



# Project to define professional functions and standards in archaeological practice

National Occupational Standards for Archaeological Practice

Accredited Standards

## Section K

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# Summary of Units and Elements

**Ref**      **Unit & Element titles**

**K**            **Define and control quality and professional standards**

**AK1**        **Maintain compliance with archaeological requirements**

AK1.1      Identify situations requiring formal action

AK1.2      Process applications for compliance with statutory and policy requirements

AK1.3      Control project against agreed quality standards

AK1.4      Enforce compliance with archaeological requirements

**AK2**        **Contribute to advances in the body of knowledge and archaeological practice**

AK2.1      Contribute to advances in knowledge and theory that underpin archaeological practice

AK2.2      Exploit opportunities to broaden the public's understanding of the historic environment

AK2.3      Enable others to learn and benefit from one's experience

**AK3**        **Develop your own resources and protect the interests of others**

AK3.1      Develop yourself to improve your performance

AK3.2      Manage your own time and resources to meet your objectives

AK3.3      Contribute to the protection of individual and community interests



## **Unit AK1          Maintain compliance with archaeological requirements**

### **Elements**

**AK1.1    Identify situations requiring formal action**

**AK1.2    Process applications for compliance with statutory and policy requirements**

**AK1.3    Control project against agreed quality standards**

**AK1.4    Enforce compliance with archaeological requirements**

### **Unit Commentary**

This unit is for archaeologists who have responsibility to ensure that works affecting archaeological sites are undertaken in compliance with relevant legislation and regulations. They are likely to be employed by national government heritage agencies or local government bodies. This unit covers assessing proposals and, where necessary, works already carried out; deciding whether or not formal consent is required and taking appropriate action processing applications. It also deals with the negotiation of amendments to agreements and recommendations for enforcement action in cases of non-compliance.

## AK1 Maintain compliance with archaeological requirements

### AK1.1 Identify situations requiring formal action

#### Performance Required

*This will involve:*

- a) monitoring **sources of information** for indications of potentially **relevant situations**
- b) making arrangements to investigate potentially **relevant situations** to identify whether they are within scope of legislative requirements
- c) identifying and notifying those responsible for relevant situations of **legislative requirements**
- d) where legislative requirements are not met, **follow up action** is instigated to ensure compliance
- e) recording information on relevant situations

#### Occupational Context

##### 1 Sources of information:

- reports from authority officers
- local press and other media
- public complaints
- local authority records
- other legislative/ statutory authorities

##### 2 Relevant situations:

- neglect and deterioration
- use of structures and sites
- alteration, repair and maintenance of structures and sites
- adjacent works or activities affecting the site

##### 3 Types of legislative requirement:

- formal application
- agreement to a course of action

##### 4 Follow up action:

- site visit
- caution
- impose condition
- serve notice or injunction
- prosecute

#### Knowledge Requirements

*You need to know and understand how to:*

- Investigate situations required to conform with legislative requirements

*You need to know about:*

##### Legislative Procedure

- Legislative requirements for potentially relevant situations
- Types of action to ensure compliance

##### Sources of information

- Types of records
- Record information
- Monitoring information resources

**AK1 Maintain compliance with archaeological requirements**

**AK1.1 Identify situations requiring formal action**

**Required Skills**

*You should demonstrate:*

- Communicating/ delivering formal notification perhaps without the authoritative support immediately available

**Evidence Required**

*You should provide evidence that you can identify situations requiring formal action*

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

- the identification, location and strategic approach to potentially relevant situations.

**Evidence Rules**

The candidate should have been involved in at least 2 contrasting sites

## AK1 Maintain compliance with archaeological requirements

### AK1.2 Process applications for compliance with statutory and policy requirements

#### Performance Required

*This will involve:*

- a) Promptly acknowledging **applications** received and categorising accurately against **statutory and policy requirements**
- b) Where **information** is insufficient for assessment purposes advising applicants of additional information needs
- c) Assessing applications against **relevant criteria** and selecting those which conform in most main respects for further consideration
- d) Recommending applications which clearly fail to meet criteria for rejection and communicating reasons to applicants promptly
- e) Subjecting potentially successful applications to further detailed evaluation and identifying and communicating any modifications required to meet policy and legislative requirements to applicants
- f) Where applications raise **exceptional issues**, initiating appropriate consultation and investigations to inform the optimum course of action
- g) Summarising accurately and making available outcome and conclusions from consultations and investigations to decision makers
- h) Final decisions are justified clearly, appropriate conditions are specified and reflected accurately in an appropriate format which is communicated to applicants
- i) Decision making processes are completed within the required period and in accordance with appropriate legislation and organisational procedures

#### Occupational Context

- 1 Applications relevant to the development and use of:**
  - land
  - structures
  - buildings
- 2 Statutory and policy requirements:**
  - organisational
  - local
  - national
  - international
- 3 Information:**
  - applicant details/requirements
  - site details (physical, technical, legal)
  - existing / planned use of site (access, occupancy, activities)
  - strategic and financial information
  - contextual information
- 4 Information from:**
  - property developers/ contractors
  - owners / occupiers
  - consultants/ researchers
- 5 Relevant Criteria**
  - technical/ strategic
  - legal/ regulatory/ financial
  - in terms of policy and approach
- 6 Exceptional issues (e.g.)**
  - emergencies/ cultural sensitivity/ legal conflict
  - exceptional to the archaeological context
  - exceptional to the processes and procedures
  - exceptional to resources, capacities, constraints, risk and potential

## **AK1 Maintain compliance with archaeological requirements**

### **AK1.2 Process applications for compliance with statutory and policy requirements**

#### **Knowledge Requirements**

*You need to know about:*

Proforma of applications

- Variety and contexts
- Information required
- Legal binding
- Vital/ Superfluous information
- Time taken to complete
- Types of decision criteria
- Types of conditions

Statutory and policy requirements

- According to organisations, professional institutions, local authorities and Best Practice of the discipline
- Types of exceptional circumstance warranting consultation and investigation
- Contingent strategies and recognised options modifications

#### **Required Skills**

*You should demonstrate:*

- Negotiation and communication skills which deal well with sensitive and exceptional situations

#### **Evidence Required**

*You should provide evidence that you can process applications for compliance with statutory and policy requirements*

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

- their ability to consult, investigate and report on exceptional circumstances.

#### **Evidence Rules**

The candidate should have been involved in at least 2 contrasting sites

## AK1 Maintain compliance with archaeological requirements

### AK1.3 Control project against agreed quality standards

#### Performance Required

*This will involve:*

- (a) summarising appropriate **quality standards** accurately from available information in an appropriate style and format and communicating to interested parties
- (b) identifying and **verifying** individual responsibilities for maintaining quality standards
- (c) identifying specifications which conflict with statutory and legal requirements and referring these to interested parties for modification
- (d) checking materials regularly for conformance with specified requirements
- (e) checking **working methods** and the utilisation of materials for conformance with specifications and quality standards
- (f) identifying and recording work which fails to meet required standards and advising on appropriate action
- (g) agreeing relevant **amendments** to project quality requirements and specifications with interested parties and recording accurately
- (h) recording failures to respond appropriately and in a given time to written requests to remedy unacceptable standards and notifying interested parties

#### Occupational Context

##### 1 Quality standards include:

- statutory requirements
- project specifications and conditions
- Codes of Practice
- best practice

##### 2 Means of verifying quality

- visual inspection
- comparison with specifications
- comparison with standard documentation
- contractors reports

##### 3 Working methods

- relating to health and safety
- relating to co-operative activity
- relating to recognised methodology
- relating to strategic planning
- relating to shared common goals
- relating to deliverable outputs
- relating to specific targets

##### 4 Amendments

- in/ decreasing extent of regulation: in/ decreased measurement, more/ less deliverable targets, etc
- changing authoritative structures
- changing monitoring and evaluation processes

#### Knowledge Requirements

*You will need to know and understand*

##### Quality Standards

- Statutory and legal requirements
- National/ local/ organisational
- Archaeological/ externally contractual

##### Archaeologist's relationship to the quality standards

- In terms of authority
- In terms of supervision
- In terms of responsibility
- In terms of accountability

##### Methods and Measures for control

- Systems for verifying quality
- Monitoring and evaluation data
- Inspection
- Feedback loops and reporting mechanisms

**AK1 Maintain compliance with archaeological requirements**

**AK1.3 Control project against agreed quality standards**

**Required Skills**

*You should demonstrate:*

- Communication and people skills, including difficult situations such as dealing with failures to respond to written requests to remedy unacceptable standards

**Evidence Required**

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

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

- Records of inspecting and recording work
- Records of conflicting specifications

**Evidence Rules**

The candidate should have been involved in at least 2 contrasting sites

## AK1 Maintain compliance with archaeological requirements

### AK1.4 Enforce compliance with archaeological requirements

#### Performance Required

*This will involve:*

- (a) inspecting sites in accordance with **statutory and policy requirements** and in response to actions initiated by others
- (b) identifying, evaluating and summarising accurately potential breaches in compliance in accordance with statutory and policy requirements and notifying **persons responsible**
- (c) where required, negotiating acceptable changes necessary to restore compliance, agreeing with persons responsible and recording accurately
- (d) where required, giving appropriate advice on possible enforcement action to persons responsible for rectifying breaches of compliance
- (e) implementing appropriate legal proceedings in serious cases of breach of compliance
- (f) submitting clear and accurate evidence of breaches to **appropriate authorities**
- (g) checking compliance with legal requirements and implementing further legal proceedings for situations which remain in default
- (h) accurately recording and communicating satisfactory compliance to all interested parties

#### Occupational Context

- 1 **Statutory and policy requirements relevant to:**
  - the development and use of land
  - structures
  - landscapes
  - plant and equipment
  - health and safety

#### 2 Persons responsible (for compliance):

- land and property owners
- occupiers
- contractors
- professional advisers
- site supervisors/ team managers/ welfare officers

#### 3 Appropriate authorities

- legislative
- legal
- statutory
- funding
- political
- professional/ institutional
- organisational

#### Knowledge Requirements

*You need to know about:*

##### Means of Enforcement

- Enforcement procedures, actions and legal proceedings:
  - Outlining accountability
  - Identifying responsibility
  - According to contracts
  - According to legislation
  - With the backing of authorisation
  - With the support of security
  - With reference to the law

##### Information Resources

- Regulation references
- Hierarchies and structures of responsibility
- Contractual agreements
- Legal documents and literature
- Organisational policy
- Individual job descriptions

##### Archaeological requirements:

- In line with organisational policy and culture
- In line with contribution to and reputation of the discipline
- In terms of activities, targets, goals and deadlines
- In terms of relationships with and responsibility to other external organisations and deliverers

**AK1 Maintain compliance with archaeological requirements**

**AK1.4 Enforce compliance with archaeological requirements**

**Required Skills**

*You should demonstrate:*

- Assertive communication skills: e.g. for negotiating acceptable changes to restore compliance

**Evidence Required**

*You should provide evidence that you can enforce compliance with archaeological requirements*

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

- Records of compliance with legal requirements
- Records of breaches in compliance identified,
- Records of changes negotiated and agreed
- Legal proceedings advised
- Evidence of breaches submitted

Evidence in the form of the above reports as individual reports in their own right or amalgamated onto one database

**Evidence Rules**

The candidate should have been involved in at least 2 contrasting sites



**Unit AK2            Contribute to advances in the body of knowledge and archaeological practice**

**Elements**

**AK2.1    Contribute to advances in knowledge and theory which underpin archaeological practice**

**AK2.2    Exploit opportunities to broaden the public's understanding of the material remains of past communities**

**AK2.3    Enable others to learn and benefit from one's experience**

**Unit Commentary**

This unit deals with the continuing duty of the archaeologist to contribute to and challenge the body of existing knowledge on archaeological practice and to devise and validate new techniques; and to ensure that others benefit from ones own experience and knowledge.

## AK2 Contribute to advances in the body of knowledge and archaeological practice

### AK2.1 Contribute to advances in knowledge and theory which underpin archaeological practice

#### Performance Required

*This will involve:*

- a) accurately identifying inadequacies in current **knowledge and theory** of archaeological practice and justifying criticisms
- b) presenting clear and coherent proposals which describe and justify modifications to and advances in **knowledge and theory** of archaeological practice including key references and sources of information and support
- c) where proposals derive from a joint research, investigation or development initiative, identifying own role and contribution clearly in documentation presented
- d) supporting proposals with valid evidence based on rigorous and comprehensive research using appropriate methods
- e) inviting recipients of proposals to comment formally on the proposals and giving them opportunities to ask questions, challenge assumptions and findings and seek clarification

#### Occupational Context

##### 1 Knowledge and theory may relate to:

- purposes of archaeology
- policies on archaeology
- management of the archaeological process
- management of archaeological sites
- regulation and legislation relating to archaeological sites and objects
- archaeological interpretation
- archaeological techniques
- research techniques to support archaeology

##### 2 Sources of theories:

- books and research reports
- professional journals
- the curricula of learning programmes
- contemplation and reflection
- research
- observation
- discussion

#### Knowledge Requirements

*You need to know and understand how to:*

- Identify and summarise inadequacies of current knowledge and theory
- Develop and justify modifications and advances in knowledge and theory
- Conduct a programme of research

*You need to know about:*

- Current knowledge and theory in archaeological practice

## **AK2    Contribute to advances in the body of knowledge and archaeological practice**

### **AK2.1    Contribute to advances in knowledge and theory which underpin archaeological practice**

#### **Required Skills**

*You should:*

- Identify inadequacies in current knowledge and theory
- Present proposals
- Cite relevant references and sources
- Support proposals with valid evidence and arguments
- Verify that the collection and use of data complies with relevant legislation

#### **Evidence Required**

*You should provide evidence that you can contribute to advances in knowledge and theory which underpin archaeological practice*

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

- contributed to advances in knowledge and theory which underpin archaeological practice

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

Evidence must include defined inadequacies in current knowledge and theory identified and summarised and proposals for modifications to / advances in knowledge and theory

#### **Evidence Rules**

The candidate should have been involved in contributing to advances in the body of knowledge and archaeological practice

## AK2 Contribute to advances in the body of knowledge and archaeological practice

### AK2.2 Exploit opportunities to broaden the public's understanding of the historic environment

#### Performance Required

*This will involve:*

- a) Ensuring that **communication** is in an appropriate manner, level, pace, style and language for each target audience, to promote understanding and co-operation
- b) Ensuring that information communicated is accurate, legible, complete and understandable
- c) Ensuring that **feedback** is actively sought, recorded accurately and passed on to appropriate people promptly
- d) Where the feedback is critical, taking, or recommending positive action
- e) Respecting confidentiality
- f) Where there are barriers to understanding, providing alternative forms of communication
- g) Ensuring that presentation of information complies with organisational policies, and procedures and legal requirements

#### Occupational Context

##### 1 Communication

- use of correct terminology
- use of plain English

##### 2 Feedback

- formal/ informal
- written/ verbal
- documented/ recorded
- covertly communicated/ publicly announced

#### Knowledge Requirements

*You need to know and understand how to:*

- Communicate clearly and concisely
- Use proper terminology
- Accept feedback

*You need to know about:*

- The audience's level of knowledge
- The organisations policies, procedures and legal requirements

**AK2    Contribute to advances in the body of knowledge and archaeological practice**

**AK2.2    Exploit opportunities to broaden the public's understanding of the historic environment**

**Required Skills**

*You should demonstrate:*

- Communication: in an appropriate way for each target audience
- Presentation and interpretation

**Evidence Required**

*You should provide evidence that you can exploit opportunities to broaden the public's understanding of the historic environment*

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

- exploit opportunities to broaden the public's understanding of the historic environment.

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

**Evidence Rules**

The candidate should have been involved in contributing to advances in the body of knowledge and archaeological practice

## AK2 Contribute to advances in the body of knowledge and archaeological practice

### AK2.3 Enable others to learn and benefit from one's experience

#### Performance Required

*This will involve:*

- a) identifying and agreeing individual and group learning needs and making adequate and appropriate **opportunities** available
- b) identifying, selecting and summarising relevant and up to date information in a format suitable for dissemination and the development of learning materials
- c) giving **learners** appropriate assistance, advice and coaching to enable them to identify their current level of competence and their key learning needs and targets
- d) selecting and applying appropriate **learning techniques and methods** which are suitable to the topic and the needs of learners
- e) providing information to **learners** in relevant contexts and presenting in a pace, style and form which is appropriate to the needs of the learner
- f) encouraging **learners** to ask questions, seek clarification and advice in situations where their current competence is inadequate to achieve targets and during learning activities
- g) regularly reviewing progress towards agreed objectives and giving **learners** realistic and positive feedback on their achievements
- h) identifying and agreeing areas in which **learners** require resources to achieve agreed competence levels and incorporating these into a development plan

#### Occupational Context

##### 1 Opportunities:

- paid time
- personal time
- office
- schools
- site, group and mutual collaboration

##### 2 Learners:

- colleagues
- trainees entering the profession
- junior colleagues
- students

##### 3 Learning techniques and methods may include:

- attending training and educational programmes
- coaching
- mentoring
- instructing
- agreeing work based learning opportunities

#### Knowledge Requirements

*You need to know and understand how to:*

- Identify adequate and appropriate learning opportunities and areas in which learners require resources to achieve agreed competence levels and produce development plans
- Identify, select and summarise relevant and up to date information
- Select and apply appropriate learning techniques and methods
- Advise and coach learners
- Present information in an appropriate pace, style and form
- Review progress and give realistic and positive feedback

*You need to know about:*

#### Resources

- Sources of relevant and up to date information to support learning needs

**AK2    Contribute to advances in the body of knowledge and archaeological practice**

**AK2.3    Enable others to learn and benefit from one's experience**

**Required Skills**

*You should demonstrate:*

- Evaluative and analytical skills
- Coaching
- Giving feedback

**Evidence Required**

*You should provide evidence that you can enable others to learn and benefit from one's experience*

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

- enable others to learn and benefit from one's experience

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

**Evidence Rules**

The candidate should have been involved in contributing to advances in the body of knowledge and archaeological practice



## **Unit AK3          Develop your own resources and protect the interests of others**

**AK3.1   Develop yourself to improve your performance**

**AK3.2   Manage your own time and resources to meet your objectives.**

**AK3.3   Contribute to the protection of individual and community interests**

### **Unit Commentary**

This unit is about developing your own knowledge and skills and managing your time and other resources so that you can meet your objectives. In order to develop yourself to improve your performance, you need to assess your current performance, identify, plan and take action to meet your development needs. You also need to update your development plans in the light of your improved performance and changing circumstances. To manage your own time and resources to meet your objectives, you need to agree and prioritise your objectives, plan your time, delegate responsibilities to others, take decisions, and review and reschedule your activities as appropriate. To protect the interests of others you need to be fully aware of the legal and ethical standards that apply to archaeological practice and of your own responsibilities as a professional practitioner

## AK3 Develop your own resources

### AK3.1 Develop yourself to improve your performance

#### Performance Required

*This will involve*

- a) **assessing** your performance and identifying your development needs at appropriate intervals
- b) basing your assessment on your current objectives and likely **future requirements**
- c) ensuring that your assessment takes account of the skills you need to work effectively with other team members
- d) ensuring that your plans for personal development are consistent with the needs you have identified and the resources available
- e) ensuring that your plans for personal development contain specific, measurable, realistic and challenging objectives
- f) obtaining support from **relevant people** to help you create learning opportunities
- g) undertaking development activities which are consistent with your plans for personal development
- h) obtaining feedback from relevant people and using it to enhance your performance in the future
- i) updating your plans for personal development at appropriate intervals.

#### Occupational Context

##### 1 Assessments take account of:

- work objectives
- personal objectives
- organisational policies and requirements.

##### 2 Future requirements

- for information
- for technology
- for learning, education
- for training and skills
- for professional development

#### 3 Relevant people

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

#### Knowledge Requirements

*You need to know and understand how to:*

- Assess your own current level of competence
- Develop a personal action plan for learning and self-development with realistic but challenging objectives
- Identify the need for support, select an appropriate source and obtain required help
- Assess your personal progress and update your plans accordingly.

*You need to know about:*

Communication

- The importance of getting feedback from others on your performance and how to encourage, enable and use such feedback in a constructive manner.

Management competence

- The principal skills required for effective managerial performance
- The types of interpersonal skills required for effective team work.

Organisational context

- The current and likely future requirements and standards within your job role and how they correspond to your level of competence as a manager
- Appropriate people from whom to get feedback on your performance.

Training and development

- The importance of continuing self-development to managerial competence
- The types of support which may be available from your team members, colleagues, line managers and specialists
- The types of development activities and their relative advantages and disadvantages to your own situation

### **AK3 Develop your own resources**

#### **AK3.1 Develop yourself to improve your performance**

##### **Required Skills**

*You should demonstrate:*

- Self assessment
- Critical evaluation of performance

##### **Evidence Required**

*You should provide evidence that you can develop yourself to improve your performance*

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

- develop yourself to improve your performance

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

Documentary evidence may be presented in the form of a personal development plan, appraisal documentation, etc.

##### **Evidence Rules**

N/A

### AK3 Develop your own resources

#### AK3.2 Manage your own time and resources to meet your objectives.

##### Performance Required

*This will involve*

- a) ensuring that your objectives are specific, measurable and achievable within **organisational constraints**
- b) prioritising your objectives in line with organisational objectives and policies
- c) planning your work activities so that they are consistent with your objectives and your **personal resources**
- d) ensuring that your estimates of the time you need for activities are realistic and allow for unforeseen circumstances
- e) **delegating** work to others in a way which makes the most efficient use of available time and resources
- f) taking decisions as soon as you have sufficient information
- g) ensuring that when you need further information to take decisions, taking prompt and efficient measures to obtain it
- h) minimising unhelpful interruptions to, and digressions from, planned work
- i) regularly reviewing progress and reschedule activities to help achieve your planned objectives.

##### Occupational Context

###### 1 Organisational constraints

- policy
- resources
- developmental capacity
- legal/ political/ ethical/ social/ economic

###### 2 Personal resources

- time
- financial
- work-life balance
- energy
- skills and expertise

###### 3 Delegate to

- team members
- colleagues working at the same level as yourself
- support staff where appropriate
- people outside your organisation

### AK3 Develop your own resources

#### AK3.2 Manage your own time and resources to meet your objectives.

##### Knowledge Requirements

*You need to know and understand how to:*

- Delegate work to others and monitor progress.
- Assess how much information is required before an effective decision can be taken
- Collect and check the validity of the information required for decision-making.
- Set objectives for yourself which are specific, measurable and achievable
- Plan activities so that they are consistent with known priorities and your own resources
- Estimate the amount of time required to carry out planned activities
- Identify and minimise unhelpful interruptions to planned work.

*You need to know about:*

Monitoring and evaluation

- The importance of regular reviews of activity and rescheduling of work to achieve planned objectives.

Planning

- The kind of contingencies which may occur and how to assess and plan for these.

Time management

- The importance of effective time management to managerial competence

##### Required Skills

*You should demonstrate:*

- Time management
- Delegation
- Self assessment
- Planning and organisation
- Resource management

##### Evidence Required

*You should provide evidence that you can manage your own time and resources to meet your objectives*

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

- manage your own time and resources to meet your objectives

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

##### Evidence Rules

N/A

## AK3 Develop your own resources and protect the interests of others

### AK3.3 Contribute to the protection of individual and community interests

#### Performance Required

*This will involve*

- a) Complying with best practice and legal and ethical standards in the planning and conduct of archaeological activities
- b) Ensuring that agreements and transactions for services conform to legal requirements, **ethical standards** and **recognised good practice**
- c) Ensuring that the needs of parties collaborating in archaeological activities are balanced against the interests and preferences of the wider community
- d) Ensuring that the interests and well being of self and others directly or indirectly affected by activities are properly **protected**
- e) Ensuring that sources of information and opinion used to inform research and analysis are investigated critically
- f) Ensuring that judgements and advice are sound and justifiable and based on current information and valid and reliable criteria
- g) Taking clear and unequivocal responsibility for personal decisions
- h) Complying with legal requirements and ethical standards relating to intellectual property and in obtaining, using and passing on information of a sensitive personal or confidential commercial nature.
- i) Conducting interactions in a manner which avoids **conflicts of interest** and maintains your own independence and maximises the goodwill and trust of others in yourself and those you represent

#### Occupational Context

- 1 The application of **ethical standards** concerns the ability to:
  - situate your behaviour in the context of principles of relation and obligation
  - recognise norms of consistency in matters of intention, description and action
  - evaluate the field of occupational practice in moral terms
- 2 Sources of **recognised good practice**:
  - codes of practice within the occupation
  - discipline;
  - statute law
  - voluntary codes of practice
  - duty of care
- 3 **Conflicts of Interest**:
  - offers which may result in adverse conditions to other individuals or the community
  - offers which involve the financial interest of the practitioner
  - the practitioner's family or friends
- 4 Systems for **protection of interest**:
  - insurance against risk
  - professional indemnity insurance
  - guarantees, warranties
  - contract conditions

### AK3 Develop your own resources

#### AK3.3 Contribute to the protection of individual and community interests

##### Knowledge Requirements

*You need to know and understand*

Principles and law relating to:

- conflicts of interest
- ethical practice
- duty of care
- contracts (inc warranties and guarantees)
- intellectual property
- confidentiality and protection of information

Facts about:

- Contracts, agreements and offers
- Codes of professional conduct
- Insurances(hazards, business risk, professional risk)
- Data Protection Act
- Intellectual Property
- Copyright

##### Required Skills

N/A

##### Evidence Required

*You should provide evidence that you can contribute to the protection of individual and community interests*

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

- Maintain ethical standards
- Use sources of recognised good practice:
- Deal with conflicts of Interest:
- Employ systems for protection of interest:

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

##### Evidence Rules

N/A