



SVQ in Construction Management level 5

Award Code:

Candidate Guidance and Portfolio

Candidate name:

Publication code: Z0277

The National Occupational Standards which form the basis of this award were developed by ConstructionSkills SSC. This document is for candidate use only and should not be used as a substitute for the National Occupational Standards.

Published by the Scottish Qualifications Authority
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Index

Section	Contents	Page
1	General information about SVQs <ul style="list-style-type: none">— Introducing SVQs— Who offers SVQs?— What is the structure of an SVQ?— An example of an SVQ Element— How are SVQs achieved?— How are SVQs assessed?— Who does what in SVQs?— What is evidence?— When can simulation be used?— Integration of assessment	3
2	How to compile your portfolio (including worked examples) <ul style="list-style-type: none">— General information— Evidence Collection Process— Planning your portfolio— Starting your portfolio— Contents checklist— Collecting your evidence— Presenting your evidence— Referencing your evidence— Worked examples<ul style="list-style-type: none">1 – Index of evidence2 – Unit progress record3 – Element achievement record4 – Personal statement5 – Observation record6 – Witness testimony7 – Record of questions and candidate's answers	11
3	The Units and the recording documents for your SVQ <ul style="list-style-type: none">— The structure of the SVQ in Construction Management level 5— Unit Progress Record— Glossary of terms— Units	25

Section	Contents	Page
4	Blank recording forms	367
	— Portfolio title page	
	— Personal profile	
	— Contents checklist	
	— Index of evidence	
	— Personal statement	
	— Observation record	
	— Witness testimony	
	— Record of questions and answers	
	— Element Achievement Record	

Section 1 — General information about SVQs

Introducing SVQs

The qualification you are undertaking is a Scottish Vocational Qualification (SVQ).

SVQs are work-based qualifications which assess the skills and knowledge people have and need to perform their job role effectively. The qualifications are designed using National Occupational Standards.

For each industry sector there is a Sector Skills Council (SSC) which is made up of representatives from the industry or profession and it is the SSC's responsibility to develop the National Occupational Standards.

These standards define what employees, or potential employees, must be able to do, how well and in what circumstances to show they are competent in their work.

The Sector Skills Council for Construction Management level 5 is: ConstructionSkills.

Access to SVQs is open to all and you can be assessed either against a particular Unit(s) or against the full SVQ. There are no entry requirements, no prescribed method of delivery, and no time constraints for completion or age limits.

SVQs are available at five levels of achievement which reflect the various technical and supervisory skills, knowledge, and experience which employees should have as they progress in their industry.

Who offers SVQs?

An organisation which offers SVQs is called a centre. This may be a school, college, university, employer, training provider or a combination of these. The centre has responsibility for the quality of the qualification and is required to work within an awarding body's policies and guidelines.

The Scottish Qualifications Authority (SQA) is your awarding body for this SVQ. This means that we are an organisation approved by government to design qualifications and awards. An awarding body endorses candidates' certificates so that an employer can be sure the qualification has gone through a rigorous and effective assessment process. SQA provides qualifications throughout the world and was formed by the merger of the Scottish Examinations Board (SEB) and the Scottish Vocational Education Council (SCOTVEC).

What is the structure of an SVQ?

All SVQs have a common structure and consist of standards which can be broken down into various parts:

Units and Elements	Units define the broad functions carried out in your particular job and are made up of a number of Elements . Each Element describes a specific work activity which you have to perform and may relate to skills or to the demonstration of knowledge and understanding.
Performance Criteria	The level and quality of how you should carry out these activities is determined by a number of statements called Performance Criteria . Performance Criteria are used to judge your competence.
Range/Scope Statements	A Range Statement tells you in what circumstances you must be able to prove your competence and allows you to demonstrate that you can carry out tasks in different circumstances. Items included in the range statements must not be treated as optional. Range Statements are also called scope in some National Occupational Standards.
Evidence Requirements	The Evidence Requirements specify the amount and type of evidence which you will need to provide to your assessor to show that you have met the standards specified in the Performance Criteria and in all the circumstances defined in the range statements.
Knowledge and Understanding	The section on Knowledge and Understanding states what you must know and understand and how this knowledge applies to your job.

If you are not yet clear about how we define standards — just remember that the standards have been developed by experts within your industry or profession and that all candidates aiming for this particular SVQ are being assessed against the same standards.

You will find an example of an SVQ Element overleaf.

An example of an SVQ Element

UNIT: (1) Working safely in an engineering environment

This is the **UNIT** title — it describes a role and task.

Element 1 Comply with statutory regulations and organisational requirements

This is the **ELEMENT** title. It describes part of the main role and task.

Performance Criteria

PERFORMANCE CRITERIA set out the standard of performance you need to demonstrate consistently to claim competence in a particular **Element**.

You must ensure that you:

- 1 Describe your duties and obligations (as an individual) under the Health and Safety at Work Act 1974.
- 2 Comply with Statutory Regulations at all times.
- 3 Comply with organisational safety policies and procedures at all times.

Range

This means you need to cover:

- 1 Relevant sections of the Health and Safety at Work Act 1974 (eg with regard to your duties to work in a safe manner, not to interfere with remove or misuse equipment provided for the safety of yourself and others, not to endanger others by your acts or omissions).

The **RANGE** defines the various circumstances in which you must be able to prove you are competent.

You must cover all of the items in the **Range** Statement.

Evidence Requirements

The things you must prove that you can do:

You need to demonstrate that you understand your duties and obligations under both statutory regulations and organisational requirements and you can do this by:

- 1 Giving an adequate explanation of the duties and responsibilities of every individual as described in the Health and Safety at Work Act 1974.
- 2 Ensuring that whilst carrying out your work and/or visiting other areas of the working environment you are aware of the specific safety requirements and regulations governing your activities.

Knowledge and Understanding

You must prove that you know and understand:

- 1 The roles and responsibilities of your self and others under the Health and Safety at Work Act 1974.
- 2 The general regulations that apply to you being at work.
- 3 The specific regulations which govern your work activities.

The **KNOWLEDGE AND UNDERSTANDING** Requirements state what you must know and understand and how this knowledge applies to your job.

How are SVQs achieved?

When you consistently meet the standards described in the elements and show that you have the required skills and knowledge across the range, you can then claim that you are *competent* in each Unit. You can claim certification for single Units or whole awards. Your centre will register your claim to competence through the awarding body. The awarding body you are registered with for this SVQ is the Scottish Qualifications Authority (SQA).

Scottish Qualifications Authority
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The process of gaining an SVQ is flexible and depends on your needs. At the beginning of the process your assessor will review your existing competence in relation to the standards and identify the most suitable SVQ. The level you start at will depend on the type and breadth of your current job role together with your past experience, skills and any relevant prior learning.

To achieve an SVQ, or a Unit of an SVQ, 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. This will usually be someone who knows you, such as a manager or supervisor.

Evidence may come from:

- ◆ the **accreditation of prior learning** — where evidence relates to past experience or achievements
- ◆ **current practice** — where evidence is generated from a current job role
- ◆ a **programme of development** — where evidence comes from assessment opportunities built into a learning/training programme whether at or away from the workplace
- ◆ a combination of these

How are SVQs assessed?

Assessment is based on what you can do and involves you, your assessor, an internal verifier and an external verifier — see ‘Who does what in SVQs’ on the following page.

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

- ◆ you can perform all the specified tasks consistently to the required standard (**Performance Criteria**)
- ◆ you understand why you are doing things (**Knowledge and Understanding**)
- ◆ you can apply the required skills in different ways (**Range**)

Assessment is flexible and you can be certificated for each Unit you successfully achieve, even if you do not complete the full SVQ. There is no set period of time in which you need to complete a Unit. However, you and your assessor should still set target dates for completing each Unit, otherwise your qualification could go on forever. Be realistic though, as there are many factors such as your previous experience, demands within your workplace and an availability of resources which will affect how quickly you are able to achieve the qualification.

Who does what in SVQs?

A number of individuals and organisations have parts to play in SVQ assessment. Their roles have been designed to guarantee fair, accurate and consistent assessment.

	<i>Who are they?</i>	<i>What is their role?</i>
Candidates	The person who wants to achieve the SVQ — in this case, you.	Need to show they can perform to National Occupational Standards in order to be awarded an SVQ or Unit(s).
Assessors*	An experienced person in the same area of work as the candidate eg supervisor.	Judge the evidence of a candidate's performance, knowledge and understanding against the National Occupational Standards. Decide whether the candidate has demonstrated competence. Provide guidance and support to the candidate. Assist with planning assessments, giving feedback and recording candidate progress.
Internal Verifiers*	Individuals appointed by an approved centre to ensure the quality of assessment within the centre.	Advise assessors and maintain the quality of assessment in a centre. Systematically sample assessments to confirm the quality and consistency of assessment decisions.
Approved Centres	Organisations approved by awarding bodies to coordinate assessment arrangements for SVQs.	Manage assessment on a day to day basis. Must have effective assessment practices and internal verification procedures. Must meet criteria laid down by awarding bodies and be able to provide sufficiently-competent assessors and internal verifiers.
External Verifiers*	Individuals appointed by the awarding body to ensure that standards are being applied uniformly and consistently across all centres offering the SVQ.	Check the quality and consistency of assessments, both within and between centres, by systematic sampling. Make regular visits to centres to ensure they still meet the criteria to deliver SVQs.

* Assessors and internal and external verifiers are required to have occupational expertise in the SVQs which they are assessing/verifying. They must also have, or be working towards, an appropriate qualification in assessment and verification.

What is evidence?

To claim competence for an SVQ 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, your centre 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 SVQ 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** — usually not more than two years old
- ◆ **sufficient** — covers all the performance and knowledge requirements laid down in the standards

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; models; audio tapes, photographs; videos.

When you first begin your SVQ, 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 10.

Demonstrating knowledge, understanding and skills

In order to meet the standards, you may also be required to prove knowledge and understanding. Each Unit contains a list summarising the knowledge, understanding and skills 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
- ◆ assessment interviews
- ◆ assessment tests
- ◆ responses to questioning

These should be included in your portfolio.

How will my assessor check I have the knowledge and understanding 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 Range 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, but will be recorded in your portfolio as evidence.

Your assessor could also check you have the required level of knowledge and understanding by asking you to produce personal statements or to complete a project or assignment.

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

If you have previous work experience, skills, and knowledge and understanding which you feel is relevant to your SVQ, you should tell your assessor about it. Your assessor may ask you for more proof in the form of letters from previous employers/training providers or details about any courses you have completed.

For example, you may have achieved an HNC in a relevant subject in which case your assessor may feel that you already have some of the knowledge and understanding required for the SVQ.

The process of matching your previous experience and learning is often referred to as the Accreditation of Prior Learning (APL). The purpose of this process is to try and give you some credit towards your SVQ for things you can already do to the national standard. Your assessor judges the evidence available and matches it against the requirements of the SVQ. 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 SVQ. The more information you can supply to support your claims, the easier it should be to convince your assessor that you are competent.

When can simulation be used?

Throughout your SVQ, the emphasis is on you being able to carry out real work activities so assessment will normally be carried out in the workplace itself.

There may be times, however, when it might not be appropriate for you to be assessed while you are working. For example your SVQ might require you to carry out emergency or contingency procedures (for safety or confidentiality reasons) or your job role may not cover all aspects of the qualification. In such instances, when you have no other means of generating evidence, **simulation** might be appropriate.

Simulation is any structured exercise involving a specific task which reproduces real-life situations. Care must be taken though to ensure that the conditions in which you are assessed *exactly* mirror the work environment ie it is a **realistic working environment**.

You and your assessor should check the assessment strategy for your SVQ carefully to find out the Sector Skills Council (SSC's) view of what constitutes a realistic working environment. Some SSCs stipulate the specific elements which are suitable for this approach.

Integration of assessment

It is not necessary for you to have each Element 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 SVQ, 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 Section 2 'How to compile your portfolio'.

Section 2 — How to compile your portfolio (including worked examples)

General information

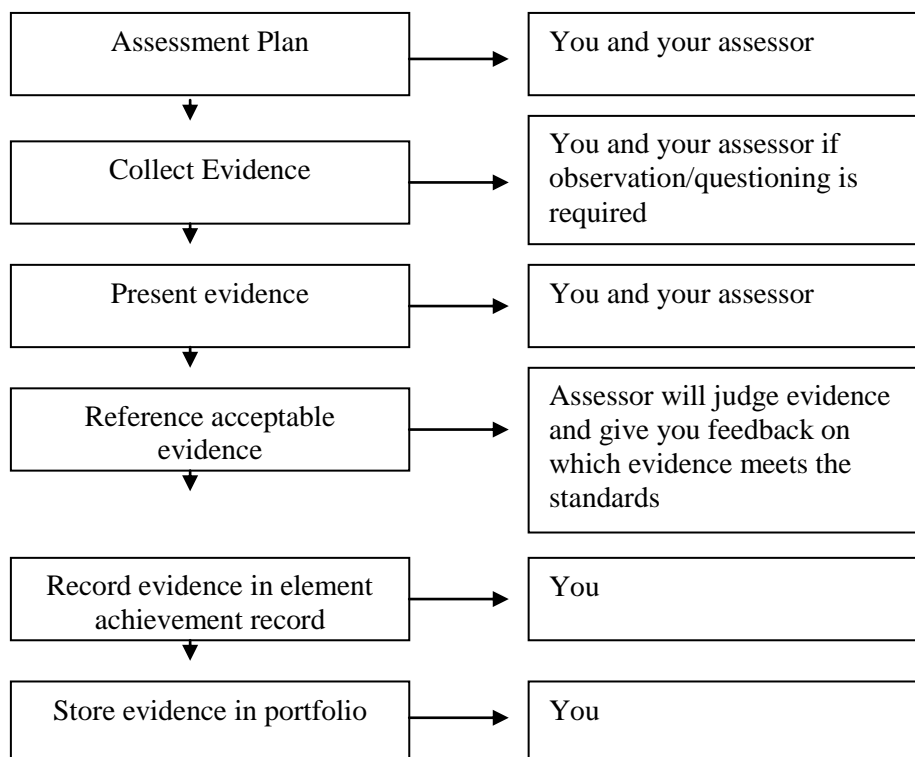
A portfolio, like a log book, is a way of recording evidence of your achievements. It is a collection of different items of evidence which indicates that you have the required skills, knowledge and understanding to support your claim to a qualification.

The production of a well-organised, clearly labelled portfolio which relates each piece of evidence to the relevant outcomes and 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 through the award.

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.

Evidence Collection Process



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 are going to take.

The plan is usually referred to as an '**assessment plan**'. It should be produced in discussion with your assessor and will set out the different stages in developing your portfolio. You will probably want to produce a plan for each Unit.

It is unlikely that you will be able to complete all of the Units straight away and you should therefore think about starting with those Units where you have a lot of experience and in which you work well. You should also remember to identify any opportunities for **integration of assessment**.

We have provided you with a '**Unit progress record**' — see Example 2. Each time you complete a Unit, your assessor should sign and date the relevant section on the form. At this stage, it might be a good idea to check that all your evidence and recording documents have been completed correctly and can easily be located. You can then circle the reference number of that Unit in the checkboxes at the top of the form so that you can see at a glance what stage you are at in your SVQ.

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:

Title Page
Contents Checklist
Personal Profile
Unit Progress Record
Completed Element Achievement Records
Index of Evidence
Pieces of evidence
Glossary of terms
Standards

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 number
Title page for the portfolio	<input type="checkbox"/>	
Personal profile		
◆ 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"/>	
Unit Assessment Plans	<input type="checkbox"/>	
Unit progress record	<input type="checkbox"/>	
Completed Element Achievement Records for each Unit		
◆ signed by yourself, your assessor and the internal verifier (where relevant)	<input type="checkbox"/>	
◆ Evidence reference numbers included	<input type="checkbox"/>	
Index of evidence (with cross-referencing information completed)	<input type="checkbox"/>	
Evidence (with reference numbers)		
◆ observation records	<input type="checkbox"/>	
◆ details of witnesses (witness testimony sheets)	<input type="checkbox"/>	
◆ personal statements	<input type="checkbox"/>	
◆ products of performance	<input type="checkbox"/>	

Collecting your evidence

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

We have provided blank forms in Section 4 of 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.

Observation record (Example 5)

The observation record is used by your assessor to record what tasks you have performed and to what standard. There is also a section for your assessor to note which other Units or Outcomes are covered by this evidence ('integration of assessment').

The assessor will discuss with you which Performance Criteria and Range you have successfully achieved and give you feedback. This form should then be given a reference number and included in your portfolio as part of your evidence.

Witness testimony (Example 6)

There may be occasions when your assessor is not available to observe you carrying out certain aspects of your job. In such instances, it may be appropriate for another person to comment about your performance by completing a statement called a 'witness testimony'.

Witness testimony should only be used as supporting evidence and should:

- ◆ be provided by a person, not related to you, who is in a position to make a valid comment about your performance eg supervisor, line manager or possibly a client/customer
- ◆ contain comments which specifically relate your performance to the standards
- ◆ be authenticated by the inclusion of the witness's signature, role, address, telephone number and the date

It is unlikely that your assessor would make an assessment decision based on witness testimony alone. They would normally supplement this type of evidence with questioning.

Record of questions and candidate's answers (Example 7)

This form is used to record any questions which your assessor may ask, to establish whether you have the required level of Knowledge and Understanding associated with each Unit. There is also space on the form for your answers to be noted.

Personal statement (Example 4)

There will be times when you need to put a piece of your evidence in context for your assessor so that they can decide if it is relevant to your SVQ. You can complete personal statements to help you do this — these can relate either to the pieces of evidence or to each Outcome or Unit.

For example, you may refer to paperwork which is often used in your organisation to help you pass on information to a colleague. It may not be clear to an assessor why you are communicating to your colleague in this way and a **brief** explanation of the paperwork and why it is relevant to a particular part of your SVQ may be required.

A personal statement might also be used to record your experience of something, such as, how you handled a specific situation. This can be documented in your personal statement and should be a description of what you did, how you did it and why you did it. It will also allow you to include the people who were present and either assisted you or witnessed your actions. This, in turn, might identify who you should approach for ‘witness testimony’. In your personal statement you could also refer to product evidence that you have produced (eg reports, notes, completed forms), these can also be included as evidence in your portfolio.

The personal statement can be a piece of evidence in itself and should therefore be included in your portfolio.

Presenting your evidence

It is important to present all of your evidence in a clear, consistent and legible manner. Your assessor will then find it much easier to make appropriate judgements about the quality, sufficiency and currency of the materials you are putting forward for consideration.

It is not necessary to produce all of your evidence in typewritten format — some hand-written pieces of evidence, such as notes, will be perfectly acceptable.

There may also be items of evidence which you cannot physically include in your portfolio. This might be for confidentiality reasons or it could be that something which you have produced as part of your day-to-day work is normally kept in a filing cabinet or stored electronically in a PC.

In compiling your portfolio, we suggest that anything you produce as part of your day-to-day work is kept in its normal location, but those pieces of evidence which have been produced specifically for your SVQ, eg witness testimony statements or personal statements, are filed in your portfolio. However, assessors and verifiers should be able to locate and access your evidence at all times. It is, therefore, very important that you clearly reference every item of evidence.

Referencing your evidence

Your assessor, as well as the internal and external verifiers, will need to find their way around your portfolio, so you should give each piece of evidence a number.

Remember, that where you have used ‘integration of assessment’, you need to give details of all the Units and Elements which are linked to a specific piece of evidence. The links should be noted on the pieces of evidence themselves as well as on the index of evidence (cross-referencing).

How to complete the Index of evidence (Example 1)

You should complete an *index of evidence* sheet and file it immediately before the actual pieces of evidence in your portfolio.

The index of evidence should be completed by:

- ◆ entering the evidence number in the first column
- ◆ giving a brief description of each piece of evidence in the second column
- ◆ explaining where the evidence can be found in the third column

You must make sure that the information contained in the evidence index is accurate when you give your portfolio to your assessor, particularly in relation to where the evidence can be located.

Completing the Element Achievement Records (Example 3)

There is an Element Achievement Record for every Element within this portfolio. These records have been designed to allow you to record the evidence you have gathered for each Element. Each record has boxes across it which represents the Performance Criteria, Range Statement, Evidence Requirements and Knowledge and Understanding statement, these will differ from Element to Element so it is important to make sure you are using the right one. Whilst collecting your evidence you should use these grids to display the Performance Criteria, Range, Knowledge and Understanding and Evidence Requirement that piece of evidence relates to. In the first box write the evidence index number you have given to that piece of evidence. In the second box give a brief description of the evidence, then tick against the relevant Performance Criteria, Range, Evidence Requirements and Knowledge and Understanding.

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.

Index of evidence

(Example 1)

SVQ title and level: Using IT at level 3

Evidence number	Description of evidence	Included in portfolio (Yes/No) If no, state location	Sampled by the IV (initials and date)
1	Action plan identifying customer requirements	Yes	
2	Personal Statement	Yes	
3	Witness Testimony	Yes	
4	Record of Questions and Answers	Yes	
5	Log of configuration details and errors	Yes	
6	Observation Checklist	Yes	
7	Procedure for shutting down system	Yes	
8	Company media storage policy	No. Can be found with General Manager	

Unit progress record

(Example 2)

Qualification and level: Using IT at level 3

Candidate: Anne Thomas

To achieve the whole qualification, you must prove competence in **mandatory** Units and **optional** Units.

Unit Checklist — circle the reference number of each Unit as you complete

Circle the reference numbers as you complete each Unit. You can then easily see what stage you have reached in your SVQ.

Mandatory	206	301	302	303	308	
Optional	305	306	311	312	326	327

Mandatory Units

Unit Number	Title	Assessor	Date
206	Ensure your own actions reduce risks to H&S		
301	Select and enable IT for use	P. Jones	28/4/2000
302	Maintain the Software Environment	P. Jones	28/4/2000
303	Develop and maintain the effectiveness of the IT working environment	P. Jones	8/4/2000
308	Develop your own effectiveness and professionalism		

This section of the form is for your assessor to sign each time you successfully achieve a Unit.

Optional Units

305	Design and produce documents using software		
306	Design and produce spreadsheets		
311	Design and use databases		
312	Design & produce documents using graphics		
326	Design & produce presentations using IT		
327	Control the use of electronic communication		

Element achievement record

(Example 3)

Unit title: Select & enable IT for use

Element: 301.1 Select & configure equipment for use

Evidence Index No	Description of Evidence	Performance Criteria								Range			Knowledge & Understanding					
		a	b	c	d	e	f	g	h	1	2	3	K1	K2	K3	K4	K5	
1	Action Plan	✓	✓			✓				✓								
2	Personal Statement	✓	✓			✓				✓								
3	Copy of Legislation			✓	✓							✓						
5	Record of Questions & Answers	✓	✓	✓		✓				✓	✓	✓						
6	Log of Configuration Details							✓	✓	✓		✓						

These numbers relate to your Evidence Index and will allow your assessor to find your evidence easily

Give a brief description of the evidence you are offering for assessment against each Performance Criteria, range and piece of knowledge and understanding

As you collect your evidence for assessment you should tick the relevant boxes. There is a box which represents each Performance Criteria and Range in the element

Candidates should enter which areas of knowledge and understanding that piece of evidence covers.

Candidate: _____ Assessor: _____ IV: _____
 Date: _____ Date: _____ Date: _____

Observation Record

(Example 5)

Unit/Element(s): (301) Select and Enable IT for Use

Candidate: Anne Thomas

Date of observation: 28/4/2000

Evidence index number: 8

Skills/activities observed:	PCs and range covered:
Saving and storing files	Element 301.3 PCs: a-f Range: materials (consumables, removable storage media), regulations (current legislation, manufacturer's instructions, organisational procedures), system (application software, hardware, system software).

Knowledge and understanding apparent from this observation:

Candidate can save and organise files. She can delete unwanted files and can shut down system according to organisation's procedures and manufacturer's instructions.

Other Units/elements to which this evidence may contribute:

302.1.b,c Range 1,3

Assessor comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor signature: Peter Jones

Date: 28/4/2000

Candidate signature: Anne Thomas

Date: 28/4/2000

Witness testimony

(Example 6)

SVQ title and level:	<u>Using IT level 3</u>	
Candidate name:	<u>Anne Thomas</u>	
Evidence index no:	<u>4</u>	
Where applicable, evidence no. to which this testimony relates:	<div style="border: 1px solid black; height: 30px;"></div>	
Element(s):	<u>301.2</u>	Range: <u>1</u>
Date of evidence:	<u>8/4/2000</u>	
Witness name:	<u>Ian Cummings</u>	
Designation/relationship to candidate:	<div style="border: 1px solid black; padding: 5px;">Line manager</div>	
Details of testimony:		
<p>I can attest that I observed Anne Thomas following company and national regulations in the use of software. She understands and has knowledge of these regulations and I observed her following them when selecting and configuring software.</p>		
<p>I can confirm the candidate's evidence is authentic and accurate.</p>		
Witness signature:	<u><i>Ian Cummings</i></u>	
Name:	<u>Ian Cummings</u>	
Date:	<u>8/4/2000</u>	

Please tick the appropriate box:

A1/A2 or D32/D33 Award

Familiar with the SVQ standards to which the candidate is working

Record of questions and candidate's answers (Example 7)

Unit: 301 Select & enable IT for use	Element(s): 1
Evidence index number: 5	
<p>Circumstances of assessment: As part of the staff induction scheme IT staff are regularly interviewed and asked about their knowledge and skills. Anne Thomas was interviewed on the 21 March 2000 and below is a summary of the interview where it relates to her knowledge of resources and problem solving.</p>	
<p>List of questions and candidate's responses:</p> <p>Q: If a member of staff asked you for a particular piece of equipment, would procedures would you follow?</p> <p>A: I would ensure that a hardware requisition form has been filled out with the rational for needing such equipment, countersigned by their line and general managers. If approved, next step would be to ask the member of staff if they need specific training. Pc 301.1.a,b,e Range 1,2,3</p> <p>Q: You discover that a member of staff has installed a piece of software on their workstation PC. What do you do?</p> <p>A: If they installed it themselves then this is a serious breach of company regulations and I would inform the IT manager. I would then remove the software. Pc 301.1.c, Range 2,3</p>	
Assessor's signature: Davinder Singh	Date: 21/3/2000
Candidate's signature: <i>Anne Thomas</i>	Date: 21/3/2000

Section 3 — The Units and recording documents for your SVQ

Unit Progress Record

Qualification and level: Construction Management: level 5

Candidate: _____

To achieve the whole qualification, you must prove competence in **five mandatory** Units plus **five optional** Units.

Please note the table below shows the SSC identification codes listed alongside the corresponding SQA Unit numbers. It is important that the SQA Unit numbers are used in all your recording documentation and when your results are communicated to SQA. SSC identification codes are **not valid** in these instances.

Unit Checklist — circle the reference number of each Unit as you complete it.

Mandatory	C01	C02	C03	C04	C05			
Optional	O06	O07	O08	O09	O10	011	O12	013
	O14	O15	O16					

Mandatory Units (*all Units should be completed*)

SQA Unit Number	SSC/SSB Unit Number	Title	Assessor	Internal Verifier	Date
F081 04	C01	Manage Health, Safety, Welfare and Environmental Factors			
F086 04	C02	Manage Project Risks, Opportunities, Systems and Teams			
F07P 04	C03	Control Projects			
F087 04	C04	Manage Teams and Individuals			
F07S 04	C05	Enhance Working Relationships and Develop Self			

Optional Units (*candidates must complete five optional Units*)

F07X 04	O06	Manage Factors Affecting Project Feasibility			
F084 04	O07	Manage Project Design			
F07T 04	O08	Establish and Implement Project Partnering			

Optional Units (cont)

SQA Unit Number	SSC/SSB Unit Number	Title	Assessor	Internal Verifier	Date
F082 04	O09	Manage Invited Tenders			
F07V 04	O10	Manage and Submit Tenders			
F08B 04	O11	Prepare and Agree Contracts			
F080 04	O12	Manage Financial Expenditure and Recovery			
F07W 04	O13	Manage Disputes			
F085 04	O14	Manage Project Handover and Evaluate Feedback			
F083 04	O15	Manage Organisational Development			
F07Y 04	O16	Manage Finance for the Business			

Glossary of terms

Advisor	A person who carries out, either singly or in combination, the functions of advising a candidate, collecting evidence of his or her competence on behalf of the assessor and authenticating the work candidates have undertaken. A mentor might also provide witness testimony.
Assessment	The process of generating and collecting evidence of a candidate's performance and judging that evidence against defined criteria.
Assessor	The person designated in a centre to be responsible for collecting evidence of candidates' competence, judging it and recording achievement.
Authentication	The process by which an advisor or assessor confirms that an assessment has been undertaken by a candidate and that all regulations governing the assessment have been observed.
Candidate	The person enrolling for an SQA qualification.
Centre	The college, training organisation or workplace where SQA qualifications are delivered and assessed.
Element of competence	Statements which define the products of learning. The statements describe the activities that the candidate needs to perform in order to achieve the Unit. They contain Performance Criteria and sometimes statements on range and evidence. (see Outcome)
Evidence	Materials the candidate has to provide as proof of his or her competence against specified Performance Criteria.
Evidence requirements	Specify the evidence that must be gathered to show that the candidate has met the standards laid down in the Performance Criteria.
External verifier	The person appointed by the SQA who is responsible for the quality assurance of a centre's provision. An external verifier is often appointed on a subject area basis or for cognate groups of Units.
Instrument of assessment	A means of generating evidence of the candidate's performance.
Internal verifier	The person appointed from within the centre who ensures that assessors apply the standards uniformly and consistently.
Observation	A means of assessment in which the candidate is observed carrying out tasks that reflect the Performance Criteria given in Outcomes.
Outcome	Statement which defines the products of learning. They describe the activities the candidate has to perform to achieve the Unit, and contain Performance Criteria, and, sometimes, statements on range and evidence (see Elements of Competence).
Performance Criteria	Statements which describe the standard to which candidates must perform the activities which are stated in the Outcome.

Portfolio	A compilation of evidence which can form the basis for assessment. The portfolio is commonly used in SVQ awards and in alternative routes to assessment such as APL and credit transfer.
Product evaluation	A means of assessment which enables the quality of a product produced by the candidate, rather than the process of producing it, to be evaluated.
Range/Scope	A statement in the Unit which specifies the different contexts in which the activities described in the Outcome have to be demonstrated. Where they appear, Range/Scope statements are mandatory.

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

This Unit has the following Elements:

CCM5/C02.1	Assess and evaluate risks and opportunities of projects
CCM5/C02.2	Select methods and procedures to manage project risks and opportunities
CCM5/C02.3	Establish and maintain project organisation and communication systems
CCM5/C02.4	Select and form work teams
CCM5/C02.5	Chair meetings

Unit Summary

This Core Unit covers the candidate's key responsibilities in assessing and managing the risks and opportunities of projects. (Risks in this Unit do not relate primarily to health, safety and welfare and environment, which are covered in Unit C01, but to the key project parameters of cost, quality and time.) The Unit also covers responsibility for your organisation and communication systems.

Element 2.1 is about identifying and evaluating the risks and opportunities inherent in potential projects.

Element 2.2 is about deciding what methods and procedures must be used to manage the project risks and opportunities, and also what resources the project activities will need.

Element 2.3 deals with running the project organisation and ensuring good communications. The 'organisation' could be the candidate's office/department, or an on-site project.

Element 2.4 covers choosing the project work teams. This could apply to departmental personnel, or to site teams.

Element 2.5 is about chairing meetings effectively; controlling people, achieving objectives, and disseminating information.

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.1 Assess and evaluate risks and opportunities of projects

Performance Criteria

This involves:

- (a) identifying and reviewing **project information** relating to **risks** and **opportunities** of potential projects
- (b) identifying **risks** and opportunities arising from potential project processes
- (c) obtaining further information needed to make judgements
- (d) identifying the significance of the **risks** and opportunities of potential projects
- (e) evaluating the significant **risks** and opportunities of potential projects to decide whether to proceed with the project
- (f) checking and confirming that **risk management** processes are undertaken

Range

- 1 **Project information:**
 - (a) environmental
 - (b) statutory and legal requirements
 - (c) client, user and community requirements
 - (d) construction and technical requirements
 - (e) site constraints
 - (f) finance, procurement and contract
 - (g) quality
 - (h) cost
 - (i) timescale
- 2 **Risks:**
 - (a) health, safety and welfare
 - (b) environmental impact
 - (c) management and workforce experience
 - (d) complexity and scope
 - (e) consents
 - (f) costs
 - (g) impact on business
 - (h) technical considerations
 - (i) timescale
 - (j) contract form
 - (k) availability of resources

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.1 Assess and evaluate risks and opportunities of projects

Range (cont)

- 3 **Opportunities:**
 - (a) better buying
 - (b) timescale reduction
 - (c) specification change
 - (d) business benefit
 - (e) profitability

- 4 **Risk management:**
 - (a) risk identification
 - (b) risk assessment
 - (c) prevention, reduction and protection
 - (d) risk register

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of potential risks and opportunities identified from project information. (a,b,c) [1,2,3]
- 2 Information on risks and opportunities relating to potential projects. (a,d) [all]
- 3 Record(s) of evaluation of risks and opportunities. (f) [2,3]
- 4 Record(s) of risk management processes undertaken. (f) (4)

Simulations are not considered to be acceptable for producing evidence for this Element.

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.1 Assess and evaluate risks and opportunities of projects

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as **project information** relating to potential **risks** and **opportunities**? (understanding) (b) [1,2,3]
- 2 How and why do you review **project information** relating to potential **risks** and **opportunities**? (analysis) (b) [1,2,3]
- 3 What do you identify as **risks** and **opportunities** arising from potential projects? (understanding) (c) [2,3]
- 4 How and why do you identify the significance of the project **risks** and **opportunities**? (synthesis) (e) [2,3]
- 5 How and why do you evaluate the significant **risks** and **opportunities**? (evaluation) (e) [2,3]
- 6 How do you check and confirm that **risk management** processes are undertaken? (application) (f) [4]

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.1 Assess and evaluate risks and opportunities of projects

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.2 Select methods and procedures to manage project risks and opportunities

Performance Criteria

This involves:

- (a) reviewing and evaluating significant **risks** and **opportunities**
- (b) selecting the most effective **methods** to manage significant **risks** and **opportunities**
- (c) selecting the management **methods** and procedures that comply with all relevant regulations and guidelines
- (d) identifying the **resources** that are necessary to implement the management **methods**
- (e) identifying the activities required to implement the management **methods**
- (f) specifying clearly the procedures for implementing the management **methods**
- (g) implementing and maintaining the management **methods** and procedures and modifying them to meet changed circumstances

Range

- 1 **Risks:**
 - (a) environmental impact
 - (b) management and workforce experience
 - (c) complexity and scope
 - (d) consents
 - (e) costs
 - (f) impact on business
 - (g) technical considerations
 - (h) timescale
 - (i) contract form
 - (j) availability of resources
- 2 **Opportunities:**
 - (a) better purchasing/resource procurement
 - (b) timescale reduction
 - (c) specification change
 - (d) business benefit
 - (e) profitability
- 3 **Methods:**
 - (a) minimise/eliminate risks
 - (b) maximise opportunities

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.2 Select methods and procedures to manage project risks and opportunities

Range (cont)

4 Resources:

- (a) people
- (b) plant and equipment
- (c) materials and components
- (d) finance
- (e) time
- (f) specialist services
- (g) utility services
- (h) information

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of reviews and evaluations of significant risks and opportunities. (a) [1,2]
- 2 Record(s) of methods, procedures, resources and activities used to implement risk and opportunity management methods. (b,c,d,e,f,g) [all]

Simulations are not considered to be acceptable for producing evidence for this Element.

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.2 Select methods and procedures to manage project risks and opportunities

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you review and evaluation significant **risks** and **opportunities**? (evaluation) (a) [1,2]
- 2 What do you identify as the **resources** that are necessary to implement the management **methods**? (understanding) (d) [1,2,3,4]
- 3 What do you identify as the activities required to implement the management **methods**? (understanding) (e) [1,2,3]
- 4 How do you implement, maintain and modify the management **methods** and procedures? (application) (g) [1,2,3]
- 5 How do you select the most effective **methods** to manage significant **risks** and **opportunities**? (evaluation) (b) [1,2,3]
- 6 How do you select the management **methods** and procedures that comply with all relevant regulations and guidelines? (evaluation) (c) [1,2,3]
- 7 How do you specify the procedures for implementing the management **methods**? (evaluation) (f) [1,2,3]

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.2 Select methods and procedures to manage project risks and opportunities

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.3 Establish and maintain project organisation and communication systems

Performance Criteria

This involves:

- (a) identifying the **organisational and communication needs** for the project
- (b) developing and introducing systems which are compatible with those used by the client and supply chain and which enable clear and effective management, and administrative and operational controls
- (c) producing accurate and unambiguous **information about people's roles and responsibilities**, the project and the organisational structure, and circulating the information to **people and organisations who have an interest**
- (d) implementing **methods of communicating, reporting, recording and retrieving** information which are appropriate to the needs of the project and monitoring the methods regularly for effectiveness
- (e) identifying and investigating breakdowns in communication, and taking action to restore effective communication
- (f) setting up systems for recording and providing feedback on the ways in which **resources** are allocated and used

Range

- 1 **Organisational and communication needs:**
 - (a) site management
 - (b) head office interface
 - (c) contract administration
 - (d) health, safety and welfare
 - (e) team interfaces
 - (f) integration of data
- 2 **Information about people's roles and responsibilities:**
 - (a) individual job descriptions
 - (b) organisation charts
 - (c) contractual arrangements
 - (d) team
- 3 **People and organisations who have an interest:**
 - (a) clients
 - (b) consultants
 - (c) contractors
 - (d) sub-contractors
 - (e) third parties
 - (f) utilities
 - (g) emergency services
 - (h) people on site
 - (i) statutory authorities

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.3 Establish and maintain project organisation and communication systems

Range (cont)

- 4 **Methods of communicating, reporting, recording and retrieving:**
 - (a) oral
 - (b) written
 - (c) graphic
 - (d) electronic

- 5 **Resources:**
 - (a) people
 - (b) plant and equipment
 - (c) materials and components
 - (d) sub-contractors
 - (e) project information

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of project organisation and communication systems which have been developed and introduced. (a,b) [1]
- 2 Information about people's roles and responsibilities and the organisational structure which has been circulated. (c) [2,3]
- 3 Record(s) of communicating, reporting, recording and retrieving information which include investigations into breakdowns in communication and the actions taken to resolve them. (d,e) [4]
- 4 System(s) for recording and providing feedback on the allocation and use of resources. (f) [5]

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.3 Establish and maintain project organisation and communication systems

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as the **organisational and communication** needs for the project? (understanding) (a) [1]
- 2 How do you develop and introduce systems which are compatible with those used by the client and supply chain and which enable clear and effective management, and administrative and operational controls? (synthesis) (b) [1]
- 3 How do you produce and circulate to **people and organisations who have an interest** accurate and unambiguous **information about people's roles and responsibilities**, the project and the organisational structure? (application) (c) [2,3]
- 4 What do you identify as breakdowns in communication? (understanding) (e) [1,4]
- 5 How do you take action to restore effective communication? (application) (e) [1,4]
- 6 How do you monitor the **methods of communicating, reporting, recording and retrieving** information introduced? (analysis) (d) [4]
- 7 How do you investigate breakdowns in communication? (analysis) (e) [1,4]
- 8 How do you implement **methods of communicating, reporting, recording and retrieving** information which are appropriate to the needs of the project? (synthesis) (d) [4]
- 9 How do you set up systems for recording and providing feedback on the ways in which **resources** are allocated and used? (synthesis) (f) [5]

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.3 Establish and maintain project organisation and communication systems

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.4 Select and form work teams

Performance Criteria

This involves:

- (a) identifying the **people and services** that are needed and **where they can be obtained**, and selecting those that meet agreed timescales and budget limits
- (b) identifying any **significant factors** which will affect the number, type and availability of **people and services**
- (c) evaluating the quality and potential reliability of **people and services** and circulating the results to people who have an interest
- (d) negotiating and agreeing proposals for team membership which are likely to produce an effective team
- (e) following the **rules and formalities** for obtaining **people and services**
- (f) negotiating contracts and agreements in a way which preserves goodwill and trust

Range

- 1 **People and services:**
 - (a) management
 - (b) technical staff
 - (c) sub-contractors
- 2 **Where (people) can be obtained:**
 - (a) internal
 - (b) external to the organisation
- 3 **Significant factors:**
 - (a) location
 - (b) cost
 - (c) time
 - (d) skills, knowledge and experience required and available
 - (e) training and development requirements
 - (f) equal opportunities and disability rights
- 4 **Rules and formalities:**
 - (a) contractual
 - (b) statutory
 - (c) recognised industry processes
 - (d) organisational processes
 - (e) certification of competence

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.4 Select and form work teams

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of proposal(s) for people and services which include where they can be obtained, timescales, budget limits, significant factors and effectiveness. (a,b,c,d) [1,2,3,4]
- 2 Contract(s) and terms of appointment. (e,f) [4]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.4 Select and form work teams

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you select **people and services** that meet agreed timescales and budget limits? (evaluation) (a) [1,2]
- 2 What do you identify as the **people and services** that are needed and **where they can be obtained**? (understanding) (a) [1,2]
- 3 How and why do you identify **significant factors** which will affect the number, type and availability of **people and services**? (synthesis) (b) [1,3]
- 4 How do you circulate the results of evaluating the quality and potential reliability of **people and services** to people who have an interest? (application) (c) [1,3]
- 5 How and why do you evaluate the quality and potential reliability of **people and services**? (evaluation) (c) [1,3]
- 6 How and why do you negotiate proposals for team membership? (synthesis) (d) [4]
- 7 How and why do you agree proposals for team membership? (evaluation) (d) [4]
- 8 How do you follow the **rules and formalities** for obtaining **people and services**? (application) (e) [1,4]
- 9 How and why do you negotiate contracts and agreements? (synthesis) (f) [4]

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.4 Select and form work teams

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C02 (F086 04)

Manage Project Risks, Opportunities, Systems and Teams

Element C02.5 Chair meetings

Performance Criteria

This involves:

- (a) giving people, appropriate to the **objective** of the **meeting**, sufficient notice and information to allow them to contribute effectively
- (b) ensuring that everyone attending the **meeting** agrees the **objective** of the **meeting** at the start
- (c) allocating discussion time to topics consistently with their importance, urgency and complexity
- (d) maintaining a style of leadership which helps those attending the **meeting** to make useful contributions
- (e) discouraging unhelpful arguments and digressions
- (f) presenting information and providing summaries clearly at appropriate points during the **meeting**
- (g) ensuring that **meetings** achieve their **objectives** within the allocated time
- (h) ensuring that agreed decisions and recommendations fall within the group's authority
- (i) giving clear, accurate and concise information about decisions and recommendations to those who need it
- (j) seeking feedback from those attending and using this to improve the effectiveness of future **meetings**

Range

- 1 **Objective:**
 - (a) information giving
 - (b) consultation
 - (c) decision making
- 2 **Meeting:**
 - (a) involving people from within your organisation
 - (b) involving people outside your organisation

UNIT CCM5/C02 (F086 04)

Manage Project Risks, Opportunities, Systems and Teams

Element C02.5 Chair meetings

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must also show evidence of leading both types of meeting. (a,b,d,f,g,j) [2]
- 2 You must prove that you chair meetings to the National Standard of competence. (all) [all]
- 3 You must show evidence of leading meetings with all types of objective. (a,b,g) [1]

Process Evidence

- 1 You must also show evidence of leading both types of meeting. (a,b,d,f,g,j) [2]
- 2 You must prove that you chair meetings to the National Standard of competence. (all) [all]
- 3 You must show evidence of leading meetings with all types of objective. (a,b,g) [1]

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

Evidence Requirements — Knowledge and Understanding

1 Communication:

- (a) how to identify unhelpful arguments and digressions, and strategies which may be used to discourage these
- (b) how to present information during meetings
- (c) how to get and use feedback from others
- (d) leadership styles
- (e) styles of leadership which can be used to run meetings and how to choose a style according to the nature of the **meeting**

2 Meetings:

- (a) the value and limitations of meetings as a method of exchanging information and making decisions
- (b) how to determine when meetings are the most effective method of dealing with issues and possible alternatives which may be used
- (c) potential differences between meetings which are internal and those involving people from outside
- (d) the purpose of agendas and how to devise agendas according to the issues, intended outcomes and time available
- (e) the importance of determining the purpose and **objectives** of meetings and how to do so
- (f) the importance of summarising discussions and decisions during meetings and at what points this is appropriate
- (g) how to manage discussions so that the **objectives** of the **meeting** are met within the allocated time
- (h) the importance of ensuring decisions taken are within the authority of the **meeting**

UNIT CCM5/C02 (F086 04) Manage Project Risks, Opportunities, Systems and Teams

Element C02.5 Chair meetings

Evidence Requirements — Knowledge and Understanding (cont)

- 3 Organisational context:**
 - (a) how to determine who are the necessary people to attend the **meeting**
 - (b) procedures to follow when calling meetings and preparing for them

UNIT CCM5/C02 (F086 04)

Manage Project Risks, Opportunities, Systems and Teams

Element C02.5 Chair meetings

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

This Unit has the following Elements:

CCM5/C01.1	Assess the environmental impact of project proposals
CCM5/C01.2	Develop and establish systems for managing health, safety and welfare
CCM5/C01.3	Maintain and implement systems for managing health, safety and welfare
CCM5/C01.4	Identify hazards and assess risks

Unit Summary

This Core Unit covers the candidate's key responsibilities for health, safety, welfare and the environment, at a senior decision-making level. These responsibilities can be interpreted very widely, so that the candidate can produce evidence of competence from a broad range of construction management disciplines. Those candidates who are office based will benefit from involvement in site activity in order to generate the necessary evidence.

Element 1.1 is about managing pre-project environmental impact analyses, and reporting the results.

Element 1.2 deals with setting up health, safety and welfare systems. These can be either in the office or on site.

Element 1.3 covers the maintenance and implementation of health, safety and welfare systems.

Element 1.4 deals with the identification of hazards and the assessment of the associated risks. Again, these could be in the office or on site.

Note: For the purposes of this Unit:

A hazard is something with the potential to cause harm.

A risk is the likelihood of harm being caused by a hazard, and the degree of its severity.

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.1 Assess the environmental impact of project proposals

Performance Criteria

This involves:

- (a) examining project information, consulting stakeholders and consulting experts
- (b) identifying **requirements** for assessing the environmental impact of project proposals examining policy documents, consulting stakeholders and consulting experts
- (c) ensuring the identification of the **factors** and **criteria** which will be used in the impact assessment
- (d) identifying and reviewing **alternative solutions** which will improve environmental quality and increase sustainability
- (e) assessing and quantifying the significance of each **factor** and evaluating proposals which will reduce the environmental impact
- (f) producing a report of the assessed environmental impact of project proposals

Range

- 1 **Requirements:**
 - (a) social obligations
 - (b) current relevant codes of practice
 - (c) legal obligations
 - (d) feasibility
 - (e) conditions to be applied to the proposal
 - (f) significant environmental issues and effects
- 2 **Factors:**
 - (a) social
 - (b) economic
 - (c) ecological and environmental (including resource use)
 - (d) conservation
 - (e) legal
 - (f) technical
 - (g) timescale
 - (h) scale
 - (i) sustainability
 - (j) recycling
- 3 **Criteria:**
 - (a) primary and secondary effects
 - (b) positive and negative
 - (c) opportunities and constraints
 - (d) construction, operation and decommissioning stages
 - (e) temporary, cumulative and permanent

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.1 Assess the environmental impact of project proposals

Range (cont)

- 4 **Alternative solutions:**
- (a) different locations
 - (b) different layouts
 - (c) extending the use of existing resources
 - (d) use of alternative resources
 - (e) changes to implementation and phasing

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion. The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Report(s) on the impact of project proposals which include requirements, selected factors and criteria, and a review of alternative solutions. (all) [all]

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.1 Assess the environmental impact of project proposals

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you consult stakeholders and experts? (application) (a,b)
[all]
- 2 How and why do you examine project information? (analysis) (a)
[all]
- 3 What do you identify as the **requirements** for assessing the environmental impact of project proposals? (understanding) (b)
[1,2]
- 4 How and why do you produce a report of the assessed environmental impact of the project proposal? (analysis) (f) [2]
- 5 How and why do you assess and quantify the significance of each **factor**? (analysis) (e) [2]
- 6 How and why do you identify the **factors** and criterion which will be included in the impact assessment? (evaluation) (c) [2,3]
- 7 What do you identify as **alternative solutions** which will improve environmental quality and increase sustainability?
(understanding) (d) [4]
- 8 How and why do you review **alternative solutions** which will improve environmental quality and increase sustainability?
(analysis) (d) [4]

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.1 Assess the environmental impact of project proposals

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.2 Develop and establish systems for managing health, safety and welfare

Performance Criteria

This involves:

- (a) developing adequate health, safety and welfare policies and systems which meet **organisational and statutory requirements**
- (b) allocating health, safety and welfare responsibilities to people under your control which are consistent with **organisational and statutory requirements**, and the specific project requirements
- (c) arranging for accurate **statutory notices** and hazard warnings to be posted which are appropriate to construction operations and the project environment
- (d) arranging for allocation of the **health, safety and welfare equipment and resources**, to meet organisational and **statutory requirements**
- (e) ensuring that there are appropriate and sufficient qualified first aiders and that the work force is briefed about first aid arrangements and procedures

Range

- 1 **Organisational and statutory requirements:**
 - (a) construction specific health, safety and welfare regulations
 - (b) general health, safety and welfare legislation
 - (c) recognised industry codes of practice
 - (d) organisational procedures
- 2 **Statutory notices:**
 - (a) prescribed notices
 - (b) certificates
 - (c) Certificates of Insurance
- 3 **Health, safety and welfare equipment and resources:**
 - (a) protective clothing
 - (b) protective equipment
 - (c) first aid facilities
 - (d) welfare facilities
 - (e) storage and security of materials and equipment
 - (f) accident and incident reporting
 - (g) fire fighting equipment
 - (h) provision of health, safety and welfare training

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.2 Develop and establish systems for managing health, safety and welfare

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Records of policies and systems which meet requirements. (a) [1]
- 2 Record(s) of systems for identifying hazards and reducing risks and which include for the reporting of accidents and emergencies and prevention of recurrence. (e) [2]
- 3 Record(s) of health, safety and welfare arrangements which include allocated responsibilities, posting of statutory notices and hazard warnings, allocated equipment and resources, specified first aiders. (a,b,c,d) [all]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

- 4 Record(s) of briefing the workforce about first aid arrangements. (e) [3]

Process Evidence

None applicable.

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.2 Develop and establish systems for managing health, safety and welfare

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you develop adequate health, safety and welfare policies and systems which meet **organisational and statutory requirements**? (synthesis) (a) [1]
- 2 How do you allocate health, safety and welfare responsibilities to **people**? (application) (b) [all]
- 3 How do you arrange for accurate and appropriate **statutory notices** and hazard warnings to be posted? (application) (c) [2]
- 4 How do you arrange allocation of **health, safety and welfare equipment and resources**? (application) (d) [3]
- 5 How do you ensure that the workforce are briefed about first aid arrangements? (application) (e) [3]
- 6 How do you ensure that there are appropriate and sufficient qualified first aiders? (application) (e) [3]

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.2 Develop and establish systems for managing health, safety and welfare

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.3 Maintain and implement systems for managing health, safety and welfare

Performance Criteria

This involves:

- (a) encouraging a culture of health, safety and welfare and identifying and recommending opportunities for improving the health and safety of the work environment
- (b) **inducting people** under your control and checking that they are correctly certified and monitored
- (c) maintaining accurate and appropriate **statutory notices** and hazard warnings
- (d) maintaining **health, safety and welfare equipment and resources** which meet the organisational and **statutory requirements**
- (e) implementing systems which meet **organisational and statutory requirements** for identifying hazards and reducing risks and for reporting accidents and emergencies and preventing recurrences
- (f) checking health, safety and welfare systems and practice regularly, in accordance with **organisational and statutory requirements**, and dealing effectively with any non-compliances

Range

- 1 **Inducting:**
 - (a) health and safety responsibilities
 - (b) health, safety and welfare equipment and resources
 - (c) risk control procedures
 - (d) first aid arrangements
- 2 **Statutory Ranges:**
 - (a) prescribed notices
 - (b) certificates
 - (c) Certificate of Insurance
 - (d) site safety signs
- 3 **Health, safety and welfare equipment and resources:**
 - (a) protective clothing
 - (b) protective equipment
 - (c) first aid facilities and arrangements
 - (d) welfare facilities
 - (e) storage and security of materials and equipment
 - (f) accident and incident reporting
 - (g) fire fighting equipment
 - (h) provision of health, safety and welfare training
- 4 **Organisational and statutory requirements:**
 - (a) construction specific health, safety and welfare regulations
 - (b) general health, safety and welfare legislation
 - (c) recognised industry codes of practice
 - (d) organisational procedures

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.3 Maintain and implement systems for managing health, safety and welfare

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of inducting and monitoring the health, safety and welfare of people on site which include encouraging the culture recommending opportunities for improvement and checking certification (a,b) [1,2]
- 2 Record(s) of implementing and maintaining systems which include statutory notices and hazard warnings, equipment and resources, identification of hazards and reduction of risks, reporting accidents and emergencies and preventing recurrences and dealing with any non-compliance (c,d,e,f) [3,4,5]

Evidence Requirements — Performance and Process (cont)

- 3 Observation(s) of inducting and monitoring the health, safety and welfare of people on site which include encouraging the culture recommending opportunities for improvement and checking certification (a,b) [1,2]

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.3 Maintain and implement systems for managing health, safety and welfare

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as opportunities for improving the health and safety of the work environment? (understanding) (a) [1,4]
- 2 How do you encourage a culture of health, safety and welfare on site? (application) (a) [1,2,4]
- 3 How and why do you recommend opportunities for improving the health and safety of the work environment? (synthesis) (a) [1,4]
- 4 How do you **induct people** and check that **people** are correctly certified and monitored whilst on site? (application) (b) [1,2,4]
- 5 How do you maintain accurate **statutory notices** and hazard warnings? (application) (c) [2]
- 6 How do you maintain **health, safety and welfare equipment and resources**? (application) (d) [3]
- 7 How do you implement systems which meet **statutory requirements** for identifying hazards and reducing risks and reporting accidents and emergencies and preventing recurrence? (application) (e) [4]
- 8 How do you check health, safety and welfare systems regularly in accordance with **statutory requirements** and deal with any non-compliances? (application) (f) [2]

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.3 Maintain and implement systems for managing health, safety and welfare

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.4 Identify hazards and assess risks

Performance Criteria

This involves:

- (a) undertaking **risk management** processes
- (b) reviewing information relating to potential **hazards**
- (c) identifying the significance of the **hazards**
- (d) **assessing** the **hazards** to identify the **risks** and selecting the most effective **methods** to reduce **risks**
- (e) specifying clearly the procedures for implementing the **risk** reduction **methods**
- (f) implementing and maintaining **risk** reduction **methods** and procedures
- (g) utilising opportunities to promote the implementation of the **risk** reduction **methods**

Range

- 1 **Risk management:**
 - (a) hazard identification
 - (b) risk assessment
 - (c) prevention and protection

- 2 **Assessing:**
 - (a) likelihood of occurrence
 - (b) severity of harm which may be incurred

- 3 **Hazards:**
 - (a) falls from height
 - (b) slips, trips and falls (same level)
 - (c) hit by falling or moving objects
 - (d) manual handling
 - (e) health issues
 - (f) power sources
 - (g) hazardous substances
 - (h) trapped by something collapsing or overturning
 - (i) confined spaces
 - (j) fire

- 4 **Risk:**
 - (a) high
 - (b) medium
 - (c) low

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.4 Identify hazards and assess risks

Range (cont)

5 **Methods:**

- (a) eliminate
- (b) control at source
- (c) cumulative protection
- (d) manage
- (e) personal protection equipment

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- (1) Information on risk management processes which includes reviewed information on potential hazards and factors relating to hazards, identified significance of hazards, identified risks, and methods to reduce risks. (all) [all]

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.4 Identify hazards and assess risks

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you undertake **risk management** processes? (evaluation)
(a) [1]
- 2 How do you review information relating to potential **hazards**?
(analysis) (b) [2]
- 3 How and why do you identify the significance of the **hazards**?
(synthesis) (c) [2,3]
- 4 How and why do you assess the hazards to identify the **risks**?
(analysis) (d) [2,4,5]
- 5 How and why do you select **methods** to reduce **risks**? (evaluation)
(d) [4,5]
- 6 How do you specify the procedures for implementing **risk**
reduction **methods**? (application) (e) [4,5]

UNIT CCM5/C01 (F081 04) Manage Health, Safety, Welfare and Environmental Factors

Element C01.4 Identify hazards and assess risks

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C03 (F07P 04) Control Projects

This Unit has the following Elements:

CCM5/C03.1	Promote continuous quality improvements for products, services and processes
CCM5/C03.2	Maintain project compliance with legal and statutory requirements
CCM5/C03.3	Control project progress against agreed programmes
CCM5/C03.4	Control expenditure against budgets

Unit Summary

This Core Unit covers the candidate's key responsibilities for project control. 'Project' in this context means whatever activities the candidate manages, eg an office department, or contracts with clients.

Element 3.1 deals with quality management ie operating and improving quality systems. 'The National Standard of Competence' (see product evidence 2) refers to current best practice in quality management and benchmarks in business improvement.

Element 3.2 covers the legal and statutory obligations of the managerial role. This could apply to the office or to construction sites.

Element 3.3 is about achieving planned objectives within agreed timescales. This includes setting up the necessary systems to monitor and control progress, and dealing effectively with contingencies.

Element 3.4 is about meeting the financial targets on the projects, operating cost control systems, and dealing effectively with contingencies.

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.1 Promote continuous quality improvements for products, services and processes

Performance Criteria

This involves:

- (a) assessing the outcomes of continuous monitoring and quality evaluations for their implications for the organisation
- (b) correctly identifying **trends and developments** in the quality of products, services and processes
- (c) advising **relevant people** promptly about the impact **trends and developments** may have on the perceived and actual quality of the organisations products, services and processes
- (d) making recommendations for improving the quality of products, services and processes to **relevant people** in a form which supports decision-making
- (e) making recommendations clearly show the benefits which **improvements** could bring against the resources which would need to be expended
- (f) obtaining and providing sufficient resources and support to allow **improvements** to be implemented successfully
- (g) monitoring **improvements** for their effectiveness against agreed criteria
- (h) encouraging **relevant people** to be involved in continuous quality **improvement**

Range

- 1 **Trends and developments:**
 - (a) internal
 - (b) external
- 2 **Relevant people:**
 - (a) higher-level managers or sponsors
 - (b) colleagues working at the same level as yourself
 - (c) quality specialists
- 3 **Improvements in:**
 - (a) human performance
 - (b) systems performance
 - (c) organisational policies and strategies

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.1 Promote continuous quality improvements for products, services and processes

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must also show evidence that you recommend and implement improvements. (d,e,f,g,h) [3]
- 2 You must prove that you report on compliance with quality systems to the National Standard of competence. (all) [1,2,3]
- 3 You must show evidence that you identify both types of trends and developments. [1]
- 4 You must show evidence that you involve at least two types of relevant people. (c,d,h) [2]
- 5 You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of relevant people. (c,d,h) [2]

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

- 1 **Analytical techniques:**
 - (a) how to conduct a cost-benefit analysis
- 2 **Communication:**
 - (a) the principles and processes of effective communication and how to apply them
 - (b) how to make recommendations in a form which supports decision making
- 3 **Involvement and motivation:**
 - (a) how to motivate individuals to be involved in continuous quality **improvement**
- 4 **Monitoring and evaluation:**
 - (a) the relevant information from performance monitoring and evaluation systems
 - (b) how to assess the implications of the results of monitoring and evaluation for the organisation
 - (c) the relevant **trends and developments**, both inside and outside the organisation
 - (d) how to develop criteria to measure effectiveness
- 5 **Organisational context:**
 - (a) the people who should be involved in decisions on continuous quality **improvement** and how to secure their involvement

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.1 Promote continuous quality improvements for products, services and processes

Evidence Requirements — Knowledge and Understanding (cont)

- 6 **Quality management:**
- (a) how to assess the impact of **trends and developments** on the perceived or actual quality of the organisations products, services and processes
 - (b) source management
 - (c) how to assess the resources needed to implement **improvements**, and how to obtain and provide these resources

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.1 Promote continuous quality improvements for products, services and processes

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.2 Maintain project compliance with legal and statutory requirements

Performance Criteria

This involves:

- (a) identifying **legal and statutory requirements** from available information and clarifying them where there is uncertainty
- (b) ensuring that the workforce are briefed about their **legal and statutory responsibilities** before they start work on the project
- (c) developing and implementing **monitoring systems**, collecting information regularly and evaluating it accurately
- (d) identifying situations which do not comply with **legal and statutory requirements**, investigating the circumstances thoroughly and taking appropriate corrective action
- (e) identifying any new **legal and statutory requirements** which may have an impact on the project, summarising the important details and passing these on to **people who have an interest**
- (f) completing statutory returns accurately and on time

Range

- 1 **Legal and statutory requirements and responsibilities for:**
 - (a) project activities
 - (b) insurance
 - (c) health, safety and welfare
 - (d) environment
 - (e) utilities regulations
 - (f) licences and permits
 - (g) employment practice
- 2 **Monitoring systems:**
 - (a) visual inspection
 - (b) comparison with design requirements
 - (c) comparison with standard documentation
 - (d) site inspection reports
 - (e) contractors' reports
 - (f) site meetings
- 3 **People who have an interest:**
 - (a) the client
 - (b) contractors
 - (c) consultants
 - (d) sub-contractors
 - (e) suppliers
 - (f) workforce

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.2 Maintain project compliance with legal and statutory requirements

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of implemented monitoring systems which include legal and statutory requirements identified from collected information, non-complying situations, investigations and corrective action, and identified and summarised new legal and statutory requirements. (a,c,d,e) [all]
- 2 Record(s) of briefing(s) provided to the workforce. (b) [1,3]
- 3 Record(s) of statutory returns which have been completed. (f) [1]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.2 Maintain project compliance with legal and statutory requirements

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as **legal and statutory requirements**? (understanding) (a) [1]
- 2 How do you clarify **legal and statutory requirements** where there is uncertainty? (application) (a) [1]
- 3 How do you ensure that the workforce are briefed on **legal and statutory responsibilities** before they start work on the project? (application) (b) [1]
- 4 How and why do you develop **monitoring systems**? (synthesis) (c) [2]
- 5 How do you implement **monitoring systems**? (application) (c) [2]
- 6 How do you collect information? (application) (c) [2]
- 7 How do you evaluate information? (evaluation) (c) [2]
- 8 What do you identify as situations which do not comply with **legal and statutory requirements**? (understanding) (d) [1]
- 9 How and why do you investigate the circumstances of situations which do not comply with **legal and statutory requirements**? (analysis) (d) [1]
- 10 How do you take appropriate **corrective action** in situations which do not comply with **legal and statutory requirements**? (application) (d) [1]
- 11 How do you complete statutory returns? (application) (f) [1]

Evidence Requirements — Knowledge and Understanding (cont)

- 12 What do you identify as new **legal and statutory requirements** which may have an impact on the project? (understanding) (e) [1,3]
- 13 How do you summarise the important details of any new **legal and statutory requirements** which may have an impact on the project? (application) (e) [1,3]

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.2 Maintain project compliance with legal and statutory requirements

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.3 Control project progress against agreed programmes

Performance Criteria

This involves:

- (a) developing and implementing **systems to monitor and record** the progress of the project against the agreed **programmes**
- (b) collecting information regularly and summarising it accurately
- (c) identifying inadequately and inappropriately specified **resources**, and specifying and obtaining alternative **resources**
- (d) identifying and quantifying any actual or potential **deviations** from planned progress which could disrupt the **programme**
- (e) investigating the circumstances of any **deviations** thoroughly and agreeing and implementing appropriate **corrective action**
- (f) regularly informing people who have an interest about progress, changes to the operational **programme**, **resource** needs, and negotiating the decisions and actions that need to be taken
- (g) identifying improvements from feedback received and making appropriate decisions

Range

- 1 **Systems to monitor and record:**
 - (a) organisational procedures
 - (b) management reports
 - (c) written and graphical records of actual work against programmed work
- 2 **Programmes:**
 - (a) written
 - (b) graphic
 - (c) electronic
- 3 **Resources:**
 - (a) people
 - (b) plant and equipment
 - (c) materials and components
 - (d) finance
 - (e) time
 - (f) specialist services
 - (g) public utility services
 - (h) information

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.3 Control project progress against agreed programmes

Range (cont)

- 4 **Deviations:**
- (a) resource shortages
 - (b) design problems and constraints
 - (c) industrial disputes
 - (d) lack of essential construction information
 - (e) construction errors
 - (f) inclement weather
 - (g) physical (site) constraints
 - (h) legal
- 5 **Corrective action:**
- (a) restore progress in accordance with agreed programme
 - (b) agree new completion dates
 - (c) initiate contract claim
 - (d) secure additional resources
 - (e) alter planned work

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Progress monitoring and recording system(s) including record(s) which include collected and summarised information. (a,b) [1,2]
- 2 Record(s) of identified and quantified actual or potential deviation(s) which include identified inadequate and inappropriate specified resources, specified alternatives and agreed corrective action. (a,b,e) [3,4,5]
- 3 Record(s) of information about progress, changes to the operational programme, and resource needs passed to people who have an interest, and decisions negotiated. (f) [2,3,4]
- 4 Record(s) of feedback received and decisions made. (g) [1]

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.3 Control project progress against agreed programmes

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be appropriate for producing evidence for this Element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you implement **systems to monitor and record** the progress of the contract against the agreed **programmes**, and collect and summarise information? (application) (a,b) [1,2]
- 2 How and why do you develop **systems to monitor and record** the progress of the contract against the agreed **programmes**? (synthesis) (a) [1,2]
- 3 What do you identify as inadequately and inappropriately specified **resources**? (understanding) (c) [3]
- 4 How do you obtain alternative **resources**? (application) (c) [3]
- 5 How and why do you specify alternative **resources**? (evaluation) (c) [3]
- 6 What do you identify as any actual or potential **deviations** from planned progress which could disrupt the **programme**? (understanding) (d) [4]
- 7 How and why do you quantify any actual or potential **deviations** from planned progress? (analysis) (d) [4]
- 8 How and why do you investigate the circumstances of any **deviations**? (analysis) (e) [4,5]
- 9 What do you identify as improvements from feedback received? (understanding) (g) [all]
- 10 How and why do you agree **corrective action**? (evaluation) (e) [4,5]
- 11 How do you implement **corrective action**? (application) (e) [4,5]

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.3 Control project progress against agreed programmes

Evidence Requirements — Knowledge and Understanding (cont)

- 12 How do you inform people who have an interest about progress, changes to the operational programme, and **resource** needs? (application) (f) [2,3,4]
- 13 How do you negotiate the decisions and actions that need to be taken? (synthesis) (f) [2,3,4,5]

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.3 Control project progress against agreed programmes

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.4 Control expenditure against budgets

Performance Criteria

This involves:

- (a) giving team members opportunities to take individual responsibility for **monitoring** and controlling **expenditure** and activities against **budgets**
- (b) ensuring your methods of **monitoring expenditure** and activities against **budgets** are reliable and comply with your organisation's requirements
- (c) **monitoring expenditure** and activities against agreed **budgets** at appropriate intervals
- (d) controlling **expenditure** in line with **budgets** and the requirements of your organisation
- (e) taking prompt **corrective action** in response to actual or potential significant variations from **budgets** in line with your organisation's requirement
- (f) referring requests for **expenditure** outside your responsibility promptly to the appropriate people
- (g) ensuring your records of activities against **budgets** are complete, accurate and available to authorised people only

Range

- 1 **Budgets:**
 - (a) for programmes of work in your area of responsibility
 - (b) for sharing of overhead charges with others
- 2 **Monitoring:**
 - (a) considering oral information from others
 - (b) examining written evidence from others
 - (c) examining financial information
- 3 **Expenditure:**
 - (a) supplies of goods
 - (b) supplies of services
 - (c) people
 - (d) overhead expenses
 - (e) capital equipment
 - (f) premises
- 4 **Corrective action:**
 - (a) altering activities
 - (b) rescheduling expenditure
 - (c) altering budget allocations within limits of responsibility
 - (d) renegotiating budgets

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.4 Control expenditure against budgets

Evidence Requirements — Performance and Process

Product Evidence

- 1 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 budgets, monitoring, expenditure and corrective action. (all) [all]
- 2 You must prove that you control expenditure and activities against budgets to the National Standard of competence. (all) [all]
- 3 You must show evidence that you control both the following types of budgets. (a,b,c,d,e,g) [1]
- 4 You must show evidence that you control expenditure on two types of items. (a,b,c,d,f) [3]

Process Evidence

- 1 You must also show evidence that you use two types of corrective action. (e) [4]

Evidence Requirements — Knowledge and Understanding

1 **Budgets:**

- (a) the importance of budgetary control to organisational efficiency and your role and responsibility in relation to this
- (b) the principles which underpin effective budgetary control and how to apply them
- (c) the variations from the planned **budget** which may occur; how to identify these and what forms of **corrective action** you should take in response to them
- (d) the requests for **expenditure** outside your area of responsibility which may be required and the procedures to follow in response to these

2 **Formation handling:**

- (a) the importance of accurate and comprehensive records of activities against **budgets** and how to ensure these are kept.

3 **Involvement and motivation:**

- (a) how to encourage and enable team members to take responsibility for monitoring and controlling activities against **budgets**

4 **Organisational context:**

- (a) your organisations requirements for budgetary monitoring and control

UNIT CCM5/C03 (F07P 04) Control Projects

Element C03.4 Control expenditure against budgets

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

This Unit has the following Elements:

CCM5/C04.1	Allocate work to teams and individuals
CCM5/C04.2	Agree objectives and work plans with teams and individuals
CCM5/C04.3	Assess the performance of teams and individuals
CCM5/C04.4	Provide feedback to teams and individuals on their performance
CCM5/C04.5	Enable people to learn and benefit from your experience

Unit Summary

This Core Unit covers the candidate's key responsibilities for managing teams and individuals.

Element 4.1 covers the allocation of work to teams and individuals, defining responsibilities and securing the commitment of those involved.

Element 4.2 is about agreeing objectives, recognising individual needs and providing the necessary advice and guidance.

Element 4.3 deals with assessing the performance of teams and individuals. This includes encouraging self-assessment, and taking account of individual circumstances.

Element 4.4 is about providing feedback to teams and individuals; acknowledging achievement, encouraging improvement in performance, and respecting confidentiality.

Element 4.5 is about helping others to learn from your experience; identifying learning opportunities, advising and coaching, and encouraging their involvement in their own development. Where appropriate, individual development should be linked to business needs.

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.1 Allocate work to teams and individuals

Performance Criteria

This involves:

- (a) giving opportunities to your team members for recommending how you should **allocate** work within the team
- (b) **allocating work** making the best use of your team's resources and the abilities of all its members
- (c) **allocating work** providing your team members with suitable learning opportunities to meet their personal development objectives
- (d) **allocating work** consistently with your team's objectives, and the objectives, policies and values of your organisation
- (e) clearly defining the responsibilities of your team and its individual members, and the limits of their authority
- (f) providing sufficient **information** when allocating work in a manner and at a level and pace appropriate to the individuals concerned
- (g) confirming team and individual understanding of, and commitment to, work allocations at appropriate intervals
- (h) reaching agreement with **relevant people** on the prioritisation of objectives or reallocation of resources, where team resources are insufficient
- (i) informing your team and its members of changes to work allocations in a way which minimises the impact on time, cost and inconvenience

Range

- 1 **Allocating work in the contexts of:**
 - (a) normal working
 - (b) emergencies
- 2 **Information:**
 - (a) spoken
 - (b) written
 - (c) graphical
- 3 **Relevant People:**
 - (a) team members
 - (b) colleagues working at the same level as yourself
 - (c) higher-level managers or sponsors
 - (d) customers
 - (e) suppliers

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.1 Allocate work to teams and individuals

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must also show evidence that you reach agreement with at least two types of relevant people. (all) [3]
- 2 You must prove that you allocate work to teams and individuals to the National Standard of competence. (all) [all]
- 3 You must show evidence that you make allocations covering both contexts. (a,b,c,d) [1]
- 4 You must show evidence that you provide at least two types of information. (f) [2]
- 5 You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of information and relevant people. (all) [2,3]

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is only acceptable for performance criterion (h) in this Element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

1 **Communication:**

- (a) the importance of defining and communicating team and individual responsibilities clearly
- (b) how to communicate team and individual responsibilities clearly to those involved
- (c) how to develop and present work plans using spoken, written and graphical means

2 **Delegation:**

- (a) the importance of the effective **allocation of work** to your teams performance and your role and responsibilities in relation to this
- (b) the factors which you need to consider when allocating work to individuals within the team
- (c) how to match the **allocation of work** to learning needs and individual development plans
- (d) how to prioritise and re-prioritise work allocations according to resource availability
- (e) how your changes to work allocations and negotiations around them can impact on cost, time and convenience
- (f) involvement and motivation
- (g) why your team members should have the opportunity to recommend work allocations
- (h) how to encourage and enable team members to provide suggestions on the **allocation of work** and be committed to their responsibilities

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.1 Allocate work to teams and individuals

Evidence Requirements — Knowledge and Understanding (cont)

- 3 **Organisational context:**
 - (a) your team objectives, and the organisational policies and values which have a bearing on the **allocation of work** within your team
 - (b) the relevant people with whom negotiations on the allocation of resources need to take place

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.1 Allocate work to teams and individuals

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.2 Agree objectives and work plans with teams and individuals

Performance Criteria

This involves:

- (a) giving opportunities to your **team members** to help define their **own objectives and work plans**
- (b) developing **objectives and work plans** which are consistent with team and organisational **objectives** and agreeing these with all personnel in your area of responsibility
- (c) ensuring that the **objectives, work plans** and schedules are realistic and achievable within **organisational constraints**
- (d) ensuring that the **objectives and work plans** take account of **team members'** abilities and development needs
- (e) explaining the **objectives and work plans** in sufficient detail and at a level and pace appropriate to individual **team members**
- (f) confirming team and individual understanding of, and commitment to, **objectives and work plans** at appropriate intervals
- (g) providing advice and guidance on how to achieve objectives in sufficient detail and at times appropriate to the needs of teams and individuals
- (h) updating the **objectives and work plans** regularly and taking account of any individual, team and organisational changes

Range

- 1 **Team members:**
 - (a) people for whom you have line responsibility
 - (b) people for whom you have functional responsibility
- 2 **Objectives and work plans:**
 - (a) short-term
 - (b) medium-term
 - (c) long-term
- 3 **Organisational constraints:**
 - (a) organisational objectives
 - (b) organisational policies
 - (c) resources

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.2 Agree objectives and work plans with teams and individuals

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must also show evidence that you take account of all types of organisational constraints. (c) [3]
- 2 You must prove that you agree objectives and work plans with teams and individuals to the National Standard of competence. (all) [all]
- 3 You must show evidence that you agree at least two types of objectives and work plans. (a,b,c,d,e,f,h) [2]
- 4 You must show evidence that you involve and plan work with at least one type of team member. (a,d,e) [1]
- 5 You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of team member, and objectives and work plans. (all) [all]

Process Evidence

- 1 You must prove that you agree objectives and work plans with teams and individuals to the National Standard of competence. (all) [all]
- 2 You must show evidence that you agree at least two types of objectives and work plans. (a,b,c,d,e,f,h) [2]
- 3 You must show evidence that you involve and plan work with at least one type of team member. (a,d,e) [1]

Evidence Requirements — Performance and Process (cont)

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

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.2 Agree objectives and work plans with teams and individuals

Evidence Requirements — Knowledge and Understanding

- 1 **Communication:**
 - (a) the importance of good communication when explaining **objectives and work plans**

- 2 **Involvement and motivation:**
 - (a) the importance of consulting with **team members** and achieving consensus and agreement on **objectives and work plans**
 - (b) how to encourage and enable **team members** to define their own work **objectives and plans**
 - (c) how to gain the commitment of **team members** to **objectives and work plans**
 - (d) the types of issues on which your **team members** may need advice and guidance

- 3 **Organisational context:**
 - (a) the **organisational objectives and constraints** which have a bearing on objectives and work
 - (b) planning
 - (c) how to identify and devise **objectives and work plans** for the short, medium and long term
 - (d) the importance of agreeing **objectives and work plans** which are realistic and achievable
 - (e) how to match **objectives and work plans** with individuals abilities and development needs
 - (f) the importance of regularly updating **objectives and work plans**

Evidence Requirements — Knowledge and Understanding (cont)

- (g) the difference between someone who is within the managers line management control and someone for whom the manager has functional responsibility, and the implications this difference may have for planning work

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.2 Agree objectives and work plans with teams and individuals

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

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Internal Verifier: _____

Date: _____

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.3 Assess the performance of teams and individuals

Performance Criteria

This involves:

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

Range

- 1 **Purpose:**
 - (a) assuring that objectives have been achieved
 - (b) assuring that quality and customer requirements have been met
 - (c) appraising team or individual performance
 - (d) assessing performance for reward
 - (e) recognising competent performance and achievement
- 2 **Monitoring and assessment:**
 - (a) specific to one activity or objective
 - (b) general to overall performance of the team or individual
- 3 **Information:**
 - (a) qualitative
 - (b) quantitative
- 4 **Organisational constraints:**
 - (a) organisational objectives
 - (b) organisational policies
 - (c) resources

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.3 Assess the performance of teams and individuals

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must also show evidence that you take account of all types of organisational constraints. (f) [4]
- 2 You must prove that you assess the performance of teams and individuals to the National Standard of competence. (all) [all]
- 3 You must show evidence that you use at least one type of monitoring and assessment. (a,b,c,e,f) [2]
- 4 You must show evidence that you use both types of information. (d) [3]
- 5 You must show evidence that your assessments have at least two types of purpose. (a) [1]
- 6 You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of purpose, monitoring and assessment. (all) [1,2]

Process Evidence

- 1 You must prove that you assess the performance of teams and individuals to the National Standard of competence. (all) [all]

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

Evidence Requirements — Knowledge and Understanding

1 **Communication:**

- (a) the importance of being clear yourself about the **purpose** of **monitoring and assessment** and communicating this effectively to those involved

2 **Continuous improvement:**

- (a) the importance of **monitoring and assessing** the ongoing performance of teams and individuals
- (b) different purposes of work **monitoring and assessment**
- (c) how to make fair and objective assessments
- (d) how to **monitor and assess** the performance of teams and individuals
- (e) the standards against which work is to be assessed
- (f) the **information** needed to assess the performance of teams and individuals

3 **Information handling:**

- (a) how the necessary **information** should be gathered and validated

4 **Involvement and motivation:**

- (a) the importance of providing opportunities to team members to **monitor and assess** their own work, and how to enable this

5 **Organisational context:**

- (a) the **organisational constraints** which may affect the achievement of objectives

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.3 Assess the performance of teams and individuals

Evidence Requirements — Knowledge and Understanding (cont)

- 6 Providing support:**
 - (a) the types of personal circumstances which may impact on individual performance

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.3 Assess the performance of teams and individuals

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.4 Provide feedback to teams and individuals on their performance

Performance Criteria

This involves:

- (a) providing **feedback** to teams and individuals in a **situation** and in a form and manner most likely to maintain and improve their performance
- (b) providing **feedback** which is clear, and is based on your objective assessment of their performance against agreed objectives
- (c) providing **feedback** acknowledging your team members achievements
- (d) giving **feedback** providing your team members with constructive suggestions and encouragement for improving future performance against their work and development objectives
- (e) providing **feedback** in a way which shows respect for individuals and the need for confidentiality
- (f) giving opportunities to teams and individuals to respond to **feedback**, and recommending how they could improve their performance in the future

Range

- 1 **Feedback:**
 - (a) positive
 - (b) negative
 - (c) spoken
 - (d) written
- 2 **Situation:**
 - (a) during normal day-to-day activities
 - (b) when required to maintain motivation, morale and effectiveness
 - (c) during formal appraisals
 - (d) at team meetings and briefings
 - (e) during confidential discussions of work

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.4 Provide feedback to teams and individuals on their performance

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must also show evidence that you give feedback in at least three types of situation. (a) [2]
- 2 You must prove that you provide feedback to teams and individuals on their performance to the National Standard of competence. (all) [all]
- 3 You must show evidence that you provide all types of feedback. (a) [1]
- 4 You must, however, convince your assessor that you have the necessary knowledge, understanding and skills to be able to perform competently in respect of all types of situation. (a) [2]

Process Evidence

- 1 You must also show evidence that you give feedback in at least three types of situation. (a) [2]
- 2 You must prove that you provide feedback to teams and individuals on their performance to the National Standard of competence. (all) [all]
- 3 You must show evidence that you provide all types of feedback. (a) [1]

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

Evidence Requirements — Knowledge and Understanding

1 **Communication:**

- (a) the important of good communication skills when providing feedback
- (b) how to provide both positive and negative feedback to team members on their performance
- (c) how to choose an appropriate time and a place to give feedback to teams and individual
- (d) how to provide feedback in a way which encourages your team members to feel that you respect them

2 **Continuous improvement:**

- (a) the importance of providing clear and accurate feedback to your team members on their performance and your role and responsibilities in relation to this
- (b) information handling
- (c) the principles of confidentiality when providing feedback — which people should receive which pieces of information

3 **Involvement and motivation:**

- (a) how to motivate team members and gain their commitment by providing feedback
- (b) the importance of being encouraging when providing feedback to team members and showing respect for those involved
- (c) the importance of providing constructive suggestions on how performance can be improved

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.4 Provide feedback to teams and individuals on their performance

Evidence Requirements — Knowledge and Understanding (cont)

4 Communication:

- (a) the important of giving those involved the opportunity to provide suggestions on how to improve their work

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.4 Provide feedback to teams and individuals on their performance

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.5 Enable people to learn and benefit from your experience

Performance Criteria

This involves:

- (a) identifying and offering adequate and appropriate **opportunities and resources** for **people** to learn
- (b) selecting and summarising relevant and up to date information about knowledge and practice in a format which is suitable for distribution and for developing learning materials
- (c) advising and coaching **people** so that they can identify their current level of competence, their learning needs and targets
- (d) selecting and using appropriate **learning techniques and methods** which are suitable for the topic and the needs of the individual
- (e) presenting information to **people** using a pace, style and form which is appropriate to their needs
- (f) encouraging **people** to ask questions, seek clarification and advice when they need help and during learning activities
- (g) reviewing **people's** progress towards agreed objectives and giving realistic and positive feedback on achievements
- (h) identifying, through discussion with **people**, areas where they need help to achieve their agreed competence levels and using the information to produce an agreed personal development plan

Range

- 1 **Opportunities and resources:**
 - (a) paid time
 - (b) personal time
 - (c) office
 - (d) site, group and mutual collaboration
- 2 **People:**
 - (a) colleagues
 - (b) junior colleagues
 - (c) trainees entering the industry
 - (d) potential entrants to the industry
- 3 **Learning techniques and methods:**
 - (a) attending training and educational programmes
 - (b) coaching
 - (c) mentoring
 - (d) instructing
 - (e) agreeing work based learning opportunities

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.5 Enable people to learn and benefit from your experience

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Personal development plan(s) which include identified competence level needs, opportunities and resources for people to learn, reviewed progress and feedback. (a,g,h) [1,2]
- 2 Information summarised for developing learning materials. (b) [3]
- 3 Record(s) of questions asked, advice and clarification sought, and coaching given. (c) [2]
- 4 Record(s) of presented information which includes selected learning techniques and methods, feedback, questions, clarification and advice. (d,e,f) [2,3]

Evidence Requirements — Performance and Process (cont)

Process Evidence

The candidate must produce observed evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrating competence:

- 1 Presentation(s) made (e,f) [2]

Simulations are not considered to be acceptable for producing evidence for this Element.

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.5 Enable people to learn and benefit from your experience

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as adequate and appropriate **opportunities and resources** for **people** to learn? (understanding) (a) [1,2]
- 2 What do you identify as areas in which **people** need help to achieve agreed competence levels? (understanding) (h) [2]
- 3 How do you offer adequate and appropriate **opportunities and resources** for **people** to learn? (synthesis) (a) [1,2]
- 4 How do you present information to **people**? (application) (e) [2]
- 5 How do you encourage **people** to ask questions, to seek clarification and advice when they need help and during learning activities? (application) (f) [2]
- 6 How do you use information about **people's** needs to produce an agreed personal development plan (application) (h) [2]
- 7 How and why do you review **people's** progress towards agreed objectives? (analysis) (g) [2]
- 8 How and why do you advise and coach **people** so that they can identify their current level of competence, their learning needs and targets? (synthesis) (c) [2]
- 9 How and why do you give realistic and positive feedback on achievements? (synthesis) (g) [2]
- 10 How do you summarise relevant and up to date information about knowledge and practice? (application) (b) [3]

Evidence Requirements — Knowledge and Understanding (cont)

- 11 How and why do you select relevant and up to date information about knowledge and practice? (evaluation) (b) [3]
- 12 How do you use appropriate **learning techniques and methods**? (application) (d) [3]
- 13 How and why do you select appropriate **learning techniques and methods**? (evaluation) (d) [3]

UNIT CCM5/C04 (F087 04) Manage Teams and Individuals

Element C04.5 Enable people to learn and benefit from your experience

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

This Unit has the following Elements:

CCM5/C05.1	Enhance the trust and support of colleagues
CCM5/C05.2	Enhance the trust and support of those to whom you report
CCM5/C05.3	Provide guidance on values at work
CCM5/C05.4	Develop and maintain relationships with people who are affected by your work
CCM5/C05.5	Undertake personal development in the occupational practice area

Unit Summary

This Core Unit covers the candidate's key responsibilities for ensuring good working relationships with all those with whom he/she comes into contact. It also includes developing himself/herself.

Element 5.1 is about ensuring constructive working relationships with work colleagues, consulting them, keeping them informed, honouring commitments to them, and providing necessary support.

Element 5.2 covers the maintenance of good relationships with those senior in the organisation; in reporting, explaining, clarifying, and resolving disagreements.

Element 5.3 is about providing guidance on values at work; consulting, working within appropriate limits, resolving problems and imposing sanctions where necessary.

Element 5.4 is about relationships with those outside the candidate's organisation, eg clients, users and the public. This includes informing, advising, proposing, clarifying and resolving conflicts.

Element 5.5 is about personal development; identifying your development needs, planning the development process, carrying out the plan, and reviewing its effectiveness.

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.1 Enhance the trust and support of colleagues

Performance Criteria

This involves:

- (a) consulting with **colleagues** about proposed activities at appropriate times and in a manner encouraging open, frank discussion
- (b) keeping **colleagues** informed about organisational plans and activities, emerging threats and opportunities
- (c) honouring the commitments you make to **colleagues**
- (d) treating **colleagues** in a manner which shows your respect for individuals and the need for confidentiality
- (e) giving **colleagues** sufficient support for them to achieve their work objectives
- (f) discussing directly with the **colleagues** concerned your evaluation of their work and behaviour

Range

- 1 **Colleagues:**
 - (a) working at the same level as you
 - (b) working at a higher level than you
 - (c) working at a lower level than you

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.1 Enhance the trust and support of colleagues

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must prove that you enhance the trust and support of colleagues to the National Standard of competence. (all) [all]
- 2 You must show evidence of gaining the trust and support of two types of colleagues. (all) [all]
- 3 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 colleagues. (all) [all]

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

1 Communication:

- (a) how to consult with **colleagues** in a way which encourages open and frank discussions
- (b) how to select communication methods appropriate to the issues and contexts
- (c) the importance of effective communication methods to productive working relationships
- (d) the importance of discussing evaluations of output and behaviour at work promptly and directly with those concerned
- (e) how to provide feedback in a way which will lead to a constructive outcome

2 Information handling:

- (a) the types of information concerning **colleagues** which need to be treated confidentially and procedures to follow to ensure this

3 Organisational context:

- (a) the organisational plans and activities, emerging threats and opportunities, which are relevant to the work of **colleagues** and about which they need to be informed
- (b) the strategies and styles of working which encourage effective working relationships
- (c) the importance of honouring commitments to **colleagues**
- (d) the importance of showing respect for **colleagues** and how to do this

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.1 Enhance the trust and support of colleagues

Evidence Requirements — Knowledge and Understanding (cont)

- 4 **Providing support:**
- (a) the support **colleagues** may require to achieve their objectives and how to provide such support
 - (b) working relationships
 - (c) how people work in groups especially at senior levels within an organisation

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.1 Enhance the trust and support of colleagues

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.2 Enhance the trust and support of those to whom you report

Performance Criteria

This involves:

- (a) giving **those to whom you report** timely and accurate reports on activities, progress, results and achievements
- (b) giving **those to whom you report** clear and accurate information about emerging threats and opportunities with a degree of urgency appropriate to the situation
- (c) ensuring your **proposals** for action are clear and realistic
- (d) presenting your **proposals** for action to **those to whom you report** at appropriate times
- (e) where you have disagreements with **those to whom you report**, making constructive efforts to resolve these disagreements and maintain good working relationship

Range

- 1 **Those to whom you report:**
 - (a) an individual
 - (b) an organisation, board or other authority
- 2 **Proposals:**
 - (a) spoken
 - (b) written

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.2 Enhance the trust and support of those to whom you report

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must also show evidence that you present proposals in one form. (c,d) [2]
- 2 You must prove that you enhance the trust and support of those to whom you report to the National Standard of competence. (all) [all]
- 3 You must show evidence that you gain the support of one of those to whom you report. (a,b,d,e) [1]
- 4 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 those to whom you report and all types proposals. (all) [all]

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

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

1 Communication:

- (a) the importance of keeping **those to whom you report** informed of activities, progress, results and achievements and how to do this
- (b) how to develop and present **proposals** in ways which are realistic, clear and likely to influence those to whom you report positively

2 Organisational context:

- (a) the management structures, lines of accountability and control in your organisation
- (b) the general responsibilities of **those to whom you report**
- (c) the decision making processes within your organisation
- (d) the types of emerging threats and opportunities about which **those to whom you report** need to be informed and the degree of urgency attached to these
- (e) the types of organisational policies and ways of working about which you need to consult with **those to whom you report**, and how to do this

3 Working relationships:

- (a) strategies and styles of working which encourage effective working relationships
- (b) methods of handling disagreements **with those to whom you report** in a constructive manner

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.2 Enhance the trust and support of those to whom you report

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.3 Provide guidance on values at work

Performance Criteria

This involves:

- (a) consulting with **relevant people** on the way in which values are expressed in work and working relationships
- (b) providing clear and relevant **guidance** on organisational values and the limits of acceptable practice
- (c) where problems and conflicts arise which cannot be addressed routinely, providing adequate resources to resolve the situation promptly
- (d) where activities contradict organisational values and **guidance**, imposing disciplinary sanctions in line with organisational policies and legal requirement

Range

- 1 **Relevant people:**
 - (a) team members
 - (b) colleagues working at the same level as yourself
 - (c) higher-level managers or sponsors
 - (d) specialists
- 2 **Guidance:**
 - (a) individual counselling
 - (b) group discussions
 - (c) training programmes
 - (d) publication of guidance materials

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.3 Provide guidance on values at work

Evidence Requirements — Performance and Process

Product Evidence

- 1 You must prove that you provide guidance on values at work to the National Standard of competence. (all) [all]
- 2 You must show evidence of consulting with, and providing guidance to, two types of relevant people. (a) [1]
- 3 You must show evidence of providing two types of guidance. (b,c) [2]
- 4 You must, however, convince your assessor that you have the knowledge, understanding and skills to be able to perform competently in respect of all types of relevant people and guidance. (a,b,d) [all]

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is acceptable only for Performance Criteria (c) and (d) in this Element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

1 Communication:

- (a) how to consult with team members, colleagues, line managers and personnel specialists on values issues

2 Organisational context:

- (a) the values of your organisation
- (b) how to interpret organisational values and identify the implications for behaviour at work and in working relationships
- (c) the types of breaches of organisational values and **guidance** which could occur and what kind of responses to these are appropriate according to organisational policy and legal requirements
- (d) the types of problems and conflicts which may arise concerning the application of values within the organisation and strategies to resolve these

3 Working relationships:

- (a) the importance of values to organisations and the contribution they can make to the work of staff and overall organisational effectiveness
- (b) the types of **guidance** which team members, colleagues, line managers and personnel specialists may require on organisational values and the limits of acceptable practice and how to provide this **guidance**

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.3 Provide guidance on values at work

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.4 Develop and maintain relationships with people who are affected by your work

Performance Criteria

This involves:

- (a) developing, maintaining and encouraging **working relationships** with **people** which **promote goodwill and trust**
- (b) **informing people** about **work activities** in an appropriate level of detail and with an appropriate degree of urgency
- (c) **offering advice** and help to **people** about **work activities** with sensitivity and encouraging questions, requests for clarification and comments
- (d) **presenting** proposals for action clearly to **people** at an appropriate time and with the right level of detail for the degree of change, expenditure and risk involved
- (e) **clarifying** with **people** objections to proposals and suggesting alternative proposals
- (f) resolving conflicts and differences of opinion in ways which minimise offence, and maintain **goodwill, trust** and respect

Range

- 1 **Working relationships:**
 - (a) formal
 - (b) informal
- 2 **People:**
 - (a) those commissioning work
 - (b) employers
 - (c) employees
 - (d) clients and customers
 - (e) statutory bodies
 - (f) users
 - (g) professional consultants
 - (h) contractors
 - (i) consultants
 - (j) partners
 - (k) general public
 - (l) community groups
 - (m) suppliers of products and services
 - (n) government agencies
- 3 **Promote goodwill and trust:**
 - (a) demonstrating a duty of care
 - (b) ethical relationships
 - (c) professional independence
 - (d) honouring promises and undertakings
 - (e) honest relationships
 - (f) constructive relationships
 - (g) equal opportunities

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.4 Develop and maintain relationships with people who are affected by your work

Range (cont)

- 4 **Informing, offering advice, presenting and clarifying:**
- (a) orally
 - (b) in writing
 - (c) using graphics
 - (d) electronically
- 5 **Work activities:**
- (a) progress
 - (b) results
 - (c) achievements
 - (d) emerging threats
 - (e) risks
 - (f) opportunities

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of people with whom working relationships have been developed. (a) [1,2]
- 2 Information and advice provided about work activities. (a,b,c,f) [all]
- 3 Proposal(s) presented, including clarification and alternatives offered. (d,e) [1,2,3,4]

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.4 Develop and maintain relationships with people who are affected by your work

Evidence Requirements — Performance and Process (cont)

Process Evidence

The candidate must produce observed evidence from the workplace covering the following item(s) that are considered to be common and key/critical to demonstrating competence:

- 1 Information, advice and presentations. (all) [all]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you maintain and encourage **working relationships** with **people** which **promote goodwill and trust**? (application) (a) [1,2,3]
- 2 How and why do you develop **working relationships** with **people** which **promote goodwill and trust**? (synthesis) (a) [1,2,3]
- 3 How and why do you resolve conflicts and differences of opinion in ways which minimise offence, and maintain **goodwill, trust** and respect? (synthesis) (f) [3]
- 4 How do you encourage questions, requests for clarification and comments? (application) (c) [4]
- 5 How do you **present** proposals for action to **people**? (application) (d) [2,4]
- 6 How do you **clarify** with **people** objections to proposals? (application) (e) [2,4]
- 7 How and why do you suggest alternative proposals where objections have been raised in respect of existing proposals? (synthesis) (e) [2,4]
- 8 How and why do you **inform people** about **work activities** in an appropriate level of detail and with an appropriate degree of urgency? (application) (b) [4,5]
- 9 How and why do you **offer advice** and help to **people** about **work activities**? (synthesis) (c) [2,4,5]

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.4 Develop and maintain relationships with people who are affected by your work

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.5 Undertake personal development in the occupational practice area

Performance Criteria

This involves:

- (a) analysing the current personal level of performance against the identified **standards of competence** and recording a profile of present competence and **personal development** needs
- (b) identifying and selecting relevant **standards of competence** against which **personal development** can be measured
- (c) identifying and contacting **sources of support and guidance** for undertaking **personal development**
- (d) defining the personal **aims and objectives** for undertaking **personal development**
- (e) preparing a **development plan** for achieving identified development needs
- (f) undertaking **development activities** aimed at achieving identified development needs, reviewing and recording progress and the effectiveness of the activities
- (g) measuring achievement of identified development needs and recording evidence of competence gained against the identified **standards of competence**
- (h) reviewing the cycle of **personal development aims and objectives** and revising and updating **aims and objectives** to suit changing circumstances

Range

- 1 **Standards of competence:**
 - (a) job descriptions
 - (b) professional institution requirements
 - (c) national occupational standards
- 2 **Personal development:**
 - (a) maintenance of existing competence
 - (b) improvements to existing competence
 - (c) development of new competence
 - (d) commitment to professional excellence
- 3 **Sources of support and guidance:**
 - (a) national/industry bodies
 - (b) professional institutions
 - (c) education and training providers
 - (d) in house
- 4 **Aims and objectives:**
 - (a) preparation for new jobs
 - (b) intellectual challenge
 - (c) need for updating
 - (d) need to provide evidence of professional competence
 - (e) compliance with employer and professional requirements
 - (f) promotion or job change
 - (g) awareness of shortcomings

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.5 Undertake personal development in the occupational practice area

Range (cont)

5 Development plan includes:

- (a) priorities
- (b) target dates
- (c) development activities

6 Development activities:

- (a) formal courses
- (b) research
- (c) work experience
- (d) personal study

Evidence Requirements — Performance

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of personal development aims and objectives which include sources of support and guidance and selected standards of competence and reviews and updating. (a,b,c,h) [1,2,3,4]
- 2 Profile(s) of present competence identified against standards of competence. (a) [1,2]
- 3 Personal development plan(s) which include identified development needs. (d,e) [5]
- 4 Record(s) of developed progress achievement and evidence of competence identified against standards of competence. (f,g) [4,6]

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.5 Undertake personal development in the occupational practice area

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you record a profile of present competence and **personal development** needs? (application) (a) [1,2]
- 2 What do you identify as relevant **standards of competence** against which **personal development** can be measured? (understanding) (b) [1,2]
- 3 How and why do you analyse the current personal level of performance against the identified **standards of competence**? (analysis) (a) [1,2]
- 4 How and why do you select relevant **standards of competence** against which **personal development** can be measured? (evaluation) (b) [2,4]
- 5 What do you identify as **sources of support and guidance** for undertaking **personal development**? (understanding) (b) [2,3]
- 6 How do you contact **sources of support and guidance** for undertaking **personal development**? (application) (c) [2,3]
- 7 How and why do you define the personal **aims and objectives** for undertaking **personal development**? (evaluation) (d) [1,2,4]
- 8 How and why do you prepare a **development plan**? (synthesis) (e) [5]
- 9 How do you measure achievement of identified development needs and record evidence of competence gained against the identified **standards of competence**? (application) (g) [4]
- 10 How do you record evidence of competence gained against the identified **standards of competence**? (application) (g) [1]

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.5 Undertake personal development in the occupational practice area

Evidence Requirements — Knowledge and Understanding (cont)

- 11 How and why do you review the cycle of **personal development aims and objectives**? (analysis) (h) [1,2]
- 12 How do you revise and update **personal development aims and objectives** to suit changing circumstances? (application) (h) [2,4]
- 13 How and why do you undertake **development activities**? (evaluation) (f) [2,4]

UNIT CCM5/C05 (F075 04) Enhance Working Relationships and Develop Self

Element C05.5 Undertake personal development in the occupational practice area

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

This Unit has the following Elements:

- CCM5/O06.1 Identify investigation requirements
- CCM5/O06.2 Confirm legislation requirements and constraints
- CCM5/O06.3 Agree project cost strategies

Unit Summary

This Optional Unit covers the candidate's key responsibilities for assessing the feasibility of project opportunities, and for deciding whether or not to pursue them. This Unit is particularly applicable to projects involving partnering arrangements.

Element 6.1 is about deciding what research is needed to gather the necessary information — eg for making decisions; and for managing the investigations. This is likely to include the basic project data and context.

Element 6.2 covers the legal context of proposed projects, and obtaining the necessary information — eg on planning and environmental issues — for making decisions.

Element 6.3 is about researching the cost strategy options for project opportunities, evaluating all the information gathered, and deciding whether or not to go ahead.

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.1 Identify investigation requirements

Performance Criteria

This involves:

- (a) identifying the factors for **investigation** that may be significant for the planned development by examining data, setting up and facilitating discussions and meetings
- (b) selecting the critical aspects of both the site and the surrounding areas which require **investigation** and prioritising them
- (c) agreeing the priorities for **investigation**, an accurate estimate of the time and costs involved, and summarising both the priorities and estimates in an **investigation** brief
- (d) obtaining any **permission(s)** needed to carry out the **investigation** and confirming that they are valid before the **investigation** starts
- (e) checking and confirming that insurance has been taken out to provide full cover against accidents and negligence
- (f) contacting people and organisations who will be affected by the **investigation**, providing them with clear and accurate information and asking for their cooperation
- (g) commissioning **investigations** by selecting people and organisations who are competent to do the work
- (h) evaluating the results of the **investigation** and deciding on an appropriate course of action

Range

- 1 **(Factors for) investigation:**
 - (a) historical
 - (b) conservation
 - (c) social
 - (d) visual and spatial
 - (e) ecological and environmental
 - (f) construction
 - (g) measured survey
 - (h) physical testing
- 2 **Permission(s) from:**
 - (a) client(s)
 - (b) owner(s) and occupier(s)
 - (c) adjoining owner(s) and occupier(s)
 - (d) notifiable authorities

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.1 Identify investigation requirements

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Investigation brief(s) including significant factors; critical aspects of site and surroundings; priorities; time and cost estimates. (a,b,c) [1]
- 2 Record(s) of permissions and insurance. (d,e) [2]
- 3 Record(s) of commissioning investigations. (g) [1]
- 4 Specification(s) for contractor(s). (g) [1]
- 5 Record(s) of discussion(s) and meeting(s). (a,f) [1]
- 6 Record(s) of evaluations of investigation results and decided course of actions. (h) [1]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.1 Identify investigation requirements

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you commission **investigations**? (evaluation) (g) [1]
- 2 How do you summarise the priorities and estimates? (application) (c) [1]
- 3 How do you check and confirm insurance has been taken out? (application) (e) [1]
- 4 How and why you identify the **factors for investigation** that may be significant for the planned development? (synthesis) (a) [1]
- 5 How and why do you select the critical aspects of the site and the surrounding areas which require **investigation**? (evaluation) (b) [1]
- 6 How and why do you prioritise the critical aspects of the site and the surrounding areas which require **investigation**? (analysis) (b) [1]
- 7 How and why do you agree the priorities for **investigation**, and an accurate estimate of the time and costs involved? (evaluation) (c) [1]
- 8 How do you obtain any **permissions** that will be needed to carry out the **investigation** and confirm that they are valid before the **investigation** starts? (application) (d) [1,2]

Evidence Requirements — Knowledge and Understanding (cont)

- 9 How do you contact people and organisations who will be affected by the **investigation**, provide them with clear and accurate information, and ask for their cooperation? (application) (f) [1,2]
- 10 How and why do you evaluate the results of the **investigation** and decide on an appropriate course of action? (evaluation) (h) [1]

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.1 Identify investigation requirements

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.2 Confirm legislation requirements and constraints

Performance Criteria

This involves:

- (a) confirming **investigation methods and techniques** which are valid, reliable, consistent with legal requirements and which identify the feasibility of the development
- (b) identifying the requirements and preferred options of planning and other regulatory bodies which have an interest in **key factors** of the development
- (c) identifying and assessing the relative importance of existing and anticipated **legislation**
- (d) identifying and reviewing opportunities and constraints on development options which could result from both existing and anticipated **legislation**
- (e) summarising any legislative constraints which might affect the viability of the development and explaining the procedures for appealing against negative decisions

Range

- 1 **Methods and techniques for the investigation:**
 - (a) standard document search
 - (b) field research
 - (c) client and user consultation
 - (d) discussion with regulatory and statutory bodies and local authorities
- 2 **Key factors:**
 - (a) infrastructure issues
 - (b) land use
 - (c) physical development
 - (d) environmental considerations
 - (e) timetable
 - (f) financing
- 3 **Legislation about:**
 - (a) planning and development
 - (b) construction
 - (c) health and safety
 - (d) environment
 - (e) end use

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.2 Confirm legislation requirements and constraints

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of the methods and techniques to be used. (a) [1]
- 2 Summary(ies) of regulatory and legislative requirements and constraints which include preferred options; relative importance of existing and anticipated legislation; explanations of the appeals procedures. (b,c,d,e) [2,3]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.2 Confirm legislation requirements and constraints

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you confirm **investigation methods and techniques**? (evaluation) (a) [1]
- 2 What do you identify as the requirements and preferred options of planning and other regulatory bodies which have an interest in **key factors** of the development? (understanding) (b) [2]
- 3 How and why do you assess the relative importance of existing and anticipated **legislation**? (analysis) (c) [3]
- 4 How and why do you identify the relative importance of existing and anticipated **legislation**? (synthesis) (c) [3]
- 5 How and why do you review opportunities and constraints on development options which could result from both existing and anticipated **legislation**? (analysis) (d) [3]
- 6 How and why do you identify opportunities and constraints on development options which could result from both existing and anticipated **legislation**? (evaluation) (d) [3]
- 7 How do you summarise any regulatory constraints which might affect the viability of the development, and explain the procedures for appealing against negative decisions? (application) (e) [3]

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.2 Confirm legislation requirements and constraints

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.3 Agree project cost strategies

Performance Criteria

This involves:

- (a) identifying and agreeing assumptions about cost elements, alternative designs, construction, services, financing, and use options for the project with **stakeholders**
- (b) selecting appropriate **methods** for assessing the **factors** relevant to the projected cost options for the project and agreeing them with **stakeholders**
- (c) discussing the cost implications of adopting alternative designs, construction methods, services, and accounting strategies, and agreeing cost strategies with **stakeholders**
- (d) evaluating all the **research** which has been carried out, and deciding whether or not to proceed

Range

- 1 **Stakeholders:**
 - (a) internal
 - (b) external
- 2 **Methods:**
 - (a) cost benefit analysis
 - (b) life cycle costing
 - (c) value management
- 3 **Factors:**
 - (a) capital costs
 - (b) costs in use
 - (c) residual value
 - (d) residual costs
- 4 **Research:**
 - (a) surveys
 - (b) tests
 - (c) health, safety and environment
 - (d) legal
 - (e) financial

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.3 Agree project cost strategies

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of selected cost options. (all) [all]
- 2 Record(s) of discussion(s). (d) [1,4]

Simulations are not considered to be acceptable for producing evidence for this element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you identify and agree assumptions about cost elements, alternative designs, construction, services, financing and use options for the project? (synthesis) (a) [1]
- 2 How do you discuss the implications of adopting different design, construction methods, services, accounting strategies and agree cost strategies with **stakeholders**? (application) (d) [1]
- 3 How and why do you agree assumptions about cost elements, alternative designs, construction, services, financing and use options for the project with **stakeholders**? (evaluation) (a) [1]
- 4 How do you discuss design, construction, services, financing and use strategies with **stakeholders**? (application) (c) [all]
- 5 How and why do you agree design, construction, services, financing and use strategies with **stakeholders**? (evaluation) (c) [1]
- 6 How and why do you select and agree appropriate **methods** for assessing the **factors** which are relevant to the projected cost options for the project and agree them with **stakeholders**? (evaluation) (b) [1,2,3]
- 7 How and why do you evaluate all the **research** and decide whether or not to proceed? (evaluation) (d) [4]

UNIT CCM5/O06 (F07X 04) Manage Factors Affecting Project Feasibility

Element O06.3 Agree project cost strategies

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O07 (F084 04) Manage Project Design

This Unit has the following Elements:

- CCM5/O07.1 Identify and assess significant factors affecting the project design
- CCM5/O07.2 Manage applications to secure statutory consents
- CCM5/O07.3 Negotiate and agree a project design

Unit Summary

This Optional Unit covers the candidate's key responsibilities for managing the designs for projects. This could be either at the pre-award or the post-award stage; and could involve 'at risk' financial commitment.

Element 7.1 covers the review of the significant factors affecting project designs. It involves leading the project team in agreeing the key design parameters. This will probably be 'pre-award' work.

Element 7.2 relates to identifying and evaluating the consents necessary for the project, and managing the subsequent applications. Again, this is likely to be at the 'pre-award' stage.

Element 7.3 is about securing the stakeholders' agreement to the chosen design for the project. This could be at the pre-award or post-award stage.

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.1 Identify and assess significant factors affecting the project design

Performance Criteria

This involves:

- (a) reviewing and evaluating the findings of investigations and identifying **significant factors** which may influence existing and anticipated development
- (b) confirming data and conclusions from all areas of specialist research and design evaluation, and circulating the documents to project team members
- (c) evaluating the information available with the project team, and producing realistic design parameters which recognise significant **opportunities and constraints**
- (d) assessing the design parameters and circulating the assessment to the people responsible for project design, planning and scheduling
- (e) advising stakeholder(s) on the most appropriate course(s) of action

Range

- 1 **Significant factors:**
 - (a) stakeholder requirements
 - (b) community
 - (c) construction
 - (d) regulatory
 - (e) health and safety
 - (f) cost
 - (g) environmental
- 2 **Opportunities and constraints:**
 - (a) project type, purpose, location
 - (b) lifecycle
 - (c) use
 - (d) significance/status
 - (e) legal and regulatory
 - (f) physical and technical
 - (g) health and safety
 - (h) anticipated development timetable
 - (i) environmental quality and sustainability

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.1 Identify and assess significant factors affecting the project design

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of significant factors, opportunities and constraints, and design parameters identified through investigation, research, evaluation and assessment. (a,b,c,d) [all]
- 2 Document(s) and assessment(s) circulated to project team members and people responsible for project design, planning and scheduling. (b,c,d) [all]
- 3 Record(s) of advice given to stakeholders. (e) [all]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.1 Identify and assess significant factors affecting the project design

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you review the findings of investigations?
(analysis) (a) [1]
- 2 How and why do you evaluate the findings of investigations?
(evaluation) (a) [1]
- 3 How and why do you identify **significant factors** which may influence existing and anticipated development? (understanding) (a) [1]
- 4 How do you confirm data and conclusions and circulate documents to project team members? (application) (b) [1,2]
- 5 How and why do you assess the design parameters? (analysis) (d) [1,2]
- 6 How do you circulate the assessment of the design parameters to people responsible for project design, planning and scheduling? (application) (d) [1,2]
- 7 How and why do you evaluate the information available? (evaluate) (c) [2]
- 8 How do you produce realistic design parameters which recognise significant **opportunities and constraints**? (application) (c) [2]
- 9 How and why do you advise stakeholder(s) on the most appropriate course(s) of action? (synthesis) (e) [1,2]

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.1 Identify and assess significant factors affecting the project design

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.2 Manage applications to secure statutory consents

Performance Criteria

This involves:

- (a) identifying which aspects of the project are subject to statutory controls and will need **consents**
- (b) checking and confirming with the relevant authorities the requirements, procedures and likely timescale for statutory approvals and other **consents**
- (c) forecasting how long the submission and approval of **applications** for **consent** will take and how this will fit in with the project schedule
- (d) identifying the implications of delays, failure to apply for and achieve **consent** and circulating the information to **stakeholders**
- (e) managing the submission of a clear and valid **application** for the **consent**
- (f) managing negotiations with statutory authorities to secure consents
- (g) planning and agreeing **alternatives** with **stakeholders** in anticipation of approval being refused

Range

- 1 **Consents for:**
 - (a) development and use of land
 - (b) structures
 - (c) buildings and highways
 - (d) renewal and clearance
 - (e) health, safety and welfare
 - (f) funding applications
- 2 **Applications — may be:**
 - (a) written
 - (b) graphic
- 3 **Stakeholders:**
 - (a) internal
 - (b) external
- 4 **Alternatives:**
 - (a) amending the brief
 - (b) amending the proposal
 - (c) appealing
 - (d) withdrawing the application

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.2 Manage applications to secure statutory consents

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of aspects of project(s) identified as subject to statutory controls and which will need consents. (a) [1]
- 2 Record(s) of checks made with authorities about the requirements, procedures and likely timescale for statutory approvals and other consents. (b) [1]
- 3 Record(s) of information circulated to stakeholders which contains a forecast of the time needed for the submission and approval of applications for consent and the implications of delays, failure to apply for and achieve consent. (c,d) [1,2,3]

Evidence Requirements — Performance and Process (cont)

- 4 Application(s) for consent, including record(s) of any negotiations with statutory authorities. (e,f) [1,2]

Simulations are considered to be acceptable for producing evidence for the following item(s) that are considered to be rare, but key/critical to demonstrating competence. The following conditions of realism should be present: contingencies; communication methods and media; information and data.

- 5 Record(s) of alternatives agreed in anticipation of approval being refused. (g) [4]

Process Evidence

None applicable.

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.2 Manage applications to secure statutory consents

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you identify aspects of the project which are subject to statutory controls and will need **consents**? (synthesis) (a) [1]
- 2 How do you check and confirm with the relevant authorities the requirements, current procedures and likely timescale for statutory approvals and other **consents**? (application) (b) [1]
- 3 How and why do you forecast how long the submission and approval of **applications** for **consent** will take and how this will fit in with the project schedule? (analysis) (c) [1,2]
- 4 How do you circulate information about the implications of delays, failure to apply for and achieve **consent** to **stakeholders**? (application) (d) [1,3,4]
- 5 How and why do you identify the implications of delays? (synthesis) (d) [1,4]
- 6 How and why do you manage the submission of a clear and valid **application** for the **consent** and any negotiations with statutory authorities to secure consent? (application) (e,f) [1,2]
- 7 How and why do you plan **alternatives** with the stakeholder(s) in anticipation of approval being refused? (synthesis) (g) [3,4]
- 8 How and why do you agree **alternatives** with the stakeholder(s) in anticipation of approval being refused? (evaluation) (g) [3,4]

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.2 Manage applications to secure statutory consents

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.3 Negotiate and agree a project design

Performance Criteria

This involves:

- (a) providing **stakeholders** with enough relevant and accurate information at the right time to agree a project design
- (b) assessing and justifying the features and benefits of the **recommended project design** solution
- (c) comparing the **recommended project design** with the requirements of the project design brief and justifying its selection
- (d) confirming with **stakeholders** what the **recommended project design** solution will cost, how long it will take to implement and the key time deadlines
- (e) reaching an agreement on the **project design** solution which is acceptable to **stakeholders** and which allows the project to progress

Range

- 1 **Stakeholders:**
 - (a) internal
 - (b) external
- 2 **Recommended project design — consists of:**
 - (a) sketches
 - (b) drawings
 - (c) physical models
 - (d) computer generated data
 - (e) diagrams
 - (f) mathematical modelling
 - (g) photo-montage
 - (h) mock-ups
 - (i) written reports
 - (j) cost estimates
 - (k) programming
 - (l) cash analysis
 - (m) outline approvals from regulatory authorities

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.3 Negotiate and agree a project design

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Information provided to stakeholders. (a) [1]
- 2 Records of assessment(s) and justification(s) of recommended design solutions. (b,c) [1,2]
- 3 Record(s) of an agreement on the project design solution following confirmation of cost and time implications. (d,e) [all]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.3 Negotiate and agree a project design

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you provide project **stakeholders** with enough relevant and accurate information at the right time to agree a project design? (application) (a) [1]
- 2 How do you confirm with **stakeholders** what the **recommended project design** solution will cost, how long it will take to implement and the key time deadlines? (application) (d) [1,2]
- 3 How and why do you assess the features and benefits of the **recommended project design** solution? (analysis) (b) [1,2]
- 4 How and why do you compare the **recommended project design** solution with the requirements of the detailed design brief? (synthesis) (c) [2]
- 5 How and why do you justify the features and benefits of the **recommended project design** solution? (evaluation) (b) [2]
- 6 How and why do you reach an agreement on the **recommended project design** solution which is acceptable to **stakeholders** and which allows the project to progress? (evaluation) (e) [1,2]

UNIT CCM5/O07 (F084 04) Manage Project Design

Element O07.3 Negotiate and agree a project design

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

This Unit has the following Elements:

CCM5/O08.1	Establish project partnering
CCM5/O08.2	Agree and trial alignment of systems with partners
CCM5/O08.3	Monitor and control arrangements for project partnering
CCM5/O08.4	Plan project activities and resources to meet project requirements

Unit Summary

This Optional Unit covers the candidate's key responsibilities for establishing partnerships and for monitoring their performance.

Element 8.1 is about considering which partners should make up a project team, selecting potential partners, and negotiating partnership agreements.

Element 8.2 covers agreeing what partnering systems the project will use, trialling those systems and modifying them accordingly.

Element 8.3 deals with implementing the chosen project systems, and monitoring and improving them.

Element 8.4 covers the setting up of project programming and monitoring systems. Candidates choosing this Unit may wish to link this Element to C03.3 when collecting evidence.

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.1 Establish project partnering

Performance Criteria

This involves:

- (a) identifying and confirming with **stakeholders** the **areas** and **objectives** for project **partnering**
- (b) forming a selection panel of **stakeholders** for assessing potential **partners** and identifying **selection criteria**
- (c) providing **information** to potential **partners** and inviting them to submit a statement of their capabilities
- (d) evaluating the potential **partners** using the **selection criteria** and agreeing the short-listed potential **partners**
- (e) interviewing the short-listed potential **partners** to assess their suitability for, and commitment to, the project
- (f) selecting and confirming the project **partners** with **stakeholders**
- (g) negotiating agreements and contracts with project **partners**
- (h) conducting workshops for project **partners** to facilitate team working and agreeing individual and mutual project **objectives** and problem solving arrangements

Range

- 1 **Areas:**
 - (a) design
 - (b) construction
 - (c) supply
- 2 **Objectives:**
 - (a) agreed quality
 - (b) agreed time
 - (c) agreed cost
 - (d) respect for people (including health, safety, welfare and the environment)
- 3 **Partnering:**
 - (a) co-operative action
 - (b) sharing knowledge
 - (c) problem resolving structure
 - (d) continuous improvement
 - (e) performance measurement
 - (f) risk management
 - (g) value management
- 4 **Stakeholders:**
 - (a) internal
 - (b) external

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.1 Establish project partnering

Range (cont)

- 5 **Partners:**
- (a) client
 - (b) consultants
 - (c) contractors
 - (d) subcontractors
 - (e) suppliers
 - (f) other key stakeholders
- 6 **Selection criteria:**
- (a) cost
 - (b) quality
 - (c) time
 - (d) organisational experience
 - (e) performance measurement
 - (f) health, safety, welfare and environmental policy
 - (g) staff competence and development
 - (h) commitment to partnering
- 7 **Information:**
- (a) administration details
 - (b) scope of work
 - (c) budget
 - (d) information required from partners
 - (e) selection criteria and weightings

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of confirmed areas and objectives for project partnering. (a) [1,2,3]
- 2 Record(s) of selection panel(s) and identified selection criteria for potential partners. (b) [4,5,6]
- 3 Record(s) of evaluated and selected project partners. (c,d,e,f) [4,5,6,7]
- 4 Agreement(s) and contract(s) with project partners. (g) [5]
- 5 Record(s) of project partner workshops and agreements on project objectives and problem solving arrangements. (h) [2,3,5]

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.1 Establish project partnering

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as the **areas** and **objectives** for project **partnering**? (understanding) (a) [1,2,3]
- 2 How do you confirm with the **stakeholders** the **areas** and **objectives** for project **partnering**? (application) (a) [1,2,3]
- 3 How and why do you agree individual and mutual project **objectives**? (evaluation) (h) [2,3,5]
- 4 How do you conduct workshops for project **partners** to facilitate team working? (application) (h) [3,5]
- 5 How and why do you select the project **partners**? (evaluation) (f) [5,6]
- 6 How do you provide **information** to potential **partners** and invite them to submit a statement of their capabilities? (application) (c) [5,7]
- 7 How and why do you form a selection panel of **stakeholders** for assessing potential **partners**? (synthesis) (b) [4,5,6]
- 8 How and why do you identify **selection criteria** for assessing potential **partners**? (understanding) (b) [4,5,6]
- 9 How do you confirm the project **partners** with **stakeholders**? (application) (f) [4,5]
- 10 How and why do you interview the short-listed potential **partners** to assess their suitability for and commitment to the project? (analysis) (e) [5]
- 11 How and why do you evaluate and agree the potential **partners** using the **selection criteria**? (evaluation) (d) [5,6]
- 12 How and why do you negotiate agreements and contracts with project **partners**? (synthesis) (g) [5]

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.1 Establish project partnering

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.2 Agree and trial alignment of systems with partners

Performance Criteria

This involves:

- (a) specifying and agreeing with **partners** the ways in which **systems** will be managed and aligned
- (b) identifying and agreeing, with all **stakeholders**, the changes to systems which are necessary to meet technical and quality requirements
- (c) developing and implementing appropriate trials, identifying any problems and assessing the results and making appropriate modifications before moving to full implementation
- (d) checking that the alignment of **systems** conforms to the requirements of data protection legislation

Range

- 1 **Partners:**
 - (a) client
 - (b) consultants
 - (c) contractors
 - (d) subcontractors
 - (e) suppliers
 - (f) other key stakeholders
- 2 **Systems:**
 - (a) design
 - (b) commercial
 - (c) health and safety
 - (d) key performance indicators
- 3 **Stakeholders:**
 - (a) internal
 - (b) external

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.2 Agree and trial alignment of systems with partners

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Specification(s) and agreement(s) for the management and alignment of systems, including any necessary changes to the systems. (a,b) [1,2,3]
- 2 Record(s) of trials, and any resultant modifications made to the systems. (c) [2]
- 3 Record(s) of checks made to the alignment of systems. (d) [2]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.2 Agree and trial alignment of systems with partners

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you specify and agree with **partners** the ways in which **systems** will be managed and aligned? (evaluation) (a) [1,2]
- 2 How do you identify any problems from trials? (understanding) (c)
- 3 How do you implement appropriate trials, and make appropriate modifications before moving to full implementation? (application) (c)
- 4 How do you check that the alignment of **systems** conforms to the requirements of data protection legislation? (application) (d) [2]
- 5 How and why do you assess the results of trials? (analysis) (c)
- 6 How and why do you develop appropriate trials? (synthesis) (c)
- 7 How and why do you identify and agree with **stakeholders** the changes to systems which are necessary to meet technical and quality requirements? (evaluation) (b) [3]

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.2 Agree and trial alignment of systems with partners

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.3 Monitor and control arrangements for project partnering

Performance Criteria

This involves:

- (a) reviewing the terms of contract regularly, and assessing whether there are continued benefits to the **partners**
- (b) **monitoring** the performance of **partners** against agreed standards and quantifying any variations in performance
- (c) informing **partners** about variations in performance from contract terms, and providing them with advice and information about the changes needed and the time allowed to make the changes
- (d) investigating persistent variations and major problems, identifying likely causes and informing everyone affected
- (e) **monitoring** existing partnering arrangements against alternative supply chain options regularly and reviewing the relative benefits and advantages

Range

- 1 **Partners:**
 - (a) clients
 - (b) consultants
 - (c) contractors
 - (d) subcontractors
 - (e) suppliers
 - (f) other key stakeholders
- 2 **Monitoring — methods:**
 - (a) in-house reporting
 - (b) consultant
 - (c) computer
 - (d) manual

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.3 Monitor and control arrangements for project partnering

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Records of review(s) of partnership terms of contract. (a) [1]
- 2 Record(s) of supplier performance monitoring including variations and advice and information about changes. (b,c) [1,2]
- 3 Record(s) of investigation(s) of variations and problems. (d) [3]
- 4 Record(s) of monitoring existing partnering arrangements against alternative supply chain options and reviewing the relative benefits and advantages. (e) [1,2]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.3 Monitor and control arrangements for project partnering

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you review the terms of contract and assess whether there are continued benefits to the **partners**? (analysis) (a) [1]
- 2 How do you inform **partners** about variations in performance? (application) (c) [1]
- 3 How and why do you monitor the performance of **partners** against agreed standards, and investigate and identify the likely cause of any variations in performance? (analysis) (b,d) [1,2]
- 4 How do you inform everyone affected by persistent variations and major problems? (application) (d) [1,2]
- 5 How and why do you investigate persistent variations and major problems? (analysis) (d) [3]
- 6 How and why do you **monitor** existing partnering arrangements? (application) (e) [2]

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.3 Monitor and control arrangements for project partnering

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O8.4 Plan project activities and resources to meet project requirements

Performance Criteria

This involves:

- (a) confirming major activities and the **resources** needed from the information available and the preparation of a draft project **programme**
- (b) analysing the activities against **project requirements** and the requirements of significant **external factors**
- (c) ensuring that detailed **programmes and schedules** of planned activities are produced which are consistent with the complexity of the project
- (d) confirming alterations to the project **programme** which will meet changed circumstances or offer cost and time benefits
- (e) developing and implementing a system for monitoring the project **programme**, and using the results to improve future production and planning

Range

- 1 **Resources:**
 - (a) consultants
 - (b) plant and equipment
 - (c) materials and components
 - (d) sub-contractors
- 2 **Programmes and schedules:**
 - (a) written
 - (b) graphic
 - (c) electronic
- 3 **Project requirements:**
 - (a) contract conditions
 - (b) contract programme stipulations
 - (c) statutory consent
 - (d) Building Control notification
 - (e) third party obligations
 - (f) health and safety requirements
- 4 **External factors:**
 - (a) other related programmes
 - (b) supply lead times
 - (c) contingencies
 - (d) special working conditions
 - (e) seasonal weather conditions
 - (f) statutory limitations

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.4 Plan project activities and resources to meet project requirements

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Draft project programme(s). (a) [1,2]
- 2 Detailed programme(s) and schedule(s). (b,c,d,e) [all]
- 3 Alterations to works programme(s) with savings confirmed. (d) [2]
- 4 Records of system(s) developed and implemented for monitoring works programmes which include an analysis of results to improve future production and planning. (e) [2,4]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.4 Plan project activities and resources to meet project requirements

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you confirm major activities and **resources** needed, from the information available and the preparation of a project draft **programme**? (application) (a) [1,2]
- 2 How do you confirm alterations of the work **programmes** which will meet changes circumstances or offer cost and time benefits? (application) (d) [2]
- 3 How do you implement a system for monitoring the works **programme**? (application) (e) [2]
- 4 How do you develop a system for monitoring the works **programme**? (synthesis) (e) [2]
- 5 How do you use the results of monitoring to improve future production and planning? (application) (e) [2,3,4]
- 6 How do you ensure that detailed **programmes and schedules** of planned activities are produced? (application) (c) [2]
- 7 How and why do you analyse the activities against **project requirements** and the requirements of significant **external factors**? (analysis) (b) [4,5,6]

UNIT CCM5/O08 (F07T 04) Establish and Implement Project Partnering

Element O08.4 Plan project activities and resources to meet project requirements

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

This Unit has the following Elements:

- CCM5/O09.1 Establish criteria for and invite potential tenderers
- CCM5/O09.2 Select and accept successful estimates, bids and tenders and negotiate changes

Unit Summary

This Optional Unit covers the candidate's key responsibilities for inviting tenders from subcontractors and suppliers, evaluating them and concluding contracts with the successful tenderers.

Note: In this Unit, the term 'tender' covers tenders, bids, packages and estimates. This allows candidates to produce valid evidence from the widest range of sources.

Element 9.1 covers the selection of those to be invited to tender, and agreement on the selection criteria for choosing the successful tenderer.

Element 9.2 is about evaluating the tenders received, choosing the successful tenderer, and negotiating any changes with the tenderer.

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

Element O09.1 Establish criteria for and invite potential tenderers

Performance Criteria

This involves:

- (a) selecting an appropriate type of **tender** and deciding which potential **tenderers** could meet the contract specification
- (b) deciding how many **tenders** to invite, taking into account the value and size of the contract
- (c) ensuring invitations are sent to potential **tenderers**
- (d) choosing **selection criteria** which are suitable to weight and rate performance for the type of work described in the **tender**
- (e) confirming potential **tenderers** who respond to the invitation against the **selection criteria**, placing them in rank order and choosing the number needed
- (f) reviewing the **tender** documents for clarity and comprehensiveness in order to minimise the potential for disputes
- (g) issuing **tender** documents to all **tenderers** on the agreed list, following the agreed procedures

Range

- 1 **Tender:**
 - (a) competitive
 - (b) negotiated
- 2 **Tenderers:**
 - (a) contractors
 - (b) sub/works/trade contractors
 - (c) suppliers
 - (d) consultants
- 3 **Selection criteria:**
 - (a) quality and delivery record
 - (b) perceived added value (including reputation of potential contractors)
 - (c) acceptability of known sub-contracting arrangements
 - (d) acceptability to client
 - (e) financial resources
 - (f) references from previous clients and bankers
 - (g) health and safety
 - (h) competence of people
 - (i) resources (people, materials, facilities)
 - (j) insurance
 - (k) environmental policy and management

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

Element O09.1 Establish criteria for and invite potential tenderers

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of invitations to tender sent. (a,b,c,g) [1,2]
- 2 Evaluation(s) of tenders. (d,e,f) [all]
- 3 Tender documents. (g) [1,2]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

Element O09.1 Establish criteria for and invite potential tenderers

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you decide how many **tenders** to invite?
(evaluation) (b) [1]
- 2 How and why do you select an appropriate type of **tender** and
decide which potential **tenderers** could meet the contract
specification? (evaluation) (a) [1,2]
- 3 How and why do you choose **selection criteria** which are suitable
for the type of work described in the **tender**? (evaluation) (d)
[1,3]
- 4 How do you confirm potential **tenderers** who respond to the
invitation against the **selection criteria**? (application) (e) [2,3]
- 5 How do you ensure invitations are sent to potential **tenderers**?
(application) (b,c) [1,2]
- 6 How and why do you place potential tenderers in rank order?
(analysis) (e) [2,3]
- 7 How and why do you choose the number of tenderers needed?
(evaluation) (e) [2,3]
- 8 How do you review the **tender** documents for clarity and
comprehensiveness? (analysis) (f) [1]
- 9 How do you issue **tender** documents to all **tenderers** on the
agreed list? (application) (g) [1,2]

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

Element O09.1 Establish criteria for and invite potential tenderers

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

Element O09.2 Select and accept successful estimates, bids and tenders and negotiate changes

Performance Criteria

This involves:

- (a) evaluating the compliant **tenders** and choosing the **tender** which best meets the **criteria**
- (b) checking that the successful tenderer can meet the obligations of the contract and recommending a preferred **tender**
- (c) negotiating and agreeing any **variations, adjustments and corrections** with the successful tenderer and confirming them in writing, subject to contract
- (d) accepting the successful **tender** formally and politely notifying tenderers who have been unsuccessful about the result
- (e) arranging for the contract to be signed

Range

- 1 **Tenders:**
 - (a) competitive
 - (b) negotiated
- 2 **Criteria:**
 - (a) quality
 - (b) technical viability
 - (c) timescale
 - (d) cost (budgets, rates)
 - (e) loading and cash flow
 - (f) policies which offer added value
 - (g) comparative criteria (eg price indices, databases, trade journals, pre-tender estimates)
 - (h) competence of people
- 3 **Variations, adjustments and corrections:**
 - (a) price
 - (b) quantity
 - (c) quality
 - (d) completion
 - (e) maintenance
 - (f) method of payment
 - (g) contract conditions
 - (h) scope of service

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

Element O09.2 Select and accept successful estimates, bids and tenders and negotiate changes

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Evaluation(s) of selected tenders and amendments and checks that the successful tenderer can meet the obligations of the contract. (all) [all]
- 2 Record(s) of negotiations including variations, adjustments and corrections agreed. (c) [3]
- 3 Record(s) of notifications to tenderers. (d) [1]
- 4 Signed contract(s). (e) [all]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

Element O09.2 Select and accept successful estimates, bids and tenders and negotiate changes

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you evaluate the compliant **tenders** and choose the **tender** which best meets the **criteria**? (evaluation) (a) [1,2]
- 2 How do you check that the successful tenderer can meet the obligations of the contract? (application) (b) [2]
- 3 How and why to you recommend a preferred **tender**? (synthesis) (b) [1]
- 4 How do you notify tenderers who have been unsuccessful about the result? (application) (d) [2]
- 5 How and why do you accept the successful **tender** formally? (evaluation) (d) [1]
- 6 How and why do you negotiate any **variations, adjustments and corrections** with the successful tenderer? (synthesis) (c) [2,3]
- 7 How and why do you agree any **variations, adjustments and corrections** with the successful tenderer? (evaluation) (c) [2,3]
- 8 How do you arrange for the contract to be signed? (application) (e) [all]

UNIT CCM5/O09 (F082 04) Manage Invited Tenders

Element O09.2 Select and accept successful estimates, bids and tenders and negotiate changes

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

This Unit has the following Elements:

- CCM5/O10.1 Evaluate estimate, bid and tender enquiries
- CCM5/O10.2 Confirm the resource requirements and costs within an estimate, bid and tender
- CCM5/O10.3 Finalise and submit a tender offer

Unit Summary

This Optional Unit covers the candidate's key responsibilities for managing the process of preparing and submitting tenders.

Note: In this Unit, the term 'tender' covers tenders, bids and estimates. This allows candidates to produce valid evidence from the widest range of sources.

Element 10.1 is about evaluating the tender enquiry, and deciding whether or not to bid.

Element 10.2 is about managing the tender and also confirming the resources needed and the cost of doing the work.

Element 10.3 is about evaluating the risks and opportunities in the potential project, deciding on the margins and payment details, and overseeing the final preparation of the tender. This includes pre-qualification activities and the submission of final tenders.

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.1 Evaluate estimate, bid and tender enquiries

Performance Criteria

This involves:

- (a) checking, summarising and confirming the **tender** details and **tender requirements** and confirming them
- (b) identifying and reviewing any **points of concern** in the **tender** and referring them for clarification and resolution
- (c) evaluating the **tender documents** against the **bidder's criteria** and assessing whether the organisation is capable of meeting the **tender requirements** and has enough resources to do so
- (d) identifying and assessing any contractual and **legal issues** which might affect the project
- (e) drawing accurate conclusions about **tender requirements** within the limits of the **tender** information which is available, and which provide an objective basis for making a decision on whether to make a bid

Range

- 1 **Tender — type:**
 - (a) contractor
 - (b) sub/works/trade contractor
 - (c) supply
 - (d) consultancy
 - (e) purchase
- 2 **Tender requirements:**
 - (a) construction
 - (b) installation and maintenance work
 - (c) supply of goods and materials
 - (d) consultancy services
- 3 **Points of concern:**
 - (a) incomplete enquiry information
 - (b) inconsistencies with the policy of the organisation
 - (c) discrepancies within enquiry information
 - (d) unclear enquiry information
 - (e) tender procedure requirements
 - (f) quantitative requirements
 - (g) qualitative requirements

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.1 Evaluate estimate, bid and tender enquiries

Range (cont)

4 **Tender documents — type:**

- (a) invitation to tender
- (b) form of tender
- (c) returns procedure
- (d) survey reports
- (e) specifications
- (f) drawings
- (g) schedules
- (h) bills of quantities
- (i) health and safety plans
- (j) scope of services
- (k) terms and conditions
- (l) schedule of rates

5 **Bidder's criteria:**

- (a) financial
- (b) viability of tendering information
- (c) current workload
- (d) type of work
- (e) competence of people
- (f) timescale
- (g) social policies
- (h) environmental impact
- (i) location
- (j) potential completion

Range (cont)

6 **Legal issues:**

- (a) planning
- (b) health and safety
- (c) environmental
- (d) ownership
- (e) common law rights
- (f) European Union requirements

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.1 Evaluate estimate, bid and tender enquiries

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Evaluation(s) of tender documents which include tender details and requirements, points of concern, assessment of capability to meet the requirements, contractual and legal issues, conclusions.
(all) [all]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.1 Evaluate estimate, bid and tender enquiries

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you check, summarise and confirm the **tender** details and **tender requirements**? (application) (a) [1,2]
- 2 How and why do you identify any **points of concern** in the **tender**? (understanding) (b) [1,3]
- 3 How do you refer any **points of concern** in the **tender** for clarification and resolution? (application) (b) [1,3]
- 4 How and why do you review any **points of concern**? (analysis) (b) [1,2,3]
- 5 How and why do you assess whether the organisation is capable of meeting the **tender requirements** and has enough resources to do so? (analysis) (c) [2,5]
- 6 How and why do you evaluate the **tender documents**? (evaluation) (c) [4]
- 7 How do you draw accurate conclusions about **tender requirements**? (evaluation) (e) [1,2,4,5]
- 8 What do you identify as contractual and **legal issues** which might affect the project? (understanding) (d) [6]
- 9 How and why do you assess any contractual and **legal issues** which might affect the project? (analysis) (d) [6]

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.1 Evaluate estimate, bid and tender enquiries

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.2 Confirm the resource requirements and costs within an estimate, bid and tender

Performance Criteria

This involves:

- (a) confirming a proposed method statement and programme which meet the **tender requirements**
- (b) confirming that the necessary **resources** will be available and presenting the information so that the requirements can be costed and planned
- (c) modifying the cost to take into account any **external factors** which may affect the cost projections
- (d) confirming the overall estimate of costs and that it is complete, accurate and in a form which is suitable for a judgement to be made
- (e) confirming payment schedules which will meet known cash flow requirements

Range

- 1 **Tender requirements:**
 - (a) construction
 - (b) installation and maintenance work
 - (c) supply of goods and materials
 - (d) consultancy services
 - (e) purchase
- 2 **Resources - type:**
 - (a) people (in-house, external)
 - (b) plant and equipment
 - (c) materials
 - (d) finance
 - (e) time
 - (f) supply options
- 3 **External factors:**
 - (a) variations over time
 - (b) location
 - (c) statutory and contractual requirements
 - (d) working conditions and methods
 - (e) resourcing conditions
 - (f) competition

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.2 Confirm the resource requirements and costs within an estimate, bid and tender

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Method statement(s) and programme(s). (a) [1]
- 2 Estimate(s) of costs. (b,c,d) [2,3]
- 3 Payment schedules. (e) [3]

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you confirm a proposed method statement and programme which meet the **tender requirements**? (application) (a) [1]
- 2 How do you present information about **resource** availability so that the requirements can be costed and planned? (application) (b) [2]
- 3 How and why do you confirm that necessary **resources** will be available? (synthesis) (b) [2]
- 4 How do you confirm the overall **estimate** of costs and that it is complete, accurate and in a form which is suitable for a judgement to be made? (application) (d) [2,3]
- 5 How do you modify the cost to take into account any **external factors** which may affect the cost projections? (application) (c) [3]
- 6 How do you confirm payment schedules? (application) (e) [2,3]

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.2 Confirm the resource requirements and costs within an estimate, bid and tender

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.3 Finalise and submit a tender offer

Performance Criteria

This involves:

- (a) identifying and evaluating, realistically, the **risks and opportunities** involved in a successful **tender offer**
- (b) identifying and specifying **alternatives and qualifications** to the original **tender requirements** which may improve the organisation's ability to carry out the work
- (c) applying a profit margin and payment schedule which meets the objectives and strategy of the organisation
- (d) checking that the **tender offer** is complete and accurate and conforms to house style, and making any necessary modifications
- (e) **presenting** and submitting the **tender offer** in a manner which maximises its acceptability
- (f) submitting **tender offer** information in accordance with procurement requirements

Range

- 1 **Risks and opportunities:**
 - (a) environmental
 - (b) financial and market
 - (c) political
 - (d) technical
 - (e) health and safety
 - (f) reputation
 - (g) competence of people
- 2 **Tender offer:**
 - (a) contractor
 - (b) sub/works/trade contractor
 - (c) supply
 - (d) consultancy
 - (e) purchase
- 3 **Alternatives and qualifications:**
 - (a) specifications and materials
 - (b) methods of construction
 - (c) services
 - (d) time-scales
 - (e) supply options
 - (f) price offer options

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.3 Finalise and submit a tender offer

Range (cont)

4 **Tender requirements:**

- (a) construction
- (b) installation and maintenance work
- (c) supply of goods and materials
- (d) consultancy services

5 **Presenting:**

- (a) orally
- (b) in writing
- (c) graphically
- (d) electronically

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Tender offer(s). (all) [all]
- 2 Record(s) of presentation(s) and support of tender offer(s) which include evaluations of risks and opportunities, specified alternatives, profit margin, payment schedule. (e) [2,5]

Simulations are not considered to be acceptable for producing evidence for this Element.

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.3 Finalise and submit a tender offer

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you identify the **risks and opportunities** involved in a successful **tender offer**? (understanding) (a) [1,2]
- 2 How do you evaluate the **risks and opportunities** involved in a successful **tender offer**? (evaluation) (a) [1,2]
- 3 How and why do you check that the **tender offer** is complete and accurate and conforms to house style and make any necessary modifications? (application) (d) [2]
- 4 How do you submit **tender offer** information? (application) (f) [2]
- 5 How do you apply a profit margin and payment schedule which meets the objectives and strategy of the organisation? (application) (c) [3]
- 6 How and why do you identify and specify **alternatives and qualifications** to the original **tender requirements**? (evaluation) (b) [3,4]
- 7 How do you **present** and submit the **tender offer**? (application) (e,f) [2,5]

UNIT CCM5/O10 (F07V 04) Manage and Submit Tenders

Element O10.3 Finalise and submit a tender offer

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

This Unit has the following Elements:

- CCM5/O11.1 Prepare and modify forms of contract
- CCM5/O11.2 Negotiate and finalise contracts

Unit Summary

This Optional Unit covers the candidate's key responsibilities for deciding on the forms of contract to use for projects, agreeing details, and concluding contracts with subcontractors and suppliers.

Element 11.1 is about selecting forms of contract and amending them as necessary.

Element 11.2 covers negotiating final details with subcontractors and suppliers and finalising the payment processes.

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.1 Prepare and modify forms of contract

Performance Criteria

This involves:

- (a) selecting **forms of contract**, contract clauses and documents which are up-to-date and suitable for the **form of procurement** proposed
- (b) **amending** standard **forms of contract** so that the contract is suitable for the proposed **form of procurement**
- (c) **drafting** particulars and preliminaries which accurately describe the needs of all the people involved in the **form of contract**
- (d) checking that contract clauses, appendices and amendments meet statutory requirements
- (e) obtaining necessary checks and approvals for the draft **forms of contract**

Range

- 1 **Forms of contract:**
 - (a) standard
 - (b) non standard
- 2 **Form of procurement:**
 - (a) competitive tender — limited competition, open competition (including advertising)
 - (b) non-competitive — negotiation, serial award
 - (c) partnering agreement
- 3 **Amending and drafting:**
 - (a) allocation of risks and responsibilities
 - (b) structure of contract
 - (c) key instructions
 - (d) legal factors

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.1 Prepare and modify forms of contract

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Forms of contract, contract clauses and documents which include amendments suitable for the form of procurement, particulars, preliminaries, and appendices. (all) [all]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.1 Prepare and modify forms of contract

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you check that contract clauses, appendices and amendments meet statutory requirements? (application) (d) [1]
- 2 How do you obtain necessary checks and approvals for the draft **forms of contract**? (application) (e) [1]
- 3 How and why do you select **forms of contract**, contract clauses and documents? (evaluation) (a) [1,2]
- 4 How do you amend standard **forms of contract** so that the contract is suitable for the proposed **form of procurement**? (application) (b) [all]
- 5 How and why do you draft particulars and preliminaries? (evaluation) (c) [1,3]

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.1 Prepare and modify forms of contract

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.2 Negotiate and finalise contracts

Performance Criteria

This involves:

- (a) negotiating **contracts** using a style and manner which maintains good long term relationships with all the **people involved in the contract**
- (b) negotiating and agreeing the best possible supply position, contract terms, conditions and **amendments**
- (c) recording the results of negotiations accurately and passing the information on, promptly in accordance with **legal requirements**, to all the **people involved in the contract**
- (d) confirming accurate copies of the final **contract documents**, checking that they meet **legal requirements** and arranging for them to be signed
- (e) identifying the **obligations** of the parties to the **contract** and obtaining valid, written proof that they can meet the **obligations**
- (f) confirming that adequate insurance cover is in place to safeguard the **contract**
- (g) specifying and agreeing how payments for **contracts** will be made
- (h) ensuring that all the **contract documents** are complete
- (i) arranging for the **contract** to be signed

Range

- 1 **Contracts — type:**
 - (a) main contract
 - (b) sub-contract
 - (c) lump sum
 - (d) design and construct
 - (e) schedule based
 - (f) prime cost based
 - (g) hybrid
 - (h) firm price
 - (i) fluctuating price
 - (j) labour and materials
 - (k) labour only
 - (l) goods and materials supply only
 - (m) service contracts
 - (n) design warranties
- 2 **People involved in the contract:**
 - (a) employers
 - (b) main contractors
 - (c) domestic and nominated sub-contractors
 - (d) works/specialist contractors
 - (e) consultants
 - (f) third parties

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.2 Negotiate and finalise contracts

Range (cont)

- 3 **Amendments:**
 - (a) allocation of risks and responsibilities
 - (b) structure of contract
 - (c) key instructions
 - (d) legal factors

- 4 **Legal requirements:**
 - (a) statutes
 - (b) regulations, including European Union regulations
 - (c) codes of practice and procedure
 - (d) common law

- 5 **Contract documents:**
 - (a) invitation to tender
 - (b) forms of tender
 - (c) returns procedure
 - (d) specifications
 - (e) survey reports
 - (f) drawings
 - (g) schedules
 - (h) bills of quantities
 - (i) health and safety plans
 - (j) scope of services
 - (k) terms and conditions
 - (l) schedules of rates

Range (cont)

- 6 **Obligations:**
 - (a) insurances
 - (b) bonds
 - (c) warranties
 - (d) statutory
 - (e) financial guarantees
 - (f) competence of people

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.2 Negotiate and finalise contracts

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of contract negotiations. (a,b,c,g) [1,2,3,4]
- 2 Signed contract document(s). (d,g,h,i) [1,2,4,5]
- 3 Written proof of ability of parties to meet contract obligations. (e) [1,6]
- 4 Record(s) of insurance cover. (f) [6]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.2 Negotiate and finalise contracts

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How and why do you negotiate **contracts**? (synthesis) (a) [1,2]
- 2 How and why do you negotiate the best possible supply position, **contract** terms, conditions and **amendments**? (synthesis) (b) [1,3]
- 3 How and why do you agree the best possible supply position, **contract** terms, conditions and **amendments**? (evaluation) (b) [1,3]
- 4 How do you record and pass on information about the results of negotiations accurately? (application) (c) [2,4]
- 5 How do you confirm accurate copies of the final **contract documents**, check that they meet **legal requirements** and arrange for them to be signed? (application) (d) [4,5]
- 6 How do you ensure that all the **contract documents** are complete and arrange for them to be signed? (application) (h,i) [5]
- 7 What do you identify as the **obligations** of the parties to the **contract**? (understanding) (e) [1,2,6]
- 8 How do you obtain valid, written proof that the parties to the contract are able to meet the **obligations**? (application) (e) [1,2,6]
- 9 How do you confirm that adequate insurance cover is in place to safeguard the **contract**? (application) (f) [1,6]
- 10 How and why do you specify and agree how payments for contracts will be made? (evaluation) (g) [1,2,5]

UNIT CCM5/O11 (F08B 04) Prepare and Agree Contracts

Element O11.2 Negotiate and finalise contracts

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

This Unit has the following Elements:

- CCM5/O12.1 Update budget and cash flow projections
- CCM5/O12.2 Manage valuations and income due
- CCM5/O12.3 Manage claims for reimbursement for loss and expense

Unit Summary

This Optional Unit covers the candidate's key responsibilities for managing the preparation of budget and cash flow projections, managing valuations and income due, and managing expenditure and recovery schedules. The Unit builds on core Element C03.4.

Element 12.1 is about updating budgets and cash flow plans, dealing with contingencies, and keeping people informed.

Element 12.2 covers managing valuations for payments due and recovering outstanding monies.

Element 12.3 deals with assessing the basis of claims, managing their preparation and agreeing their outcomes. 'Claims' in this Element could be either claims made by you on your client, subcontractors, suppliers or third parties, or claims made on you by your client, subcontractors, suppliers or third parties.

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.1 Update budget and cash flow projections

Performance Criteria

This involves:

- (a) monitoring and auditing allocated **budgets** and accurately calculating fluctuations in financial performance
- (b) managing **cash flow projections** against actual income and expenditure
- (c) recommending ways of dealing with **variances** and **contingencies** so that decisions be made
- (d) taking appropriate corrective action promptly and informing people about the changes that are required to allocated **budgets**
- (e) investigating the reasons for **variances** and **contingencies** and taking action which will prevent them happening again
- (f) informing interested parties about actions which will require major restructuring of allocated **budgets** and **cash flow projections**
- (g) updating allocated **budgets** accurately and reissuing them to people who have financial responsibilities

Range

- 1 **Budgets:**
 - (a) earned income
 - (b) employment costs
 - (c) capital plant and equipment
 - (d) materials
 - (e) liabilities
 - (f) subcontract costs
 - (g) consumables
- 2 **Cash flow projections:**
 - (a) income receivable
 - (b) expenditure
- 3 **Variances:**
 - (a) overspend
 - (b) underspend
 - (c) changes in value of the work
- 4 **Contingencies:**
 - (a) delays in receivables
 - (b) project and contract delays
 - (c) interruptions
- 5 **Interested parties:**
 - (a) colleagues
 - (b) financial providers

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.1 Update budget and cash flow projections

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of monitored and audited budgets which include calculated fluctuations and cash flow projections. (a,b) [1,2]
- 2 Recommendation(s) about ways of dealing with variances and contingencies which include investigations and corrective action. (c,d,e) [1,3,4]
- 3 Information provided to **interested parties** about restructuring of allocated budgets and cash flow projections. (f) [1,2,5]
- 4 Updated budget(s). (g) [1,5]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.1 Update budget and cash flow projections

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you calculate fluctuations in financial performance?
(application) (a) [1]
- 2 How do you take appropriate corrective action promptly and inform staff about the changes that are required to allocated **budgets**? (application) (d) [1,4,5]
- 3 How do you update allocated **budgets** and reissue them to staff who have financial responsibilities? (application) (g) [1,5]
- 4 How and why do you monitor and audit allocated **budgets**? (analysis) (a) [1]
- 5 How and why do you inform **interested parties** about actions which will require major restructuring of allocated **budgets** and **cash flow projections**? (application) (f) [1,2,5]
- 6 How and why do you manage **cash flow projections** against actual income and expenditure? (evaluation) (b) [2]
- 7 How do you investigate the reasons for **variances** and **contingencies**? (understanding) (e) [3,4]
- 8 How do you take action to prevent **variances** and **contingencies** happening again? (application) (e) [3,4]
- 9 How and why do you recommend ways of dealing with **variances** and **contingencies**? (synthesis) (c) [3,4]

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.1 Update budget and cash flow projections

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.2 Manage valuations and income due

Performance Criteria

This involves:

- (a) agreeing accurate **valuations and accounts** which contain relevant background information and clarifying and justifying areas of potential disagreement
- (b) recording information about **payments** due and calculating the total income due under the contract
- (c) identifying **payments** which are outstanding
- (d) taking prompt **action to recover outstanding debts and retentions** in a manner which maintains the goodwill and trust of the client

Range

- 1 **Valuations and accounts:**
 - (a) interim payment
 - (b) final accounts
- 2 **Payments:**
 - (a) agreed fees
 - (b) quantification of work completed
 - (c) agreed recoverable expenses
 - (d) VAT
 - (e) retentions
 - (f) credit notes
- 3 **Action to recover outstanding debts and retentions:**
 - (a) re-invoicing
 - (b) negotiation
 - (c) legal action

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.2 Manage valuations and income due

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of valuations and accounts and payments due. (a,b,c) [3,4]
- 2 Record(s) of action taken to recover outstanding debts. (d) [3]

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you clarify areas of potential disagreement with **valuations and accounts**? (application) (a) [1]
- 2 How and why do you agree accurate **valuations and accounts** and justify areas of potential disagreement? (evaluation) (a) [1]
- 3 How do you record information about **payments** due and calculate the total income due under the contract? (application) (b) [2]
- 4 What do you identify as payments which are outstanding? (understanding) (c) [2]
- 5 How do you take prompt **action to recover outstanding debts and retentions**? (application) (d) [3]

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.2 Manage valuations and income due

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.3 Manage claims for reimbursement for loss and expense

Performance Criteria

This involves:

- (a) assessing the basis of **claims** and criteria for recovery against the **contract**, seeking relevant expert opinion, and progressing valid **claims** which can be substantiated
- (b) ensuring that **claims** are accurately calculated and appropriately structured from relevant and verified **information sources**
- (c) identifying the liability for the cost of re-work and additional work, agreeing the liability with the people involved in the **contract** and agreeing the rates and quantities to meet organisation and contractual requirements
- (d) negotiating and agreeing amendments to **claims** with the people involved in the **contract**
- (e) conducting negotiations with the people involved in the **contract** in a way which maintains their goodwill and trust
- (f) recording documents, back-up information and calculations accurately, referencing them clearly and storing them so that they can be easily retrieved for audit and reference

Range

- 1 **Claims — resulting from:**
 - (a) measurement
 - (b) valuation of variations
 - (c) liability for costs
 - (d) loss and expense arising from breaches of contract
 - (e) extensions of time
 - (f) damages arising from extra-contractual consideration
- 2 **Contract — type:**
 - (a) main contract
 - (b) sub-contract
 - (c) suppliers
- 3 **Information sources:**
 - (a) contract documents
 - (b) contract records

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.3 Manage claims for reimbursement for loss and expense

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of progressed valid claims. (a) [1,2,3]
- 2 Record(s) of negotiated claims which include back-up information, calculations, and agreement of amendments. (b,c,d,e,f) [1,2,4,5]

Simulations are not considered to be acceptable for producing evidence for this Element.

Evidence Requirements — Performance and Process (cont)

Process Evidence

None applicable.

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.3 Manage claims for reimbursement for loss and expense

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you progress valid **claims** which can be substantiated? (application) (a) [1]
- 2 How do you conduct negotiations with the people involved in the **contract**? (application) (e) [2]
- 3 How do you ensure **claims** are accurately calculated and appropriately structured from relevant and verified **information sources**? (application) (b) [1,3]
- 4 How do you assess the basis of **claims** and criteria for recovery against the **contract** by seeking relevant expert opinion? (analysis) (a) [1,2,3]
- 5 How and why do you identify the liability for the cost of re-work and additional work, agree the liability with the people involved in the **contract** and agree the rates and quantities to meet organisational and contractual requirements? (evaluation) (c) [2]
- 6 How and why do you negotiate amendments to **claims** with the people involved in the **contract**? (synthesis) (d) [1,2]
- 7 How and why do you agree amendments to the **claim** with the people involved in the **contract**? (synthesis) (d) [1,2]
- 8 How do you record, reference and store documents, back-up information and calculations? (application) (f) [3]

UNIT CCM5/O12 (F080 04) Manage Financial Expenditure and Recovery

Element O12.3 Manage claims for reimbursement for loss and expense

Evidence Comments: Where knowledge evidence is used to cover items of Range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O13 (F07W 04) Manage Disputes

This Unit has the following Elements:

- CCM5/O13.1 Evaluate implications for the resolution of disputes
- CCM5/O13.2 Evaluate information relevant to a dispute
- CCM5/O13.3 Negotiate and progress the resolution of a dispute

Unit Summary

This Optional Unit covers the candidate's key responsibilities for managing disputes on projects. A 'dispute' in this Unit is a disagreement that may or may not be settled without external assistance. It could involve preparation for adjudication, arbitration or legal action.

Element 13.1 covers evaluating the information surrounding a dispute, taking expert advice, and deciding how to proceed.

Element 13.2 deals with assessing the key aspects of a dispute, and recommending the best strategies for further action.

Element 13.3 covers managing the dispute process and leading the negotiations towards a settlement.

Evidence from examples of alternative dispute resolution could be valuable.

UNIT CCM5/O13 (F07W 04)

Manage Disputes

Element O13.1 Evaluate implications for the resolution of disputes

Performance Criteria

This involves:

- (a) summarising the type and nature of the **dispute** and its legal context
- (b) assessing the strengths and weaknesses of the case and making a judgment about the potential outcomes
- (c) identifying what **expertise and support** will be needed at different stages of the **dispute**
- (d) assessing the implications of proceeding with the case
- (e) identifying potential **options for settling the dispute** which are based on relevant information and accurate assessments
- (f) identifying potential responses to the **options for settling the dispute** and assessing the risks involved
- (g) recommending a **process for settling the dispute** which is likely to be acceptable to all the people involved and which meets legal requirements
- (h) specifying, clearly, the **process for settling the dispute** which has been agreed and preparing written terms and conditions

Range

1 **Dispute — types:**

- (a) land
- (b) property
- (c) construction
- (d) contracts
- (e) agreements
- (f) third party claims

2 **Expertise and support in:**

- (a) surveying
- (b) valuation
- (c) town planning
- (d) environmental health
- (e) environmental management
- (f) legal
- (g) financial
- (h) design
- (i) technical

3 **Options and processes for settling the dispute:**

- (a) re-negotiation
- (b) negotiations at higher levels of authority
- (c) mediation, adjudication and arbitration
- (d) formal dispute resolution
- (e) legal action

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.1 Evaluate implications for the resolution of disputes

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Assessment(s) of the type and nature and the strengths and weaknesses of the case, the expert support needed and the implications of proceeding. (a,b,c,d) [1,2]
- 2 Record(s) of assessments of options for settling dispute(s). (e,f) [3]
- 3 Recommendation(s) and specification(s) for the process of settling dispute(s). (g,h) [1,3]

Evidence Requirements — Performance and Process(cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.1 Evaluate implications for the resolution of disputes

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you summarise the type and nature of the **dispute** and its legal context? (application) (a) [1]
- 2 How and why do you assess the strengths and weaknesses of the case and implications of proceeding? (analysis) (b,d) [1]
- 3 How and why do you make a judgement about the potential outcomes of the case? (evaluation) (b) [1]
- 4 What do you identify as **expertise and support** will be needed at different stages of the **dispute**? (understanding) (c) [1,2]
- 5 How and why do you identify potential **options for settling the dispute**? (evaluation) (e) [3]
- 6 How and why do you identify potential responses to, and assess the risks involved in, the **options for settling the dispute**? (evaluation) (f) [3]
- 7 How and why do you recommend a **process for settling the dispute**? (synthesis) (g) [3]
- 8 How and why do you specify the **process for settling the dispute** which has been agreed and then prepare written terms and conditions? (evaluation) (h) [3]

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.1 Evaluate implications for the resolution of disputes

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.2 Evaluate information relevant to a dispute

Performance Criteria

This involves:

- (a) identifying and collating **information which is relevant to the dispute**, within the time limits and identifying potentially inaccurate **information** and clarifying it with the people who produced it
- (b) obtaining **information** about similar cases, identifying key points and common features and producing an accurate summary
- (c) obtaining enough additional **information** to make a valid evaluation in instances where the **information** is incomplete
- (d) evaluating all the **information which is relevant to the dispute**, identifying **information** which will support the case and summarising and justifying it in a reasoned argument
- (e) consulting with **experts**, and providing them with a clear, valid and accurate summary, in cases where expert interpretation and judgement is required
- (f) assessing the arguments and advice received from **experts**, producing justifiable conclusions and recommendations for further action and passing them to the people involved in the dispute
- (g) disclosing **information which is relevant to the dispute** only to people who have a right to see it

Range

- 1 **Information which is relevant to the dispute:**
 - (a) contract documents
 - (b) correspondence
 - (c) instructions
 - (d) contract records
 - (e) technical reports
 - (f) witness testimonies
 - (g) other evidential material
- 2 **Dispute — type:**
 - (a) land
 - (b) property
 - (c) construction
 - (d) contracts
 - (e) agreements
 - (f) third party claims
- 3 **Experts in:**
 - (a) surveying
 - (b) valuation
 - (c) town planning
 - (d) health and safety
 - (e) environmental management
 - (f) legal
 - (g) financial
 - (h) design
 - (i) technical

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.2 Evaluate information relevant to a dispute

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Summary(ies) of information obtained, disclosed and evaluated about the dispute which include key points and common features with similar cases. (a,b,c,d,g) [1,2]
- 2 Record(s) of consultation(s) and assessment of the arguments and the advice received from experts. (e,f,g) [all]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.2 Evaluate information relevant to a dispute

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as **information which is relevant to the dispute** and potentially inaccurate information? (understanding) (a) [1]
- 2 How do you collate **information which is relevant to the dispute** and clarify potentially inaccurate **information** with the people who produced it? (application) (a) [1]
- 3 How do you obtain **information** about similar cases and produce an accurate summary of key points and common features? (application) (b) [1,2]
- 4 What do you identify as key points and common features of similar cases? (understanding) (b) [1,2]
- 5 How do you obtain enough additional **information** to make a valid evaluation in instances where the **information** is incomplete? (application) (c) [1]
- 6 How do you disclose **information which is relevant to the dispute**? (application) (g) [1]
- 7 What do you **identify** as information which will support the case? (understanding) (d) [1,2]
- 8 How do you summarise **information** which will support the case? (application) (d) [1,2]
- 9 How and why do you evaluate all the **information which is relevant to the dispute** and justify information which will support the case? (evaluation) (d) [1,2]

Evidence Requirements — Knowledge and Understanding (cont)

- 10 How do you consult with **experts**? (application) (e) [3]
- 11 How do you produce justifiable conclusions and recommendations for further action and pass them to the people involved in the **dispute**? (application) (f) [2,3]
- 12 How and why do you assess the arguments and the advice received from **experts**? (analysis) (f) [2,3]
- 13 How and why do you provide **experts** with a clear, valid and accurate summary? (synthesis) (e) [all]

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.2 Evaluate information relevant to a dispute

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.3 Negotiate and progress the resolution of a dispute

Performance Criteria

This involves:

- (a) preparing documents about the **dispute** which have a clear rationale and which include relevant supporting information
- (b) keeping regular contact with the people involved in the **dispute** and investigating and proposing **options and processes for settling the dispute**, which are likely to be acceptable to them
- (c) reviewing **reactions and proposals** from other parties and recommending **responses**
- (d) asking questions to test the consistency and resilience of the opposite party's position and to probe for possible movement
- (e) summarising and recording points of agreement and disagreement
- (f) recommending acceptance of offers which are judged to be the best available
- (g) drafting formal acceptance letters accurately and in a suitable style and sending them promptly to all parties
- (h) suggesting realistic **options and processes for settling the dispute** when offers are not acceptable and assessing the advantages and disadvantages of each alternative

Range

- 1 **Dispute — types:**
 - (a) land
 - (b) property
 - (c) construction
 - (d) contracts
 - (e) agreements
 - (f) third party claims
- 2 **Options and processes for settling the dispute:**
 - (a) re-negotiation
 - (b) negotiations at higher levels of authority
 - (c) mediation, adjudication and arbitration
 - (d) formal dispute resolution
 - (e) legal action
- 3 **Reactions and proposals:**
 - (a) positive
 - (b) negative
- 4 **Responses:**
 - (a) accepting
 - (b) rejecting
 - (c) clarifying
 - (d) providing additional information

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.3 Negotiate and progress the resolution of a dispute

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Document(s) about the dispute which have been prepared. (a) [1]
- 2 Record(s) of negotiations which include proposed options and processes for settling the dispute, reactions and proposals, recommended responses, questions and summaries, and recommendation(s) for acceptance of offers. (b,c,d,e,f) [all]
- 3 Formal acceptance letters. (g) [4]
- 4 Record(s) of suggestions for options and processes for settling the dispute. (h) [2,3,4]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.3 Negotiate and progress the resolution of a dispute

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you prepare documents about the **dispute**? (application) (a) [1]
- 2 How do you keep regular contact with the people involved in the **dispute**? (application) (b) [1]
- 3 How and why do you investigate **options and processes for settling the dispute**? (analysis) (b) [1,2]
- 4 How and why do you propose **options and processes for settling the dispute**? (synthesis) (b) [1,2]
- 5 How do you ask questions to test the consistency and resilience of the opposite party's position and to probe for possible movement? (application) (d) [all]
- 6 How and why do you assess the advantages and disadvantages of each alternative? (analysis) (h) [2]
- 7 How and why do you suggest realistic **options and processes for settling the dispute** when offers are not acceptable? (synthesis) (h) [2]
- 8 How and why do you review **reactions and proposals** from opposite parties? (analysis) (c) [3]
- 9 How do you summarise and record points of agreement and disagreement? (application) (e) [3,4]
- 10 How and why do you recommend **responses to reactions and proposals** from other parties? (synthesis) (c) [3,4]

Evidence Requirements — Knowledge and Understanding (cont)

- 11 How and why do you recommend acceptance of offers which are judged to be the best available? (synthesis) (f) [2,3,4]
- 12 How and why do you draft formal acceptance letters? (evaluation) (g) [4]
- 13 How do you send formal acceptance letter all parties? (application) (g) [4]

UNIT CCM5/O13 (F07W 04) Manage Disputes

Element O13.3 Negotiate and progress the resolution of a dispute

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

This Unit has the following Elements:

- CCM5/O14.1 Manage project handover
- CCM5/O14.2 Obtain and evaluate project feedback information and make improvements

Unit Summary

This Optional Unit covers the candidate's key responsibilities for managing the project handover and evaluating feedback from the project so that improvements can be made in future.

Element 14.1 is about managing the commissioning process, ensuring the completion of the works, and ensuring the satisfaction of the stakeholders.

Element 14.2 is about gathering feedback from the project, evaluating it, and planning for future improvements. This can be done throughout the progress of a project, and not just at the handover stage.

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

Element O14.1 Manage project handover

Performance Criteria

This involves:

- (a) confirming **project requirements**, consulting with **stakeholders** and developing and agreeing a commissioning programme
- (b) ensuring that **project requirements** have been met and recording any outstanding work and defects
- (c) ensuring inspections, tests and certification are carried out that they are witnessed by **stakeholders** as required
- (d) ensuring the satisfactory completion of any outstanding work and defects
- (e) arranging a handover inspection involving all relevant **stakeholders**, confirming any **stakeholder** concerns that need to be addressed, and recording and agreeing any required actions
- (f) checking that **stakeholders** respective **responsibilities** are adopted
- (g) assembling and handing over **operational documentation, equipment and services** in accordance with the contract

Range

- 1 **Project requirements:**
 - (a) time
 - (b) quality
 - (c) cost
 - (d) health and safety
 - (e) regulations
 - (f) defects liability period
- 2 **Stakeholders:**
 - (a) clients
 - (b) users
 - (c) consultants
 - (d) contractors
 - (e) regulatory authorities
- 3 **Responsibilities:**
 - (a) insurances
 - (b) security
 - (c) operations
 - (d) health and safety
 - (e) utility supply
- 4 **Operational documentation, equipment and services:**
 - (a) manuals and guidance materials
 - (b) plans
 - (c) health and safety files
 - (d) operating equipment
 - (e) security information and equipment
 - (f) certificates
 - (g) services

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

Element O14.1 Manage project handover

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Commissioning programmes. (a) [1,2]
- 2 Record(s) of checks on project requirements, inspections, tests and certification, and completion of any outstanding work and defects. (b,c,d) [1,2]
- 3 Record(s) of handover which include inspections, confirmed concerns and any required actions, adopted responsibilities, documentation, equipment and services. (e,f,g) [2,3,4]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

Element O14.1 Manage project handover

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you confirm **project requirements** and consult with **stakeholders**? (application) (a) [1,2]
- 2 How do you ensure that **project requirements** have been met and record any outstanding work and defects? (application) (b) [1]
- 3 How do you ensure the satisfactory completion of any outstanding work and defects? (application) (d) [1]
- 4 How and why do you develop a commissioning programme? (synthesis) (a) [1,2]
- 5 How and why do you agree a commissioning programme? (evaluation) (a) [1,2]
- 6 How do you ensure inspections, tests and certification are carried out and ensure that they are witnessed by **stakeholders** as required? (application) (c) [2]
- 7 How do you arrange a handover inspection involving all relevant **stakeholders**, confirming any **stakeholder** concerns that need to be addressed and recording any required actions? (application) (e) [2]
- 8 How and why do you agree any required actions? (evaluation) (e) [2]
- 9 How do you check that **stakeholders** respective **responsibilities** are adopted and assemble and hand over **operational documentation, equipment and services**? (application) (f,g) [2,3,4]

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

Element O14.1 Manage project handover

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

Element O14.2 Obtain and evaluate project feedback information and make improvements

Performance Criteria

This involves:

- (a) promoting the value of making **improvements from feedback** and encouraging all **those involved in the project** to cooperate and obtain **feedback information**
- (b) identifying and agreeing the areas upon which to focus for making **improvements from feedback**
- (c) obtaining, investigating and assessing **feedback information** from all relevant **sources and methods**
- (d) reviewing the **feedback information**, matching it against the original requirements and objectives and summarising both positive and negative factors
- (e) recommending **improvements from feedback** received and justifying the recommendations to decision makers

Range

- 1 **Information which is relevant to the dispute:**
 - (a) management procedures
 - (b) client, design and construction team performance
 - (c) working arrangements
 - (d) formal and informal communications
 - (e) quality control
 - (f) design and technical appraisal
 - (g) operational appraisal
 - (h) performance in use
 - (i) benchmarking
 - (j) post project review
- 2 **Those involved with the project:**
 - (a) the design team
 - (b) specialist consultants
 - (c) the client
 - (d) contractors
 - (e) users
- 3 **Feedback information:**
 - (a) approved providers
 - (b) project documentation
 - (c) organisational documentation
 - (d) product information
- 4 **Sources and methods:**
 - (a) project records and documentation
 - (b) site inspections
 - (c) studies of performance in use
 - (d) meetings
 - (e) questionnaires
 - (f) reports

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

Element O14.2 Obtain and evaluate project feedback information and make improvements

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of the promotion of the value of making improvements from feedback, and identified and agreed areas upon which to focus for making improvements. (a,b) [1,2,3,4]
- 2 Record(s) of obtained feedback information which includes investigations, assessments, reviews and summary recommendations for improvements. (a,c,d,e) [3,4]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

Element O14.2 Obtain and evaluate project feedback information and make improvements

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you encourage all **those involved in the project** to cooperate and obtain **feedback information**? (application) (a) [2,3]
- 2 How and why do you promote the value of making **improvements from feedback**? (synthesis) (a) [1,2]
- 3 How and why do you recommend **improvements from feedback** received to decision makers? (synthesis) (e)[1]
- 4 How and why do you identify and agree the areas upon which to focus for making **improvements from feedback**? (evaluation) (b) [1]
- 5 How and why do you justify the recommendations to decision makers? (evaluation) (e) [1]
- 6 How do you summarise both positive and negative factors from the **feedback information**? (application) (d) [3]
- 7 How and why do you review the **feedback information**? (analysis) (d) [3]
- 8 How and why do you match **feedback information** against the original requirements and objectives? (synthesis) (d) [3]
- 9 How do you obtain **feedback information** from all relevant **sources and methods**? (application) (c) [3,4]
- 10 How and why do you investigate and assess **feedback information** from all relevant **sources and methods**? (analysis) (c) [3,4]

UNIT CCM5/O14 (F085 04) Manage Project Handover and Evaluate Feedback

Element O14.2 Obtain and evaluate project feedback information and make improvements

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O15 (F083 04) Manage Organisational Development

This Unit has the following Elements:

- CCM5/O15.1 Plan the development of new products and processes
- CCM5/O15.2 Develop and maintain a policy to maximise client and customer satisfaction
- CCM5/O15.3 Establish and maintain a marketing strategy and corporate image

Unit Summary

This Optional Unit covers the candidate's key responsibilities for quality management. This includes leading the development of new products and processes, managing policies for good client relations, and managing marketing policies and strategies. This Unit is consistent with current best practice in quality management and benchmarks for business improvement. The Unit builds on core Elements C03.1 and C05.4.

Element 15.1 is about evaluating existing products and processes, creating improvements, and testing them.

Element 15.2 is about developing effective policies and strategies for ensuring good relationships with clients and customers.

Element 15.3 covers the improvement of corporate image, identifying new business opportunities, developing marketing and promotional strategies and monitoring their effectiveness.

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.1 Plan the development of new products and processes

Performance Criteria

This involves:

- (a) identifying appropriate and realistic market areas for the organisation and summarising the information accurately
- (b) identifying **operational** and **contextual constraints** and realistic objectives for the development of new and existing **products and processes**
- (c) evaluating the **strengths and weaknesses** of existing **processes** and whether they are suitable for producing the required **products and processes**
- (d) **analysing** available **data and information** and identifying needs and requirements for operational change and development, and proposing new potential alternative users and markets for new **products and processes**
- (e) estimating, accurately, what funding and resources will be needed for development and the added value which will be obtained
- (f) commissioning suitable projects to specify and test new and improved products and **processes** which will achieve the identified operational needs
- (g) identifying and implementing valid and realistic development programmes which will maximise added value

Range

- 1 **Operational constraints:**
 - (a) site locations
 - (b) natural environment
 - (c) availability of competent people
 - (d) transportation
 - (e) infrastructure
 - (f) market conditions
- 2 **Contextual constraints:**
 - (a) social
 - (b) political
 - (c) cultural
 - (d) financial
 - (e) economic
 - (f) environmental
 - (g) legal and statutory
- 3 **Strengths and weaknesses:**
 - (a) market share
 - (b) scope of products and services
 - (c) availability of resources
 - (d) working practices
 - (e) productivity
 - (f) profitability and cost factors
 - (g) corporate values
 - (h) environmental impact
 - (i) socio-econometric factors
 - (j) ability to innovate
 - (k) efficiency of systems (including Information Technology)
 - (l) waste reduction

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.1 Plan the development of new products and processes

Range (cont)

4 Products:

- (a) raw materials
- (b) manufactured materials
- (c) components
- (d) systems

5 Processes:

- (a) design services
- (b) advisory services
- (c) management services
- (d) production systems
- (e) control systems
- (f) information systems

6 Analysing:

- (a) feasibility studies
- (b) strengths, weaknesses, opportunities and threats analyses
- (c) against industry performance benchmarks

7 Data and information — sources:

- (a) professional journals and publications
- (b) data from within the built environment
- (c) information from other industries

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of identified markets for the organisation and needs and requirements for operational change which include: identified operational constraints and realistic objectives for the development of new and existing products and processes, evaluated strengths and weaknesses of existing processes, analysed data and information, estimates of funding and resource needs. (a,b,c,d,e) [all]
- 2 Record(s) of projects commissioned, and programmes implemented, which will achieve the identified operational needs and maximise added value. (f,g) [4,5]

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.1 Plan the development of new products and processes

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.1 Plan the development of new products and processes

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as appropriate and realistic market areas for the organisation? (understanding) (a) [all]
- 2 How do you summarise information about appropriate and realistic market areas for the organisation? (understanding) (a) [all]
- 3 What do you identify as **operational** and **contextual constraints** and realistic objectives for the development of new and existing **products** and **processes**? (understanding) (b) [1,2]
- 4 How and why do you evaluate the **strengths and weaknesses** of existing **processes** and whether they are suitable for achieving the required **products** and **processes**? (evaluation) (c) [3,4]
- 5 What do you identify as valid and realistic development programmes which will maximise added value? (understanding) (g) [4,5]
- 6 How do you implement valid and realistic development programmes which will maximise added value? (application) (g) [4,5]
- 7 How and why do you estimate what funding and resources will be needed for development and the added value which will be obtained? (analysis) (e) [2]
- 8 How and why do you commission suitable projects to specify and test new and improved **products** and **processes**? (evaluation) (f) [4,5]

Evidence Requirements — Knowledge and Understanding (cont)

- 9 What do you identify as needs and requirements for operational change and development? (understanding) (d) [4,5,6]
- 10 How and why do you **analyse** available **data and information**? (analysis) (d) [4,5,6,7]
- 11 How and why do you propose new potential alternative users and markets for new **products** and **processes**? (synthesis) (d) [4,5,6]

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.1 Plan the development of new products and processes

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.2 Develop and maintain a policy to maximise client and customer satisfaction

Performance Criteria

This involves:

- (a) summarising and analysing appropriate market research and assessing realistically the type and quality of services which **clients and customers** will need
- (b) developing a clear and realistic **client and customer care service** policy, justifying it and agreeing it with decision makers
- (c) developing a **code of conduct** for a **client and customer care service** which summarises the organisation's agreed policy and circulating it to all the workforce
- (d) developing and introducing systems for obtaining **client and customer** feedback and monitoring them regularly for both positive and negative feedback
- (e) summarising positive **client and customer** feedback and circulating it to decision makers
- (f) summarising and investigating negative **client and customer feedback**, responding to individual complaints promptly and resolving cases
- (g) producing regular summaries of **client and customer** complaints, the action taken and recommendations for future action and circulating the summaries to decision makers

Range

- 1 **Clients and customers:**
 - (a) individuals
 - (b) external organisations
 - (c) departments or teams
- 2 **Client and customer care service:**
 - (a) quality
 - (b) timescales
 - (c) cost
 - (d) communication and involvement in decision making
 - (e) conduct
 - (f) pre-contract
 - (g) post-contract
 - (h) after care
- 3 **Code of conduct:**
 - (a) relationships with clients
 - (b) statutory rights and the organisational response
 - (c) operational expectations and performance
 - (d) policy about business ethics and practice
 - (e) environmental and sustainability concerns

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.2 Develop and maintain a policy to maximise client and customer satisfaction

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Developed, justified and agreed client and customer care service policy(ies) which include an analysis of market research, a code of conduct, and systems for obtaining and maintaining customer feedback. (a,b,c,d) [all]
- 2 Record(s) of the operation of client and customer care service systems which include summaries of feedback, responses to complaints and recommendations for future action circulated. (d,e,f,g) [1,2]

Evidence Requirements — Performance and Process (cont)

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.2 Develop and maintain a policy to maximise client and customer satisfaction

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 How do you summarise appropriate market research? (application) (a) [1]
- 2 How and why do you analyse appropriate market research and assess the type and quality of services which **clients and customers** will need? (analysis) (a) [1]
- 3 How and why do you develop a policy and a **code of conduct** for a **client and customer care service**? (synthesis) (b,c) [2,3]
- 4 How and why do you justify and agree a **client and customer care service** policy? (evaluation) (b) [2]
- 5 How do you circulate a **code of conduct** for a **client and customer care service** to all the workforce? (application) (c) [2,3]
- 6 How and why do you develop and introduce systems for obtaining **client and customer** feedback? (synthesis) (d) [1]
- 7 How and why do you monitor systems for obtaining **client and customer** feedback? (analysis) (d) [1]
- 8 How do you summarise positive **client and customer** feedback and circulate it to decision makers? (application) (e) [1]
- 9 How do you summarise negative **client and customer** feedback and respond to individual complaints? (application) (f) [1,2]
- 10 How and why do you investigate negative **client and customer** feedback and respond to individual complaints? (analysis) (f) [1]

Evidence Requirements — Knowledge and Understanding (cont)

- 11 How and why do you resolve complaints? (synthesis) (f) [1,2]
- 12 How do you produce and circulate regular summaries of **client and customer** complaints, the action taken and recommendations for future action? (application) (g) [1,2]

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.2 Develop and maintain a policy to maximise client and customer satisfaction

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.3 Establish and maintain a marketing strategy and corporate image

Performance Criteria

This involves:

- (a) evaluating the **present image and reputation of the organisation** with the target audience and identifying the potential client base
- (b) developing and agreeing a corporate image which reflects the function and purpose of the organisation
- (c) developing an **information gathering system** to support the development of **marketing and promotion** strategies
- (d) identifying **potential new business opportunities** and passing the information on to decision makers
- (e) researching and identifying factors which will influence the target audience
- (f) evaluating **marketing and promotion** options and developing a clear and relevant strategy which could make a significant impact on the target audience
- (g) choosing methods, media and techniques for the **marketing and promotion** of the organisation which are consistent with the corporate image
- (h) negotiating, agreeing and implementing a programme and budget to deliver the agreed **marketing and promotion** strategy
- (i) circulating **marketing and promotion** material to people who will have an interest
- (j) **monitoring** the **marketing and promotion** strategy regularly, reviewing the impact and making modifications which will improve market presence and penetration

Range

- 1 **Present image and reputation of the organisation:**
 - (a) market share
 - (b) scope of products and services
 - (c) availability of resources
 - (d) working practices
 - (e) productivity
 - (f) profitability and cost factors
 - (g) corporate values
 - (h) environmental impact
 - (i) socio-econometric factors
- 2 **Information gathering system:**
 - (a) organisation sources
 - (b) external sources
 - (c) customer feedback
 - (d) specialists
 - (e) market research
- 3 **Marketing and promotion:**
 - (a) branding
 - (b) sponsorship
 - (c) publications
 - (d) samples
 - (e) relation with press and media
 - (f) advertising policies
 - (g) direct and indirect client and customer relations
 - (h) presentations
 - (i) e-commerce

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.3 Establish and maintain a marketing strategy and corporate image

Range (cont)

4 Potential new business opportunities:

- (a) products and services
- (b) developments and projects
- (c) customers and markets

5 Monitoring — criteria:

- (a) market share
- (b) levels of resource allocation
- (c) profitability
- (d) reputation
- (e) image

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.3 Establish and maintain a marketing strategy and corporate image

Evidence Requirements — Performance and Process

Taken as a whole, the evidence must show that the candidate consistently meets all the Performance Criteria, across the Ranges for the Element.

References in brackets after items in the evidence specification refer to the corresponding Performance Criteria, eg (a), and Range, eg [1], to which they apply.

Product Evidence

There must be workplace evidence against each performance criterion. Where the workplace evidence does not cover a whole Range, knowledge evidence must be provided to cover the remaining items of Range of each relevant performance criterion.

The candidate must produce documentary evidence from the workplace covering the following items that are considered to be common and key/critical to demonstrate competence:

- 1 Record(s) of an agreed corporate image which includes evaluation(s) of the image and reputation of the organisation. (a,b) [1]
- 2 Record(s) of information gathering system(s) which include identification of new business opportunities and factors which will influence the target audience. (c,d,e) [2,3,4]
- 3 Marketing and promotional strategy(ies) which include evaluated options, chosen methods, media and techniques, programme and budget. (f,g,h,i) [3]

Evidence Requirements — Performance and Process (cont)

- 4 Review(s) of the impact of the marketing and promotion strategy including modifications. (j) [3,5]

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.3 Establish and maintain a marketing strategy and corporate image

Evidence Requirements — Knowledge and Understanding

Established from questioning the candidate or from industry recognised education and training course assessment which is matched to the Element. A candidate's knowledge and understanding can also be demonstrated through presented performance evidence.

- 1 What do you identify as the potential client base? (understanding) (a) [1]
- 2 What do you identify as factors which will influence the target audience? (understanding) (e) [1]
- 3 How do you develop a corporate image which reflects the function and purpose of the organisation? (synthesis) (b) [1]
- 4 How do you evaluate the **present image and reputation of the organisation** with the target audience? (evaluation) (a) [1]
- 5 How do you agree a corporate image which reflects the function and purpose of the organisation? (evaluation) (b) [1]
- 6 How do you research factors which will influence the target audience? (analysis) (e) [2]
- 7 How do you implement a programme and budget to deliver the agreed **marketing and promotion** strategy? (application) (h) [3]
- 8 How do you circulate **marketing and promotion** material to people who will have an interest? (application) (i) [3]
- 9 How do you make modifications to the **marketing and promotion** strategy which will improve market presence and penetration? (application) (j) [3]
- 10 How do you develop an **information gathering system** to support the development of **marketing and promotion** strategies? (synthesis) (c) [2,3]

Evidence Requirements — Knowledge and Understanding (cont)

- 11 How do you develop a clear and relevant **marketing and promotion** strategy? (synthesis) (f) [3]
- 12 How do you negotiate a programme and budget to deliver the agreed **marketing and promotion** strategy? (synthesis) (h) [3]
- 13 How do you evaluate **marketing and promotion** options? (evaluation) (f) [3]
- 14 How do you choose methods, media and techniques for the **marketing and promotion** of the organisation? (evaluation) (g) [3]
- 15 How do you agree a programme and budget to deliver the agreed **marketing and promotion** strategy? (evaluation) (h) [3]
- 16 What do you identify as **potential new business opportunities**? (understanding) (d) [4]
- 17 How do you pass on information about **potential new business opportunities** to decision makers? (application) (d) [4]
- 18 How do you **monitor** and review the impact of the **marketing and promotion** strategy? (analysis) (j) [3,5]

UNIT CCM5/O15 (F083 04) Manage Organisational Development

Element O15.3 Establish and maintain a marketing strategy and corporate image

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

This Unit has the following Elements:

- CCM5/O16.1 Produce an up-to-date plan for the business
- CCM5/O16.2 Decide on the financial plan for the business
- CCM5/O16.3 Agree terms and conditions for the finance

Unit Summary

This Optional Unit is relevant to senior executive offices in smaller construction firms. The Unit covers the key responsibilities for managing the financial aspects of a smaller business. In the context of this Unit a business could mean a whole business or a business unit.

This Unit is imported, and therefore in a different format to others.

Unit 16.1 covers the preparation of your business plan. This includes setting targets for design production, quality and service; deciding on administrative systems; and working within a legal framework.

Unit 16.2 is about setting financial targets, deciding on financial management systems, and identifying where your funding is coming from.

Unit 16.3 deals with finalising your borrowing and financing plans, and agreeing the terms and conditions with your fund holder.

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.1 Produce an up-to-date plan for the business

Performance Criteria

This involves:

- (a) preparing plans by using appropriate sources of advice when you need to
- (b) using relevant information to set targets and make forecasts for marketing and sales
- (c) deciding when financial management systems and forecasts will best help you reaching your targets
- (d) setting targets for design, productivity, quality and service that meet customer needs
- (e) deciding the roles and responsibilities of the people involved in the business by taking account of their skills and interests
- (f) deciding which systems to use to handle information and administration
- (g) setting a framework in place that allows you to monitor the performance of the business against the new plan
- (h) making sure you obey all the laws and regulations that apply to the business and planning how to keep up-to-date with any new laws and regulations
- (i) discussing and confirming the new business plan with everyone concerned with the business and making sure that they all understand it

Evidence Requirements — Performance and Process

Product Evidence

- 1 Mission statements.
- 2 Financial statements and records.
- 3 The opinions of any advisers and funders.
- 4 Your bank, funders and shareholders.
- 5 A profile of the products or services you provide.
- 6 Records about production or providing services.
- 7 Copies of contracts you have with contractors.
- 8 Copies of relevant health and safety regulations and notices.
- 9 Organisational charts, recruitment and training policy statements and analyses of training needs.
- 10 Any staff records and procedures.

Simulations are not considered to be acceptable for producing evidence for this Element.

Process Evidence

None applicable.

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.1 Produce an up-to-date plan for the business

Evidence Requirements — Knowledge and Understanding

- 1 What free and paid-for information is available?
- 2 What you need to review a business plan?
- 3 How to make plans that are practical and useful and help you achieve what you want to?
- 4 Who the business plan is for, and what use they will make of it?
- 5 How to set objectives?
- 6 What laws and regulations need to be met and how to find out about any new laws and regulation?

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.1 Produce an up-to-date plan for the business

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.2 Decide on the financial plan for the business

Performance Criteria

This involves:

- (a) setting financial targets that match the business aims
- (b) developing contingency plans
- (c) accurately estimating the financial state of the business
- (d) using appropriate sources of advice when planning the finances of the business
- (e) deciding what financial management systems to use in the business
- (f) identifying and investigating different ways of getting finance
- (g) assessing how the financial plan will affect the business
- (h) preparing a clear financial plan and using it when you plan other parts of the business

Evidence Requirements — Performance and Process

Product Evidence

- 1 A business plan and performance measures.
- 2 Profit and loss statements.
- 3 Balance sheet forecasts.
- 4 Cash flow forecasts.
- 5 Income and spending forecasts.
- 6 Budgets.
- 7 Financial statements and records.
- 8 Any financial reports on the business prepared by professional advisors.
- 9 Copies of contracts between the business and its customers, suppliers and finance providers.
- 10 Copies of correspondence about investments.

Process Evidence

None applicable.

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.2 Decide on the financial plan for the business

Evidence Requirements — Knowledge and Understanding

- 1 What financial targets are important to the business?
- 2 How to measure the financial state of the business by examining profits, cash flow, assets and liabilities?
- 3 Who can provide financial advice on a business?
- 4 What manual or computer-based financial management systems are appropriate?
- 5 What sources of information are available?
- 6 The different ways of getting finance?
- 7 How to assess the impact of financial targets on: productivity; sales and non-sales revenue; costs and spending?
- 8 How to work out the most important ratios that measure how successful different parts of the business are?
- 9 What a financial plan should consist of. This might include: an assessment of the financial state of the business and the financial; a cash flow, profit and loss statements and forecasts; a balance sheet; information about the control systems and performance measures to be used; the break even point?
- 10 What your liabilities are under current law?

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.2 Decide on the financial plan for the business

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.3 Agree terms and conditions for the finance

Performance Criteria

This involves:

- (a) deciding the targets and limits that you can accept
- (b) presenting the financial needs of the business to potential finders in a way that they can understand
- (c) accurately assessing the costs and benefits of getting and servicing the finance on the business
- (d) making sure that your plans for the finance can be met within the agreed timescale
- (e) confirming the terms and conditions of the finance in writing
- (f) checking that the contracts for the finance are drawn up in line with legal requirements

Evidence Requirements — Performance and Process

Product Evidence

You will need to gather a range of information to be able to get finance for the business. This should include:

- 1 bank statements
- 2 financial statements and statutory returns
- 3 investment returns
- 4 cash flow and business forecasts
- 5 information about finance agreements
- 6 records of your dealings with finance providers

Process Evidence

None applicable.

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.3 Agree terms and conditions for the finance

Evidence Requirements — Knowledge and Understanding

- 1 The targets and limits for agreeing with funders, and how flexible these should be?
- 2 How financial needs should be presented to potential funders?
- 3 How to assess the effect on the business of getting and servicing the financial agreement?
- 4 How to agree terms and conditions?
- 5 How to record what you have agreed and make sense of the arrangements and agreements written by funders?
- 6 Why it is important to seek expert legal and financial advice before signing contract?

UNIT CCM5/O16 (F07Y 04) Manage Finance for the Business

Element O16.3 Agree terms and conditions for the finance

Evidence Comments: Where knowledge evidence is used to cover items of range not included in the workplace evidence, this should be specified here. Reference should be made to the relevant expert witness statements and assessor Q&A reports in the portfolio.

Notes/Comments

The candidate has satisfied the Assessor and Internal Verifier that the performance evidence has been met.

Candidate: _____

Date: _____

Assessor: _____

Date: _____

Internal Verifier: _____

Date: _____

Section 4 — Blank recording forms

This section consists of the blank forms referred to in Section 2 for you to photocopy. You may find these useful when compiling your portfolio.

Portfolio title page

Your name: _____

Job title: _____

Name of Employer/
Training Provider/
College: _____

Their address: _____

Tel no: _____

SVQ: _____

level: _____

Units submitted for assessment:

Mentor: _____

(Please provide details
of Mentor's experience) _____

Assessor: _____

Date: _____

Personal profile

Name

Address

Postcode

Tel no **Home:** **Work:**

Job title

Description of your current job **Relevant experience**

Previous work experience

Qualifications and training

Continued overleaf

**Qualifications and Training
(continued)**



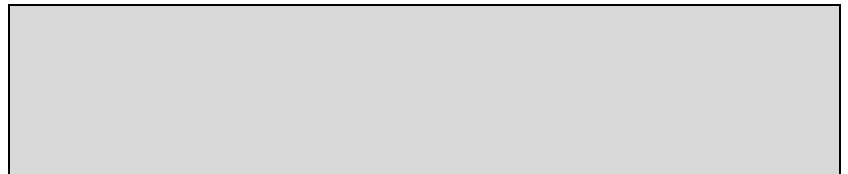
Voluntary work/interests



**Name of Employer/Training
Provider/College**



Address



Postcode



Tel no



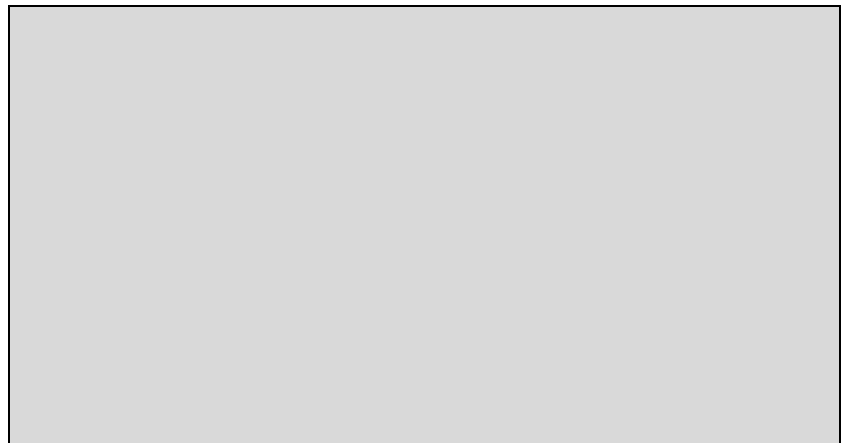
Type of Business



Number of Staff



**Structure of organisation
(include chart or diagram if
available)**



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 number
Title page for the portfolio	<input type="checkbox"/>	
Personal profile		
◆ 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"/>	
Unit Assessment Plans	<input type="checkbox"/>	
Unit progress record	<input type="checkbox"/>	
Completed Element Achievement Records for each Unit		
◆ signed by yourself, your assessor and the internal verifier (where relevant)	<input type="checkbox"/>	
◆ Evidence reference numbers included	<input type="checkbox"/>	
Index of evidence (with cross-referencing information completed)	<input type="checkbox"/>	
Evidence (with reference numbers)		
◆ observation records	<input type="checkbox"/>	
◆ details of witnesses (witness testimony sheets)	<input type="checkbox"/>	
◆ personal statements	<input type="checkbox"/>	
◆ products of performance	<input type="checkbox"/>	

Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Units, elements, pcs, and range covered

Candidate signature: _____ Date: _____

Observation record

Unit/Element(s): _____

Candidate: _____ Date of observation: _____

Evidence index number: _____

Skills/activities observed:	PCs and range covered:

Knowledge and understanding apparent from this observation:

Other Units/elements to which this evidence may contribute:

Assessor comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor's signature: _____ Date: _____

Candidate's signature: _____ Date: _____

Record of questions and candidate's answers

Unit:	Element(s):
Evidence index number:	
Circumstances of assessment:	
List of questions and candidate's responses: Q: A: Q: A: Q: A: Q: A: Q: A:	
Assessor's signature:	Date:
Candidate's signature	Date:

Scottish Qualifications Authority

Portfolio:

We hope this portfolio was appropriate to your needs. We welcome feedback on our products and services. If you have any comments on this document, please use this form to let us know about them. Thank you.

Comments

Please return this form to:

Support Materials
Scottish Qualifications Authority
The Optima Building
58 Robertson Street
Glasgow G2 8DQ

Optional information:

Name:

Organisation: