    |                   |         |

### Witness status categories

- 1 = Occupational expert and is familiar with the standards
- 2 = Occupational expert and not familiar with the standards
- 3 = Non expert familiar with the standards
- 4 = Non expert not familiar with the standards

### Relationship to candidate

eg line manager, supervisor, assessor, colleague

## Example 9: Record of assessor feedback

| RECORD OF ASSESSOR FEEDBACK  |   |
|--|---|
| <b>Independent assessor/assessor:</b> Bill Blake   | <b>Signature:</b> <i>Bill Blake</i>   |
| <b>Candidate:</b> Mary Shelley   | <b>Date:</b> 3 December 2001  |
| <b>Unit:</b> C10.4   |   |
| <p>Comments: In observing one of your routine management meetings I would suggest that your management practice has slightly more rough edges than your personal account would have us believe. Your style of writing is very direct and clear although I suspect doesn't truly reflect what happens, all the time, in practice. I have one or two questions that I would like you to consider based upon your personal account and supporting evidence.</p> |   |
| PA/Evidence  | Feedback  |
| <b>pc a) b)</b>  | EV91 provides a very thorough plan for what the task involves and how you will support PP in rewriting the Admissions procedure. As such it's good evidence for pc a and b. However, as I commented when I observed the managers meeting where you made the decision to mentor PP you failed to take an opportunity to enable AP to assume this mentoring role. I recognise the importance of the task and AP's inexperience in this area, however you could have provided a good learning opportunity for both of them by acting as AP's mentor in their support of PP.  |
| <b>pc e)</b>   | I'm interested in your statement that supervision sessions always end with some discussion and reflection on how well the session has gone. It is unfortunate that this is not evident in EV89 (supervision records). I recognise that this might happen quite informally and not be formally recorded, but it might be quite threatening for newer members of staff. I would be interested in you gaining written feedback from the cook as to how she perceives you to carry out this pc. You can then use her feedback to make a judgement about whether your perception matches hers.   |
| <b>pc h)</b>   | In theory what you say about allocating tasks so that people engage in learning programmes get time sounds ideal, but in practice how does this really work? Time however isn't the only blockage. Please describe other blockages you perceive may get in the way of someone learning effectively. Of equal importance I suspect is squaring development time with achieving teamwork objectives. Please explain how you balance the day to day work objectives of running the home, the constant demands this places upon you from senior managers, outside colleagues, staff, residents etc with reducing workloads. Please give an actual example. How do you involve your line manager in agreeing your priorities? Again, please give an example. |
| <b>Evidence requirements</b>   | <p>In looking at the evidence requirements you need to show how you adapt your style to support:</p> <ul style="list-style-type: none"> <li>• colleagues working at the same level as yourself</li> <li>• people working in another team whom you have been asked to support</li> <li>• people working temporarily in your organisation.</li> </ul>   |

## Example 10: Record of questions and candidate's answers

|   |   |
|---|---|
| <b>Independent assessor/assessor name:</b> Bill Blake   |   |
| <b>Candidate name:</b> Mary Shelley   |   |
| <b>Unit:</b> C10  | <b>Element(s):</b> C10.4 pc h   |
| <b>Evidence index number:</b> 95  |   |
| <b>Questions</b>  | <b>Responses</b>  |
| <p>What blockages to learning can you describe, beyond those identified in your personal statement?</p> <p>How do you manage to balance day to day work objectives and reduce workloads so that members of the team get time for development?</p> | <ul style="list-style-type: none"> <li>• an individual's level and degree of personal confidence</li> <li>• the potential non-cooperation of team colleagues</li> <li>• the culture or individual being task-orientated which we recognised was probably a time-related issue</li> <li>• a risk adverse culture</li> </ul> <p>You appropriately explained how you had agreed with your Assistant Managers, that for a set period of time to support JM and BD, their supervisory responsibilities would be reduced by 50% and equally divided between you and AP.</p> |
| <p><b>Assessor's signature:</b> <i>Bill Blake</i> <span style="float: right;"><b>Date:</b> 15/12/01</span></p> <p><b>Candidate's signature:</b> <i>Mary Shelley</i></p>   |   |

# Section 3: The National Occupational Standards

The structure of the Registered Manager (Adults) NVQ Level 4

The units:

## **Mandatory Units:**

Unit 03 – Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people

Unit RM1 – Manage a service which meets the best possible outcomes for the individual

Unit B3 – manage the use of financial resources

Unit C13 – Manage the performance of teams and individuals

## **Optional Units:**

### **Manage Activities**

Unit A2 – Manage activities to meet requirements

Unit A4 – Contribute to improvements at work

Unit SNH4U1 – Develop programmes, projects and plans

Unit SC20 – Contribute to the provision of effective physical, social and emotional environments for group care

Unit RM2 – Ensure individuals and groups are supported appropriately when experiencing significant life events

Unit SNH4U4 – Promote the interests of client groups in the community

### **Manage People and Other Resources**

Unit RG6 – Take responsibility for your business performance and the continuing development of self and others

Unit C10 – Develop teams and individuals to enhance performance

Unit HSCL4U9 – Create, maintain and develop an effective working environment

Unit C8 – Select personnel for activities

Unit SC15 – Develop and sustain arrangements for joint working between workers and agencies

Unit BDA2 – Develop your plans for the business

### **Manage Information**

Unit D4 – Provide information to support decision making

Unit D2 – Facilitate meetings

### **Manage Quality**

Unit F3 – Manage continuous quality improvement

Unit F6 – Monitor compliance with quality systems

## **Assess and Verify**

Unit D32 – Assess candidate performance

Unit D33 – Assess candidate performance using differing sources of evidence

Unit D34 – Internally verify the assessment process

Please note that as from 1 January the 'D' Units will no longer be valid for this NVQ. They are replaced by the new assess and verification units as follows:

Unit A1 – Assess candidates using a range of methods (replaces D32 and D33)

Unit A2 – Assess candidate's performance through observation (replaces D32)

Unit V1 – Conduct internal quality assurance of the assessment process (replaces D34)

The Registered Manager (Adults) NVQ Level 4 recognises the skills, knowledge and understanding of candidates and allows them to gain a qualification in the workplace that relates to their job area and promotes good working practice.

The standards on which these NVQs are based have been developed by TOPSS, the national training organisation for this sector.

## **What is the structure of the Registered Manager (Adults) NVQ Level 4?**

To achieve the whole qualification a candidate must prove competence in all four **mandatory units** and six **optional units**.

Please note that for optional units candidates must achieve one unit from each of the four sets of units:

- Manage Activities
- Manage People and Other Resources
- Manage Information
- Manage Quality

and then two more units from any of the remaining units including assessment and verification units.

## Mandatory units

Candidates must achieve all of the units listed.

| Unit number | Title   | Element | Title  |
|-------------|---|---------|--|
| <b>O3</b>   | Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people | O3.1    | Develop, maintain and evaluate systems and structures to promote the rights and responsibilities of people                             |
|             |   | O3.2    | Develop, maintain and evaluate systems and structures to promote the equality and diversity of people                                  |
|             |   | O3.3    | Develop, maintain and evaluate systems and structures to promote the confidentiality of information                                    |
| <b>RM1</b>  | Manage a service which meets the best possible outcomes for the individual  | RM1.1   | Ensure services are designed and reviewed to promote and maximise the achievement of the best possible outcomes for individual clients |
|             |   | RM1.2   | Ensure the promotion of participation and independence in order to facilitate the achievement of the best possible outcomes            |
|             |   | RM1.3   | Manage and monitor systems for the assessment of risk of abuse, failure to protect and harm to self or others                          |
|             |   | RM1.4   | Manage and monitor systems for the administration of medication  |
| <b>B3</b>   | Manage the use of financial resources   | B3.1    | Make recommendations for expenditure   |
|             |   | B3.2    | Control expenditure against budgets  |
| <b>C13</b>  | Manage the performance of team and individuals  | 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   |

## Optional units

Candidates must achieve one unit from each of the four sets of the units

- Manage Activities
- Manage People and Other Resources
- Manage Information
- Manage Quality

and then two more units from any of the remaining units including assessment and verification units.

| Unit number              | Title  | Element  | Title   |
|--------------------------|--|----------|---|
| <b>Manage Activities</b> |  |          |   |
| <b>A2</b>                | Manage activities to meet requirements   | A2.1     | Implement plans to meet customer requirements   |
|                          |  | A2.2     | Maintain a healthy, safe and productive work environment  |
|                          |  | A2.3     | Ensure products and services meet quality requirements  |
| <b>A4</b>                | Contribute to improvements at work   | A4.1     | Improve work activities   |
|                          |  | A4.2     | Recommend improvements to organisational plans  |
| <b>SNH4U1</b>            | Develop programmes, projects and plans   | SNH4U1.1 | Prepare proposals to meet the organisation's objectives and respond to opportunities and problems |
|                          |  | SNH4U1.2 | Evaluate and amend proposals  |
|                          |  | SNH4U1.3 | Provide professional and technical advice   |
|                          |  | SNH4U1.4 | Generate support and resources  |
|                          |  | SNH4U1.5 | Negotiate agreement for programmes, projects and plans  |
| <b>SC20</b>              | Contribute to the provision of effective physical social and emotional environments for group care | SC20.1   | Contribute to effective physical environments for group care                                      |
|                          |  | SC20.2   | Contribute to effective social and emotional environments for group care                          |

| Unit number                              | Title   | Element  | Title  |
|--|---|----------|--|
| <b>Manage Activities continued</b>       |   |          |  |
| <b>RM2</b>                               | Ensure individuals and groups are supported appropriately when experiencing significant life events | RM2.1    | Design and implement a service which addresses the needs of clients experiencing significant life events |
|  |   | RM2.2    | Ensure the service responds effectively to individuals experiencing major life changes or losses         |
| <b>SNH4U4</b>                            | Promote the interests of client groups in the community   | SNH4U4.1 | Promote the rights of client groups  |
|  |   | SNH4U4.2 | Help clients to represent their own interests and rights   |
| <b>Manage People and Other Resources</b> |   |          |  |
| <b>RG6</b>                               | Take responsibility for your business performance and the continuing development of self and others | RG6.1    | Manage own time and resources to meet business objectives  |
|  |   | RG6.2    | Take responsibility for own professional development   |
|  |   | RG6.3    | Contribute to the professional development of others   |
| <b>C10</b>                               | Develop teams and individuals to enhance performance  | C10.1    | Identify the development needs of teams and individuals  |
|  |   | C10.2    | Plan the development of teams and individuals  |
|  |   | C10.3    | Develop teams to improve performance   |
|  |   | C10.4    | Support individual learning and development  |
|  |   | C10.5    | Assess the development of teams and individuals  |
|  |   | C10.6    | Improve the development of teams and individuals   |

| Unit number  | Title   | Element   | Title  |
|--|---|-----------|--|
| <b>Manage People and Other Resources continued</b> |   |           |  |
| <b>HSCL4U9</b>                                     | Create, maintain and develop an effective working environment                   | HSCL4U9.1 | Establish and maintain working relationships with colleagues                               |
|  |   | HSCL4U9.2 | Implement disciplinary and grievance procedures  |
|  |   | HSCL4U9.3 | Counsel colleagues   |
|  |   | HSCL4U9.4 | Identify and minimise interpersonal conflict in working relationships                      |
|  |   | HSCL4U9.5 | Provide a healthy and safe working environment   |
|  |   | HSCL4U9.6 | Evaluate the effectiveness of working relationships  |
| <b>C8</b>  | Select personnel for activities   | C8.1      | Identify personnel requirements  |
|  |   | C8.2      | Select required personnel  |
| <b>SC15</b>  | Develop and sustain arrangements for joint working between workers and agencies | SC15.1    | Evaluate the potential for joint working with other workers and agencies                   |
|  |   | SC15.2    | Establish and sustain working relationships with other workers and agencies                |
|  |   | SC15.3    | Contribute to joint working with other workers and agencies                                |
| <b>BDA2</b>  | Develop your plans for the business   | BDA2.1    | Review how effective your marketing, sales, production/services, finances and staffing are |
|  |   | BDA2.2    | Produce an up-to-date plan for the business  |
|  |   | BDA2.3    | Plan your actions  |
| <b>Manage Information</b>                          |   |           |  |
| <b>D4</b>  | Provide information to support decision making                                  | D4.1      | Obtain information for decision making   |
|  |   | D4.2      | Record and store information   |
|  |   | D4.3      | Analyse information to support decision making   |
|  |   | D4.4      | Advise and inform others   |

| Unit number                         | Title  | Element | Title   |
|-------------------------------------|--|---------|---|
| <b>Manage Information continued</b> |  |         |   |
| <b>D2</b>                           | Facilitate meetings                                  | D2.1    | Lead meetings   |
|                                     |  | D2.2    | Make contributions to meetings  |
| <b>Manage Quality</b>               |  |         |   |
| <b>F3</b>                           | Manage continuous quality improvement                | F3.1    | Develop and implement systems to monitor and evaluate organisational performance  |
|                                     |  | F3.2    | Promote continuous quality improvements for products services and processes       |
| <b>F6</b>                           | Monitor compliance with quality systems              | F6.1    | Plan to audit compliance with quality systems                                     |
|                                     |  | F6.2    | Implement the audit plan  |
|                                     |  | F6.3    | Report on compliance with quality systems   |
| <b>Assess/Verify</b>                |  |         |   |
| <b>D32</b>                          | Assess candidate performance                         | D31.2   | Agree and review a plan for assessing performance                                 |
|                                     |  | D32.2   | Collect and judge performance evidence against criteria                           |
|                                     |  | D32.3   | Collect and judge knowledge evidence  |
|                                     |  | D32.4   | Make assessment decision and provide feedback                                     |
| <b>D33</b>                          | Assess candidate using differing sources of evidence | D33.1   | Agree and review an assessment plan   |
|                                     |  | D33.2   | Judge evidence and provide feedback   |
|                                     |  | D33.3   | Make assessment decision using differing sources of evidence and provide feedback |
| <b>D34</b>                          | Internally verify the assessment process             | D34.1   | Advise and support assessors  |
|                                     |  | D34.2   | Maintain and monitor arrangements for processing assessment information           |
|                                     |  | D34.3   | Verify assessment practice  |

Please note that from 1st January 2003 the new A and V units drawn from the Learning and Development National Vocational Qualifications will replace the use of the 'D' units. This means that the structure of this NVQ will change and in the Assess and Verify group, the following units will be listed from this date.

| Unit number          | Title  | Element | Title  |
|----------------------|--|---------|--|
| <b>Assess/Verify</b> |  |         |  |
| <b>A1</b>            | Assess candidates using a range of methods                   | A1.1    | Develop plans for assessing competence with candidates                   |
|                      |  | A1.2    | Judge evidence against criteria to make assessment decisions             |
|                      |  | A1.3    | Provide feedback and support to candidates on assessment decisions       |
|                      |  | A1.4    | Contribute to the internal quality assurance process                     |
| <b>A2</b>            | Assess candidates' performance through observation           | A2.1    | Agree and review plans for assessing candidates' performance             |
|                      |  | A2.2    | Assess candidates' performance against the agreed standards              |
|                      |  | A2.3    | Assess candidates' knowledge against the agreed standards                |
|                      |  | A2.4    | Make an assessment decision and provide feedback                         |
| <b>V1</b>            | Conduct internal quality assurance of the assessment process | V1.1    | Carry out and evaluate internal assessment and quality assurance systems |
|                      |  | V1.2    | Support assessors  |
|                      |  | V1.3    | Monitor the quality of assessors' performance                            |
|                      |  | V1.4    | Meet external quality assurance requirements                             |

# **Mandatory units**



## Unit O3 Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people

### Unit Summary

#### Overview

This unit describes the standards you should meet in carrying out your responsibility for developing, maintaining and evaluating systems to promote the rights, responsibilities and diversity of people. Within this unit your role relates to developing structures and systems for your own practice and for those with whom you work in a team. As a manager you are also expected to evaluate the systems and structures of others and seek to improve these if they do not promote the rights of people.

The standards recognise that there are often a number of competing tensions: within people themselves, between different people and between people and organisations. Discrimination against people may occur for a wide range of reasons such as: differing abilities, age, class, caste, creed, culture, gender, health status, mental health, offending background, place of origin, political beliefs, race, relationship status, responsibility for dependants, religion, sexuality.

The unit has three elements

- O3.1 *Develop, maintain and evaluate systems and structures to promote the rights and responsibilities of people*
- O3.2 *Develop, maintain and evaluate systems and structures to promote the equality and diversity of people*
- O3.3 *Develop, maintain and evaluate systems and structures to promote the confidentiality of information*

#### Key words in this unit

**Systems** means the way of working and organising work according to certain procedures.

**Structures** has a looser meaning and means the framework and patterns of relationships which people have with one another.

**People** is used broadly to cover individuals, families, groups, communities and organisations. People may be clients, colleagues or anyone else with whom you come into contact in the course of your work.

#### Links to other units

#### Principles of good practice

This unit describes in detail the principles of good practice which are common across the sector and which cannot be sufficiently well described in the detail of the other units. This unit, therefore, relates to, and is closely bound with, all other units. This is because the Principles of Good Practice should directly influence and mould how you undertake all the rest of your work activities. Evidence for this unit should be gathered alongside evidence for all the other units.

## **Element O3.1 Develop, maintain and evaluate systems and structures to promote the rights and responsibilities of people**

### **The National Standard**

This section provides criteria to assess whether you *develop, maintain and evaluate systems and structures promote the rights and responsibilities of people* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

| <b>Performance criteria</b>  | <b>Knowledge requirements</b>  |
|--|--|
| <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) the systems and structures for which you are responsible promote people's rights whilst recognising the inherent tensions between rights and responsibilities</li> <li>b) the systems and structures for which you are responsible are consistent with legislative frameworks and organisational policy relating to the promotion of rights</li> <li>c) systems and structures are evaluated at optimal frequencies to provide sufficient information as to their effectiveness</li> <li>d) people affected by the systems and structures are given appropriate opportunities to evaluate their effectiveness and make recommendations for improvement</li> <li>e) where problems arise in systems and structures, the appropriate action is taken to resolve the situation as soon as possible</li> <li>f) the rights and needs of those with whom you work are effectively represented in situations and on occasions when decisions may have a direct effect on them</li> <li>g) factors within the environment which directly affect the promotion of rights are identified and challenged</li> <li>h) information in the systems for which you hold responsibility is consistent with the promotion of rights and distinguishes between facts and opinions</li> <li>i) the necessary systems and structures are in place to allow people to challenge you and those with whom you work</li> <li>j) the appropriate action is taken to promote the rights and responsibilities of people in the structures and systems of others when these appear to be failing to do so</li> <li>k) following review continual improvements are made to the design and operation of systems and structures for which you are responsible</li> </ul> | <p><i>You need to know and understand</i></p> <p><b>Legislation, policy and good practice</b></p> <ul style="list-style-type: none"> <li>a) how systems and structures affect people's rights and the purpose of designing systems and structures which support equality and diversity</li> <li>b) systems and structures which can be put in place to enable people to exercise their rights effectively, such as advocacy, interpreting, complaints procedures</li> <li>c) rights and responsibilities of people under current legislation and agreed legislation which is in the process of being implemented</li> <li>d) rights and restrictions which relate to different groups in society, why they are different in nature and the historical context in which they are set</li> <li>e) how rights become enshrined in law and the factors which may affect their being adopted</li> <li>f) national and international strategies related to rights, including those which are not enshrined in legislation although they may be recognised as morally right</li> <li>g) the public charters and policies which relate to the people and settings in the health and social care sector and how these differ across the sector</li> <li>h) the nature of organisations in the sector (NHS, local authority, private and voluntary) the differing ways in which they are governed and their policies set, and how their policies may be influenced</li> <li>i) the range of policies which different organisations have in relation to rights and responsibilities, the reasons for those which exist in the organisation where you work and how they have developed over time</li> <li>j) your duty to represent the rights of those with whom you work and effective means of doing this</li> </ul> <p><b>Services and products</b></p> <ul style="list-style-type: none"> <li>k) methods of accessing information relating to legal and personal rights</li> </ul> <p><b>How to achieve important outcomes</b></p> <ul style="list-style-type: none"> <li>l) how to design and maintain systems and structures which are supportive of the promotion of rights, and of equality and diversity</li> <li>m) the ways in which the rights of the individual or group may compete with those of others and how best to challenge people when their choices or actions infringe the rights of others</li> <li>n) how you can best balance your own beliefs and values with your responsibilities to any professional body and your employing agency</li> <li>o) how you can best handle the tensions which you may feel between their values and beliefs and those of the people with whom you work</li> </ul> |

## **NVQ and SVQ Assessment**

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some guidance on assessment of knowledge.

## Evidence requirements

You must prove that you *develop, maintain and evaluate systems and structures to promote the rights and responsibilities of people* to the National Occupational Standard of competence.

To do this, you must provide evidence to convince your assessor that you consistently meet all the performance criteria.

Your assessor must observe you in real work activities which provide most of the evidence for each element in this unit. During these observations you will meet many of the Performance Criteria (PCs) and as many aspects of the Range Categories as possible.

Your evidence must show that in developing, maintaining and evaluating systems and structures to promote the rights and responsibilities of people you have responsibility for:

- a) your own personal practice
- b) the personal practice of the people you manage

that you take account of the tensions:

- a) within people
- b) between people
- c) between people and organisations

that you consider the people affected by:

- a) those who implement the systems and structures
- b) those for whom the systems and structures are intended

that appropriate action to resolve issues includes:

- a) further development and support for those operationalising the systems and structures
- b) redesign of the systems and structures
- c) seeking advice from others

that you take account of:

- a) organisational policy
- b) your role
- c) agency resourcing and priorities

and that in taking action in relation to the systems and structures of others you:

- a) challenge directly the systems and structures which are in place
- b) advice guidance and support on how the systems and structures may be changed
- c) seek to influence those responsible for the systems and structures so they can be improved

## Guidance for assessment of the knowledge

You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:

### 1 Describing which laws, policies and procedures which:

- underpin the recognition and exercise of rights
- guide the systems and structures of care organisations
- define the nature of the worker's role
- reflect society's views and expectations of care provision

### 2 Identifying what sources will provide:

- support
- information

### 3 Recognising why it is important to consider:

- barriers to equality and diversity
- the effects of discrimination
- the impact of confidentiality for worker and organisation

### 4 Demonstrating how to:

- deal with the effects of your own values and beliefs
- develop and implement appropriate measures to promote equality, diversity and rights
- maintain a culture within the workplace supportive of diversity, equality and rights

## **Element 03.2 Develop, maintain and evaluate systems and structures to promote the equality and diversity of people**

### **The National Standard**

This section provides criteria to assess whether you *develop, maintain and evaluate systems and structures promote the equality and diversity of people* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

| <b>Performance criteria</b>   | <b>Knowledge requirements</b>  |
|---|--|
| <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) the systems and structures for which you are responsible effectively promote the value of diversity and challenge discrimination and oppression</li> <li>b) the systems and structures for which you are responsible are consistent with professional and legislative frameworks and organisational policy relating to equality and anti-discriminatory practice</li> <li>c) systems and structures are evaluated at optimal frequencies to provide sufficient information as to their effectiveness</li> <li>d) people affected by systems and structures are given appropriate opportunities to evaluate their effectiveness and make recommendations for improvement</li> <li>e) where problems arise in systems and structures, the appropriate action is taken to resolve the situation as soon as possible</li> <li>f) factors within the environment which oppress people are identified and challenged</li> <li>g) information in the systems for which you hold responsibility is consistent with the promotion of equality and diversity</li> <li>h) the appropriate action is taken to promote the equality and diversity of people in the structures and systems of others when these appear to be failing to do so</li> <li>i) the appropriate support is sought by you when they are having difficulty in promoting equality and diversity and in challenging discrimination and oppression</li> <li>j) following review, continual improvements are made to the design and operation of systems and structures for which you are responsible</li> </ul> | <p><i>You need to know and understand</i></p> <p><b>Legislation, policy and good practice</b></p> <ul style="list-style-type: none"> <li>a) the nature and range of actions which may need to be taken to tackle oppression and the likely timescales for doing so</li> <li>b) the legislation and charters in relation to diversity which apply to the health and social care sector and related areas of work</li> <li>c) the different policies which organisations have relating to the promotion of equality and diversity and how the organisation for which you work compares to those of others</li> <li>d) your role in the setting, the limits which are set on the actions which you may take and your relationship to other members of the work team</li> <li>e) your accountability and in the setting and to any relevant outside organisation</li> </ul> <p><b>Services and products</b></p> <ul style="list-style-type: none"> <li>f) the sources of information which may be available to you or which may have a bearing on their behaviour, such as guidelines, policy and law</li> <li>g) the support services available to you</li> </ul> <p><b>Factors which influence what you do</b></p> <ul style="list-style-type: none"> <li>h) factors within the environment which adversely affect the promotion of diversity, how factors in the environments may be discriminatory or oppressive to the exercise of people's rights and methods of challenging environmental factors</li> <li>i) the assumptions and oppressions which surround different groups (such as racism, sexism, ageism, heterosexism, ableism, discrimination against those with mental health problems and learning disabilities) and the ways in which this is built into society and organisations</li> <li>j) the forms which discrimination may take, the behaviours which may be expressions of these and how they may differ between different groups and in different settings</li> <li>k) the difference between inappropriate, unfair and unjust discrimination in contrast to appropriate, fair and just discrimination</li> <li>l) possible effects of stereotyping, prejudice and labelling on people</li> <li>m) where the weak links may be in the maintenance of confidentiality and how these can be effectively handled</li> </ul> <p><b>How to achieve important outcomes</b></p> <ul style="list-style-type: none"> <li>n) how you can challenge your own views and beliefs when they affect your work with different people</li> <li>o) how to encourage other team members to contribute effectively to structures and systems and how to encourage them to evaluate the effectiveness of systems and structures from their point of view</li> </ul> |

## NVQ and SVQ Assessment

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some guidance on assessment of knowledge.

|   |  |
|---|--|
| <p><b>Evidence requirements</b></p> <p>You must prove that you <i>develop, maintain and evaluate systems and structures to promote the equality and diversity of people</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet all the performance criteria.</p> <p>Your assessor must observe you in real work activities which provide at least some of the evidence for each element in this unit. During these observations you will meet many of the Performance Criteria (PCs) and as many aspects of the Range Categories as possible.</p> <p>Your evidence must show that in developing, maintaining and evaluating systems and structures to promote the equality and diversity of people you have responsibility for:</p> <p>a) your own personal practice<br/> b) the personal practice of the people they manage that you take account of the diversity of:</p> <p>a) individual and social characteristics<br/> b) values and beliefs</p> <p>that you consider the people affected by:</p> <p>a) those who implement the systems and structures<br/> b) those for whom the systems and structures are intended</p> <p>that appropriate action to resolve issues includes:</p> <p>a) further development and support for those operationalising the systems and structures<br/> b) redesign of the systems and structures<br/> c) seeking advice from others</p> <p>that you take account of:</p> <p>a) organisational policy<br/> b) your role<br/> c) agency resourcing and priorities</p> <p>that in taking action in relation to the systems and structures of others you:</p> <p>a) challenge directly the systems and structures which are in place<br/> b) advice guidance and support on how the systems and structures may be changed<br/> c) seek to influence those responsible for the systems and structures so they can be improved</p> <p>and that you identify appropriate sources of:</p> <p>a) advice, guidance, counselling and support for yourself<br/> b) support for joint action to challenge discrimination and oppression</p> | <p><b>Guidance for assessment of the knowledge</b></p> <p>You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:</p> <p><b>1. Describing which laws, policies and procedures which:</b></p> <ul style="list-style-type: none"> <li>• underpin the recognition and exercise of rights</li> <li>• guide the systems and structures of care organisations</li> <li>• define the nature of the worker's role</li> <li>• reflect society's views and expectations of care provision</li> </ul> <p><b>2. Identifying what sources will provide:</b></p> <ul style="list-style-type: none"> <li>• support</li> <li>• information</li> </ul> <p><b>3. Recognising why it is important to consider:</b></p> <ul style="list-style-type: none"> <li>• barriers to equality and diversity</li> <li>• the effects of discrimination</li> <li>• the impact of confidentiality for worker and organisation</li> </ul> <p><b>4. Demonstrating how to:</b></p> <ul style="list-style-type: none"> <li>• deal with the effects of your own values and beliefs</li> <li>• develop and implement appropriate measures to promote equality, diversity and rights</li> </ul> <p><b>Notes on this element</b></p> <p>Individual and social characteristics: will include age, gender, sexuality, place of origin, race, health status, abilities, class, caste, relationship status, offending background, responsibility for dependants; Values and beliefs will include: creed, culture, political beliefs, religion.</p> |
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## **Element 03.3 Develop, maintain and evaluate systems and structures to promote the confidentiality of information**

### **The National Standard**

This section provides criteria to assess whether you *develop, maintain and evaluate systems and structures promote the confidentiality of information* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

| <b>Performance criteria</b>  | <b>Knowledge requirements</b>  |
|--|--|
| <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) systems and structures are designed to allow information to be stored and retrieved in a manner which is consistent with legislative frameworks and organisational policy</li> <li>b) those responsible for implementation are given appropriate levels of support to enable them to use the systems and structures effectively</li> <li>c) systems and structures are monitored at optimal frequencies to provide sufficient information as to their functioning and integrity</li> <li>d) where problems arise with the functioning of systems and structures, the appropriate action is taken to resolve the situation as soon as possible</li> <li>e) breaches of confidentiality are investigated and the appropriate action is taken to limit any damage</li> <li>f) where information is to be provided to those in another agency, it is confirmed that the recipient has the necessary systems and resources to maintain the confidentiality of the information</li> <li>g) systems and structures are evaluated for their effectiveness and efficiency and for the extent to which confidentiality of information is maintained</li> <li>h) people affected by systems and structures for maintaining confidentiality are given appropriate opportunities to evaluate their effectiveness and make recommendations for improvement</li> <li>i) following review, continual improvements are made to the design and operation of systems and structures</li> </ul> | <p><i>You need to know and understand</i></p> <p><b>Legislation, policy and good practice</b></p> <ul style="list-style-type: none"> <li>a) the relationship of confidentiality to individual rights</li> <li>b) the differing policies which organisations may have to the confidentiality, access and transmission of information and the effect of these on quality of service</li> <li>c) the legal framework in which access to, and transmission of, information is set and how this may differ for different individuals and in different settings (including access to information held about oneself)</li> <li>d) how you can learn from the evidence and recommendations of legal cases regarding confidentiality in similar areas of practice</li> <li>e) the differing policies which organisations may have to the confidentiality, access and transmission of information and the effect of these on quality of service</li> <li>f) your responsibility to people when passing information on to those in other agencies, methods of confirming the systems and structures for maintaining confidentiality in other agencies and what to do if there are concerns</li> </ul> <p><b>Factors which influence what you do</b></p> <ul style="list-style-type: none"> <li>g) the grey areas surrounding confidentiality and the tensions which may exist between an individual's rights, the agency's responsibility to individual clients and its responsibility to others</li> <li>h) the actions which one may take when it is found that confidentiality has been breached and the kinds of damage limitation exercises that may be necessary</li> <li>i) how the design of structures and systems may affect the extent to which it is possible to maintain confidentiality, the particular confidentiality issues which are likely to arise in the systems and structures for which you hold responsibility and how these may be effectively tackled</li> <li>j) how best to monitor the effectiveness and efficiency of systems and structures, optimal frequencies for doing so, the warning signs of problems, and how to intervene to prevent damage occurring</li> <li>k) methods of evaluating the effectiveness of systems and structures and in using the information gained to improve their effectiveness</li> <li>l) methods of holding systems and structures continually under review and adapting and changing practice as soon as the need arises</li> <li>m) how best to support those who operate the systems and structures given people's own particular needs</li> </ul> |

## NVQ and SVQ Assessment

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some guidance on assessment of knowledge.

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| <p><b>Evidence requirements</b></p> <p>You must prove that you <i>develop, maintain and evaluate systems and structures to promote the confidentiality of information</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet all the performance criteria.</p> <p>Your assessor must observe you in real work activities which provide at least some of the evidence for each element in this unit. During these observations you will meet many of the Performance Criteria (PCs) and as many aspects of the Range Categories as possible.</p> <p>Your evidence must show that, in developing, maintaining and evaluating systems and structures to promote the confidentiality of information, those systems and structures cover:</p> <ol style="list-style-type: none"> <li>a) recording information</li> <li>b) storing information</li> <li>c) communicating information internally within the organisation</li> <li>d) communicating information to other agencies</li> </ol> <p>that appropriate action to resolve issues includes:</p> <ol style="list-style-type: none"> <li>a) further development and support for those operationalising the systems and structures</li> <li>b) redesign of the systems and structures</li> <li>c) modifications to the systems and structures</li> <li>d) seeking expert advice</li> </ol> <p>and that you take account of the people affected:</p> <ol style="list-style-type: none"> <li>a) those who implement the systems and structures</li> <li>b) those who have personal information contained within the systems and structures</li> </ol> | <p><b>Guidance for assessment of the knowledge</b></p> <p>You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:</p> <p><b>1. Describing which laws, policies and procedures which:</b></p> <ul style="list-style-type: none"> <li>• underpin the recognition and exercise of rights</li> <li>• guide the systems and structures of care organisations</li> <li>• define the nature of the worker's role</li> <li>• reflect society's views and expectations of care provision</li> </ul> <p><b>2. Identifying what sources will provide:</b></p> <ul style="list-style-type: none"> <li>• support</li> <li>• information</li> </ul> <p><b>3. Recognising why it is important to consider:</b></p> <ul style="list-style-type: none"> <li>• barriers to equality and diversity</li> <li>• the effects of discrimination</li> <li>• the impact of confidentiality for worker and organisation</li> </ul> <p><b>4. Demonstrating how to:</b></p> <ul style="list-style-type: none"> <li>• deal with the effects of your own values and beliefs</li> <li>• develop and implement appropriate measures to promote equality, diversity and rights</li> <li>• maintain a culture within the workplace supportive of diversity, equality and rights</li> </ul> |
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## Unit RM1 Manage a service which achieves the best possible outcomes for the individual

### Unit Summary

#### Overview

This unit is concerned with your ability to develop, implement and review systems which maintain an environment where the best possible outcomes are achieved for all individuals in receipt of care. It embraces a governing philosophy that all clients have the right to:

|                               |                    |
|-------------------------------|--------------------|
| Privacy,                      | Dignity            |
| Self esteem                   | Choice and control |
| Fulfilment                    | Respect            |
| Security of personal property | Safety             |

It is concerned with your capacity to ensure the service remains client focused and that workers contributing to the care of individuals are aware of and enabled to integrate this philosophy in all aspects of daily living.

In Wales an important aspect of ensuring the best possible outcomes for individuals is that services should be available in the Welsh language.

This unit contains four elements:

- RM1.1 *Ensure services are designed and reviewed to promote and maximise the achievement of the best possible outcomes for individual clients.*
- RM1.2 *Ensure the promotion of participation and independence in order to facilitate the achievement of the best possible outcomes.*
- RM1.3 *Manage and monitor systems for the assessment of risk of abuse, failure to protect and harm to self or others.*
- RM1.4 *Manage and monitor systems for the administration of medication.*

In order to *ensure services are designed and reviewed to promote and maximise the achievement of the best possible outcomes for individual clients* you and your workers need to be able to identify the best possible outcomes for an individual client, be aware of the factors which can mitigate against these outcomes being met and be able to take appropriate action to facilitate the achievement of these outcomes.

In particular this should involve you in *ensuring the promotion of participation and independence in order to facilitate the achievement of the best possible outcomes.*

Certain groups and individuals are particularly vulnerable to abuse of specific kinds, such as neglect or fraud. Abuse may be physical, emotional psychological, financial, sexual or through the denial of rights or choice. It may also be abuse of the individual or their property. Harm may be caused to the individual by others in their network (including families, friends, other residents or workers), by the physical environment where the service is provided or by organisations due to institutionalised discrimination.

In order to *manage and monitor systems for the assessment of risk of abuse, failure to protect and harm to self or others* you need to be sufficiently informed, knowledgeable and skilled to develop and manage effective risk assessment systems and ensure protection from all forms of potential abuse or harm.

The final element of this unit recognises the importance of *managing and monitoring systems for the administration of medication* in a way which both protects the client and facilitates the achievement of the best possible outcomes for that client.

**Links with other units:** O3, A2, RM2

**Element RM1.1 Ensure services are designed and reviewed to promote and maximise the achievement of the best possible outcomes for individual clients**

**The National Standard**

This section provides criteria to assess whether you *ensure services are designed and reviewed to promote and maximise the achievement of the best possible outcomes for individual clients* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

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| <p><b>Performance criteria</b></p> <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) the services are designed, delivered and monitored in a way which promotes the achievement of the best possible outcomes for each of the individual clients</li> <li>b) You provide opportunities for relevant people to inform you when the achievement of the best possible outcomes for an individual client is being adversely affected</li> <li>c) You provide opportunities for relevant people to make recommendations for improving the service’s capacity to achieve the best possible outcomes</li> <li>d) organisational factors, tensions and constraints, which impact upon the capacity of the service to promote the best possible outcomes for individuals are identified</li> <li>e) organisational factors, tensions and constraints, which impact upon the capacity of the service to promote the best possible outcomes for individuals are communicated to the relevant people</li> <li>e) actions to improve the organisation’s capacity to achieve the best possible outcomes for each of the individual clients are taken in line with the managers level of authority and best practice</li> </ul> | <p><b>Knowledge requirements</b></p> <p><i>You need to know and understand</i></p> <p><b>Legislation, policy and good practice</b></p> <ul style="list-style-type: none"> <li>a) national service standards and organisational policies and guidance which help to define the best possible outcomes for individuals.</li> <li>b) the importance of ensuring clarity regarding the managers role, level of accountability and authority and that of others in the individuals network.</li> <li>c) which client specific legislation informs and guides the identification and definition of the best possible outcomes for individual clients</li> </ul> <p><b>Factors affecting the achievement of the best possible outcomes for individual clients</b></p> <ul style="list-style-type: none"> <li>d) the types of organisational factors which might affect the achievement of the best possible outcomes for individual clients (such as staffing levels, shift patterns, policies and procedures etc) and the acceptability or unacceptability of the constraints these place on achieving the best possible outcomes</li> <li>e) the types of individual factors which might affect the achievement of the best possible outcomes for individual clients (such as changing health status, level of dependency etc)</li> </ul> <p><b>Achieving best possible outcomes</b></p> <ul style="list-style-type: none"> <li>f) methods to enhance communication between workers and clients, especially where there are differences in communication (eg English as a second language, sensory impairment, learning disability).</li> <li>g) how to gather and record sufficient information to remain confident that the service is able to meet national service standards and best practice regarding the achievement of the best possible outcomes for individual clients</li> </ul> |
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## The National Standard

This section specifies the evidence to be shown if you wish to have your performance assessed against the National Occupational Standard. It also gives some examples of evidence.

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| <p><b>Evidence requirements</b></p> <p>You must prove that you <i>ensure services are designed and reviewed to promote and maximise the achievement of the best possible outcomes for individual clients</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet <b>all</b> the performance criteria</p> <p>You must show evidence that your policies and procedures enable you to identify the best possible outcomes for each individual client and to deliver the services in ways which maximise the possibility of achieving those outcomes</p> <p>You must show evidence that you monitor services to ensure that they maximise the possibility of achieving the best possible outcomes for individuals including offering the opportunity to comment on the services for that individual to at least two of the following types of relevant people</p> <ul style="list-style-type: none"> <li>• clients</li> <li>• team members</li> <li>• colleagues working at your level</li> <li>• family members/carers</li> <li>• purchasers</li> <li>• regulators</li> </ul> <p>You must show evidence of action based on recommendations as to how the achievement of the best possible outcomes for individuals could be improved.</p> <p>You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of <b>all</b> types of <b>relevant people</b>, listed above.</p> | <p><b>Sources and forms of evidence:</b></p> <p>Here are a few examples to give you some ideas about the sort of evidence you might be able to find in your daily work.</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>• meetings with relevant people to agree the best possible outcomes for individual clients</li> <li>• care planning meetings, care conferences, reviews</li> <li>• team meetings to discuss the work with individual clients</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>• correspondence, memos, file notes and minutes of above meetings</li> <li>• working documents identifying client's needs and ways of meeting them</li> <li>• policy and procedure in relation to planning to meet individual needs</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken report, describing</i></p> <ul style="list-style-type: none"> <li>• the processes for care planning, reviewing processes for individuals</li> <li>• how you identified when plans are not producing the best possible outcomes for individuals.</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>• statement from people with whom you work on individual care plans/reviews.</li> </ul> |
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**Element RM1.2 Ensure the promotion of participation and independence in order to facilitate the achievement of the best possible outcomes**

**The National Standard**

This section provides criteria to assess whether you *ensure the promotion of participation and independence in order to facilitate the achievement of the best possible outcomes* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

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| <p><b>Performance criteria</b></p> <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>• policies and procedures encourage, empower and enable individuals and groups to participate as fully as possible in decisions about their own care and daily living arrangements</li> <li>• tensions between the rights and choices of individuals, their protection from abuse or harm are clearly identified and the reasons for constraints on choice are explained in a manner, at a pace and level appropriate to the understanding of the individual</li> <li>• evidence is gathered to ensure that relationships between workers and clients are handled at a level and pace appropriate to each individual’s understanding</li> <li>• evidence is gathered to ensure that relationships between workers and clients maximise the clients’ participation in the identification and achievement of the best possible outcomes</li> <li>• policies and procedures ensure the promotion of independence and individuals’ rights are communicated, understood and applied throughout the service</li> <li>• factors which effect levels of participation and independence are understood and can be correctly identified, by all those for whom the manager is responsible.</li> </ul> | <p><b>Knowledge requirements</b></p> <p><i>You need to know and understand</i></p> <p><b>Legislation, policy and good practice</b></p> <ol style="list-style-type: none"> <li>a) legislation, guidance and policy which underpins the philosophies of participation, independence and social inclusion</li> <li>b) national service standards and organisational policies which indicate how participation and independence can be encouraged.</li> </ol> <p><b>Services and products</b></p> <ol style="list-style-type: none"> <li>c) sources of information and expertise relating to civil, legal, financial and personal rights for individuals</li> <li>d) ways of supporting self-advocacy or available sources of advocacy for individual clients</li> </ol> <p><b>Factors</b></p> <ol style="list-style-type: none"> <li>e) factors which influence a client’s ability to make decisions or to participate in decision making processes</li> <li>f) physical, emotional and social factors which inhibit the independence of clients and ways in which the impact of these factors can be minimised</li> <li>g) the impact of a client’s changing needs on their capacity to participate or be independent</li> </ol> <p><b>Facilitating participation and independence</b></p> <ol style="list-style-type: none"> <li>h) ways of empowering those with a rightful say to participate fully in the assessment of risk and in evidence for intervention (eg interviewing clients and others in their social network, working with interpreters/advocates, client representation on management groups, effective complaints procedures).</li> <li>i) manage systems which ensure the performance of workers integrates the philosophies of participation, independence and social inclusion into all that goes on in the setting</li> </ol> |
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## The National Standard

This section specifies the evidence to be shown if you wish to have your performance assessed against the National Occupational Standard. It also gives some examples of evidence.

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| <p><b>Evidence requirements</b></p> <p>You must prove that you <i>ensure the promotion of participation and independence in order to facilitate the achievement of the best possible outcomes</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet <b>all</b> the performance criteria</p> <p>You must show evidence that your policies and procedures:</p> <ol style="list-style-type: none"> <li>promote participation</li> <li>promote independence</li> <li>maximise choice</li> <li>enable your workers to work in way which facilitates the above three</li> </ol> <p>You must show evidence that you identify the factors which cause tensions in trying to promote participation and independence. These should include:</p> <ol style="list-style-type: none"> <li>organisational factors</li> <li>factors relating to individual workers</li> <li>factors relating to individual clients</li> <li>factors relating to the relationships between people</li> <li>factors relating to the contract between your organisation and the purchasers of your services for an individual</li> </ol> <p>You must show evidence that your policies and procedures for encouraging participation and independence take account of all of the following:</p> <ol style="list-style-type: none"> <li>the level of internal resources available and needed</li> <li>access to external resources</li> <li>the personnel available and needed</li> <li>the need to be able to respond to the changing needs of the individual clients</li> </ol> | <p><b>Sources and forms of evidence:</b></p> <p>Here are a few examples to give you some ideas about the sort of evidence you might be able to find in your daily work.</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>meetings with clients and other relevant people to agree consider areas such as independence, choice and participation for individual clients</li> <li>care planning meetings, care conferences, reviews</li> <li>clients' meetings</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>correspondence, memos, file notes and minutes of above meetings</li> <li>working documents identifying client's needs and ways of meeting them</li> <li>policy and procedure in relation to involvement of individual clients both in relation to themselves but also in wider issues of service delivery</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken report, describing</i></p> <ul style="list-style-type: none"> <li>the processes for care planning, reviewing processes for individuals</li> <li>how you identified when plans are not producing choice, independence or participation.</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>statement from people with whom you work on individual care plans/reviews.</li> </ul> |
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## Element RM1.3 Manage and monitor systems for the assessment of risk of abuse, failure to protect and harm to self or others

### The National Standard

This section provides criteria to assess whether you *manage and monitor systems for the assessment of risk of abuse, failure to protect and harm to self or others*. to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

| <b>Performance criteria</b>   | <b>Knowledge requirements</b>   |
|---|---|
| <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) policies and procedures for managing and monitoring the assessment of risk are communicated, understood and applied throughout the service</li> <li>b) factors which suggest that individuals are at risk of abuse, harm to self and others are understood and can be correctly identified, by all those for whom the manager is responsible</li> <li>c) factors which indicate risk to an individual's physical or psychological health are understood and can be correctly identified, by all those for whom the manager is responsible</li> <li>d) changes in factors affecting level of risk are reported to others using agreed procedures</li> <li>e) systems for collecting, assessing, recording and communicating information concerning individual conditions and behaviours are comprehensive, effective, efficient and are consistently related to the best possible outcomes for clients</li> <li>f) you ensure everyone within the agency is empowered to report abusive behaviour, suspicions of abuse or potential risk of harm to self or others.</li> <li>g) reported indicators of abuse or changes to risk assessment are investigated and appropriate action is taken without delay.</li> <li>h) sources of information related to risk assessment or suspected abuse are checked for their validity and appropriate action is taken promptly.</li> <li>i) interventions designed to protect individuals from abuse or harm take account of the impact of intervention upon the client and others.</li> </ul> | <p><i>You need to know and understand</i></p> <p><b>Legislation, policy and good practice</b></p> <ul style="list-style-type: none"> <li>a) legislation, guidance and policy which underpins the duties of the organisation to identify potential risk of harm, abuse and failure to protect</li> <li>b) national service standards and organisational policies which indicate how individuals can be protected from harm.</li> </ul> <p><b>Factors</b></p> <ul style="list-style-type: none"> <li>c) the likelihood and degree of risk, acceptable and unacceptable risk, the type and source of risk and its potential impact on individuals and others in their network</li> <li>d) signs and symptoms of harm, abuse or failure to protect</li> <li>e) the different types and patterns of social and emotional behaviours which might result in abuse, harm or failure to protect.</li> <li>f) the types and impact of organisational factors on the likelihood of harm abuse and failure to protect (such as staffing levels, recording policies), acceptable and unacceptable organisational constraints.</li> <li>g) how and why risk factors change with time and the inter relationship between risk factors and individual rights.</li> <li>h) factors which inhibit clear communication about indicators or suspicion of abuse (eg fears of whistle blowing, peer group pressure etc) and how to minimise them.</li> <li>i) the specific circumstances of the individual including health and social, emotional, cultural and religious needs.</li> <li>j) different levels of understanding and communication (eg sensory impairment, learning disability etc).</li> </ul> <p><b>Facilitating protection</b></p> <ul style="list-style-type: none"> <li>k) designing and implementing procedures which assure the quality of risk assessment</li> <li>l) empowering those with a rightful say to participate fully in the assessment of risk and in evidence for intervention</li> </ul> |

## The National Standard

This section specifies the evidence to be shown if you wish to have your performance assessed against the National Occupational Standard. It also gives some examples of evidence.

|  |   |
|--|---|
| <p><b>Evidence requirements</b></p> <p>You must prove that you <i>manage and monitor systems for the assessment of risk of abuse, failure to protect and harm to self or others</i> to the National Occupational Standard of Competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet <b>all</b> the performance criteria</p> <p>You must show evidence of understanding of all of the following types of abuse/failure to protect:</p> <ol style="list-style-type: none"> <li>a) physical</li> <li>b) emotional</li> <li>c) sexual</li> <li>d) neglect</li> <li>e) financial</li> <li>f) failure to protect property</li> <li>g) civil rights violations</li> </ol> <p>You must show evidence that your procedures for empowering relevant people to raise concerns about abuse support at least <b>two</b> of the following types of <b>relevant people</b>:</p> <ol style="list-style-type: none"> <li>a) clients</li> <li>b) families/carers</li> <li>c) team members</li> <li>d) other professionals</li> <li>e) purchaser</li> <li>f) regulators</li> </ol> <p>You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of <b>all</b> types of <b>relevant people</b>, listed above</p> | <p><b>Sources and forms of evidence:</b></p> <p>Here are a few examples to give you some ideas about the sort of evidence you might be able to find in your daily work.</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>• meetings with relevant people to discuss concerns about individuals and any possible abuse/harm</li> <li>• planning/strategy meetings, care conferences, reviews</li> <li>• investigations</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>• correspondence, memos, file notes and minutes of above meetings</li> <li>• working documents identifying possible concerns and how these have been dealt with</li> <li>• policy and procedure documents in relation to planning to prevent, identifying and responding to possible abuse or harm</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken report, describing</i></p> <ul style="list-style-type: none"> <li>• the processes for preventing, identifying and responding to possible abuse or harm.</li> <li>• notes of training offered to staff on the above</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>• statement from people with whom you work to prevent, identify or respond to abuse or possible harm.</li> </ul> |
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## Element RM1.4 Manage and monitor systems for the administration of medication

### The National Standard

This section provides criteria to assess whether you *manage and monitor systems for the administration of medication* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

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| <p><b>Performance criteria</b></p> <p><i>You must ensure that</i></p> <p>a) You implement, monitor, review and, where appropriate, make recommendations for improving the systems you and your staff utilise for handling medication</p> <p>b) You communicate to all relevant people what the procedures for handling medication are and the importance of following those procedures</p> <p>c) As part of monitoring the procedures for handling medication you offer the opportunity to comment about and, where appropriate, to make recommendations to improve those procedures</p> | <p><b>Knowledge Requirements</b></p> <p><i>You need to know and understand</i></p> <p><b>Legislation, policy and good practice</b></p> <p>a) legislation, guidance, codes of practice and policy which underpins the handling of medication</p> <p>b) national service standards and organisational policies which indicate how medication should be handled in a safe way.</p> <p><b>Staff Training</b></p> <p>c) the need for staff training in this aspect of the work, what it needs to cover and how to ensure appropriate training is offered</p> <hr/> <p><b>N.B. Handling medication is taken to include:</b></p> <p>a) <b>ordering and obtaining</b></p> <p>b) <b>administration</b></p> <p>c) <b>storage</b></p> <p>d) <b>recording</b></p> <p>e) <b>disposal</b></p> <p><b>and covers procedures for both the administering of medication and self-medication</b></p> |
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## The National Standard

This section specifies the evidence to be shown if you wish to have your performance assessed against the National Occupational Standard. It also gives some examples of evidence.

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| <p><b>Evidence requirements</b></p> <p>You must prove that you <i>manage and monitor systems for the administration of medication</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet <b>all</b> the performance criteria</p> <p>You must show evidence that your procedures on dealing with medication cover <b>all</b> of the following aspects <b>and</b> that <b>all</b> of these aspects are included in any monitoring/reviewing process:</p> <ol style="list-style-type: none"> <li>ordering and obtaining</li> <li>administration</li> <li>storage</li> <li>recording</li> <li>disposal</li> </ol> <p>You must show evidence that you communicate your procedures for the administration, storage, recording and disposal of medication to at least <b>two</b> of the following types of <b>relevant people</b>:</p> <ol style="list-style-type: none"> <li>clients</li> <li>families/carers</li> <li>team members</li> <li>other professionals</li> <li>purchaser</li> <li>regulators</li> </ol> <p>You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of <b>all</b> types of <b>relevant people</b>, listed above</p> | <p><b>Sources and forms of evidence:</b></p> <p>Here are a few examples to give you some ideas about the sort of evidence you might be able to find in your daily work.</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>meetings with relevant people to agree the systems for administration of medication</li> <li>training staff to use the agreed system</li> <li>monitoring the systems to ensure compliance with them</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>orders, records of checks on medication received, administration records etc</li> <li>disposal records</li> <li>policy and procedure in relation to planning to meet individual needs in relation to the administration of medication</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken report, describing</i></p> <ul style="list-style-type: none"> <li>the processes for administration of medication</li> <li>reports of staff training on this aspect of the work</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>statement from people with whom you work on overseeing the administering of medication.</li> </ul> |
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## Unit B3 Manage the use of financial resources

This is unit B3 of the Management Standards

### Unit Summary

#### Overview

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 resources, *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.

**Links with other units:** O3, OM4U2, SNH4U1

## Element B3.1 Make recommendations for expenditure The National Standard

This section provides criteria to assess whether you *make recommendations for expenditure* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

| <b>Performance criteria</b>  | <b>Knowledge Requirements</b>  |
|--|--|
| <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) You give opportunities to <b>relevant people</b> to make suggestions for future <b>expenditure</b></li> <li>b) Your recommendations take account of past experience, trends, developments and other factors likely to affect future <b>expenditure</b></li> <li>c) You clearly state the expected benefits from the recommended <b>expenditure</b>, and any potential negative consequences</li> <li>d) Where you have considered <b>alternative options</b> for <b>expenditure</b>, you provide valid reasons why you have rejected them</li> <li>e) You provide sufficient, valid information for <b>relevant people</b> to make a decision on your recommendations</li> <li>f) Your recommendations for <b>expenditure</b> are consistent with your organisation's plans and objectives</li> <li>g) You present your recommendations to <b>relevant people</b> in an appropriate format and at an appropriate time.</li> </ul> | <p><i>You need to know and understand</i></p> <p><b>Analytical techniques</b></p> <ul style="list-style-type: none"> <li>a) How to analyse expenditure in the past and use the results to make recommendations on more effective use of financial resources in the future</li> <li>b) How to carry out cost-benefit analyses in regard to proposed expenditure</li> <li>c) How to identify and evaluate alternative options to proposals on expenditure</li> </ul> <p><b>Communication</b></p> <ul style="list-style-type: none"> <li>a) How to communicate effectively on issues to do with proposed expenditure</li> </ul> <p><b>Involvement and motivation</b></p> <ul style="list-style-type: none"> <li>b) How to enable team members, colleagues, line managers and other relevant people to identify and communicate their needs regarding expenditure</li> <li>c) How to develop and argue an effective case for expenditure</li> </ul> <p><b>Organisational context</b></p> <ul style="list-style-type: none"> <li>d) The trends and developments which may influence future expenditure and how to forecast and plan for these</li> <li>e) The procedures which need to be followed to make recommendations for expenditure</li> </ul> <p><b>Resource management</b></p> <ul style="list-style-type: none"> <li>f) The importance of effective budgetary control to team and organisational efficiency and your role and responsibilities in relation to this</li> <li>g) The principles and methods which underpin effective budgetary control</li> <li>h) The importance of keeping accurate records of past expenditure</li> <li>i) The information which others need to make decisions on expenditure and how to gather and check the validity of this information.</li> </ul> |

## NVQ and SVQ Assessment

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some examples of evidence.

| <p><b>Evidence requirements</b></p> <p>You must prove that <i>you make recommendations for expenditure</i> to the National Occupational Standard of competence.</p>  | <p><b>Guidance for assessment of the knowledge</b></p> <p>You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:</p>   |
|--|---|
| <p>To do this, you must provide evidence to convince your assessor that you consistently meet all the performance criteria.</p> <p>Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this element.</p> <p>You must show evidence that you involve at least two of the following types of <b>relevant people</b></p> <ul style="list-style-type: none"> <li>• Team members</li> <li>• Colleagues working at the same level</li> <li>• Higher-level managers or sponsors</li> <li>• Financial specialists.</li> </ul> <p>You must show evidence that your recommendations cover at least two of the following types of expenditure</p> <ul style="list-style-type: none"> <li>• Supplies</li> <li>• People</li> <li>• Overhead expenses</li> <li>• Capital equipment.</li> </ul> <p>You must also show evidence that you consider at least <b>both</b> of the following types of <b>alternative options</b></p> <ul style="list-style-type: none"> <li>• Other courses of action to achieve the same results</li> <li>• Other ways of funding the same course of actions.</li> </ul> <p>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 <b>people and expenditure</b>, listed above.</p> | <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>• Gathering suggestions at team meetings</li> <li>• Presenting recommendations to management teams</li> <li>• Tendering bids for service level agreements with purchasers/commissioners</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>• Your proposals and reports relating to proposed expenditure, costs, benefits and possible alternatives</li> <li>• Print-outs of financial systems and explanatory reports which support your recommendations</li> <li>• Minutes of relevant meetings</li> <li>• Your presentation materials</li> <li>• The bids and recommendations for finance which you have prepared</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken reports, describing</i></p> <ul style="list-style-type: none"> <li>• How you encouraged team members to make suggestions for expenditure</li> <li>• The basis on which you rejected alternative options</li> <li>• The validity, accuracy and completeness of the information used</li> <li>• Your assessment of market trends, service developments and the changing economic and changing financial context.</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>• Statements from people who were given opportunities to contribute to recommendations</li> <li>• Statements from people who observed you presenting recommendations for expenditure.</li> </ul> |

## Element B3.2 Control expenditure against budgets

### The National Standard

This section provides criteria to assess whether you *control expenditure against budgets* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

| <b>Performance criteria</b>  | <b>Knowledge Requirements</b>  |
|--|--|
| <p><i>You must ensure that</i></p> <ul style="list-style-type: none"><li>a) You give team members clear and consistent advice on how they can help to control <b>expenditure</b></li><li>b) You give team members opportunities to take individual responsibility for <b>monitoring</b> and controlling <b>expenditure</b></li><li>c) Your methods of <b>monitoring expenditure</b> are reliable and comply with organisational requirements</li><li>d) You <b>monitor expenditure</b> against agreed budgets at appropriate intervals</li><li>e) You control <b>expenditure</b> in line with budgets and organisational requirements</li><li>f) The <b>corrective action</b> you take in response to actual or potential significant variations from budget is prompt and complies with organisational requirements</li><li>g) You refer requests for <b>expenditure</b> outside your responsibility promptly to the appropriate people</li><li>h) Your records of <b>expenditure</b> are complete, accurate and available to authorised people only.</li></ul> | <p><i>You need to know and understand</i></p> <p><b>Information handling</b></p> <ul style="list-style-type: none"><li>a) The principles of confidentiality in relation to budgets ie what information may be provided to which people</li></ul> <p><b>Involvement and motivation</b></p> <ul style="list-style-type: none"><li>b) The contributions your team members can make to expenditure control</li><li>c) How to advise, encourage and motivate team members to help in controlling expenditure</li></ul> <p><b>Organisational context</b></p> <ul style="list-style-type: none"><li>d) Your organisation's requirements for expenditure control</li><li>e) The range of variations from the budget which may occur and what effective corrective action to take in response to these</li><li>f) The types of requests for expenditure outside your control which are likely to occur and the correct procedures to follow in response to these</li></ul> <p><b>Resource management</b></p> <ul style="list-style-type: none"><li>g) The importance of effective expenditure control to your team and organisation's efficiency and your role and responsibilities in relation to this</li><li>h) The principles and systems which underpin effective expenditure control</li><li>i) The importance of accurate and comprehensive record keeping to expenditure control and systems to achieve this.</li></ul> |

## NVQ and SVQ Assessment

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some examples of evidence.

|   |  |
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| <p><b>Evidence requirements</b></p> <p>You must prove that <i>you control expenditure against budgets</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet all the performance criteria.</p> <p>Your evidence must be the result of real work activities undertaken by yourself evidence from simulated activities is not acceptable for this element.</p> <p>You must show evidence that you use at least two of the following types of <b>monitoring</b></p> <ul style="list-style-type: none"> <li>• By considering oral information</li> <li>• By considering written information</li> <li>• By examining financial information.</li> </ul> <p>You must show evidence that you control at least two of the following types of <b>expenditure</b></p> <ul style="list-style-type: none"> <li>• Supplies</li> <li>• People</li> <li>• Overhead expenses</li> <li>• Capital equipment.</li> </ul> <p>You must also show evidence that you take at least two of the following types of <b>corrective action</b></p> <ul style="list-style-type: none"> <li>• Altering activities</li> <li>• Rescheduling expenditure</li> <li>• Altering budget allocations within the limits of your responsibility</li> <li>• Renegotiating budgets.</li> </ul> <p>You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of <b>all types of monitoring, expenditure and corrective action</b>, listed above.</p> | <p><b>Guidance for assessment of the knowledge</b></p> <p>You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>• Contributing to and chairing negotiating and team meetings</li> <li>• Presenting the results of expenditure control and recommended corrective action</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>• Your business plans, team development plans and continuous improvement plans</li> <li>• Your reports of expenditure against budget profile and your use of resources, identifying significant variations and recommending corrective action</li> <li>• Minutes of relevant meetings and correspondence, explaining your budget position and securing agreement to requests</li> <li>• Outcomes for clients</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken reports, describing</i></p> <ul style="list-style-type: none"> <li>• Your management information systems, reporting procedures and monitoring systems</li> <li>• How you identified and dealt with budgetary problems</li> <li>• Your level of responsibility and your ability to influence others outside your sphere of authority</li> <li>• How you sought the involvement of others and consulted with them</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>• Statements from team members you encouraged to help control expenditure</li> <li>• Statements from those responsible for your budgets.</li> </ul> |
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## Unit C13 Manage the performance of teams and individuals

This is unit C13 of the Management Standards

### Unit Summary

#### Overview

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 the work of your team and its members 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 team members' 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 while 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.

**Links with other units:** O3, C10, D4, D2

## Element C13.1 Allocate work to teams and individuals

### The National Standard

This section provides criteria to assess whether you *allocate work to teams and individuals* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

| <b>Performance criteria</b>  | <b>Knowledge requirements</b>   |
|--|---|
| <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) You give opportunities to your team members to recommend how you <b>should allocate</b> work within the team</li> <li>b) your <b>allocation</b> of work makes the best use of your team's resources and the abilities of all its members</li> <li>c) your <b>allocation</b> of work provides your team members with suitable learning opportunities to meet their personal development objectives</li> <li>d) your <b>allocation</b> of work is consistent with your team's objectives and the objectives policies and values of your organisation</li> <li>e) you clearly define the responsibilities of your team and its individual members and the limits of their authority</li> <li>f) you provide sufficient <b>information</b> on your <b>allocation</b> of work in a manner and at a level and pace appropriate to the individuals concerned</li> <li>g) you confirm team and individual understanding of and commitment to work <b>allocations</b> at appropriate intervals</li> <li>h) where team resources are insufficient you reach agreement with <b>relevant people</b> on the prioritisation of objectives or reallocation of resources</li> <li>i) you inform your team and its members of changes to work <b>allocations</b> in a way which minimises the impact on time cost and inconvenience</li> </ul> | <p><i>You need to know and understand</i></p> <p><b>Communication</b></p> <ul style="list-style-type: none"> <li>a) the importance of defining and communicating team and individual responsibilities clearly</li> <li>b) how to communicate team and individual responsibilities clearly to those involved</li> <li>c) how to develop and present work plans using spoken, written and graphical means</li> </ul> <p><b>Delegation</b></p> <ul style="list-style-type: none"> <li>d) the importance of the effective allocation of work to your team's performance and your role and responsibilities in relation to this</li> <li>e) the factors which you need to consider when allocating work to individuals within the team</li> <li>f) how to match the allocation of work to learning needs and individual development plans</li> <li>g) how to prioritise and re-prioritise work allocations according to resource availability</li> <li>h) how your changes to work allocations and negotiations around them can impact on cost time and convenience</li> </ul> <p><b>Involvement and motivation</b></p> <ul style="list-style-type: none"> <li>i) why your team members should have the opportunity to recommend work allocations</li> <li>j) how to encourage and enable team members to provide suggestions on the allocation of work and be committed to their responsibilities</li> </ul> <p><b>Organisational context</b></p> <ul style="list-style-type: none"> <li>k) your team objectives, and the organisational policies and values which have a bearing on the allocation of work within your team</li> <li>l) the relevant people with whom negotiations on the allocation of resources need to take place.</li> </ul> |

## NVQ and SVQ Assessment

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some examples of evidence.

| Evidence requirements  | Guidance for assessment of the knowledge  |
|--|---|
| <p>You must prove that you <i>allocate work to teams and individuals</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet all the performance criteria.</p> <p>Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is <b>only</b> acceptable for performance criterion h) in this element.</p> <p>You must show evidence that you make <b>allocations</b> covering <b>both</b> of the following contexts:</p> <ul style="list-style-type: none"> <li>• normal working</li> <li>• emergencies.</li> </ul> <p>You must also show evidence that you provide at least <b>two</b> of the following types of <b>information</b>:</p> <ul style="list-style-type: none"> <li>• spoken</li> <li>• written</li> <li>• graphical.</li> </ul> <p>You must also show evidence that you reach agreement with at least two of the following types of relevant people:</p> <ul style="list-style-type: none"> <li>• team members</li> <li>• colleagues working at the same level as yourself</li> <li>• higher-level managers or sponsors</li> <li>• customers</li> <li>• suppliers.</li> </ul> <p>You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of <b>all</b> types of <b>information</b> and <b>relevant people</b>, listed above.</p> | <p>You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>• allocating work to your team</li> <li>• involving your team and its members in planning work allocation</li> <li>• seeking agreement with relevant people about mismatches between team resources, work allocations and the prioritisation of objectives.</li> <li>• Allocating work appropriately, to ensure <b>the best possible outcomes</b> for clients.</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>• the work allocations which you have made</li> <li>• minutes of relevant team meetings</li> <li>• minutes of meetings with people with whom you have had to negotiate</li> <li>• relevant contracts and agreements.</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken reports, describing</i></p> <ul style="list-style-type: none"> <li>• how you matched the abilities and learning needs of your team members fairly in allocating work to them</li> <li>• how you confirmed the commitment of your team and individuals at appropriate intervals.</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>• statements from those to whom you allocated work.</li> </ul> |

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

### The National Standard

This section provides criteria to assess whether you *agree objectives and work plans with teams and individuals* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

|   |   |
|---|---|
| <p><b>Performance criteria</b></p> <p><i>You must ensure that</i></p> <ul style="list-style-type: none"><li>a) you give opportunities to your <b>team members</b> to help define their own <b>objectives and work plans</b></li><li>b) you develop <b>objectives and work plans</b> which are consistent with team and organisational objectives and agree these with all personnel in your area of responsibility</li><li>c) the <b>objectives, work plans</b> and schedules are realistic and achievable within <b>organisational constraints</b></li><li>d) the <b>objectives and work plans</b> take account of <b>team members'</b> abilities and development needs</li><li>e) you explain the <b>objectives and work plans</b> in sufficient detail and at a level and pace appropriate to your individual <b>team members</b></li><li>f) you confirm team and individual understanding of, and commitment to, <b>objectives and work plans</b> at appropriate intervals</li><li>g) you provide advice and guidance on how to achieve <b>objectives</b> in sufficient detail and at times appropriate to the needs of teams and individuals</li><li>h) you update the <b>objectives and work plans</b> regularly and take account of any individual, team and organisational changes.</li></ul> | <p><b>Knowledge requirements</b></p> <p><i>You need to know and understand</i></p> <p><b>Communication</b></p> <ul style="list-style-type: none"><li>a) the importance of good communication when explaining objectives and work plans</li></ul> <p><b>Involvement and motivation</b></p> <ul style="list-style-type: none"><li>b) the importance of consulting with team members and achieving consensus and agreement on objectives and work plans</li><li>c) how to encourage and enable team members to define their own work objectives and plans</li><li>d) how to gain the commitment of team members to objectives and work plans</li><li>e) the types of issues on which your team members may need advice and guidance</li></ul> <p><b>Organisational context</b></p> <ul style="list-style-type: none"><li>f) the organisational objectives and constraints which have a bearing on objectives and work plans</li></ul> <p><b>Planning</b></p> <ul style="list-style-type: none"><li>g) how to identify and devise objectives and work plans for the short, medium and long term</li><li>h) the importance of agreeing objectives and work plans which are realistic and achievable</li><li>i) how to match objectives and work plans with individuals' abilities and development needs</li><li>j) the importance of regularly updating objectives and work plans</li><li>k) the difference between someone who is within the manager's line management control and someone for whom the manager has functional responsibility, and the implications this difference may have for planning work.</li></ul> |
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## NVQ and SVQ Assessment

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some examples of evidence.

| Evidence requirements   | Guidance for assessment of the knowledge  |
|---|---|
| <p>You must prove that you <i>agree objectives and work plans with teams and individuals</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet <b>all</b> the performance criteria.</p> <p>Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this element.</p> <p>You must show evidence that you involve and plan work with at least <b>one</b> of the following types of <b>team member</b>:</p> <ul style="list-style-type: none"> <li>• people for whom you have line responsibility</li> <li>• people for whom you have functional responsibility.</li> </ul> <p>You must also show evidence that you agree at least two of the following types of <b>objectives and work plans</b>:</p> <ul style="list-style-type: none"> <li>• short-term</li> <li>• medium-term</li> <li>• long-term.</li> </ul> <p>You must also show evidence that you take account of <b>all</b> of the following types of <b>organisational constraints</b>:</p> <ul style="list-style-type: none"> <li>• organisational objectives</li> <li>• organisational policies</li> <li>• resources.</li> </ul> <p>You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of <b>all</b> types of <b>team member</b> and <b>objectives and work plans</b>, listed above.</p> | <p>You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>• agreeing objectives with teams and individuals</li> <li>• advising teams and individuals on work methods to achieve objectives, work plans and care plans</li> <li>• confirming the commitment of teams and individuals to objectives and work plans</li> <li>• effective joint working to achieve care planning objectives</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>• your statements of objectives for teams and individuals</li> <li>• your plans and schedules for teams and individuals</li> <li>• minutes of review meetings</li> <li>• <b>agreed outcomes</b> for clients</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken reports, describing</i></p> <ul style="list-style-type: none"> <li>• how you decided when it was appropriate to give advice and guidance to teams and individuals</li> <li>• how you achieved agreement with all the personnel in your area of responsibility</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>• statements from those with whom you agreed objectives and work plans.</li> </ul> |

## Element C13.3 Assess the performance of teams and individuals

### The National Standard

This section provides criteria to assess whether you *assess the performance of teams and individuals* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

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| <p><b>Performance criteria</b></p> <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) you clearly explain the <b>purpose of monitoring and assessment</b> to all those involved</li> <li>b) you give opportunities to teams and individuals to <b>monitor and assess</b> their own performance against objectives and work plans</li> <li>c) you <b>monitor</b> the performance of teams and individuals at times most likely to maintain and improve effective performance</li> <li>d) your <b>assessment</b> of the performance of teams and individuals is based on sufficient, valid and reliable <b>information</b></li> <li>e) you carry out your assessments objectively, against clear, agreed criteria</li> <li>f) your <b>assessments</b> take due account of the personal circumstances of team members and the <b>organisational constraints</b> on their work.</li> </ul> | <p><b>Knowledge requirements</b></p> <p><i>You need to know and understand</i></p> <p><b>Communication</b></p> <ul style="list-style-type: none"> <li>a) the importance of being clear yourself about the purpose of monitoring and assessment and communicating this effectively to those involved.</li> </ul> <p><b>Continuous improvement</b></p> <ul style="list-style-type: none"> <li>b) the importance of monitoring and assessing the ongoing performance of teams and individuals</li> <li>c) different purposes of work monitoring and assessment</li> <li>d) how to make fair and objective assessments</li> <li>e) how to monitor and assess the performance of teams and individuals</li> <li>f) the standards against which work is to be assessed</li> <li>g) the information needed to assess the performance of teams and individuals.</li> </ul> <p><b>Information handling</b></p> <ul style="list-style-type: none"> <li>h) how the necessary information should be gathered and validated.</li> </ul> <p><b>Involvement and motivation</b></p> <ul style="list-style-type: none"> <li>i) the importance of providing opportunities to team members to monitor and assess their own work, and how to enable this.</li> </ul> <p><b>Organisational context</b></p> <ul style="list-style-type: none"> <li>j) the organisational constraints which may affect the achievement of objectives.</li> </ul> <p><b>Providing support</b></p> <ul style="list-style-type: none"> <li>k) the types of personal circumstances which may impact on individual performance.</li> </ul> |
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## NVQ and SVQ Assessment

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some examples of evidence.

| Evidence requirements   | Guidance for assessment of the knowledge  |
|---|---|
| <p>You must prove that <i>you assess the performance of teams and individuals</i> to the National Occupational Standard of competence.</p> <p>To do this, you must provide evidence to convince your assessor that you consistently meet <b>all</b> the performance criteria.</p> <p>Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is <b>not</b> acceptable for this element.</p> <p>You must show evidence that your assessments have at least <b>two</b> of the following types of <b>purpose</b>:</p> <ul style="list-style-type: none"> <li>• assuring that objectives have been achieved</li> <li>• assuring that quality and customer requirements have been met</li> <li>• appraising team or individual performance</li> <li>• assessing performance for reward</li> <li>• recognising competent performance and achievement.</li> </ul> <p>You must also show evidence that you use at least one of the following types of <b>monitoring and assessment</b>:</p> <ul style="list-style-type: none"> <li>• specific to one activity or objective</li> <li>• general to overall performance of the team or individual.</li> </ul> <p>You must also show evidence that you use <b>both</b> of the following types of <b>information</b>:</p> <ul style="list-style-type: none"> <li>• qualitative</li> <li>• quantitative.</li> </ul> <p>You must also show evidence that you take account of all the following types of <b>organisational constraints</b>:</p> <ul style="list-style-type: none"> <li>• organisational objectives</li> <li>• organisational policies</li> <li>• resources.</li> </ul> <p>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 <b>purpose</b> and <b>monitoring and assessment</b>, listed above.</p> | <p>You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>• involving teams and individuals in the assessment of their own work</li> <li>• assessing the work of teams and individuals</li> <li>• establishing supervision and support systems</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>• appraisal documents you have completed</li> <li>• documents related to grievance/disciplinary procedures</li> <li>• your analyses of performance statistics</li> <li>• your reports on team performance</li> </ul> <p>You may also provide short reports of your own, or statements from others who have observed your performance.</p> <p><i>Written or spoken reports</i></p> <ul style="list-style-type: none"> <li>• how you involved teams and individuals in the assessment of their performance</li> <li>• how you recognised and acknowledged competent performance and achievement</li> <li>• how you took account of personal circumstances and organisational constraints when assessing the work of teams and individuals</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>• statements from those whose performance you assessed</li> </ul> |

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

### The National Standard

This section provides criteria to assess whether you *provide feedback to teams and individuals on their performance* to the National Occupational Standard of competence. It also lists the knowledge and understanding which are essential for effective performance.

| <b>Performance criteria</b>   | <b>Knowledge requirements</b>   |
|---|---|
| <p><i>You must ensure that</i></p> <ul style="list-style-type: none"> <li>a) you provide <b>feedback</b> to teams and individuals in a <b>situation</b> and in a <b>form</b> and manner most likely to maintain and improve their performance</li> <li>b) the <b>feedback</b> you provide is clear, and is based on your objective assessment of their performance against agreed objectives</li> <li>c) your <b>feedback</b> acknowledges your team members achievement</li> <li>d) your <b>feedback</b> provides your team members with constructive suggestions and encouragement for improving future performance against their work and development objectives</li> <li>e) the way in which you provide feedback shows respect for individuals and the need for confidentiality</li> <li>f) you give opportunities to teams and individuals to respond to <b>feedback</b>, and to recommend how they could improve their performance in the future.</li> </ul> | <p><i>You need to know and understand</i></p> <p><b>Communication</b></p> <ul style="list-style-type: none"> <li>a) the importance of good communication skills when providing feedback</li> <li>b) how to provide both positive and negative feedback to team members on their performance</li> <li>c) how to choose an appropriate time and place to give feedback to teams and individuals</li> <li>d) how to provide feedback in a way which encourages your team members to feel that you respect them.</li> </ul> <p><b>Continuous improvement</b></p> <ul style="list-style-type: none"> <li>e) the importance of providing clear and accurate feedback to your team members on their performance and your role and responsibilities in relation to this.</li> </ul> <p><b>Information handling</b></p> <ul style="list-style-type: none"> <li>f) the principles of confidentiality when providing feedback – which people should receive which information.</li> </ul> <p><b>Involvement and motivation</b></p> <ul style="list-style-type: none"> <li>g) how to motivate team members and gain their commitment by providing feedback</li> <li>h) the importance of being encouraging when providing feedback to team members and showing respect for those involved</li> <li>i) the importance of providing constructive suggestions on how performance can be improved</li> <li>j) the importance of giving those involved the opportunity to provide suggestions on how to improve their work.</li> </ul> |

## NVQ and SVQ Assessment

This section specifies the evidence you must show if you wish to have your performance assessed against the National Occupational Standard for National Vocational Qualifications or Scottish Vocational Qualifications. It also gives some examples of evidence.

|  |  |
|--|--|
| <p><b>Evidence requirements</b></p> <p>You must prove that <i>you provide feedback to teams and individuals on their performance</i> to the National Occupational Standard of competence.</p> <p>To do this you must provide evidence to convince your assessor that you consistently meet <b>all</b> the performance criteria.</p> <p>Your evidence must be the result of real work activities, undertaken by yourself. Evidence from simulated activities is <b>not</b> acceptable for this element</p> <p>You must show evidence that you provide <b>both</b> of the following types of <b>feedback</b>:</p> <ul style="list-style-type: none"> <li>• positive</li> <li>• negative</li> </ul> <p>You must also show evidence that you use <b>both</b> of the following <b>forms</b> of <b>feedback</b>:</p> <ul style="list-style-type: none"> <li>• spoken</li> <li>• written</li> </ul> <p>You must also show evidence that you give feedback in at least <b>three</b> of the following types of <b>situations</b>:</p> <ul style="list-style-type: none"> <li>• during normal day-to-day activities</li> <li>• when required to maintain motivation, morale and effectiveness</li> <li>• during formal appraisals</li> <li>• at team meetings and briefings</li> <li>• during confidential discussions of work</li> </ul> <p>You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of <b>all</b> types of <b>situation</b>, listed above.</p> | <p><b>Guidance for assessment of the knowledge</b></p> <p>You must show your assessor that you know and understand the Knowledge Specification for this element. It may help you to approach it by:</p> <p><i>Work activities</i></p> <ul style="list-style-type: none"> <li>• providing feedback to teams and individuals</li> <li>• seeking their suggestions for improving their work</li> </ul> <p><i>Products or outcomes</i></p> <ul style="list-style-type: none"> <li>• appraisal summaries and reports which you have produced</li> <li>• minutes of relevant team meetings</li> <li>• D32/33/34/certificates</li> </ul> <p>You may also provide short reports of your own or statements from others who have observed your performance</p> <p><i>Written or spoken reports, describing</i></p> <ul style="list-style-type: none"> <li>• how you encouraged staff to give feedback and make suggestions for improving their work</li> <li>• how you used feedback to maintain morale, motivation and effectiveness</li> <li>• how you gave feedback in a way that showed respect for those receiving it</li> </ul> <p><i>Witness testimony</i></p> <ul style="list-style-type: none"> <li>• statements from those who received your feedback</li> </ul> |
|--|--|