



Project to define professional functions and standards in archaeological practice

National Occupational Standards for Archaeological Practice

Accredited Standards

Section J

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Summary of Units and Elements

Ref Unit & Element titles

J Manage the Archaeological organisation

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- AJ1.2 Plan the future development of the organisation

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AJ11 Manage the performance of teams and individuals

- AJ11.1 Allocate work to teams and individuals
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- AJ11.3 Assess the performance of teams and individuals
- AJ11.4 Provide feedback to teams and individuals on their performance

AJ12 Deal with poor performance in your team

- AJ12.1 Support team members who have problems affecting their performance
- AJ12.2 Implement disciplinary and grievance procedures
- AJ12.3 Dismiss team members whose performance is unsatisfactory

Ref	Unit & Element titles
AJ13	Devise and implement methods to resource a cultural heritage organisation
AJ13.1	Identify funding objectives and methods for the organisation
AJ13.2	Identify potential contributors to the organisation
AJ13.3	Negotiate and secure funding for the organisation
AJ14	Manage finance in the business unit
AJ14.1	Make recommendations for expenditure
AJ14.2	Control expenditure against budgets
AJ14.3	Maintain the financial viability of the business unit
AJ15	Evaluate archaeological project achievements and secure improvements
AJ15.1	Obtain and evaluate feedback information
AJ15.2	Provide advice and support to solve problems, make improvements and maintain progress
AJ15.3	Promote and protect planned work and those who carry it out

Unit AJ1 Develop a strategy for the development of a cultural heritage organisation

Elements

AJ1.1 Specify the aims and objectives of the organisation

AJ1.2 Plan the future development of the organisation

Unit Commentary

This unit is for archaeologists who have responsibility for implementing the strategies and policies of the organisation or responsibility for the development of the organisation or a substantial part of the organisation. It is important to have a strategy for how an archaeological organisation will develop. This involves specifying (not necessarily deciding) what the aims and objectives are, usually in collaboration with key decision-makers such as trustees and governors. Plans to implement these aims and objectives have to be generated, and these can take the form of corporate plans or strategic plans (whichever terminology is used by the organisation). These plans can be related to the overall development of the organisation, or the development of specific functions or responsibilities within the organisation. This unit covers specifying the aims and objectives, i.e. identifying what they are and clearly recording them for further use by self and others and planning the future development of the organisation.

AJ1 Develop a strategy for the development of a cultural heritage organisation

AJ1.1 Specify the aims and objectives of the organisation

Performance Required

This will involve:

- a) Identifying clearly the **contribution** of the organisation to the community
- b) Reviewing all relevant information, strategic plans, position papers, proposals and other plans relating to the organisation's mission and objectives
- c) Identifying any **critical factors** that affect the organisation's development
- d) Exploring fully, with all the **appropriate people**, the current and potential activities of the organisation
- e) Developing an accurate and realistic review of the potential role of the organisation
- f) Creating and presenting the mission statement and policies of the organisation
- g) Agreeing and disseminating any changes to the mission statement and policies

Occupational Context

1 Contribution

- Research/ education/ training
- Interpretation
- Visitor services: entertainment and leisure
- Conservation
- Management of archives and collections
- Cultural activities
- Financial (profit/not for profit) resource/ input/ investment

2 Critical factors

- Culture/ society/ politics
- Capacity, access and resources
- Motivations, direction and force

3 Appropriate people

- Employees/managers/directors
- Clients/stakeholders/trustees
- Funding/regulatory/statutory bodies
- Associated professional institutions
- Local authorities and local business

Knowledge Requirements

You need to know and understand how to:

- Disseminate information on the role of the organisation
- Identify the contribution of the organisation to the community
- Conduct an accurate and realistic review of the potential role of the organisation

You need to know about:

The organisation processes

- The current and potential activities of the organisation, and with whom they should be explored
- The reasons for consultation

Organisational priorities

- Relating to research, education, interpretation, visitor services, conservation and cultural activities.
- The types of information and plans relating to the organisation's mission and objectives
- The implications of producing inappropriate or ambiguous aims and objectives

AJ1 Develop a strategy for the development of a cultural heritage organisation

AJ1.1 Specify the aims and objectives of the organisation

Required Skills

N/A

Evidence Required

You should provide evidence that you can specify the aims and objectives of the organisation

The candidate should be questioned, based upon the documentation provided, to explore how they:

- specify the aims and objectives of the organisation

Evidence Rules

The candidate should have been involved in developing a strategy for the development of a cultural heritage organisation

AJ1 Develop a strategy for the development of a cultural heritage organisation

AJ1.2 Plan the future development of the organisation

Performance Required

This will involve:

- a) Identifying clearly the **strategy for the development** of the organisation in line with the organisation's aims and objectives
- b) Developing the strategy in consultation with all the **appropriate people**
- c) Identifying options for implementing the strategy and exploring them with all the relevant people
- d) Ensuring the plans clearly and accurately specifying implementation methods and their required **outcomes**
- e) Ensuring the corporate and operational plans and budgets clearly prioritise outcomes and distinguishing between desirable and necessary outcomes
- f) Producing plans on time, within budget and in an appropriate format
- g) Identifying potential problems and contingency options

Occupational Context

1 Strategy for the development

- Research
- Education
- Interpretation
- Visitor services
- Conservation
- Management of archives and collections
- Cultural activities.

2 Appropriate people

- Employees/managers/directors
- Clients/stakeholders/trustees
- Funding/regulatory/statutory bodies
- Associated professional institutions
- Local authorities and local business

3 Outcomes

- Desirable/necessary
- Immediate/strategic/long term
- Visible/ with deliverables

Knowledge Requirements

You need to know about:

Future development

- Relating to research, education, interpretation, visitor services, conservation and cultural activities.
- Who should be involved in the development of the strategy
- The different options for implementing the strategy
- The political factors that influence the plan
- The economic factors that influence the plan
- The social factors that influence the plan

Organisation

- The types of organisational resources that are required for implementation
- The difference between corporate and business plans
- How planning can improve the effectiveness of the organisation
- How the delivery of the plan can have an impact on the content
- How the delivery of the plan is monitored and evaluated

AJ1 Develop a strategy for the development of a cultural heritage organisation

AJ1.2 Plan the future development of the organisation

Required Skills

You should demonstrate:

- Organisation and planning

Evidence Required

You should provide evidence that you can plan the future development of the organisation

The candidate should be questioned, based upon the documentation provided, to explore how they:

- plan the future development of the organisation

Evidence Rules

The candidate should have been involved in developing a strategy for the development of a cultural heritage organisation

Unit AJ2 Represent the interests of a cultural heritage organisation

Elements

AJ2.1 Generate external commitment to the future of the organisation

AJ2.2 Represent the interests of the organisation to policy makers and the public

Unit Commentary

This unit is for archaeologists who have responsibility for implementing the strategies and policies of the organisation and who have responsibility for the development of the organisation or a substantial part of the organisation. The organisation has interests that need to be represented. An indirect form of this is to generate external commitment to the organisation by promoting its successes and role in the community. A more direct form is to represent the interests to policy makers, i.e. those that are responsible for assigning budgets etc., and to the public. This unit covers generating external commitment to the future of the organisation and representing the interests of the organisation.

AJ2 Represent the interests of a cultural heritage organisation

AJ2.1 Generate external commitment to the future of the organisation

Performance Required

This will involve:

- a) Summarising clearly and accurately the **contribution of the organisation** to the community and presenting it to stakeholders
- b) Anticipating any likely **obstacles** or negative reactions to the contribution of the organisation and developing strategies for responding to them
- c) Identifying and implementing valid strategies for generating support for the organisation
- d) Eliciting support for the organisation from **key people**
- e) Involving the community in the development of the organisation
- f) Presenting recommendations and options for the contribution of the organisation to the **community** and discussing them with key people
- g) Identifying the support needed by others in promoting the work of the organisation and offering appropriate assistance

Occupational Context

1 Contribution of the organisation

- research/ education/ training
- interpretation
- visitor services: entertainment and leisure
- conservation
- Management of archives and collections
- cultural activities
- financial (profit/not for profit) resource/ input/ investment

2 Obstacles

- Financial
- Technical
- Political
- Environmental

3 Key people

- Public figures
- Prominent local business
- Established professionals
- Institutions

4 Community

- Local groups
- Local business
- Local charities
- Local services

Knowledge Requirements

You need to know and understand how to:

- Elicit suggestions from the community

You need to know about:

External support

- Stakeholders could include policy makers, fund holders, members, trustees and politicians.

The likely obstacles or negative reactions

- Who are the key people who need to support the organisation
- Why the support of key people is important
- Who the stakeholders are
- The process of gaining commitment takes into account the mission, values and goals of the organisation, as well as its immediate development and other external factors affecting the organisation

Generating interest

- The type of strategies and techniques that are available for generating support
- The type of recommendations and options that could be put forward by the organisation
- Who might need support in promoting the organisation, and what type of assistance could be provided
- The strategies that could be employed to gain commitment from stakeholders

AJ2 Represent the interests of a cultural heritage organisation

AJ2.1 Generate external commitment to the future of the organisation

Required Skills

You should demonstrate:

- People skills
- Marketing skills
- Networking skills
- Presentation skills

Evidence Required

You should provide evidence that you can generate external commitment to the future of the organisation

The candidate should be questioned, based upon the documentation provided, to explore how they:

- generate external commitment to the future of the organisation from all stakeholders.

Evidence Rules

The candidate should have been involved in representing the interests of a cultural heritage organisation over a period of time

AJ2 Represent the interests of a cultural heritage organisation

AJ2.2 Represent the interests of the organisation to policy makers and the public

Performance Required

This will involve:

- a) Identifying clearly the interests of the organisation and confirming them with all the relevant people
- b) Identifying any **opportunities to influence** external policy making and taking action to represent the interests of the organisation
- c) Summarising clearly and accurately the **contribution** of the organisation to the community and presenting it to policy makers
- d) Highlighting the **successful** research, educational and cultural activities of the organisation
- e) Identifying **potentially damaging** factors and taking appropriate actions to minimise their effect
- f) Conducting all activity with external bodies and individuals in a professional manner
- g) Presenting information to meet the requirements of the recipients
- h) Disseminating information according to its sensitivity, confidentiality and openness to interpretation

Occupational Context

1 Opportunity to influence

- The dissemination of information
- Articles in external and internal publications
- Funding proposals
- Marketing materials.

2 Contribution

- Research/ education/ training
- Interpretation
- Visitor services: entertainment and leisure
- Conservation
- Management of archives and collections
- Cultural activities
- Financial (profit/not for profit) resource/ input/ investment

3 Successful

- For the community
- For the organisation
- For the employees
- For the discipline
- For the professionals
- For the client
- For the stakeholders

4. Potentially damaging

- To the reputation of the organisation
- To the development of the discipline
- To the working life of the archaeologist
- To the community
- To the partners
- To the clients
- To the stakeholders

Knowledge Requirements

You need to know and understand how to:

- Identify the interests of the organisation
- Present information on the contribution of the organisation
- Identify opportunities for influencing policy makers
- Present information in a positive light

You need to know about:

Interests

- The types of potentially damaging factors, and how to minimise them

Representation

- Through the dissemination of information, through articles in external and internal publications, funding proposals and marketing materials.

Organisation

- Who the key policy makers are
- The successful activities of the organisation
- The sensitivity of the information
- The relative merits of different media

AJ2 Represent the interests of a cultural heritage organisation

AJ2.2 Represent the interests of the organisation to policy makers and the public

Required Skills

You should demonstrate:

- Presentation skills
- Communication skills
- Networking skills

Evidence Required

You should provide evidence that you can represent the interests of the organisation to policy makers and the public

The candidate should be questioned, based upon the documentation provided, to explore how they:

- represent the interests of the organisation to policy makers and the public

Evidence Rules

The candidate should have been involved in representing the interests of a cultural heritage organisation over a period of time

Unit AJ3 Develop public relations strategies and monitoring arrangements

Elements

- AJ3.1 Determine requirements of public relations strategy**
- AJ3.2 Determine public relations strategy**
- AJ3.3 Prepare proposal**
- AJ3.4 Brief staff on requirements of public relations strategy**
- AJ3.5 Confirm strategy and monitoring arrangements**

Unit Commentary

This unit is for archaeologists who have responsibility for implementing the strategies and policies of the organisation and who have responsibility for the development of the organisation or a substantial part of the organisation. The organisation has interests that need to be represented. An indirect form of this is to generate external commitment to the organisation by promoting its successes and role in the community. A more direct form is to represent the interests to policy makers, i.e. those that are responsible for assigning budgets etc., and to the public. This unit covers the development of a public relations strategy to promote the interests of the organisation.

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.1 Determine requirements of public relations strategy

Performance Required

This will involve:

- a) Ensuring that business and communications plan objectives are correctly and fully identified
- b) Ensuring that the public relations needs of the internal and external publics are accurately identified and confirmed
- c) Ensuring that the objectives of the **public relations strategy** are clearly identified and agreed
- d) Ensuring that previous relevant performance history is accurately identified and taken into account during strategy formulation
- e) Ensuring that regulatory requirements are correctly and fully determined
- f) Ensuring that **research information** regarding business context and competitive activities is obtained and taken into account
- g) Ensuring that publics and messages are accurately and clearly identified
- h) Ensuring that the **requirements of the strategy** are fully identified, recorded and agreed prior to briefing staff
- i) Ensuring that budgets and timescales are accurately determined and agreed with the customer
- j) Ensuring that evaluation measures are identified and agreed

Occupational Context

1 public relations strategies:

- Corporate
- Marketing
- Communications
- Internal communications
- Business to business
- Political
- Financial
- Community
- Products
- Services
- Internal and external communications

2 Research information

- Public issues
- Attitudes
- Perceived values
- Legislative and regulatory plans
- Financial market trends

3 Requirements of the strategy

- Sources of information
- Communications
- Media agencies
- Editorial sources
- Overseas controls and European legislation
- public relations Code of Conduct.

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.1 Determine requirements of public relations strategy

Knowledge Requirements

You need to know and understand how to:

- Cost, prepare budgets and maintain budgetary control
- Carry out tracking surveys

You need to know about:

Information Requirements

- Public issues, attitudes, perceived values, legislative and regulatory plans and financial

Market trends

- Sources of information, communications media and agencies, editorial sources, overseas controls and European
- Legislation and public relations Code of Conduct

Public relations Strategy

- Corporate, marketing communications, internal communications,

Business to business, political, financial, community, products and services, including internal and external

Communications

- The effect that target public's objectives, ethics and market background will have on strategy
- Communications theory as a background to strategy decisions and the public relations techniques available for implementing the chosen strategy
- Implications of statutory and non-statutory regulation, industry guidelines and professional codes on public relations strategies and action to be taken
- The effect of media controls
- The effects of communications mix
- The effect of business context on public relations strategy

Required Skills

You should demonstrate:

- Communications and marketing skills
- Needs assessment skills
- Impact assessment skills

Evidence Required

You should provide evidence that you can determine requirements of Public Relations strategy

The candidate should be questioned, based upon the documentation provided, to explore how they:

- determine requirements of Public Relations Strategy

Evidence Rules

The candidate should have been involved in developing a public relations strategy for a cultural heritage organisation

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.2 Determine public relations strategy

Performance Required

This will involve:

- a) Ensuring that alternative approaches have been fully investigated with **appropriate specialists** being consulted during the preparation
- b) Ensuring that the strategy determined is consistent with the **identified requirements** and matches the organisation's corporate objectives and ethics and communications needs
- c) Ensuring that the selected strategy is fully detailed, within given costings and timescale and approved by the customer
- d) Ensuring that the relevant regulatory requirements are met

Occupational Context

1 Appropriate specialists

- in publicity/ in advertising
- in planning/ delivery
- in organisation/ management

2 Identified requirements

- in terms of numbers
- in terms of medium
- in terms of target group
- in terms of cost
- in terms of the contribution to the development of the profession

Knowledge Requirements

You need to know and understand how to:

- Cost, prepare budgets and maintain budgetary control

You need to know about:

Design

- Communications theory as a background to strategy decisions and the public relations techniques available for implementing the chosen strategy

Sources/ knowledge items

- Public's aims, objectives and ethics and communication needs, sources of information, communications media and agencies, editorial sources and overseas controls and European legislation

Delivery

- Different types of public relations strategy: corporate, marketing communications, internal communications, business to business, political, financial, community, products and services
- The implications of statutory and non-statutory regulation, industry guidelines and professional codes on public relations strategies and action to be taken
- The effect of media controls
- Research methods
- The effects of communications mix

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.2 Determine public relations strategy

Required Skills

You should demonstrate:

- Promotion of ideas

Evidence Required

You should provide evidence that you can determine Public Relations strategy

The candidate should be questioned, based upon the documentation provided, to explore how they:

- determine public relations strategies

They will need to demonstrate that they have independently contributed to and influenced the strategic process of relating to the public.

Evidence Rules

The candidate should have been involved in developing a public relations strategy for a cultural heritage organisation

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.3 Prepare proposal

Performance Required

This will involve:

- a) Ensuring that a detailed clear, written proposal is prepared and presented to the customer
- b) Ensuring that progress of the proposal is accurately monitored, additional information and clarification provided
- c) Ensuring that **acceptance and agreement** of the selected approach and supporting resources is confirmed
- d) Ensuring that continuing contact is maintained with relevant publics

Occupational Context

- 1 **Acceptance and agreement**
 - between clients and agents
 - in accordance with clear conditions
 - in the form of a contract
 - in the form of a handshake

Knowledge Requirements

You need to know and understand how to:

- Organise and control teamwork

You need to know about:

Proposals

- Proposal writing, composition and presentation skills
- Types of proposal: corporate, marketing communications, internal communications, business to business, political, financial, community, products and services
- Proposal content: analysis, objectives, publics, messages, strategy, tactics, timescales,
- Budgets and evaluation.

Publicity

- Communications theory as a background to strategy decisions and the public relations techniques available for implementing the chosen strategy

Delivery

- Presentation techniques

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.3 Prepare proposal

Required Skills

You should demonstrate:

- Organisation skills
- Proposal writing
- Costing and budgeting

Evidence Required

You should provide evidence that you can prepare a proposal

The candidate should be questioned, based upon the documentation provided, to explore how they:

- prepare a proposal for a Public Relations initiative.

Evidence Rules

The candidate should have been involved in developing a public relations strategy for a cultural heritage organisation

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.4 Brief staff on requirements of public relations strategy

Performance Required

This will involve:

- a) Ensuring that the appropriate people are selected to meet the requirements of the proposal
- b) Ensuring that a detailed clear brief is provided to **team members**
- c) Ensuring that progress of the work is accurately monitored, additional information and clarification provided
- d) Ensuring that acceptance and agreement of selected approach and supporting resources is confirmed prior to submission for presentation and approval
- e) Ensuring that continuing contact is maintained with the customer during the development of materials

Occupational Context

1 Team members:

- account executives
- editorial writers
- public relations specialists
- creative teams
- researchers and support staff

Knowledge Requirements

You need to know and understand how to:

Customer requirements

Organisational limitations and restrictions

Staff

- Account executives, editorial writers, public relations specialists, creative teams, researchers and support staff

Public relations

- Strategy: corporate, marketing communications, internal communications, business to business, political, financial, community, products and services
- Communications theory as a background to strategy decisions and the public relations techniques available for implementing the chosen strategy
- Issues of confidentiality

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.4 Brief staff on requirements of public relations strategy

Required Skills

You should demonstrate:

- Organisation and control of teamwork

Evidence Required

You should provide evidence that you can brief staff on requirements of Public Relations strategy

The candidate should be questioned, based upon the documentation provided, to explore how they:

- brief staff on requirements of a Public Relations strategy.

Evidence Rules

The candidate should have been involved in developing a public relations strategy for a cultural heritage organisation

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.5 Confirm strategy and monitoring arrangements

Performance Required

This will involve:

- a) Ensuring that action is taken to confirm strategy and monitoring arrangements with appropriate parties
- b) Ensuring that the relevant regulatory requirements are met
- c) Ensuring that progress is accurately monitored and variances are resolved promptly and relevant parties informed of required changes
- d) Ensuring that appropriate arrangements are made with suppliers to minimise **conflict of interest** and maintain confidentiality
- e) Ensuring that the information required to evaluate the strategy is obtained and required changes are identified and implemented

Occupational Context

1 Conflict of interest

- between agencies and organisations
- across disciplines and fields
- amongst partners and stakeholders
- between senior management and middle management
- between client and agent

Knowledge Requirements

You need to know about:

Risk

- Variances: timing, budget, impact, contracted suppliers, range and depth of publics and frequency
- Confidentiality and Data Protection
- Conflict of interest

Strategy

- Corporate, marketing communications, internal communications, business to business, political, financial, community, products and services

Information

- Customer objectives and market needs
- Legislation (nationally, in Europe and overseas)
- Communications theory as a background to strategy decisions and the public relations techniques available for implementing the chosen strategy

AJ3 Develop public relations strategies and monitoring arrangements

AJ3.5 Confirm strategy and monitoring arrangements

Required Skills

You should demonstrate:

- Contingency planning skills
- Monitoring and evaluation technique and skills

Evidence Required

You should provide evidence that you can confirm strategy and monitoring arrangements

The candidate should be questioned, based upon the documentation provided, to explore how they:

- confirm strategy and monitoring arrangements.

Evidence Rules

The candidate should have been involved in developing a public relations strategy for a cultural heritage organisation

Unit AJ4 Agree professional services

Elements

AJ4.1 Obtain the client's requirements, budget and timetable

AJ4.2 Agree fees for professional services

AJ4.3 Establish and maintain relationships with clients and stakeholders

Unit Commentary

This Unit is for archaeologists who deal directly with clients in securing commissions and have discretion to negotiate and agree fee arrangements. It deals with establishing clients requirements and agreeing the basis for a commission to provide professional services covering all types of archaeological commission.

In order to obtain the client's requirements, budget and timetable, you need to establish not only the client's goals, aspirations and practical needs, but also what constraints might apply. You will need to gain sufficient preliminary information about the client, the site and the complexity of the project envisaged to make an initial judgement about whether your own organisation is able to take on the project. And if you do, what sort of project team would need to be assembled; what procurement arrangements would be preferable; and the likely cost and timescale.

In order to advise on the need for and scope of professional services, you will need to understand the limits of your own organisations capability; the range of other specialists who will need to be involved; the types of service they provide and sufficient about their roles, responsibilities and normal fee arrangements to give the client realistic and accurate advice about their appointment. You will need to be able to assess the commercial risks and liabilities involved in taking on the type of project envisaged and be able to weight your fee proposals accordingly. Also, to be able to assess the extent to which the client may involve you in changes and abortive effort! You will also need to understand the processes involved in fee tendering and be able to put together bids which are realistic, but also competitive.

In order to establish and maintain relationships with clients, you will need to build and maintain an atmosphere of trust with clients and their representatives. Your communications with clients must be clear and sensitive to their level of understanding of archaeological processes. You will also need to be able to deal with good news as well as bad in a tactful but honest way.

AJ4 Agree professional services

AJ4.1 Obtain the client's requirements, budget and timetable

Performance Required

This will involve:

- a) identifying the client's broad **goals, expectations and priorities** and establishing sufficient detail about the client and their needs to make a judgement about your own organisation's ability to provide the services required within the timescale
- b) **identifying** project purpose, relevant performance standards and requirements of other **stakeholders**
- c) accurately **identifying** relevant cultural, archaeological, conservation and environmental factors and constraints likely to influence service delivery
- d) accurately **identifying** client preferences, options for and constraints on project financing and procurement
- e) accurately **identifying** client's and other **stakeholders'** perceptions of options and constraints on timetable for project development and implementation
- f) providing constructive advice on alternative courses of action, where requirements cannot realistically be met by own organisation
- g) summarising and accurately recording client requirements for services; agreeing a basis for further action; and confirming this in writing

Occupational Context

1 Client goals, expectations and priorities:

- project outcomes
- performance
- quantity
- quality
- cost
- time

2 Identification of client requirements:

- client consultation
- reference to standard documentation
- comparative field research
- research with stakeholders

3 Stakeholders (may include):

- client
- those directly affected by project activity and outcomes
- interested organisations and individuals
- regulatory authorities
- funding agencies

Knowledge Requirements

You need to know and understand how to:

- Identify client goals, expectations and priorities
- Identify the needs and interests of stakeholders
- Advise the client on options when their requirements and/or expectations are unrealistic
- Recommend other courses of action where the project is beyond your own organisation's capability
- Access information relevant to preparing an initial project

- Evaluate an initial project proposal in terms of:
 - Timescale
 - Physical feasibility and constraints
 - Procurement routes

You need to know about:

Sources of information

- What information it is important to collect at the initial stage (and how to obtain it):

Project feasibility

- Financial feasibility and business risk (for the client and for your own organisation)
- Legal, regulatory and environmental constraints
- 6 Your own organisation's capability

AJ4 Agree professional services

AJ4.1 Obtain the client's requirements, budget and timetable

Required Skills

N/A

Evidence Required

You should provide evidence that you can obtain the client's requirements, budget and timetable

The candidate should be questioned, based upon the documentation provided, to explore how they:

identified the client's broad goals, expectations and priorities and agreed a basis for further action

Evidence Rules

The candidate should have been involved in agreeing professional services on at least 2 projects.

AJ4 Agree professional services

AJ4.2 Agree fees for professional services

Performance Required

This will involve:

- a) explaining clearly the options for the professional appointment, the **range of services** to be provided and recommending and justifying the fee basis in the context of the client's project requirements
- b) providing the client with opportunities to discuss the options for appointment, range of services and the recommended fee basis
- c) agreeing with the client the scope of the commission and the method and form of appointment
- d) accurately calculating, to the level of detail required, a fee quotation incorporating all **relevant factors, risks and opportunities**
- e) identifying and incorporating in the offer **qualifications necessary** to protect your organisation's interests
- f) ensuring that the quotation is complete, accurate, conforms to organisational house style and is presented and supported in a manner which maximises the opportunities for acceptability
- g) ensuring that the quotation is submitted in accordance with client's requirements and recorded for future reference
- h) where challenged by the client, negotiating, agreeing and confirming valid adjustments acceptable to both parties in a manner which maintains goodwill and trust

Occupational Context

1 Range of services

- archaeological investigations
- research
- consultancy services
- management services

2 Relevant factors:

- cost of resources
- scale charges
- organisational objectives and policies
- professional codes of conduct
- terms and conditions of appointment
- insurances

3 Risks and opportunities:

- project risk
- client risk
- business risk
- legal / regulatory constraints
- reputation of own organisation
- business development opportunities

4 Qualifications necessary:

- assumptions concerning the purpose and the subject of the valuation, market conditions or legal interest
- contract conditions
- programme

Knowledge Requirements

You need to know about:

Professional fees

- The selected Form of Appointment and the associated range of services
- Different methods for calculating fees
- Relevant aspects of the Codes of Professional Conduct
- Types of qualification necessary in submitting quotations for fees
- Fee profiling
- Fee negotiation

Estimating

- Using work breakdown methods for estimating resource costs
 - Sources of cost data for calculating costs
 - Using risk analysis techniques
 - Cash flow analysis
 - Factoring overhead costs
- 6 Calculating profit

AJ4 Agree professional services

AJ4.2 Agree fees for professional services

Required Skills

You should demonstrate:

- How to recommend and justify the fee basis
- How to present and support quotation in a manner which maximises the opportunities for acceptability

Evidence Required

You should provide evidence that you can agree fees for professional services

The candidate should be questioned, based upon the documentation provided, to explore how they:

- agreed the scope of the commission and the method and form of appointment
- submitted a quotation in accordance with client's requirements which conforms to organisational procedures

Evidence Rules

The candidate should have been involved in agreeing professional services on at least 2 projects.

AJ4 Agree professional services

AJ4.3 Establish and maintain relationships with clients and stakeholders

Performance Required

This will involve:

- a) communicating with clients and **stakeholders** in a manner which promotes enthusiasm, goodwill and trust, demonstrates a duty of care and honours promises and undertakings
- b) maintaining honest and constructive relationships with the client and stakeholders which includes ensuring that clients are aware of their own duties and responsibilities
- c) informing the client at an appropriate level of detail about activities, progress, results and achievements
- d) offering advice and help with sensitivity and encouraging the client to ask questions, seek clarification and make comments at appropriate stages
- e) providing clear and accurate information about emerging threats and opportunities on a continuing basis
- f) presenting proposals for action clearly, at an appropriate time and with the right level of detail for the degree of change, expenditure and risk involved
- g) dealing with differences of opinion in ways which minimise offence, and resolving conflicts in ways that maintain respect and minimise delay and disruption

Occupational Context

1 Stakeholders (may include):

- client
- those directly affected by project activity and outcomes
- interested organisations and individuals
- regulatory authorities
- funding agencies

Knowledge Requirements

You need to know and understand how to:

- Liaise and communicate with clients and stakeholders at the formal, informal and social level and maintain honest and constructive relationships
- Keep clients and stakeholders informed of progress, results and achievements
- Advise clients and stakeholders of emerging threats and opportunities
- Resolve conflicts and differences of opinion without losing the client's confidence

You need to know about:

Communications

- 6 Professional codes of conduct

AJ4 Agree professional services

AJ4.3 Establish and maintain relationships with clients and stakeholders

Required Skills

You should demonstrate:

- How to communicate with clients and stakeholders
- How to offer advice and help with sensitivity
- How to deal with differences of opinion

Evidence Required

You should provide evidence that you can establish and maintain relationships with clients and stakeholders

The candidate should be questioned, based upon the documentation provided, to explore how they:

informed the client of detail about activities, progress, results and achievements

Evidence Rules

The candidate should have been involved in agreeing professional services on at least 2 projects.

Unit AJ5 Select personnel for activities

Elements

AJ5.1 Identify personnel requirements

AJ5.2 Select required personnel

Unit Commentary

This unit is about recruiting and selecting the people you need to carry out your work activities. It applies to both external and internal recruitment of people for permanent work, temporary work or project work. It applies equally to paid or voluntary work, whether full-time or part-time.

This unit is for you if you are a manager with responsibility for

- allocating work to others
- achieving specific results by using resources effectively within a defined area of authority, *and*
- contributing to, or controlling, substantial operational programmes and budgets.

In order to *identify personnel requirements* you need to consult with colleagues and specialists to determine how many and what sort of people are needed to carry out the work. You need to draw up specifications of the work to be carried out and the skills, knowledge and experience which suitable candidates would need.

In order to *select required personnel* you need to gather information about candidates using a variety of techniques and assess this information in an objective way against the specifications. You need to select the best candidate(s) and make the appointment(s), completing all documentation in line with organisational and legal requirements. You need to communicate effectively with the candidates and with colleagues throughout the process. You also need to recommend improvements to the selection process.

AJ5 Select personnel for activities

AJ5.1 Identify personnel requirements

Performance Required

This will involve:

- a) clearly and accurately identifying the organisational objectives and constraints affecting **personnel** requirements
- b) consulting with **relevant people** on **personnel** requirements in a timely and confidential manner
- c) ensuring that your estimates of **personnel** requirements are based on an accurate analysis of sufficient, up-to-date and reliable information
- d) ensuring that the **specifications** you develop are clear, accurate and comply with organisational and legal requirements
- e) ensuring that the **specifications** you develop identify fair and objective criteria for selection
- f) ensuring that the **specifications** you develop are agreed with **relevant people** prior to recruitment action.

Occupational Context

1 Personnel

- internal
- external
- permanent
- temporary
- full-time
- part-time
- paid
- voluntary.

2 Relevant people

- team members
- colleagues working at the same level as yourself
- senior managers
- personnel specialists
- members of the selection team.

3 Specifications

- key purpose of the posts
- individual and team roles and responsibilities
- required individual and team competencies
- other details specific to the organisation.

Knowledge Requirements

You need to know and understand how to:

- How to make a case for additional personnel requirements in a way which is likely to influence decision-makers positively.
- How to collect and validate the information needed to specify personnel requirements.
- How to identify personnel needs for your team and specify job roles, competences and attributes required to meet these needs
- How to identify fair and objective criteria for the selection of staff.

You need to know about:

Involvement and motivation

- The issues for which consultation with relevant people may be necessary and how to do so
- The importance of agreeing personnel requirements in advance with relevant people.

Legal requirements

- The legal requirements for the specification of personnel requirements including the disability discrimination act and equal opportunities legislation

Organisational context

- The work objectives and constraints which have a bearing on identifying personnel requirements

Recruitment and selection

- The methods of specifying personnel requirements and their relative advantages and disadvantages to your work
- The types of information necessary to specify personnel requirements

AJ5 Select personnel for activities

AJ5.1 Identify personnel requirements

Required Skills

N/A

Evidence Required

You should provide evidence that you can identify personnel requirements

The candidate should be questioned, based upon the documentation provided, to explore how they:

- identify personnel requirements

Evidence Rules

The candidate should have been involved in selecting personnel for a diverse range of activities

AJ5 Select personnel for activities

AJ5.2 Select required personnel

Performance Required

This will involve:

- a) using appropriately skilled and experienced people to assess and select **personnel**
- b) ensuring that the **information** you obtain about each candidate is relevant to and sufficient for the selection process
- c) assessing the information objectively against specified selection criteria
- d) ensuring that your selection decisions are justifiable from the evidence gained
- e) ensuring that you only inform authorised people about selection decisions and the identified development needs of successful candidates
- f) ensuring that the information you provide to authorised people is clear and accurate
- g) ensuring that all candidates receive feedback and information appropriate to their needs at each stage of the selection process
- h) ensuring that your records of the selection process are complete, accurate, clear and comply with organisational and legal requirements
- i) passing on your recommendations for improvements to the selection process to the appropriate people in your organisation.

Occupational Context

1 Types of personnel

- internal
- external
- permanent
- temporary
- full-time
- part-time
- paid
- voluntary.

2 Types of information

- biographical data
- letters
- references
- interview responses
- presentations
- results of work skill tests
- results of knowledge tests.

Knowledge Requirements

You need to know and understand how to:

- Present and justify selection decisions
- Communicate selection decisions.
- Make a case for change in selection processes.
- Make fair and objective assessments
- Identify the additional development needs of those you select and what to do with this information

You need to know about:

Continuous improvement

- The importance of continually reviewing your selection processes and how to do so

Information handling

- The importance of confidentiality during the selection process
- The importance of accurate record keeping during the selection process.

Legal requirements

- The legal requirements for the selection of personnel.

Organisational context

- The organisational requirements for the selection of personnel.

Recruitment and selection

- The relative advantages and disadvantages of the range of methods which may be used for the assessment and selection of staff to your work
- The skills and experience staff need to take part in selection processes
- The information you need to select personnel
- Why all candidates should receive feedback at appropriate points during the selection process

AJ5 Select personnel for activities

AJ5.2 Select required personnel

Required Skills

N/A

Evidence Required

You should provide evidence that you can select required personnel

The candidate should be questioned, based upon the documentation provided, to explore how they:

- select required personnel.

Observation of the candidate or witness testimony will be essential as evidence of performance

Evidence Rules

The candidate should have been involved in selecting personnel for a diverse range of activities

Unit AJ6 Develop teams and individuals

Elements

AJ6.1 Identify the development needs of teams and individuals

AJ6.2 Develop teams to improve performance

Unit Commentary

This unit is about monitoring and evaluating your team's work providing feedback to them on their performance. This unit is for you if you are a manager with responsibility for allocating work to others, achieving specific results by using resources effectively within a defined area of authority, *and* contributing to, or controlling operational programmes and budgets.

To *identify the development needs of teams and individuals*, you need to give all team members the opportunity to identify their needs. You need to make your own judgement about these and may need to seek specialist advice to help you confirm your decisions.

To *develop teams to improve performance*, you need to select and organise activities which support your development objectives. You need to provide all team members with equal access to these activities and demonstrate your own commitment through your personal support and involvement.

AJ6 Develop teams and individuals

AJ6.1 Identify the development needs of teams and individuals

Performance Required

This will involve:

- a) giving opportunities to team members to help identify their own **development needs** and those of the team as a whole
- b) identifying **development needs** accurately and basing your decisions on sufficient reliable and valid information
- c) identifying **development needs** for all the **personnel** you are responsible for
- d) where required, seeking guidance from competent specialists
- e) providing information on **development needs** to authorised people only, in the format required and to agreed deadlines
- f) ensuring that your records of identified **development needs** comply with organisational procedures.

Occupational Context

1 Development needs

- to meet organisational objectives
- to meet individual aspirations.

2 Types of personnel

- internal
- external
- permanent
- temporary
- full-time
- part-time
- paid
- voluntary.

Knowledge Requirements

You need to know and understand how to:

- Present development needs to relevant people in a way which is likely to influence their decision-making positively.
- Collect and validate the information you need to identify development needs
- Encourage and enable team members to identify development needs.
- Identify development needs for your team and the information needed to do so

You need to know about:

Continuous improvement

- The importance of human resource development to organisational effectiveness.

Equal opportunities

- The importance of equality of opportunity in human resource development.

Information handling

- The importance of good record keeping.

Involvement and motivation

- The importance of providing your team members with opportunities to identify their own development needs and those of the team as a whole

Organisational context

- The team objectives and organisational values which have a bearing on the identification of training needs.

Training and development

- The types of support and guidance which may be needed from specialists and how to get them.

AJ6 Develop teams and individuals

AJ6.1 Identify the development needs of teams and individuals

Required Skills

N/A

Evidence Required

You should provide evidence that you can identify the development needs of teams and individuals

The candidate should be questioned, based upon the documentation provided, to explore how they:

- identify the development needs of teams and individuals

Observation of the candidate or witness testimony will be essential as evidence of performance

Evidence Rules

The candidate should have been involved in developing teams and individuals for a diverse range of activities

AJ6 Develop teams and individuals

AJ6.2 Develop teams to improve performance

Performance Required

This will involve:

- a) ensuring that the **development activities** which you organise support your team and organisational objectives
- b) ensuring that the **development activities** which you organise make best use of available resources
- c) providing all team members with equal access to relevant **development activities**
- d) demonstrating your own commitment to individual and team development through your personal support for, and involvement in, the **development activities**.

Occupational Context

1 Types of development activities

- naturally occurring learning opportunities at work
- specifically designed learning opportunities at work
- formal training
- informal training.

Knowledge Requirements

You need to know and understand how to:

- Motivate staff and win their commitment to, and participation in, development activities.
- Present a positive role model in this regard to team members.
- Select and implement development activities which are appropriate to the team members, their development needs and work, the context in which you are operating and the available resources
- Ensure that development activities meet agreed objectives and plans.

You need to know about:

Equal opportunities

- The importance of equality of opportunity in implementing development activities and how to ensure this.

Leadership styles

- The importance of showing your own commitment to development activities

Training and development

- The range of activities which you may use to develop your team

AJ6 Develop teams and individuals

AJ6.2 Develop teams to improve performance

Required Skills

N/A

Evidence Required

You should provide evidence that you can develop teams to improve performance

The candidate should be questioned, based upon the documentation provided, to explore how they:

- develop teams to improve performance.

Observation of the candidate or witness testimony will be essential as evidence of performance

Evidence Rules

The candidate should have been involved in developing teams and individuals for a diverse range of activities

Unit AJ7 Oversee project costs, quality and progress

Elements

AJ7.1 Oversee project costs against agreed budgets

AJ7.2 Oversee project against agreed quality standards

AJ7.3 Oversee project compliance with legal and statutory requirements

AJ7.4 Keep stakeholders informed of project progress

Unit Commentary

This Unit is about an archaeologist's role in project management. It involves monitoring costs, quality and compliance. It also covers responsibilities for maintaining good communications with stakeholders and others involved in the delivery of the project.

You need to monitor project costs against agreed budgets. Where cost trends are adverse, you need to be able to advise, with other consultants where appropriate, where changes in specification and other aspects of the project might be modified to achieve savings. You also need, where appropriate, to provide advice on breaches of contractual undertakings.

You need to be familiar with your obligations for project quality control including your legal and statutory obligations under health and safety legislation. You need to know how to deal with the discovery of work which fails to meet specifications within the terms of the contract, the terms of statutory approvals and your own conditions of engagement.

You need to ensure key stakeholders receive regular updates on the project and to make sure that the information, and the way it is provided, meets your stakeholders' needs. You need to ensure any agreements on confidentiality are maintained and to collect information from stakeholders which may affect the running of the project.

AJ7 **Oversee project costs, quality and progress**

AJ7.1 **Oversee project costs against agreed budgets**

Performance Required

This will involve:

- a) ensuring that appropriate **contract cost control systems** which are capable of providing accurate data and early warning of problems are in place
- b) ensuring accurate **cost data** is provided at agreed contract stages and prepared in a format to facilitate decision making
- c) identifying and thoroughly investigating adverse cost trends and variances and obtaining an accurate forecast of the impact on the project budget, with the support of professional advisors as appropriate
- d) identifying realistic **opportunities for cost-savings**, recommending **appropriate measures to restore costs and expenditure to budget** and confirming action agreed between contracting parties
- e) identifying circumstances where parties are in breach of their contractual obligations regarding payments and financial control and recommending **appropriate action**

Occupational Context

- 1 Contract cost control systems:**
 - financial reporting systems
 - interim valuations
- 2 Cost data:**
 - work completed
 - liabilities to sub-contractors and suppliers
 - valuations
 - payments
 - forecasts of expenditure

3 Opportunities for cost saving:

- resource management and logistics
- applications of new technology
- energy management
- plant and labour which better meet project requirements
- variations in quality

4 Appropriate measures to restore costs and expenditure to budget:

- improve operational management
- improve financial management
- use of alternative sub-contractors / suppliers
- use of alternative methods
- vary project requirements (design, materials, specifications)
- reduce variations
- improve quality control

5 Appropriate action

- re-negotiate the contract
- determine the contract
- seek legal remedy
- initiate contract claim

Knowledge Requirements

You need to know about:

Cost control systems

- Types of cost control system
- What types of cost control systems are appropriate to projects of different scale and complexity

Cost savings

- Strategies for achieving cost saving during work in progress
- Implications of varying the contract

AJ7 Oversee project costs, quality and progress

AJ7.1 Oversee project costs against agreed budgets

Required Skills

You should demonstrate:

- How to operate cost control systems
- How to use data from cost control systems to take appropriate corrective action

Evidence Required

You should provide evidence that you can oversee project costs against agreed budgets

The candidate should be questioned, based upon the documentation provided, to explore the following:

- monitoring contract costs against agreed budgets, meeting all of the performance criteria

Evidence Rules

The candidate should have been involved in at least 2 substantive projects.

AJ7 Oversee project costs, quality and progress

AJ7.2 Oversee project against agreed quality standards

Performance Required

This will involve:

- a) **ensuring that quality standards** are correctly specified and responsibilities for maintaining compliance are in place and understood by **interested parties**
- b) ensuring that systems for inspection and recording the progress of the works are in accordance with contracted undertakings and appropriate to the complexity of the project and **quality standards** demanded
- c) ensuring that inspection reports are completed to the agreed schedule
- d) identifying work which fails to meet required standards and advising on appropriate corrective action in accordance with the terms of the contract and your terms of appointment
- e) identifying works and activities in breach of statutory and legal requirements and referring these promptly to **interested parties** in accordance with your own contractual and legal obligations
- f) where appropriate, and within the terms of your appointment, recommending relevant amendments to specified **quality standards**
- g) recording and notifying the employer and contractor of any failure to remedy unacceptable standards or to respond appropriately in a given time to requests for remedial action

Occupational Context

1 Quality standards include:

- statutory requirements (including scheduled monument consent, CDM)
- project specifications
- manufacturers / suppliers instructions
- certification authorities (e.g. BSI, ISO)
- Codes of Practice
- advisory guidance and best practice

2 Means of ensuring quality:

- visual inspection
- comparison with specifications
- contractors reports

3 Interested parties

- employer
- contractor
- suppliers
- statutory and regulatory authorities

Knowledge Requirements

You need to know about:

Quality control systems

- Types of quality control system employed by contractors and clients
- What types of quality control systems are appropriate to projects of different scale and complexity

Quality inspection

- Methods and techniques for verifying compliance with quality standards
- The archaeologists duties and responsibilities under CDM regulations
- Sources of expert advice and support on quality assessment and control

Quality control

- Strategies for achieving improvements in quality control during work in progress
- Implications of varying quality standards within the contract

AJ7 Oversee project costs, quality and progress

AJ7.2 Oversee project against agreed quality standards

Required Skills

You should demonstrate:

- How to apply quality control systems
- How to assess compliance with quality control standards
- How to take corrective action where quality standards are not being met

Evidence Required

You should provide evidence that you can oversee project against agreed quality standards

The candidate should be questioned, based upon the documentation provided, to explore how they:

- ensured that quality standards and responsibilities for maintaining compliance were met
- ensured that inspection reports were completed to schedule

Evidence Rules

The candidate should have been involved in at least 2 substantive projects.

AJ7 **Oversee project costs, quality and progress**

AJ7.3 **Oversee project compliance with legal and statutory requirements**

Performance Required

This will involve:

- a) ensuring that **legal and statutory requirements** are correctly specified and responsibilities correctly allocated and clearly understood by **interested parties**
- b) ensuring that appropriate **monitoring** and reporting arrangements are in place and are effective
- c) investigating instances of non-compliance with **legal and statutory requirements** thoroughly and recommending appropriate **remedial action** to **interested parties**, in accordance with the terms of your appointment
- d) identifying and summarising any changes in **legislation and statutory requirements** which have a potential impact on the project and passing these promptly to **interested parties**
- e) verifying that records are maintained and statutory returns are completed accurately, legibly, on time and in accordance with the terms of your appointment

Occupational Context

1 Legal and statutory requirements:

- Planning regulations (including Planning policy Guidance notes: PPG 15/16)
- Health and safety legislation (including CDM)
- relevant legislation governing works on archaeological sites (including: Scheduled Monuments, Treasure Act, Discovery and Treatment of Human Remains)

2 Interested parties

- employer
- contractor
- suppliers
- statutory and regulatory authorities
- consultants

3 Monitoring systems:

- visual inspection
- comparison with regulatory requirements and approvals
- comparison with standard specifications
- contractors' reports
- site meetings

4 Remedial action:

- instigate contingency action and restore compliance
- agree waiver

Knowledge Requirements

You need to know and understand how to:

- Deal with problems arising from non-compliance with statutory legislation

You need to know about:

Regulations and procedures relevant to the control and enforcement of:

- Planning regulations and planning policy guidance
- Scheduled ancient monument legislation
- Treasure act legislation
- Legislation on the discovery & treatment of human remains
- Health and safety legislation (including CDM)
- Other relevant legislation governing archaeological work

Sources of information on legal and statutory requirements

Ensuring compliance

- Methods and techniques for verifying compliance with legal and statutory requirements
- The archaeologist's duties and responsibilities under CDM regulations
- Sources of expert advice and support on compliance with legal and statutory requirements

AJ7 **Oversee project costs, quality and progress**

AJ7.3 **Oversee project compliance with legal and statutory requirements**

Required Skills

N/A

Evidence Required

You should provide evidence that you can oversee project compliance with legal and statutory requirements

The candidate should be questioned, based upon the documentation provided, to explore how they:

- ensured that appropriate monitoring and reporting arrangements were in place and were effective
- investigated instances of non-compliance with legal and statutory requirements then and recommended appropriate remedial action

Evidence Rules

The candidate should have been involved in at least 2 substantive projects.

AJ7 **Oversee project costs, quality and progress**

AJ7.4 **Keep stakeholders informed of project progress**

Performance Required

This will involve:

- a) providing the key stakeholders with timely, forward-looking and relevant information which is consistent with the project plans
- b) providing **team members** and higher-level managers with effective opportunities to contribute to the information you provide
- c) ensuring that the content of the information meets your **stakeholders'** needs, while maintaining agreements on confidentiality
- d) providing information in styles and formats most appropriate to the types of **stakeholders** involved
- e) ensuring that your distribution methods are effective in reaching the key **stakeholders**
- f) actively seeking and assessing information from **stakeholders** which may affect the running of the project.

Occupational Context

1 Team members

- researchers
- excavators
- curators

2 Stakeholders

- public/ private
- individual/ group
- commercial/ academic
- contributors/ benefactors
- internal/ external

Knowledge Requirements

You need to know about:

Communication

- The methods which may be used to keep stakeholders up-to-date and how to agree methods appropriate to different groups
- Communication skills appropriate to different stakeholders needs

Information handling

- The importance of ensuring information is consistent with agreements on confidentiality
- The use of appropriate methods for disseminating information (minutes, reports, e-mail)

Involvement and motivation

- The importance of involving other relevant people in producing information
- The contributions other relevant people can make to information and how to involve them

Organisational context

- The range of stakeholders you need to keep informed

Working relationships

- The importance of keeping all key stakeholders informed on project progress.

AJ7 **Oversee project costs, quality and progress**

AJ7.4 **Keep stakeholders informed of project progress**

Required Skills

N/A

Evidence Required

You should provide evidence that you can keep stakeholders informed of project progress

The candidate should be questioned, based upon the documentation provided, to explore how they:

- kept internal and external stakeholders informed of project progress

Evidence Rules

The candidate should have been involved in at least 2 substantive projects.

Unit AJ8 Prepare for potential disasters

Elements

AJ8.1 Conduct a risk assessment

AJ8.2 Develop a disaster plan

AJ8.3 Implement disaster readiness measures

Unit Commentary

Part of any organisation's contingency planning should be the development of disaster plan. In order for organisations to be disaster-ready they need to be prepared. This unit covers conducting a risk assessment, developing a plan to minimise effects of a disaster and implementing a number of steps that ensure that the organisation is ready to react to a disaster.

AJ8 Prepare for potential disasters

AJ8.1 Conduct a risk assessment

Performance Required

This will involve:

- a) Identifying **potential disasters**, building weaknesses or potential weaknesses
- b) Identifying the implications of any action to mitigate the disaster, including the threats posed
- c) Identifying and costing potential solutions
- d) Identifying actions that could be taken immediately to minimise the effects of potential disasters
- e) Obtaining specialist advice where necessary
- f) Analysing and recording the suggested response to potential disasters

Occupational Context

1 Potential disasters include

- fire
- flood
- explosions

Knowledge Requirements

You need to know about:

- The appropriate service intervals for electrical equipment and building systems
- Where specialist advice could be sought
- The potential disaster that could occur
- The limits of personal responsibility in a disaster situation
- The level of risk associated with different disaster responses

AJ8 Prepare for potential disasters

AJ8.1 Conduct a risk assessment

Required Skills

You should demonstrate:

- Risk assessment skills
- Risk analysis skills
- Contingency planning skills

Evidence Required

You should provide evidence that you can conduct a risk assessment

The candidate should be questioned, based upon the documentation provided, to explore how they:

- conduct a risk assessment of the threats posed by potential disasters.

Evidence Rules

The candidate should have been involved in the preparation of a disaster plan

AJ8 Prepare for potential disasters

AJ8.2 Develop a disaster plan

Performance Required

This will involve:

- a) Describing the threats posed to the organisation from **potential disasters** and the likely response to those disasters
- b) Identifying different **models of disaster planning**
- c) Consulting with specialists where necessary
- d) Describing how the identified threats can be minimised
- e) Producing a written disaster plan
- f) Outlining potential rescue opportunities in the event of a disaster and the procedures that should be followed
- g) Listing all the resources that may be required along with details of where they are located
- h) Outlining the command structure in the event of a disaster
- i) Identifying secure off-site locations for critical information and resources

Occupational Context

- 1 **Potential disasters** include
 - fire
 - flood
 - explosions.
- 2 **Models of disaster planning**
 - immediate response
 - strategic
 - documented/ interpreted
 - published and disseminated
 - protected

Knowledge Requirements

You need to know about:

Understanding of potential disaster

- The vulnerability of the organisation to different disasters
- How the response to one disaster can create further problems
- The implications of disasters occurring out of hours
- What constitutes a disaster

Organisational activity in response

- The types of information that should be kept securely, off-site
- Why the command structure would be different in the event of a disaster

AJ8 Prepare for potential disasters

AJ8.2 Develop a disaster plan

Required Skills

You should demonstrate:

- Planning and organisation skills

Evidence Required

You should provide evidence that you can develop a disaster plan

The candidate should be questioned, based upon the documentation provided, to explore how they:

- develop a disaster plan to address the potential disasters that are most likely to effect their organisation.

Evidence Rules

The candidate should have been involved in the preparation of a disaster plan

AJ8 Prepare for potential disasters

AJ8.3 Implement disaster readiness measures

Performance Required

This will involve:

- a) Implementing actions that could be taken immediately to minimise the effects of **potential disasters**
- b) Obtaining **specialist advice** where necessary
- c) Providing a store of resources for use in a disaster
- d) Communicating disaster plans to those with responsibilities under the plan
- e) Conducting simulated disasters to test the effectiveness of the disaster plan

Occupational Context

1 Potential disasters include

- fire
- flood
- explosions.

2 Specialist advice

- from disaster experts
- from experienced professionals
- from risk assessment consultants

Knowledge Requirements

You need to know about:

- The appropriate service intervals for electrical equipment and building systems
- Where specialist advice could be sought
- How all contingencies have been explored
- How the simulations have tested the effectiveness of the plan
- What resources and rescue materials would be required
- Why disaster simulations are important

AJ8 Prepare for potential disasters

AJ8.3 Implement disaster readiness measures

Required Skills

You should demonstrate:

- Consultation skills
- Negotiation skills
- Networking skills

Evidence Required

You should provide evidence that you can implement disaster readiness measures

The candidate should be questioned, based upon the documentation provided, to explore how they:

- implemented disaster readiness measures

Candidates will normally be assessed by direct observation by an assessor, who can verify that the procedures outlined in the plan are viable

Evidence Rules

The candidate should have been involved in the preparation of a disaster plan

Unit AJ9 Reduce risks to health and safety in the workplace

Elements

AJ9.1 Develop procedures for maintaining a healthy and safe workplace

AJ9.2 Identify the hazards and evaluate the risks in your workplace

AJ9.3 Reduce the risks to health and safety in your workplace

AJ9.4 Review the effectiveness of health and safety procedures in your workplace

Unit Commentary

This unit applies to everyone at work, whether paid, unpaid, full or part-time. It covers the competencies required in the identification of hazards and reduction of risk, and the knowledge required of workplace practices and policies relating to health and safety matters.

This unit applies to people who are not specialists in health and safety but who are nevertheless required to prepare health and safety procedures for the workplace. In order to be sure that all reasonably practicable precautions have been taken against risks to health and safety it is necessary for an employer to ensure health and safety procedures are available for everyone at work to follow. This unit is for the person who will prepare the procedures. This unit is about identifying hazards, assessing the risks and developing procedures to control the risks. It is also about reviewing these procedures.

AJ9 Reduce risks to health and safety in the workplace

AJ9.1 Develop procedures for maintaining a healthy and safe workplace

Performance Required

This will involve:

- a) setting realistic objectives to ensure a healthy and safe workplace for all people in the workplace
- b) developing health and safety procedures which meet legal requirements and are appropriate to the type of work carried out, and the workplace
- c) identifying individuals to whom people must report accidents, report health and safety risks, and obtain first aid
- d) stating clear **measures** to check the effectiveness of the workplace health and safety procedures
- e) specifying the arrangements for recording **health and safety data** to meet legal requirements
- f) developing plans for health and safety training which are relevant to the needs of the workplace, the people in the workplace and meet legal requirements
- g) communicating the health and safety procedures to all people in the workplace in a professional and considerate manner

Occupational Context

1 Types of measures:

- planned inspections
- spot checks
- specific checks on identified danger areas
- ensuring maintenance programmes are in place.

2 Health and safety data:

- complaints
- incidents/accidents; illness
- fire evacuation drills
- test certificates
- training records
- results of monitoring.

Knowledge Requirements

You need to know about:

- How the work areas and people for whom you are responsible are covered by the health and safety procedures
- The commonly used working practices
- The information that may be required about health and safety within the workplace
- The specific organisational health and safety procedures covering your job role

AJ9 Reduce risks to health and safety in the workplace

AJ9.1 Develop procedures for maintaining a healthy and safe workplace

Required Skills

You should demonstrate:

- Observation skills
- Data collection skills

Evidence Required

You should provide evidence that you can develop procedures for maintaining a healthy and safe workplace

The candidate should be questioned, based upon the documentation provided, to explore how they:

- develop procedures for maintaining a healthy and safe workplace.

Evidence Rules

The candidate should have been involved in hazard risk assessment on at least 2 substantive projects.

AJ9 Reduce risks to health and safety in the workplace

AJ9.2 Identify the hazards and evaluate the risks in your workplace

Performance Required

This will involve:

- a) correctly naming and locating the persons responsible for health and safety in the workplace
- b) identifying which workplace policies are relevant to your working practices
- c) identifying those working practices in any part of your job role which could harm yourself or other persons
- d) identifying those aspects of the workplace which could harm yourself or other persons
- e) evaluating which of the potentially harmful aspects of the workplace are those with the highest **risk** to you or to others
- f) reporting those hazards which present a high **risk** to the persons responsible for health and safety in the workplace
- g) dealing with hazards with low **risks** in accordance with workplace policies and legal requirements

Occupational Context

1 Types of risks:

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

Knowledge Requirements

You need to know about:

- What the agreed workplace policies are relating to controlling risks to health and safety
- Responsibilities for health and safety in your job description
- Who the responsible persons are to whom to report health and safety matters

AJ9 Reduce risks to health and safety in the workplace

AJ9.2 Identify the hazards and evaluate the risks in your workplace

Required Skills

You should demonstrate:

- Communication skills
- Risk assessment techniques

Evidence Required

You should provide evidence that you can identify the hazards and evaluate the risks in your workplace

The candidate should be questioned, based upon the documentation provided, to explore how they:

- identify the hazards and evaluate the risks in their workplace.

Evidence Rules

The candidate should have been involved in hazard risk assessment on at least 2 substantive projects.

AJ9 Reduce risks to health and safety in the workplace

AJ9.3 Reduce the risks to health and safety in your workplace

Performance Required

This will involve:

- a) carrying out your working practices in accordance with legal requirements
- b) following the most recent **workplace policies** for your job role
- c) rectifying those health and safety risks within your capability and the scope of your job responsibilities
- d) passing on any suggestions for reducing risks to health and safety within your job role to the responsible persons
- e) ensuring that your personal conduct in the workplace does not endanger the health and safety of yourself or other persons
- f) following the **workplace policies** and suppliers' or manufacturers' instructions as appropriate
- g) reporting any differences between **workplace policies** and suppliers' or manufacturers' instructions as appropriate
- h) ensure that your personal presentation at work ensures the health and safety of yourself and others, meets any legal duties, and is in accordance with **workplace policies**

Occupational Context

1 Types of workplace policies:

- the use of safe working methods and equipment
- the safe use of hazardous substances
- smoking
- eating
- drinking
- drugs
- what to do in the event of an emergency
- personal presentation.

Knowledge Requirements

You need to know about:

- The specific workplace policies covering your job role
- Suppliers' and manufacturers' instruction for the safe use of equipment, materials and products
- Safe working practices for your own job role
- The importance of personal presentation in maintaining health and safety in the workplace
- The importance of personal conduct in maintaining the health and safety of yourself and others
- Your scope and responsibility for rectifying risks
- Workplace procedures for handling risks which you are unable to deal with

AJ9 Reduce risks to health and safety in the workplace

AJ9.3 Reduce the risks to health and safety in your workplace

Required Skills

You should demonstrate:

- How effectively to monitor health and safety procedures in the workplace
- How to take action to reduce risks to health and safety

Evidence Required

You should provide evidence that you can reduce the risks to health and safety in your workplace

The candidate should be questioned, based upon the documentation provided, to explore the following

- reducing the risks to health and safety in your workplace.

Evidence Rules

The candidate should have been involved in hazard risk assessment on at least 2 substantive projects.

AJ9 Reduce risks to health and safety in the workplace

AJ9.4 Review the effectiveness of health and safety procedures in your workplace

Performance Required

This will involve:

- a) identifying any changes to legal regulations or guidance affecting current working practices
- b) identifying **changes in the workplace** affecting current workplace health and safety procedures
- c) providing responsible persons with opportunities to give feedback about the implementation of health and safety procedures
- d) reviewing all relevant health and safety reports and data for opportunities to improve the workplace health and safety procedures
- e) identifying and obtaining **further information and advice** from reliable and recognised sources of expertise
- f) recording accurately the details of any review carried out, and the plans to improve current health and safety procedures
- g) alerting all people in the workplace, promptly, to the revised health and safety procedures
- h) setting effective measures in place for monitoring the revised health and safety procedures

Occupational Context

1 Changes in the workplace:

- working practices
- plant, machinery or materials
- personnel.

2 Information and advice:

- systems for assessing and recording degree of risk
- specific legal requirements
- specific equipment and process risks.

Knowledge Requirements

You need to know and understand how to:

- Conduct an effective health and safety review

You need to know about:

The workplace

- The work areas and people for whom you are responsible
- The job roles of the people for whom you are responsible
- What information may be available on health and safety within the workplace

Evaluation requirements

- The appropriate channels of communication within the workplace

Efficacy and change:

- You must show evidence that you have included changes in the workplace in respect of: working practices, plant, machinery or materials and personnel.
- You must show evidence that you have included information and advice in respect of: systems for assessing and recording degree of risk; specific legal requirements; and specific equipment and process risks.

AJ9 Reduce risks to health and safety in the workplace

AJ9.4 Review the effectiveness of health and safety procedures in your workplace

Required Skills

You should demonstrate:

- Evaluation and review skills

Evidence Required

You should provide evidence that you can review the effectiveness of health and safety procedures in your workplace

The candidate should be questioned, based upon the documentation provided, to explore the following

- reviewing the effectiveness of health and safety procedures in the workplace.

Evidence Rules

The candidate should have been involved in monitoring health and safety on at least 2 substantive projects.

Unit AJ10 Contribute to health and safety in the workplace

Elements

AJ10.1 Operate safely in the workplace

AJ10.2 Respond to emergencies

AJ10.3 Assist in the security of the workplace

Unit Commentary:

This unit is designed for the archaeologist to demonstrate competence to contribute to health and safety in the workplace. It asks them to be on the look out for hazards and, when identified, deal with them if appropriate, ensuring they are reported for others to become aware of. They must be aware of their responsibilities in respect of Health and Safety at Work and the practices and procedures that help to maintain H&S for themselves and others. They would be expected to have a basic understanding of emergency services and procedures and be able to respond appropriately. Similarly, there would be a requirement to assist with security procedures with regard to trespassing and breaches of security involving damage or theft of plant, equipment, materials and property.

AJ10 Contribute to health and safety in the workplace

AJ10.1 Operate safely in the workplace

Required performance

This will involve:

- a) ensuring that work activities are carried out safely to avoid creating hazardous situations that may endanger operators of the work and other personnel
- b) ensuring that **hazards** and potential hazards identified in the workplace are dealt with appropriately within the responsibility and capability of the work operator and reported promptly to the appropriate person(s)
- c) ensuring that communications are clear and information or instruction is confirmed as understood
- d) ensuring that all **tools and equipment** are used safely in accordance with organisational procedures, manufacturers' instructions and relevant statutory regulations
- e) ensuring that work materials and components are handled and stored in accordance with **approved procedures** and practices
- f) ensuring that manual handling is carried out safely using appropriate handling techniques
- g) ensuring that accident(s) and incident(s) are reported promptly to an authorised person in accordance with **approved procedures** and practices
- h) Appropriate personal protective equipment is used in compliance with safe working practices
- i) ensuring that work is carried out to **approved procedures** and practices and in compliance with statutory requirements

Occupational Context

1 Types of hazards (may include):

- restrictions to access and egress,
- mis-use of tools and equipment
- faulty equipment
- hazardous substances
- interference with and from adjacent activities
- obstructions and exposed apparatus structures and services

2 Tools and equipment:

- powered tools
- hand tools
- equipment

3 Approved procedures:

- Organisational
- Regulatory
- Emergency

Knowledge Requirements

You need to know about:

- Hazards in the context of the working environment
- Procedures for reporting and dealing with hazards
- Types of tools and equipment to be used relevant to the work activity
- Types of materials and substances associated with the work
- Approved procedures and practices in the context of the operations, the work activity and the workplace environment (organisational, regulatory, emergency, operational)
- Responsibilities under the health and safety statutory requirements

AJ10 Contribute to health and safety in the workplace

AJ10.1 Operate safely in the workplace

Required Skills

N/A

Evidence Required

The assessor must be satisfied that the candidate can provide sufficient evidence of practical performance to demonstrate competence under working conditions to:

- identify and report hazards to the working environment
- select and use protective clothing and equipment appropriate to the work
- work safely to recognised practices and with an awareness for others
- use all tools and equipment correctly and safely
- Use appropriate manual handling and lifting techniques

Supplementary evidence will be required in order to satisfy aspects of the range not demonstrated through performance alone. In this case, additional evidence of knowledge and understanding will therefore be required.

Evidence Rules

N/A

AJ10 Contribute to health and safety in the workplace

AJ10.2 Respond to emergencies

Required performance

This will involve:

- a) in the event of an **emergency**, ensuring that procedures are implemented promptly and correctly in accordance with recognised safe practice and organisational policy
- b) ensuring that accident(s) and incident(s) are responded to within the responsibility and capability of the work operator and promptly reported to an authorised person
- c) ensuring that use of emergency appliances is carried out in accordance with **approved procedures and practices**
- d) recording details of accident(s) and incident(s) in accordance with **approved procedures and practices**
- e) referring problems and conditions outside the responsibility of the job holder to an authorised person

Occupational context

1 Emergencies (may include)

- fire
- toxic fumes
- accident(s)

2 Approved procedures and practices

- Organisational
- Regulatory
- emergency,
- operational

Knowledge Requirements

You need to know about:

- Fire and emergency precautions and procedures
- Classification of fires and the appropriate extinguishers for dealing with them
- Procedures for accident(s) and incident(s)
- Common forms of personnel accidents or health emergencies and the actions to be taken
- Approved procedures and practices in the context of the operations, the work activity and the workplace environment (organisational, regulatory, emergency, operational)
- Work operators' scope and limitations for dealing with emergencies
- Responsibilities under the health and safety statutory requirements

AJ10 Contribute to health and safety in the workplace

AJ10.2 Respond to emergencies

Required Skills

N/A

Evidence Required

The assessor must be satisfied that the candidate can provide sufficient evidence of practical performance to demonstrate competence under working conditions to:

- respond to emergencies (because of the probable lack of actual occurrence, simulation or 'what if' scenarios may be required) which would include procedures for dealing with emergency situations as listed in the range statements

Supplementary evidence will be required in order to satisfy aspects of the range not demonstrated through performance alone. In this case, additional evidence of knowledge and understanding will therefore be required.

Evidence Rules

N/A

AJ10 Contribute to health and safety in the workplace

AJ10.3 Assist in the security of the workplace

Required performance

This will involve:

- a) ensuring that unauthorised personnel seen in the workplace are dealt with in accordance with organisational procedures and the appropriate person(s) advised
- b) ensuring that arrangements for **security** are observed and maintained in accordance with **approved procedures and practices**
- c) ensuring that potential risks to security are reported promptly to the appropriate person(s) and remedial action taken as necessary in accordance with organisational procedures
- d) reporting breaches of security are immediately to an authorised person
- e) ensuring that problems and conditions outside the responsibility of the job holder are referred to an authorised person

Occupational context

1 Security of:

- Personnel
- property and the surrounding environment
- the operational area
- plant and equipment

2 Approved procedures and practices

- Organisational
- Regulator
- Emergency
- operational

Knowledge Requirements

You need to know about:

- the organisation's security procedures
- action to take in cases of breaches of security including acts of vandalism and theft
- potential security risks
- methods of dealing with unauthorised persons
- approved procedures and practices in the context of the operations, the work activity and the workplace environment (organisational, regulatory, emergency, operational)
- responsibilities under the Health and Safety Statutory Requirements

AJ10 **Contribute to health and safety in the workplace**

AJ10.3 **Assist in the security of the workplace**

Required Skills

N/A

Evidence Required

The assessor must be satisfied that the candidate can provide sufficient evidence of practical performance to demonstrate competence under working conditions to:

- maintain security relevant to the workplace needs and own level of responsibility

Supplementary evidence will be required in order to satisfy aspects of the range not demonstrated through performance alone. In this case, additional evidence of knowledge and understanding will therefore be required.

Evidence Rules

N/A

Unit AJ11 Manage the performance of teams and individuals

Elements

AJ11.1 Allocate work to teams and individuals

AJ11.2 Agree objectives and work plans with teams and individuals

AJ11.3 Assess the performance of teams and individuals

AJ11.4 Provide feedback to teams and individuals on their performance

Unit Commentary

This unit is about managing the performance of your team, and the individuals within it

This unit is for you if you are a manager with responsibility for

- allocating work to others
- achieving specific results by using resources effectively within a defined area of authority, and
- assessing and providing feedback on performance against programmes and budgets.

In order to *allocate work* and *agree objectives and work plans* you need to consult with colleagues and specialists to ensure that work allocation make's the best use of the team's resources and skills. You will need to communicate the allocation to the team and be receptive to their comments. You will need to provide advice and guidance to ensure that the objectives are met.

In order to *assess the performance* you need to gather information about the performance of teams and individuals using a variety of techniques and assess this information in an objective way against clearly defined criteria. You will provide opportunities for teams and individuals to be involved in this process and you will be aware of factors that could affect performance.

In order to *provide feedback* in a positive and constructive manner, conducive to improving performance, you will ensure that your feedback is based on the agreed objectives and respects the need for confidentiality. You will be receptive to comments of the team and individuals, and engage them in the process.

AJ11 Manage the performance of teams and individuals

AJ11.1 Allocate work to teams and individuals

Performance Required

This will involve:

- a) Giving opportunities to your team members to recommend how you should **allocate** work within the team
- b) Ensuring that your allocation of work makes the best use of your team's resources and the abilities of all its members
- c) Ensuring that your allocation of work provides your team members with suitable learning opportunities to meet their personal development objectives
- d) Ensuring that your allocation of work is consistent 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** on your allocation of 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) Ensuring that where team resources are insufficient, you reach agreement with **relevant people** on the prioritisation of objectives or reallocation of resources
- i) Informing your team and its members of changes to work allocations in a way which minimises the impact on time, cost and inconvenience

Occupational Context

1 Allocations covering the following contexts:

- normal working
- emergencies.

2 Types of information:

- spoken
- written
- graphical.

3 Relevant people:

- team members
- colleagues working at the same level as yourself
- higher-level managers or sponsors
- customers
- suppliers.

Knowledge Requirements

You need to know and understand how to:

- Communicate team and individual responsibilities clearly to those involved
- Develop and present work plans using spoken, written and graphical means
- Match the allocation of work to learning needs and individual development plans
- Prioritise and re-prioritise work allocations according to resource availability
- Encourage and enable team members to provide suggestions on the allocation of work and be committed to their responsibilities

You need to know about:

Communication

- The importance of defining and communicating team and individual responsibilities clearly

Work allocations

- The importance of the effective allocation of work to your team's performance and your role and responsibilities in relation to this
- The factors which you need to consider when allocating work to individuals within the team
- How your changes to work allocations and negotiations around them can impact on cost, time and convenience
- Why your team members should have the opportunity to recommend work allocations
- Your team objectives, and the organisational policies and values which have a bearing on the allocation of work within your team
- The relevant people with whom negotiations on the allocation of resources need to take place

AJ11 Manage the performance of teams and individuals

AJ11.1 Allocate work to teams and individuals

Required Skills

N/A

Evidence Required

You should provide evidence that you can allocate work to teams and individuals

The candidate should be questioned, based upon the documentation provided, to explore how they:

- allocate work to teams and individuals

Evidence Rules

The candidate should have been involved in managing the performance of teams and individuals in a diverse range of contexts

AJ11 Manage the performance of teams and individuals

AJ11.2 Agree objectives and work plans with teams and individuals

Performance Required

This will involve:

- 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 your 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

Occupational Context

1 Objectives and work plans:

- short-term
- medium-term
- long-term.

2 Area of responsibility:

- people for whom you have line responsibility
- people for whom you have functional responsibility.

3 Organisational constraints:

- organisational objectives
- organisational policies
- resources

Knowledge Requirements

You need to know and understand how to:

- Encourage and enable team members to define their own work objectives and plans
- Gain the commitment of team members to objectives and work plans
- Identify and devise objectives and work plans for the short, medium and long term
- Match objectives and work plans with individuals' abilities and development needs

You need to know about:

- The importance of good communication when explaining objectives and work plans
- The importance of consulting with team members and achieving consensus and agreement on objectives and work plans
- The types of issues on which your team members may need advice and guidance
- The organisational objectives and constraints which have a bearing on objectives and work plans
- The importance of agreeing objectives and work plans which are realistic and achievable
- The importance of regularly updating objectives and work plans
- The difference between someone who is within the manager's line management control and someone for whom the manager has functional responsibility, and the implications this difference may have for planning work

AJ11 Manage the performance of teams and individuals

AJ11.2 Agree objectives and work plans with teams and individuals

Required Skills

N/A

Evidence Required

You should provide evidence that you can agree objectives and work plans with teams and individuals.

The candidate should be questioned, based upon the documentation provided, to explore how they:

- agree objectives and work plans with teams and individuals.

Evidence Rules

The candidate should have been involved in managing the performance of teams and individuals in a diverse range of contexts

AJ11 Manage the performance of teams and individuals

AJ11.3 Assess the performance of teams and individuals

Performance Required

This will involve:

- 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) Ensuring that your assessment of the performance of teams and individuals is based on sufficient, valid and reliable **information**
- e) Carrying out your assessments objectively, against clear, agreed criteria
- f) Ensuring that your assessments take due account of the personal circumstances of team members and the **organisational constraints** on their work

Occupational Context

1 Purpose:

- assuring that objectives have been achieved
- assuring that quality and customer requirements have been met
- appraising team or individual performance
- assessing performance for reward
- recognising competent performance and achievement.

2 Assessment of:

- teams
- individuals.

3 Monitoring:

- specific to one activity or objective
- general to overall performance of the team or individual.

4 Information

- qualitative
- quantitative.

5 Organisational constraints:

- organisational objectives
- organisational policies
- resources

Knowledge Requirements

You need to know and understand how to:

- Make fair and objective assessments
- Monitor and assess the performance of teams and individuals

You need to know about:

Monitoring and assessment

- The importance of being clear yourself about the purpose of monitoring and assessment and communicating this effectively to those involved
- The importance of monitoring and assessing the ongoing performance of teams and individuals
- Different purposes of work monitoring and assessment
- The standards against which work is to be assessed

Information

- The information needed to assess the performance of teams and individuals
- How the necessary information should be gathered and validated

Contingency and variance

- The importance of providing opportunities to team members to monitor and assess their own work, and how to enable this
- The organisational constraints which may affect the achievement of objectives
- The types of personal circumstances which may impact on individual performance

AJ11 Manage the performance of teams and individuals

AJ11.3 Assess the performance of teams and individuals

Required Skills

You should demonstrate:

- Assessment skills

Evidence Required

You should provide evidence that you can assess the performance of teams and individuals

The candidate should be questioned, based upon the documentation provided, to explore how they:

- assess the performance of teams and individuals.

Observation of the candidate or witness testimony will be essential as evidence of performance

- Your evidence must be the result of real work activities undertaken by yourself.

Evidence Rules

The candidate should have been involved in managing the performance of teams and individuals in a diverse range of contexts

AJ11 Manage the performance of teams and individuals

AJ11.4 Provide feedback to teams and individuals on their performance

Performance Required

This will involve:

- 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) Ensuring that the feedback you provide is clear, and is based on your objective assessment of their performance against agreed objectives
- c) Ensuring that your feedback acknowledges your team members' achievement
- d) Ensuring that your feedback provides your team members with constructive suggestions and encouragement for improving future performance against their work and development objectives
- e) Ensuring that the way in which you provide feedback shows respect for individuals and the need for confidentiality
- f) Giving opportunities to teams and individuals to respond to feedback, and to recommend how they could improve their performance in the future

Occupational Context

1 Feedback

- positive /negative.
- spoken /written
- constructive

2 Feedback situation:

- during normal day-to-day activities
- when required to maintain motivation, morale and effectiveness
- during formal appraisals
- at team meetings and briefings
- during confidential discussions of work.

Knowledge Requirements

You need to know and understand how to:

- Provide both positive and negative feedback to team members on their performance
- Choose an appropriate time and a place to give feedback to teams and individuals
- Provide feedback in a way which encourages your team members to feel that you respect them
- Motivate team members and gain their commitment by providing feedback

You need to know about:

Importance of feedback

- The importance of good communication skills when providing feedback

The effects of feedback

- The importance of providing clear and accurate feedback to your team members on their performance and your role and responsibilities in relation to this
- The principles of confidentiality when providing feedback which people should receive which pieces of information
- The importance of being encouraging when providing feedback to team members and showing respect for those involved
- The importance of providing constructive suggestions on how performance can be improved
- The importance of giving those involved the opportunity to provide suggestions on how to improve their work

AJ11 Manage the performance of teams and individuals

AJ11.4 Provide feedback to teams and individuals on their performance

Required Skills

You should demonstrate:

- Negotiation skills
- Observation skills

Evidence Required

You should provide performance evidence that you can provide feedback to teams and individuals on their performance

The candidate should be questioned, based upon the documentation provided, to explore how they:

- provide feedback to teams and individuals on their performance.
- Observation of the candidate or witness testimony will be essential as evidence of performance

Evidence Rules

The candidate should have been involved in managing the performance of teams and individuals in a diverse range of contexts

Unit AJ12 Deal with poor performance in your team

Elements

AJ12.1 Support team members who have problems affecting their performance

AJ12.2 Implement disciplinary and grievance procedures

AJ12.3 Dismiss team members whose performance is unsatisfactory

Unit Commentary

This unit is about dealing with poor performance of your team, and the individuals within it

This unit is for you if you are a manager with responsibility for

- allocating work to others
- achieving specific results by using resources effectively within a defined area of authority, and
- assessing and providing feedback on performance against programmes and budgets.

In order to *support team members* you need to identify poor performance promptly and provide opportunities for team members to discuss any problems they may have. You will need to provide advice and guidance to team members and agree a course of action to improve unsatisfactory performance.

In order to *implement disciplinary and grievance procedures* and *dismiss team members* you need to ensure that your actions are impartial and fair and that any procedures comply with organisational and legal requirements

AJ12 Deal with poor performance in your team

AJ12.1 Support team members who have problems affecting their performance

Performance Required

This will involve:

- a) Promptly identifying poor performance and bringing it directly to the attention of the **team member** concerned
- b) Giving the team member the opportunity to discuss actual or potential **problems** affecting their performance
- c) Discussing these issues with the team member at a time and place appropriate to the type, seriousness and complexity of the problem
- d) Gathering and checking as much information as possible to identify the nature of the **problem**
- e) Agreeing with the team member a course of action which is appropriate, timely and effective
- f) Ensuring that where necessary, you refer the team member to support services appropriate to their individual circumstances
- g) Ensuring that the way you respond to team members' problems maintains respect for the individual and the need for confidentiality
- h) Planning and agreeing follow-up action with the team member concerned, to ensure positive outcomes
- i) Promptly informing relevant people of problems beyond your level of responsibility or competence

Occupational Context

1 Team members:

- people for whom you have line management responsibility
- people for whom you have functional responsibility.

2 Problems:

- arising from work-related factors
- arising from external personal factors
- immediate/ ongoing
- educational/ social/ psychological/ professional

Knowledge Requirements

You need to know and understand how to:

- Encourage and enable team members to talk frankly about their problems
- Identify problems which the individual is experiencing and devise appropriate responses
- Decide when the problem goes beyond your own level of competence and responsibility

You need to know about:

Approach

- The importance of providing opportunities for team members to discuss problems

Strategy issues

- The importance of confidentiality
- The importance of promptly identifying poor performance and bringing it directly to team members' attention
- Your role and responsibilities in dealing with team members' problems

Problems themselves

- The types of problems which your team members may encounter at work
- The importance of agreeing a course of action with the team member and following this up

Capacity

- The range of support services which exist inside and outside your organisation
- The importance of maintaining respect for the individual
- The limits beyond which you should not go in becoming involved in the individual's problem

AJ12 Deal with poor performance in your team

AJ12.1 Support team members who have problems affecting their performance

Required Skills

You should demonstrate:

- Listening skills

Evidence Required

You should provide evidence that you can support team members who have problems affecting their performance

The candidate should be questioned, based upon the documentation provided, to explore how they:

- support team members who have problems affecting their performance.

Evidence Rules

The candidate should have been involved in managing the performance of teams and individuals in a diverse range of contexts

AJ12 Deal with poor performance in your team

AJ12.2 Implement disciplinary and grievance procedures

Performance Required

This will involve:

- a) Ensuring that team members have clear, accurate and timely **information** regarding disciplinary procedures
- b) Ensuring that you implement disciplinary and grievance procedures in a fair, impartial and timely way
- c) Ensuring that you implement disciplinary and grievance procedures in accordance with your organisational values and policies, and the relevant legal requirements
- d) Ensuring that the way you implement disciplinary and grievance procedures maintains respect for the individual and the need for confidentiality
- e) Ensuring that your records of the proceedings and their outcomes are accurate and complete, and that you make them available only to authorised people

Occupational Context

1 Information:

- organisational
- legal

Knowledge Requirements

You need to know about:

Disciplinary and grievance procedures

- the importance of effectively applying disciplinary and grievance procedures and your responsibilities in relation to this
- situations in which disciplinary and grievance procedures should be implemented
- the importance of informing team members about disciplinary and grievance procedures, appropriate times to do so and methods to use
- the importance of fairness, impartiality and responding in a timely way when dealing with disciplinary and grievance procedures

Information handling

- the importance of confidentiality when dealing with disciplinary and grievance procedures – who may receive what information
- the importance of good record keeping and how to do so

Legal requirements

- the legal requirements relevant to disciplinary and grievance procedures

Organisational context

- the organisational values and policies relevant to disciplinary and grievance procedures

AJ12 Deal with poor performance in your team

AJ12.2 Implement disciplinary and grievance procedures

Required Skills

N/A

Evidence Required

You should provide evidence that you can implement disciplinary and grievance procedures

The candidate should be questioned, based upon the documentation provided, to explore how they:

- implement disciplinary and grievance procedures.

You must show evidence that you provide both organisational and legal information.

Evidence Rules

The candidate should have been involved in managing the performance of teams and individuals in a diverse range of contexts

AJ12 Deal with poor performance in your team

AJ12.3 Dismiss team members whose performance is unsatisfactory

Performance Required

This will involve:

- a) Ensuring that the way you dismiss individuals is fair, impartial and takes place at an **appropriate time**
- b) Obtaining appropriate advice on dismissal from **relevant people**
- c) Giving clear reasons for dismissal to the individual concerned at a level and pace appropriate to them
- d) Ensuring that the process of dismissal complies with the organisation's disciplinary and grievance procedures and legal requirements
- e) Ensuring that the process of dismissal maintains respect for the individual and the need for confidentiality
- f) Keeping accurate records of the dismissal
- g) Providing accurate and non-confidential information regarding the dismissal to other team members and colleagues in a way which maintains confidence and morale

Occupational Context

1 Appropriate time

- before damage/accidents occur
- giving fair chances
- with regard to contractual agreements
- to ensure discretion
- to avoid security issues

2 Relevant people

- supervisors/ managers
- mentors/ advisors
- professional organisations/ unions

Knowledge Requirements

You need to know about:

Dismissal functions

- your role and responsibilities regarding the dismissal of staff
- the types of situations in which the dismissal of staff is necessary
- the importance of fairness and impartiality when dismissing staff

Strategy

- the situations in which the advice and support of others may be required - who to contact according to the context
- the importance of giving the reasons for dismissal clearly to the individual concerned and how to do so according to the context, individual and reason for dismissal
- the importance of confidentiality when dealing with disciplinary and grievance procedures
- the importance of good record-keeping
- the importance of explaining the dismissal and the reasons for dismissal to team members and colleagues
- the legal requirements covering the dismissal of staff
- the organisational requirements and procedures covering the dismissal of staff
- the importance of maintaining respect for the individual when dismissing staff

AJ12 Deal with poor performance in your team

AJ12.3 Dismiss team members whose performance is unsatisfactory

Required Skills

N/A

Evidence Required

You should provide evidence that you can dismiss team members whose performance is unsatisfactory

The candidate should be questioned, based upon the documentation provided, to explore how they:

- dismiss team members whose performance is unsatisfactory.

Evidence Rules

The candidate should have been involved in managing the performance of teams and individuals in a diverse range of contexts

Unit AJ13 Devise and implement methods to resource a cultural heritage organisation

Elements

AJ13.1 Identify funding objectives and methods for the organisation

AJ13.2 Identify potential contributors to the organisation

AJ13.3 Negotiate and secure funding for the organisation

Unit Commentary

This unit is for archaeologists who have responsibility for implementing the strategies and policies of the organisation; who have responsibility for the development of the organisation or a substantial part of the organisation and who have responsibility within the organisation to allocate resources, including people, to achieve their requirements.

It is important to find ways of resourcing the organisation. This is a complex activity as there are many sources of finance and other resources, and they have to be approached in a way which maintains the integrity of the organisation. It is necessary to be able to specify clearly what the funding objectives are, and which methods will be used to raise funds. Funding sources have to be identified, and then the funds have to be negotiated and secured. This unit covers identifying funding objectives and methods; identifying potential contributors to the organisation; and negotiating and securing funding.

AJ13 Devise and implement methods to resource a cultural heritage organisation

AJ13.1 Identify funding objectives and methods for the organisation

Performance Required

This will involve:

- a) Establishing and prioritising **objectives for fund-raising**, and clearly specifying and presenting them as a fund-raising strategy
- b) Ensuring funding objectives are realistic and meet the needs of the organisation
- c) Identifying the full range of funding methods and evaluating them for their effectiveness
- d) Ensuring sources of funding and fund-raising methods are in line with the values and policies of the organisation
- e) Passing information on the funding objectives and methods to the **relevant people** in the appropriate formats

Occupational Context

1 Objectives for fund-raising

- Development
- Investment
- Profit
- Maintenance
- acquisitions

2 Relevant people

- fundraisers
- accountants
- directors
- shareholders
- stakeholders
- professional institutions
- benefactors

Knowledge Requirements

You need to know and understand how to:

- Evaluate the effectiveness of funding methods

You need to know about:

The organisation

- The aims and objectives of the fund-raising, and how to present them
- The types of uses there are for the funds
- The rationale behind the prioritisation of funds
- The value of the image of the organisation
- How the fund-raising methods can impact on the image of the organisation

Fundraising

- The funding methods that are available
- The range and variety of different sources of funding
- How the fund-raising meets the needs of the organisation
- Who needs to be aware of the funding objectives and methods

AJ13 Devise and implement methods to resource a cultural heritage organisation

AJ13.1 Identify funding objectives and methods for the organisation

Required Skills

You should demonstrate:

- Accounting and budgeting
- Fundraising skills

Evidence Required

You should provide evidence that you can identify funding objectives and methods for the organisation

The candidate should be questioned, based upon the documentation provided, to explore how they:

- identify funding objectives and methods for the organisation.

Evidence Rules

The candidate should have been involved in devising and implementing methods to resource of a cultural heritage organisation

AJ13 Devise and implement methods to resource a cultural heritage organisation

AJ13.2 Identify potential contributors to the organisation

Performance Required

This will involve:

- a) Ensuring information on **potential contributors** is current and accurate
- b) Assessing previous **contribution** patterns for their effect on future contribution levels
- c) Identifying new sources of contributions and informing the appropriate people of the organisation's requirements
- d) Providing clear information on the benefits to contributors
- e) Evaluating rejections from contributors to achieve greater effectiveness in future approaches
- f) Collecting available information on the contribution patterns for other organisations

Occupational Context

1 Potential contributors

- individuals
- groups
- commercial organisations
- public bodies.

2 Contributions

- donations
- sponsorships
- special events
- grants

Knowledge Requirements

You need to know and understand how to:

- Approach different types of contributor
- Maintain current and accurate information on contributors
- Analyse contribution patterns
- Identify new sources of contributions, and who should be contacted
- Evaluate rejections, and what they tend to indicate

You need to know about:

Fund raising

- The objectives of the fund-raising

Sources

- The benefits enjoyed by previous contributors
- The requirements of different types of contributor
- The tax benefits for contributors

AJ13 Devise and implement methods to resource a cultural heritage organisation

AJ13.2 Identify potential contributors to the organisation

Required Skills

N/A

Evidence Required

You should provide evidence that you can identify potential contributors to the organisation

The candidate should be questioned, based upon the documentation provided, to explore how they:

- identify potential contributors to the organisation.

Evidence Rules

The candidate should have been involved in devising and implementing methods to resource of a cultural heritage organisation

AJ13 Devise and implement methods to resource a cultural heritage organisation

AJ13.3 Negotiate and secure funding for the organisation

Performance Required

This will involve:

- a) Approaching contributors in an appropriate and professional manner
- b) Establishing clearly the **requirements of the organisation** and agree them with the relevant people
- c) Conducting negotiations within clearly defined parameters in line with the fund-raising strategy
- d) Evaluating offers against the agreed parameters
- e) Presenting proposals and rejections to potential contributors in a clear and precise manner
- f) Ensuring the details of the agreement are accurate, complete and confirmed by all parties
- g) Completing any formal transfers of title or other appropriate rights according to agreement with the contributor
- h) Investigating any problems or liabilities connected to the **contribution**
- i) Maintaining the confidentiality of negotiations in line with the requirements of the contributor
- j) Recording negotiations and securing written agreements for all funding assurances

Occupational Context

1 Requirements of the organisation

- expansion and growth
- acquisition and investment

2 Contributions

- donations
- sponsorships
- special events
- grants

Knowledge Requirements

You need to know and understand how to:

- Assess offers and rejections
- Maintain goodwill during negotiations
- Record the process and results of the negotiation

You need to know about:

Negotiation

- The parameters for the negotiation
- What constitutes an appropriate time and location for the negotiation
- Why negotiation skills are important

Value

- The ideal outcomes of the negotiation for the organisation and the contributor

Formal procedures

- The main types of contractual arrangements that are applicable

AJ13 Devise and implement methods to resource a cultural heritage organisation

AJ13.3 Negotiate and secure funding for the organisation

Required Skills

You should demonstrate:

- Negotiation skills

Evidence Required

You should provide evidence that you can negotiate and secure funding for the organisation

The candidate should be questioned, based upon the documentation provided, to explore how they:

- negotiate and secure funding for the organisation.

Evidence Rules

The candidate should have been involved in devising and implementing methods to resource of a cultural heritage organisation

Unit AJ14 Manage finance in the business unit (Part CH Unit J4)

Elements

AJ14.1 Make recommendations for expenditure

AJ14.2 Control expenditure against budgets

AJ14.3 Maintain the financial viability of the business unit

Unit Commentary

This unit is for archaeologists who have responsibility for implementing the strategies and policies of the organisation; who have responsibility for the development of the organisation or a substantial part of the organisation and who have responsibility within the organisation to allocate resources, including people, to achieve their requirements.

It is important to make effective use of resources in an organisation. This is a complex activity as there are many competing demands for expenditure, and they have to be approached in a way that maintains the integrity of the organisation. This unit covers making proposals for expenditure, agreeing budgets for programmes of work and controlling expenditure and activities against budgets.

AJ14 Manage finance in the business unit

AJ14.1 Make recommendations for expenditure

Performance Required

This will involve:

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

Occupational Context

1 Relevant people:

- team members
- colleagues working at the same level
- higher-level managers or sponsors
- financial specialists.

2 Expenditure:

- supplies
- people
- overhead expenses
- capital equipment.

Knowledge Requirements

You need to know and understand how to:

Analytical techniques

- Analyse expenditure in the past and use the results to make recommendations on more effective use of financial resources in the future
- Carry out cost-benefit analyses in regard to proposed expenditure
- Identify and evaluate alternative options to proposals on expenditure.

Communication

- Communicate effectively on issues to do with proposed expenditure.

Involvement and motivation

- Enable colleagues and line managers to identify and communicate their needs regarding expenditure
- Develop and argue an effective case for expenditure.

You need to know about:

Organisational context

- The trends and developments which may influence future expenditure and how to forecast and plan for these
- The procedures which need to be followed to make recommendations for expenditure.

Resource management

- The importance of effective budgetary control to team and organisational efficiency and your role and responsibilities in relation to this
- The principles and methods which underpin effective budgetary control
- The importance of keeping accurate records of past expenditure
- The information which others need to make decisions on expenditure and how to gather and check the validity of this information.

AJ14 Manage finance in the business unit

AJ14.1 Make recommendations for expenditure

Required Skills

N/A

Evidence Required

You should provide evidence that you can make recommendations for expenditure

The candidate should be questioned, based upon the documentation provided, to explore how they:

- make recommendations for expenditure.

Evidence Rules

The candidate should have been involved in managing the finance in the business unit over a period of time

AJ14 Manage finance in the business unit

AJ14.2 Control expenditure against budgets

Performance Required

This will involve:

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

Occupational Context

1 Monitoring

- by considering oral information
- by considering written information
- by examining financial information.

2 Expenditure

- supplies
- people
- overhead expenses
- capital equipment.

3 Corrective action

- altering activities
- rescheduling expenditure
- altering budget allocations within the limits of your responsibility
- renegotiating budgets.

Knowledge Requirements

You need to know and understand how to:

- Advise, encourage and motivate team members to help in controlling expenditure.

You need to know about:

Information handling

- The principles of confidentiality in relation to budgets - what information may be provided to which people.

Involvement and motivation

- The contributions your team members can make to expenditure control

Organisational context

- Your organisation's requirements for expenditure control
- The range of variations from the budget which may occur and what effective corrective action to take in response to these
- The types of requests for expenditure outside your control which are likely to occur and the correct procedures to follow in response to these.

Resource management

- The importance of effective expenditure control to your team and organisation's efficiency and your role and responsibilities in relation to this
- The principles and systems which underpin effective expenditure control
- The importance of accurate and comprehensive record keeping to expenditure control and systems to achieve this.

AJ14 Manage finance in the business unit

AJ14.2 Control expenditure against budgets

Required Skills

You should demonstrate:

- Financial data analysis

Evidence Required

You should provide evidence that you can control expenditure against budgets

The candidate should be questioned, based upon the documentation provided, to explore how they:

- control expenditure against budgets.

Evidence Rules

The candidate should have been involved in managing the finance in the business unit over a period of time

AJ14 Manage finance in the business unit

AJ14.3 Maintain the financial viability of the business unit

Performance Required

This will involve:

- a) clearly specify financial management objectives that are in line with the financial strategy of the business
- b) accurately calculate the **income** and **expenditure** of the business and periodically compare against cash-flow targets and financial management objectives
- c) calculate the financial viability of the business using reliable information and generate forecasts that can be assessed against the business plan
- d) correctly identify discrepancies between forecast and actual income and expenditure and explore the reasons for them
- e) control the income and expenditure of the business to meet financial management objectives
- f) calculate and regularly report to relevant people on the financial viability of the business in accordance with organisational formats and procedures

Occupational Context

1 Income

- income received less costs of sales
- interest on cash balances
- dividends
- grants
- disposal of assets.

2 Expenditure

- service / project delivery and related overheads
- personnel and related overheads and costs of employment
- premises and related overheads.
- interest on loans,
- depreciation
- allowable asset costs
- direct and indirect taxation

Knowledge Requirements

You need to know and understand how to:

- Calculate basic statements of financial viability, forecasts and simple ratios; key margins by service type and market; high and low forecasts, basic risk assessment
- Monitor financial viability, and how frequently this should be done

You need to know about:

- What type of trade-offs need to be determined in the business
- What the appropriate margins are for the business and its services and how to differentiate between gross and net profit
- Basic means of dealing with tax liability and appropriate sources of advice on this
- The financial manager's liabilities under current legislation including statutory reporting duties
- What sources of internal and external support, advice and information are available to support the financial manager

AJ14 Manage finance in the business unit

AJ14.3 Maintain the financial viability of the business unit

Required Skills

N/A

Evidence Required

You should provide evidence that you can maintain the financial viability of the business unit

The candidate should be questioned, based upon the documentation provided, to explore how they:

- maintain the financial viability of the business unit

Evidence Rules

The candidate should have been involved in managing the finance in the business unit over a period of time

Unit AJ15 Evaluate archaeological project achievements and secure improvements

Elements

AJ15.1 Obtain and evaluate feedback information

AJ15.2 Provide advice and support to solve problems, make improvements and maintain progress

AJ15.3 Promote and protect planned work and those who carry it out

Unit Commentary

This unit is concerned with the competence needed to implement continuous improvement in the processes and practice of managing projects through the acquisition and analysis of project feedback information and effective contingency management.

AJ15 Evaluate archaeological project achievements and secure improvements

AJ15.1 Obtain and evaluate feedback information

Performance Criteria

- a) identifying and agreeing areas of interest regarding **feedback** with interested parties
- b) identifying and agreeing with interested parties, valid and reliable **methods and sources** both for obtaining relevant feedback on projects, and for co-ordinating, reviewing and recommending improvements for future activities
- c) encouraging and enlisting the co-operation of interested parties in obtaining feedback and promoting the positive value of obtaining and using feedback
- d) obtaining, investigating and assessing available feedback data from all relevant sources and accurately identifying its relevance and potential future use
- e) reviewing and matching **feedback data** against original requirements and objectives and accurately summarising instances of shortfall and over provision
- f) identifying, recommending and justifying potential improvements consequent upon feedback to **interested parties**
- g) recording and classifying agreed improvements appropriately
- h) accurately summarising and disseminating agreed changes and improvements to interested parties

Occupational Context

- 1 Feedback**
 - projects in progress
 - completed projects
- 2 Feedback methods and sources**
 - project monitoring, records and documentation
 - independent evaluation
 - inspections and tests
 - research
 - performance in use
 - meetings
 - questionnaires
- 3 Feedback data**
 - management procedures
 - clients
 - project team performance
 - working arrangements
 - communications
 - quality standards
 - quality control
 - compliance
 - design and technical appraisal
 - operational appraisal
 - safety performance
 - commercial performance
- 4 Interested parties**
 - internal to the organisation
 - external to the organisation

Knowledge Requirements

You need to know and understand how to:

- Identify areas of interest

You need to know about:

Using feedback

- Sources for obtaining relevant feedback:
- interested parties
- Selecting and using valid and reliable methods of identifying and justifying the use of new data and improvements
- Methods of obtaining feedback
- Types of feedback data
- Database systems and procedures

AJ15 Evaluate archaeological project achievements and secure improvements

AJ15.1 Obtain and evaluate feedback information

Required Skills

You should demonstrate:

- Negotiation and people skills
- Techniques for extracting information
- Techniques for encouraging feedback

Evidence Required

You should provide evidence that you can obtain and evaluate feedback information

The candidate should be questioned, based upon the documentation provided, to explore how they:

- obtained and evaluated feedback information

Observation of the candidate or witness testimony will be essential as evidence of performance

Evidence Rules

The candidate should have been involved in evaluating achievements and securing improvements on at least 2 projects or activities

AJ15 Evaluate archaeological project achievements and secure improvements

AJ15.2 Provide advice and support to solve problems, make improvements and maintain progress

Performance Criteria

- a) Ensuring that provision of **advice and support** takes place at an appropriate time and correctly addresses identified **problems**.
- b) Ensuring that advice and support accurately identifies likely **causes** of identified problems and possible solutions.
- c) Ensuring that methods of providing advice and support confirm joint commitment to objectives, demonstrate trust in those carrying out the work, give encouragement and reinforce confidence.
- d) Ensuring that provision of advice and support is sensitive to the personal needs and positions of those **to whom it is offered**.
- e) Ensuring that advice and support are provided only so far as is necessary to allow progress to be maintained and to enable individuals and groups to work autonomously.

Knowledge Requirements

You need to know and understand how to:

- Establish relationships between the organisation and external agencies.
- Prepare:
 - Event analysis reports.
 - Customer complaints reports
 - Budgets and variance reports

Occupational Context

1 Advice and support involving

- discussions
- referral to other sources of knowledge and expertise
- hands-on assistance
- development activities.

2 Problems

- disruption to programmes, projects and plans
- disruption to the flow of goods and services into the organisation
- disruption to the provision of goods and services by the organisation.

3 Causes

- changes to external operating environments
- breakdown in policies
- breach of ethics and values
- cultural differences and misunderstandings
- political intervention
- emerging environmental and social consequences of the organisation's activities
- financial variances
- natural disasters
- human error.

4 Advice and support offered to:

- project personnel
- contractors
- suppliers

AJ15 Evaluate archaeological project achievements and secure improvements

AJ15.2 Provide advice and support to solve problems, make improvements and maintain progress

Required Skills

You should demonstrate:

- Analytical and evaluation techniques that establish the relationship between the different operating parts of the organisation, such as supply chain analysis.
- Assessment and evaluation techniques that maintain and promote communications between the different agencies involved.
- Techniques to enhance motivation.
- Staff empowerment.
- Analytical and review techniques that establish the nature of problems and the identification of root causes and effects, such as event analysis

Evidence Required

You should provide evidence that you can provide advice and support to solve problems, make improvements and maintain progress

The candidate should be questioned, based upon the documentation provided, to explore how they:

- provide advice and support to solve problems, make improvements and maintain progress

Evidence Rules

The candidate should have been involved in evaluating achievements and securing improvements on at least 2 projects or activities

AJ15 Evaluate archaeological project achievements and secure improvements

AJ15.3 Promote and protect planned work and those who carry it out

Performance Criteria

- a) Ensuring that the **promotion** of the benefits of programmes, projects and plans to stakeholders is clear and effective.
- b) Identify threats to programmes, projects, plans and people at an early stage.
- c) Where threats can be anticipated, ensuring that effective steps are taken to counter them in the planning and delegation of work.
- d) Ensuring that methods to counter threats take account of the reasons for and sources of the threats.
- e) Fully informing those under threat of the developing situation and the support available to them
- f) Ensuring that allocation of resources to the promotion and protection of programmes, projects and plans is specific and appropriate.

Occupational Context

1 Promotion:

- lobbying
- maintaining the profile of the work and people
- explaining the work in conversations and meetings
- holding briefings
- publications.

Knowledge Requirements

You need to know and understand how to:

- Establish ethics and norms within organisations.
- Analyse risk in initiating and managing new programmes, projects and plans.
- Resource projects, programmes and plans.

You need to know about:

- Promotion, consultation and negotiation techniques.
- Analytical and evaluation techniques which establish the work routine of individual, team or group, such as work studies and process mapping.
- Assessment and evaluation techniques which appraises the work conducted.
- Assessment and evaluation techniques which establish the position of stakeholders.
- Objectives, work methods and activities of programmes, projects and plans within the manager's control.
- Potential sources of threats to activities inside and outside the organisation.
- Channels of communication and influence within the organisation.

AJ15 Evaluate archaeological project achievements and secure improvements

AJ15.3 Promote and protect planned work and those who carry it out

Required Skills

N/A

Evidence Required

You should provide evidence that you can promote and protect planned work and those who carry it out

The candidate should be questioned, based upon the documentation provided, to explore how they:

- promote and protect planned work and those who carry it out

Observation of the candidate or witness testimony will be essential as evidence of performance

Evidence Rules

The candidate should have been involved in evaluating achievements and securing improvements on at least 2 projects or activities