



**Unit CM1    Establish communication with stakeholders and agree contract for coaching or mentoring**

**Stakeholders** may include the company or organisation employing the Coach or Mentor, the manager or supervisor of the person receiving the coaching or mentoring, that person's manager or supervisor, and the coachee or mentee themselves.

**Coachee or Mentee** is the person receiving the coaching or mentoring.

This Unit is for a Coach or Mentor in a work environment who negotiates formal agreements with the stakeholders who will agree the terms of the contract on the coaching or mentoring to be delivered to the individuals other than those who are in a direct reporting or accountability relationship with the Coach or Mentor.

**Element 1.1    Establish communication with stakeholders**

<b>You must be able to:</b>	<b>You must know:</b>
1. Introduce the coaching or mentoring service to stakeholders	a) the range of possible stakeholders and the importance of including them in initial discussions b) ways to introduce and explain the nature of the coaching or mentoring service to the stakeholders in different contexts c) ways to ensure the stakeholders understand the service, its potential benefits, and also boundaries and limitations d) what other support services exist and how to ensure that you work within your own competencies and do not cross other professional boundaries e) the range of health, safety and welfare issues in relation to working with the stakeholders
2. Encourage stakeholders to express their requirements through the use of appropriate communication skills	f) ways to use communication skills to assist stakeholders to express their requirements g) the range of communication styles and preferences of stakeholders and how to meet them h) what difficulties can occur when stakeholders express their requirements and how to address these i) ways to create an environment that will assist stakeholders to express their requirements j) what constitutes a safe environment for Coaches or Mentors and stakeholders



<p>3. Minimise the effect of any difficulties with communication</p>	<ul style="list-style-type: none"> <li>k) what the difficulties with, and barriers to, communication could be</li> <li>l) how to minimise the effect of any difficulties or barriers to communication</li> <li>m) support available for minimising the effect of communication difficulties, and who can provide this</li> </ul>
<p>4 Identify any situations where immediate action may be required to assist stakeholders and take appropriate action</p>	<ul style="list-style-type: none"> <li>n) what type of situations might occur that require immediate action</li> <li>o) what actions should be taken to deal with different situations</li> </ul>
<p>5 Provide sufficient information in appropriate styles and formats to assist stakeholders to decide whether their requirements can be met by the coaching or mentoring service</p>	<ul style="list-style-type: none"> <li>p) what type of information may be suitable to different stakeholders and the most appropriate style or format for presenting it to them</li> <li>q) how different types of information assist stakeholders to decide whether they can be helped by the coaching or mentoring service</li> </ul>
<p>6 Clarify the nature, extent and conditions of confidentiality with stakeholders and get their commitment to this</p>	<ul style="list-style-type: none"> <li>r) the boundaries of confidentiality in terms of any organisational policy, legal requirements, coaching or mentoring</li> <li>s) how to explain these to the stakeholders in a way that ensures their agreement or disagreement is based on a full understanding</li> <li>t) why it is important to make stakeholders aware of the limits of confidentiality</li> </ul>
<p>7 Provide information on other services that might be more suitable for meeting their requirements</p>	<ul style="list-style-type: none"> <li>u) the range of other services available</li> <li>v) what is offered by other services</li> </ul>



**Unit CM1    Establish communication with stakeholders and agree contract for coaching or mentoring**

**Element 1.2    Explore outcomes and expectations with stakeholders**

<b>You must be able to:</b>	<b>You must know:</b>
<p>1. Explore and clarify stakeholders' expectations of the coaching or mentoring process</p>	<p>a) ways to affirm the significance of what stakeholders say by checking understanding; summarising for clarification; reflecting back their statements</p> <p>b) ways to explore and clarify stakeholders' expectations and their reasons for requesting the coaching or mentoring service, using communication skills</p> <p>c) ways to clarify their expectations of the timescales involved</p> <p>d) ways to explore and discuss the concerns that stakeholders may have about the coaching or mentoring process, their readiness to engage in the process, and their level of involvement</p> <p>e) ways to recognise and address any concerns or misunderstandings</p>
<p>2. Clarify the coaching or mentoring outcomes aspired to by the stakeholders and how they will be measured</p>	<p>f) ways to discuss, clarify and agree outcomes which may include learning, development and/or job-related performance improvements, that meet the requirements of the stakeholders and can be achieved through the coaching or mentoring process</p> <p>g) what methods can be used to measure outcomes</p>
<p>3. Identify factors that may affect the achievement of an outcome</p>	<p>h) ways to assess the coachee or mentee's readiness to benefit from the process</p> <p>i) what factors may affect the achievement of an outcome</p> <p>j) which factors may be capable of being changed or overcome</p> <p>k) what action to take if the coachee or mentee is not likely to benefit from the process</p>
<p>4. Identify and agree the resources needed to achieve the outcomes</p>	<p>l) what resources are needed throughout the timescale of the process</p>



---

5. Clarify with stakeholders the commitment you both have to the process

m) ways to clarify commitment

---



**Unit CM1    Establish communication with stakeholders and agree contract for coaching or mentoring**

**Element 1.3    Agree the contract with stakeholders**

<b>You must be able to:</b>	<b>You must know:</b>
1. Explain the ethics and values of your coaching or mentoring to the stakeholders and gain their understanding and acceptance	a) ways to explain the ethics and values of your code of practice, including confidentiality, equal opportunities, recognising diversity, access policies, and any specific focus of the coaching or mentoring service
2. Agree the boundaries of the contract for the coaching or mentoring with stakeholders	b) what the boundaries are likely to be regarding: confidentiality and sharing of information, financial and legal aspects, timescales, contact arrangements, the responsibility of coachee or mentee for their own actions, limits of authority, and procedures for signposting to alternative services
3. Agree methods of working within the contract for the coaching and mentoring process	c) the range of methods of working, the tasks and activities for coachees or mentees, the range of techniques that may be used, the balance and structure of the coaching or mentoring sessions, and the criteria for determining the most suitable d) what should be included in the arrangements including the length of time agreed for the achievement of outcomes, and the frequency and duration of sessions e) ways sessions can be confirmed and by whom
4. Agree how the coaching and mentoring process will be monitored, reviewed and concluded	f) what methods and benchmarks can be used to monitor and review the process g) ways to establish and agree evaluation methods with stakeholders h) ways to establish and agree a review schedule with stakeholders i) how and when the process can be concluded



---

5. Review the agreements made to ensure that they are realistic and that their possible consequences are understood by stakeholders

- j) ways to clarify and agree expectations, outcomes, and methods of working
- k) ways to review and confirm the agreements
- l) ways to discuss and review with stakeholders what the possible consequences of the coaching or mentoring might be

---

6. Agree the terms of the contract

- m) the range of issues that might be included in the terms of the contract and the criteria for determining what is appropriate
-



**Unit CM2 Work within organisational policies, procedures and ethical frameworks for coaching and mentoring**

This Unit is to ensure that the Coach or Mentor knows, can describe and understands the relevant organisational policies, procedures and the ethical framework they are working within and can demonstrate how they underpin and are reflected throughout their work as a Coach or Mentor in a work environment.

**Element 2.1 Ensure own work reflects relevant organisational policies, procedures and ethical frameworks**

**You must be able to:**

**You must know:**

<p>1. Demonstrate how your work reflects relevant organisational policies, procedures and ethical frameworks</p>	<p>a) the relevant organisational policies, procedures and ethical frameworks within your occupational setting</p> <p>b) how your work can reflect adherence to, or conflict with, the relevant organisational policies, procedures and ethical frameworks</p>
<p>2. Monitor and review the effect of own values, beliefs, attitudes, and behaviours on their coaching or mentoring</p>	<p>c) own values, beliefs, attitudes, and behaviours</p> <p>d) ways own values, beliefs, attitudes, and behaviours impact on practice</p>
<p>3. Monitor and review the impact of the limits of own experience, competence and knowledge when working</p>	<p>e) the limits of own experience, competence, and knowledge</p> <p>f) ways the limits of own experience, competence, and knowledge impact on practice</p> <p>g) criteria for determining when to withdraw from working with the individual if own competence is compromised</p> <p>h) who can provide support when own limits are exceeded</p> <p>i) criteria for determining when own limits are reached, how to withdraw from working with individuals and recognise when it may be appropriate to seek support, advice or guidance</p> <p>j) ways to identify and explore own emotional issues</p>
<p>4. Identify and manage any conflicts between relevant organisational policies, procedures, ethical requirements and work requirements where appropriate</p>	<p>k) what types of conflict between relevant organisational policies, procedures, ethical requirements and work requirements might occur</p> <p>l) what actions should be taken to manage</p>



---

such conflicts

- 
- |  |  |
|--|--|
| 5. Exchange mutual support with colleagues to operate within the agreed relevant organisational policies, procedures, ethical codes of practice, and work requirements | m) what types of mutual support network can be developed |
|  | n) why it is important to provide mutual support         |
-



**Unit CM 3 Establish the working relationship with the coachee**

**Coachee** – the person receiving the coaching.

This Unit is about the Coach establishing the initial rapport with the coachee and exploring their understanding of how the coaching process will work.

**Element 3.1 Establish initial rapport with coachee**

<b>You must be able to:</b>	<b>You must know:</b>
1. Use communication skills to establish an initial rapport with the coachee	a) how to use appropriate questioning techniques, empathic and active listening, summarising and rephrasing of key points to demonstrate understanding, and the criteria for determining what is appropriate  b) the importance of body language as well as verbal statements in communicating what is thought and felt and why it is important to be aware of ways of interacting with others  c) ways to behave that are welcoming and respectful of others, and demonstrate non-judgemental acceptance of the coachee
2. Encourage the coachee to express their expectations of the coaching process	d) ways to encourage the coachee to express their expectations of the process
3. Explore with the coachee how they are likely to benefit from the process	e) ways to enable the coachee to assess the likely benefits of the process for them  f) what options are available for contact with the Coach



**Unit CM 3 Establish the working relationship with the coachee**

**Element 3.2 Jointly create the coaching agreement with coachee**

<b>You must be able to:</b>	<b>You must know:</b>
<ol style="list-style-type: none"> <li>1. Agree the personal contract with coachee</li> <li>2. Agree with coachee that the responsibility for change lies with them</li> </ol>	<ol style="list-style-type: none"> <li>a) what needs to be included in the personal contract between Coach and coachee which may include types of boundaries, limits of confidentiality, data protection, type, frequency and duration of contact, limits of authority, agreement to record coaching sessions on audio or video tape if appropriate</li> <li>b) when and why it may be necessary or appropriate to use audio or video taping of sessions</li> <li>c) ways to gain the coachee's understanding and agreement that the responsibility for change lies with them</li> </ol>
<ol style="list-style-type: none"> <li>3. Record contacts and agreements with coachee or mentee in appropriate systems</li> </ol>	<ol style="list-style-type: none"> <li>d) the organisation's systems for recording agreements</li> <li>e) why it is important to use the systems</li> </ol>
<ol style="list-style-type: none"> <li>4. Comply with all relevant legislation, codes of practice, policies and procedures, guidelines, and ethical requirements</li> </ol>	<ol style="list-style-type: none"> <li>f) what the relevant national, local, occupational, and organisational requirements are relating to equal opportunities, discrimination, health and safety, security, confidentiality, and data protection</li> <li>g) the ethical frameworks and standards which you are required to adhere to which may include your own, those of the coachee, and other stakeholders</li> <li>h) why it is important to comply with different requirements</li> <li>i) what the consequences are of not complying with different requirements</li> </ol>



**Unit CM4 Prepare for the Coaching session**

**Stakeholders** may include the company or organisation employing the Coach, the manager or supervisor of the person receiving the coaching, that person’s manager or supervisor, and the coachee themselves.

**Coachee** is the person receiving the coaching.

This Unit is about the Coach undertaking preparation for the coaching session in a work environment, and ensuring their own personal readiness.

**Element 4.1 Ensure own readiness for the Coaching session**

<b>You must be able to:</b>	<b>You must know:</b>
1. Refer to records of any previous interactions if appropriate	a) where and what type of records of any previous sessions or meetings are kept b) ways to assess whether you are complying with agreements, codes of practice, and legislation for confidentiality and data protection in the keeping of your records
2. Assist the coachee to identify the key issues or areas for discussion	c) ways to assist the coachee identify the key issues and areas for discussion from the outputs agreed with the stakeholders d) the range of communication skills and techniques you might use to identify and clarify the key issues and areas for discussion with the coachee
3. Assess which key issues it may be appropriate to address during the forthcoming coaching session	e) ways to assess the appropriateness and timeliness of issues for discussion
4. Plan for the coaching session	f) what the length of the session or meeting should be g) ways to plan to make best use of the time available h) what resources, materials or information you may need and how to obtain them



<p>5. Ensure that the environment assists the coaching session</p> <p>6. Identify any adverse environmental conditions and take appropriate action to minimise their impact</p>	<ul style="list-style-type: none"> <li>i) what environmental conditions will be conducive to safe and effective working with the coachee or mentee</li> <li>j) ways to influence the environmental conditions in which you will be working</li> <li>k) what constitutes a safe and supportive environment for self and for the coachee</li> <li>l) what conditions could have an adverse impact on interactions, including interruptions</li> <li>m) what actions can be taken to minimise their impact and the criteria for determining what is most appropriate</li> </ul>
<p>7. Ensure that all of the arrangements are in place, including an appropriate setting for the session or meeting</p>	<ul style="list-style-type: none"> <li>n) what the arrangements need to be and any procedures for confirming them</li> <li>o) ways to ensure that the setting is appropriate in terms of accessibility, suitability and safety</li> <li>p) ways to convey the arrangements to the coachee and criteria for determining the most appropriate time to do so</li> </ul>
<p>8. Assess your readiness for the coaching session</p>	<ul style="list-style-type: none"> <li>q) ways to assess your own readiness for the coaching session</li> <li>r) what factors may impede your readiness and how to overcome or minimise their impact</li> <li>s) what steps to take if you assess that you are not fully prepared</li> </ul>
<p>9. Ensure your own readiness to take part in the coaching session</p>	<ul style="list-style-type: none"> <li>t) what personal preparation can and needs to be undertaken</li> <li>u) why it is important to take time for personal preparation</li> <li>v) the ethical framework within the occupational setting</li> </ul>



**Unit CM5 Prepare for the Mentoring process**

**Element 5.1 Identify roles and resources**

**Stakeholders** may include the company or organisation employing the mentor, the manager or supervisor of the person receiving the mentoring, that person's manager or supervisor, and the mentee themselves.

**Mentee** is the person receiving the mentoring.

This Unit is about the Mentor undertaking preparation for the mentoring process in a work environment, ensuring that roles and resources needed are identified and planning has been undertaken for the forthcoming session.

<b>You must be able to:</b>	<b>You must know:</b>
<ol style="list-style-type: none"> <li>1. Explain your role and competence as a mentor in the workplace to the mentee</li> <li>2. Explain the activities that everyone involved in the mentoring process will perform</li> </ol>	<ol style="list-style-type: none"> <li>a) what the role of the Mentor in the workplace might be</li> <li>b) ways to ensure the mentee understands the service, its potential benefits, and also boundaries and limitations</li> <li>c) the differences between mentoring and other support services and how to ensure you do not overstep your boundaries of competence</li> <li>d) your own limitations and strengths</li> <li>e) what the activities will be</li> <li>f) who will perform the activities</li> </ol>
<ol style="list-style-type: none"> <li>3. Familiarise yourself with the policies, culture and procedures in the workplace relevant to the mentoring context</li> <li>4. Agree with mentee their responsibility for their own development</li> <li>5. Confirm with mentee their responsibility for making decisions about their own development</li> </ol>	<ol style="list-style-type: none"> <li>g) the policies, culture and procedures in the workplace relevant to the mentoring context</li> <li>h) ways in which the context influences or underpins the mentoring role and process</li> <li>i) ways to agree with the mentee their responsibility for their own development</li> <li>j) what the health, safety and welfare issues may be in relation to working with the stakeholders</li> </ol>
<ol style="list-style-type: none"> <li>6. Identify how mentoring can contribute to the mentee's learning and development goals</li> </ol>	<ol style="list-style-type: none"> <li>k) ways mentoring can contribute to the mentee's development</li> </ol>
<ol style="list-style-type: none"> <li>7. Identify the resources and facilities needed to perform the role as a Mentor</li> </ol>	<ol style="list-style-type: none"> <li>l) what resources are available</li> <li>m) what resources are needed</li> <li>n) ways to access or acquire the resources needed</li> </ol>



<p>8. Clarify the relationship between the Mentor, the mentee, and others in the organisation.</p>	<ul style="list-style-type: none"> <li>o) what people are involved</li> <li>p) what their roles are</li> <li>q) what the relationships between them are</li> </ul>
<p>9. Identify sources of information and support to help you in the role as Mentor.</p>	<ul style="list-style-type: none"> <li>r) what sources of information and support are available</li> <li>s) what additional sources of information and support may be helpful</li> <li>t) ways to access or acquire the resources needed</li> </ul>
<p>10. Clarify the nature, extent and conditions of confidentiality with the mentee and get their commitment to this</p>	<ul style="list-style-type: none"> <li>u) the boundaries of confidentiality in terms of any organisational policy, legal requirements, or mentoring</li> <li>v) ways to explain these to the mentee in a way that ensures their agreement or disagreement is based on a full understanding</li> <li>w) why it is important to make the mentee aware of the limits of confidentiality</li> </ul>



**Unit CM5 Prepare for the Mentoring process**

**Element 5.2 Plan and prepare for the Mentoring session**

<b>You must be able to:</b>	<b>You must know:</b>
1. Work within an agreed ethical framework	a) what the ethical framework is b) ways to discuss, explain, clarify and agree the ethical framework c) your own role and responsibilities towards the mentee
2. Refer to records of any previous interactions 3. Identify the mentee's goals, issues and areas for discussion 4. Plan when, where and how often the mentoring sessions should take place	d) where and what type of records of any previous sessions or meetings are kept e) criteria for assessing whether you are complying with agreements, codes of practice, and legislation for confidentiality and data protection in the keeping of your records f) what communication skills and techniques you might use to identify and clarify the goals, key issues and areas for discussion with the mentee g) criteria for assessing the frequency and duration of sessions required h) ways to plan the frequency and duration of sessions
5. Ensure a suitable environment for mentoring 6. Identify any adverse environmental conditions and take appropriate action to minimise their impact	i) what environmental conditions will be conducive to safe and effective working with the mentee j) ways to influence the environmental conditions in which you will be working k) what constitutes a safe and supportive environment for self and for the mentee l) what conditions could have an adverse impact on interactions, including interruptions m) what actions can be taken to minimise their impact
7. Ensure information, documents, and/or activities which will help the mentee in the early stages of the mentoring have been prepared	n) what information, documents and / or activities would be helpful



<b>Unit CM6</b>	<b>Set up and maintain the Mentoring relationship</b>
<b>Element 6.1</b>	<b>Agree expectations, boundaries, and level of support</b>

**Stakeholders** may include the company or organisation employing the Mentor, the manager or supervisor of the person receiving the mentoring, that person's manager or supervisor, and the mentee themselves.

**Mentee** is the person receiving the mentoring.

This Unit is about the Mentor in a work environment agreeing expectations, boundaries and levels of support with the mentee, and how the mentoring relationship will be maintained.

<b>You must be able to:</b>	<b>You must know:</b>
1 Agree with mentee the frequency of the mentoring sessions	<ul style="list-style-type: none"> <li>a) ways to negotiate and agree sessions</li> <li>b) what the arrangements need to be and any procedures for confirming them</li> <li>c) ways to ensure that the setting is appropriate in terms of accessibility, suitability and safety</li> <li>d) ways to convey the arrangements to the mentee and criteria for determining when to do so</li> </ul>
2 Behave in a way that shows you accept the mentee you are supporting	<ul style="list-style-type: none"> <li>e) ways to behave that are welcoming and demonstrate non-judgemental acceptance of the mentee</li> <li>f) the potential impact of own attitudes and behaviours on your work with the mentee</li> <li>g) ways of combating bias and stereotyping</li> </ul>



<p>3. Discuss, explain and agree the roles and expectations involved in the mentoring relationship</p> <p>4. Explain the limits and boundaries of available support</p> <p>5. Ensure that the mentee's learning and development needs and aspirations are jointly identified and agree</p> <p>6. Support the mentee is assessing their own strengths and weaknesses and identify how these may be addressed</p>	<p>h) what the expectations might be</p> <p>i) ways to reach agreement about the mentee's expectations, developmental needs and goals</p> <p>j) how prior achievements, experience and learning influence current and future choices</p> <p>k) communication skills including active listening and be able to apply them in different contexts with mentees</p> <p>l) ways to adapt approaches to meet the needs of the mentee</p> <p>m) your own limitations and appropriate sources of additional support</p>
<p>7. Agree the aims of the mentoring process and the rules that you both will work within</p>	<p>n) what the aims might be</p> <p>o) ways to reach agreement about rules</p>
<p>8. Agree the mentoring support which will help the mentee meet their developmental needs and goals</p> <p>9. Agree with the mentee their ownership and responsibility for decision making</p>	<p>p) what the mentoring support might be</p> <p>q) ways the mentee can meet their developmental needs and goals</p> <p>r) ways to gain the mentee's understanding and agreement of their ownership and responsibility for decision making</p> <p>s) the advantages and disadvantages of different learning styles and how they can be applied in different contexts</p> <p>t) the learning and development resources available to the mentee</p>
<p>10. Agree a personal contract between the Mentor and the mentee which focuses on the development of the mentee, includes the personal boundaries of the mentoring relationship, strategies for ending each meeting and ending or redefining the mentoring relationship</p>	<p>u) ways to negotiate and agree a personal contract</p> <p>v) what the boundaries of the relationship might be including ethical, personal, professional, and contextual aspects</p> <p>w) ways boundaries can be maintained</p>
<p>11. Agree how feedback will be given and progress reviewed during the mentoring sessions</p>	<p>x) what the processes and methodologies for reviewing progress are</p>



**Unit CM6 Set up and maintain the mentoring relationship**

**Element 6.2 Maintain and review the mentoring relationship**

<b>You must be able to:</b>	<b>You must know:</b>
<ol style="list-style-type: none"> <li>1. Ensure that sufficient time is allocated for interactions with the mentee within organisational or operational constraints</li> <li>2. Encourage the mentee to explore and express issues and concerns, make comments or ask questions at their own pace</li> <li>3. Ensure that the medium, manner, level and pace of communication is appropriate to the mentee's abilities, personal beliefs, preferences and circumstances</li> </ol>	<ol style="list-style-type: none"> <li>a) factors that affect the establishment of rapport</li> <li>b) ways to put the mentee at ease including atmosphere, communication, privacy, active listening</li> <li>c) the importance of timing, frequency and locations of meetings and the criteria for determining what is appropriate</li> </ol>
<ol style="list-style-type: none"> <li>4. The interactions are regularly reviewed with the mentee to ensure the mentoring remains of assistance to them</li> <li>5. Conduct reviews of the mentoring relationship at the agreed times</li> </ol>	<ol style="list-style-type: none"> <li>d) ways to conduct reviews</li> <li>e) the importance of periodic reviews of the goals, targets and outputs</li> <li>f) monitoring and evaluation strategies and techniques for giving positive feedback</li> <li>g) the purpose of reviews and summative evaluation</li> </ol>
<ol style="list-style-type: none"> <li>6. Use reviews to identify and acknowledge the strengths or weaknesses in the mentoring relationship and any changes that are needed to improve its effectiveness</li> </ol>	<ol style="list-style-type: none"> <li>h) what the strengths of the mentoring relationship are and how to reinforce them</li> <li>i) ways to identify areas for improvement and deal with these</li> <li>j) methods for encouraging and maintaining the mentee's motivation and self-esteem</li> <li>k) ways to give constructive feedback</li> <li>l) how physical, environmental, linguistic, social or cultural constraints can affect communication and how these may be addressed</li> <li>m) ways to identify, clarify and agree how the mentoring relationship should be redefined or changed</li> <li>n) ways to change the relationship with mentees to improve their effectiveness</li> </ol>



<p>7. Ensure the mentee understands any resource limitations of the mentoring relationship</p>	<ul style="list-style-type: none"> <li>o) ways to ensure that any differences between these limitations and the mentee's requirements are managed positively and sensitively</li> <li>p) what the resource constraints are and how they affect the mentee's progress towards goals</li> </ul>
<p>8. Identify when the mentoring relationship has reached its natural end, and review the outcomes with the mentee</p>	<ul style="list-style-type: none"> <li>q) ways to recognise when the mentee may want to end the meeting or relationship</li> <li>r) ways to affirm the mentee's autonomy by the ending of the mentoring process</li> <li>s) review and mutually agree a summary of the interactions between the mentee and the Mentor and any next steps agreed</li> </ul>
<p>9. Agree what further support or help the mentee may need, and plan with them how it can be accessed</p>	<ul style="list-style-type: none"> <li>t) about procedures for signposting to additional or alternative sources of support</li> <li>u) when it is appropriate to signpost mentee to other sources of support</li> </ul>
<p>10. Maintain records of interactions in appropriate systems and formats</p>	<ul style="list-style-type: none"> <li>v) why it is important to use appropriate systems and accessible formats</li> </ul>



**Unit CM7 Explore goals and options with Coachee or Mentee**

This Unit is about the Coach or Mentor exploring goals and options for achieving them with the coachee or mentee in a work environment

**Element 7.1 Assist coachee or mentee to clarify their goals**

<b>You must be able to:</b>	<b>You must know:</b>
1. Use appropriate language and pace of communication for the coachee or mentee	a) what constitutes appropriate language and pace of communication for interactions with individual coachees or mentees
2. Encourage the coachee or mentee to discuss their aspirations, goals, motivation, their priorities and their ideas for achieving them	b) what the relevant models of good practice are for assisting individuals to clarify their goals and motivation
3. Work with the coachee or mentee to identify specific goals	c) what communication skills to use to enable the coachee or mentee to identify specific goals
4. Enable the coachee or mentee to explore alternatives to achieve their goals	d) ways to encourage coachee or mentee to express their aspirations e) ways to enable the coachee or mentee to assess the realism of the goals and alternatives for achieving them
5. Identify with the coachee or mentee their current position in relation to their proposed goals	f) ways to assist the coachee or mentee determine their goals
6. Assist coachee or mentee to identify any potential barriers to the achievement of goals	g) ways to assist the coachee or mentee to modify goals to make them more achievable h) ways to assist the coachee or mentee to identify barriers and potential ways of overcoming them i) how the coachee or mentee's current position may affect the achievement of their goals
7. Review and confirm goals with the coachee or mentee	j) ways to clarify goals with the coachee or mentee k) why it is important to clarify and confirm goals with coachees and mentees
8. Identify any situation where immediate action may be required to assist coachees or mentees	l) what type of situations may occur that require immediate action m) what actions could be taken to deal with different situations
9. Identify and agree development goals that cannot be met by the coaching or mentoring process and facilitate access to additional or alternative sources of support	n) what additional or alternative sources of support could assist the coachee or mentee



- 
10. Work with the coachee or mentee to establish priorities for achieving their goals
- o) ways to help establish priorities
-



**Unit CM7 Explore goals and options with Coachee or Mentee**

**Element 7.2 Explore a range of options with coachee or mentee for achieving their goals**

<b>You must be able to:</b>	<b>You must know:</b>
<ol style="list-style-type: none"> <li>1. Encourage the coachee or mentee to explore their decision making process</li> <li>2. Review coachee or mentee's priorities to identify their current requirements in relation to the agreed overall outcomes and expectations</li> </ol>	<ol style="list-style-type: none"> <li>a) what barriers could affect the coachee or mentee's decision making</li> <li>b) ways to support the coachee or mentee in their decision making process</li> <li>c) ways to review the coachee or mentee's priorities in relation to the overall agreed outcomes</li> </ol>
<ol style="list-style-type: none"> <li>3. Assist the coachee or mentee to identify a suitable range of options for achieving their goals</li> <li>4. Assist the coachee or mentee to consider all the information available which may be used to inform their decisions including applying prior learning</li> <li>5. Assist the coachee or mentee to identify potential courses of action for meeting their goals and needs</li> <li>6. Explore the potential consequences, advantages, and disadvantages of the options with the coachee or mentee</li> <li>7. Enable the coachee or mentee to identify and consider potential barriers to achievement and ways of overcoming them</li> <li>8. Affirm coachee's or mentee's ownership and responsibility for their decisions</li> <li>9. Assist the coachee or mentee to identify the resources that may be required to carry out the course(s) of action</li> </ol>	<ol style="list-style-type: none"> <li>d) ways to assist the coachee or mentee identify and consider the range of information that is available to them</li> <li>e) ways to assist the coachee or mentee to explore different options to achieve their goals</li> <li>f) ways to assist coachees or mentees to identify potential courses of action</li> <li>g) ways to enable coachees or mentees to identify and assess the impact of potential courses of action</li> <li>h) ways to enable coachees or mentees to decide how to overcome potential barriers to achieving goals</li> <li>i) why it is important to confirm the coachee or mentee's ownership and responsibility for their decisions</li> <li>j) ways to assist the coachee or mentee to identify resources they may need and whether they are available to them</li> <li>k) ways to assess what the implications are for the stakeholders if the coachee or mentee needs to access resources</li> </ol>
<ol style="list-style-type: none"> <li>10. Encourage the coachee or mentee to reflect on their chosen options to achieve their goals</li> <li>11. Summarise the course of action and agree next steps with the coachee or mentee</li> <li>12. Record summaries of the interaction and agreements in appropriate systems</li> </ol>	<ol style="list-style-type: none"> <li>l) ways to encourage and enable the coachee's or mentee's reflection on their chosen option(s)</li> <li>m) ways to summarise the course of action appropriately with the coachee or mentee</li> <li>n) what the systems are for recording summaries, agreements and interactions</li> <li>o) why it is important to use the systems</li> </ol>



**Unit CM8 Enable coachee or mentee to progress towards goals**

**Stakeholders** may include the company or organisation employing the Coach or Mentor, the manager or supervisor of the person receiving the coaching or mentoring, that person's manager or supervisor, and the coachee or mentee.

**Coachee or mentee** is the person receiving the coaching or mentoring.

This Unit is about the Coach or Mentor assisting the coachee or mentee to decide what actions they are going to take to progress towards their goals, and support them in implementing their action plan.

**Element 8.1 Enable coachee or mentee to develop an action plan**

<b>You must be able to:</b>	<b>You must know:</b>
1. Confirm with the coachee or mentee the course(s) of action that has been chosen	a) ways to confirm the decisions of coachees or mentees with them b) why it is important to confirm the course of action
2. Assist the coachee or mentee to clarify and agree the potential stages, time scales, and any cost implications for the chosen course of action, and if appropriate gain the agreement of stakeholders	c) ways to assist the coachee or mentee identify the stages and time scales of different types of activity d) ways to assess with the coachee or mentee what any cost implications may be and if appropriate gain agreement of stakeholders
3. Discuss and agree with the coachee or mentee the expected outcomes for each stage of the chosen course of action	e) ways to assist the coachee or mentee assess how each stage contributes to achieving the overall goals
4. Assist the coachee or mentee to consider alternative strategies and contingencies	f) ways to assist the coachee or mentee to consider alternatives and plan for contingencies g) ways to assist coachee or mentee evaluate the impact of their chosen course of action h) a range of problem solving techniques
5. Assist the coachee or mentee to consider what types of information may be of use during the course of action	i) what types of information may be of use during different courses of action
6. Assist the coachee or mentee to formulate an action plan which clearly specifies the methods and time scale for achieving their goals	j) ways to ensure staged action plans relate to the outcomes and milestones to achieve the overall goals k) ways to assist the coachee or mentee decide what information should be incorporated in to the action plan



<p>7. Assist the coachee or mentee to identify outcomes and key stages in implementing the course of action</p> <p>8. Agree with the coachee or mentee that the responsibility for change lies with them</p>	<p>l) ways to ensure the action plan focuses on the coachee or mentee's goals, desired outcomes, and relevant learning needs</p> <p>m) ways to assist the coachee or mentee to assess the feasibility of the action plan</p> <p>n) what factors might affect the feasibility of the action plan</p> <p>o) ways to maintain the coachee or mentee's focus on solutions and outcomes while being responsive to their immediate concerns as they arise</p>
<p>9. Review the content of the action plan with the coachee or mentee</p>	<p>p) why it is important to review the action plan with the coachee or mentee</p>
<p>10. Agree the process for reviewing the implementation of the action plan</p> <p>11. Assist the coachee or mentee to consider any further activities that are necessary for them to achieve their goals</p>	<p>q) what processes can be used to review progress towards goals</p> <p>r) ways of reviewing the implementation process</p> <p>s) criteria for determining the method and frequency of reviewing the implementation process</p>
<p>12. Record the agreed action plan in appropriate systems and formats accessible to both the coach and coachee, or mentor and mentee</p>	<p>t) what the appropriate systems and formats are and how they can be accessed</p>



**Unit CM 8 Enable coachee or mentee to progress towards goals**

**Element 8.2 Support coachee or mentee in implementing the action plan**

<b>You must be able to:</b>	<b>You must know:</b>
1. Identify and prioritise with the coachee or mentee the key objectives and stages of the action plan	<ul style="list-style-type: none"> <li>a) ways to confirm the decisions of coachees or mentees</li> <li>b) why it is important to confirm the course of action</li> </ul>
2. Identify and explore with the coachee or mentee any potential difficulties in achieving the action plan	<ul style="list-style-type: none"> <li>c) how to assist the coachee or mentee identify potential difficulties in different courses of action</li> <li>d) ways to assist the coachee or mentee to address potential difficulties</li> </ul>
3. Identify and agree with the coachee or mentee potential methods for implementing the course of action	<ul style="list-style-type: none"> <li>e) what the methods for implementing different courses of action may be</li> <li>f) ways to encourage the coachee or mentee to apply their learning</li> </ul>
4. Enable coachees or mentees to select methods that are most likely to be effective	g) from experience what methods have proved effective in different circumstances and contexts
5. Agree with coachee or mentee the methods to be adopted	h) why it is important to agree the methods
6. Enable the coachee or mentee to provide a reasoned rationale for any significant changes to the action plan	<ul style="list-style-type: none"> <li>i) ways to enable the coachee or mentee to identify whether changes to the action plan might be required</li> <li>j) why it is important to provide a rationale for any changes to the action plan</li> </ul>
7. Enable the coachee or mentee to identify any requirements that cannot be met and establish alternative actions for dealing with them	k) ways to assist the coachee or mentee decide what other actions could be taken
8. Confirm the understanding of the coachee or mentee and agree for the implementation of the action plan to commence	<ul style="list-style-type: none"> <li>l) ways to confirm the understanding of coachees or mentees</li> <li>m) why it is important to reach agreement for the implementation to commence</li> </ul>
9. Support the coachee or mentee to begin implementing the action plan	<ul style="list-style-type: none"> <li>n) ways to support the coachee or mentee</li> <li>o) what types of support may be necessary and at what times or stages</li> </ul>



**Unit CM9 Give mentoring support**

This Unit is about giving mentoring support to the mentee in a work environment, including advice and guidance based on the Mentor's experience.

**Element 9.1 Give advice and guidance to support mentee**

**Stakeholders** may include the company or organisation employing the Mentor, the manager or supervisor of the person receiving the mentoring, that person's manager or supervisor, and the mentee themselves.

**Mentee** is the person receiving the mentoring.

You must be able to:	You must know:
1. Set aside enough time for each mentoring session	a) what time has been agreed in the mentoring contract b) ways to assess the time required for the mentoring sessions to be effective c) effective time management techniques
2. Encourage mentee to discuss any issues or problems affecting their development and any ideas or suggestions to address these	d) ways to encourage the expression of ideas and concerns e) when to use communication skills such as active and empathic listening, summarising and reflective questioning
3. Offer the mentee information, advice or guidance that will help them decide how to achieve their developmental goals	f) how to identify ways in which developmental goals can be achieved including consideration and application of prior learning g) ways to sequence and pace the flow of information to mentee h) how to provide information, advice or guidance in relevant formats i) ways to affirm the mentee's understanding of information provided j) ways to inform and enable the mentee's decision making processes
4. Identify opportunities with the mentee which helps them develop and improve performance.	k) ways to identify and evaluate opportunities with the mentee
5. Encourage and support the mentee to build professional networks	l) ways to suggest options to the mentee which are appropriate to their needs



- 
- |  |  |
|--|--|
| <ul style="list-style-type: none"><li>6. Support the mentee towards the achievement of developmental goals</li><li>7. Assist the mentee to identify when additional sources of information or support may be appropriate</li></ul> | <ul style="list-style-type: none"><li>m) ways to support mentee including improving decision making skills, developing confidence and self-esteem, building assertiveness</li><li>n) the range of relevant additional information which may be accessed</li><li>o) additional sources of support which may be appropriate and how the mentee can be signposted to them</li></ul> |
|--|--|
-



**Unit CM9 Give mentoring support**

**Element 9.2 Assist mentee to take responsibility for their development**

<b>You must be able to:</b>	<b>You must know:</b>
1. Give appropriate support to the mentee before, during and after an agreed course of action is implemented	a) what the agreed courses of action are b) what types of support the mentee needs and has agreed
2. Help the mentee identify problems and their critical features	c) ways to assist the mentee identify and clarify problem areas and issues d) ways to enable the mentee to prioritise problem areas and issues e) a range of appropriate questioning techniques and problem solving techniques
3. Identify, explore and resolve points of disagreement with the mentee in a manner which maintains an effective working relationship	f) ways to discuss, negotiate and resolve points of disagreement and maintain an effective working relationship g) techniques for conflict resolution and mediation h) ways to maintain an objective viewpoint
4. Assist the mentee to take responsibility for developing their skills and achieving their developmental goals 5. Assist the mentee to look at issues from an unbiased point of view that helps them make informed choices.	i) the importance of the mentee taking responsibility for the development of their skills j) ways to promote decision-making in a way which encourages the mentee's autonomy k) factors and pressures which impact on the mentee's ability to make informed decisions
6. Enable the mentee to identify opportunities to get experience in the workplace to increase their confidence and self-development.	l) what opportunities there might be m) ways the opportunities can be accessed n) who else would be involved in decision making about the mentee taking up these opportunities
7. Give the mentee honest, timely and constructive feedback in a positive manner	o) how to give feedback in a positive manner
8. Maintain records or interactions and agreements in appropriate systems and formats	p) why it is important to record interactions and agreements q) the appropriate systems and formats to use



**Unit CM 10 Review progress and achievements with coachee or mentee**

This Unit is about the Coach or Mentor reviewing progress and achievements with the coachee or mentee in a work environment, in relation to the coachee or mentee’s action plan for achieving their goals.

**Element 10.1 Review progress and achievements of the action plan with coachee or mentee**

<b>You must be able to:</b>	<b>You must know:</b>
1. Provide suitable opportunities for the coachee or mentee to review the progress and achievements of the action plan	a) the relevant models of good practice for assisting coachees or mentees to review their achievements b) how often progress and achievements should be reviewed c) what types of progress review should take place
2. Confirm the course of action that was taken	d) ways to establish the courses of action that were undertaken
3. Review the key objectives and stages of the course of action with the coachee or mentee	e) ways to review key objectives and stages
4. Identify and agree with the coachee or mentee the objectives and outcomes that have been achieved and those that have not	f) why it is important to identify achievements g) ways to identify the achievements h) what the indications are that objectives have not been achieved
5. Assist the coachee or mentee to review the suitability of the methods used to implement the course of action	i) which methods are used for implementing different courses of action j) why different methods might be suitable for different coachees or mentees k) what types of problems can be encountered by different coachees or mentees using different methods
6. Assist the coachee or mentee to identify the methods and actions that were most effective	l) ways to assess the effectiveness of different methods and actions m) which methods and actions can be effective for different coachees or mentees n) how to encourage the coachee or mentee to apply their learning
7. Assist coachee or mentee to identify issues faced during the implementation of the course of action and how these might be addressed	o) what types of issue could occur p) what actions can be taken to address them q) what the implications are of not



	addressing the issues
8. Provide suitable opportunities for coachees or mentees to obtain feedback on progress	<ul style="list-style-type: none"> <li>r) what the procedures are for checking progress</li> <li>s) how often progress should be reviewed</li> <li>t) what types of feedback should be provided</li> </ul>
9. Agree with coachee or mentee the next steps and actions to continue to progress towards goals	<ul style="list-style-type: none"> <li>u) ways to stimulate the coachee or mentee's thinking and decision making in identifying and agreeing next steps and actions</li> </ul>
10. Record progress reviews and the next steps and actions which have been agreed in appropriate systems	<ul style="list-style-type: none"> <li>v) what the appropriate system is</li> <li>w) why it is important to use the system</li> </ul>



**Unit CM 11 Record and maintain notes of interactions with coachee or mentee**

**Stakeholders** may include the company or organisation employing the Coach or Mentor, the manager or supervisor of the person receiving the coaching or mentoring, that person's manager or supervisor, and the coachee or mentee themselves.

**Coachee or Mentee** is the person receiving the coaching or mentoring.

This Unit is about the Coach or Mentor ensuring that records of interactions are made and notes are maintained

**Element 11.1 Record and maintain notes of interactions**

<b>You must be able to:</b>	<b>You must know:</b>
1. Record all key information about each interaction	a) what types of information should be recorded
2. Ensure records are accurate and contain an appropriate amount of detail	b) ways to confirm that records are accurate c) how much detail should be included for different types of interactions
3. Ensure records are structured in a way that provides a clear history of the process	d) how records should be structured
4. Ensure records are legible and clear	e) why it is important that records are legible and clear
5. Use relevant documentation, formats and systems for records	f) what the appropriate systems are for recording g) what the procedures are for using the systems h) why it is important to use the systems
6. Comply with all relevant legislation, codes of practice and guidelines, organisational policies and procedures, and ethical requirements	i) the relevant national, local, occupational, and organisational requirements that relate to equal opportunities, discrimination, health and safety, security, confidentiality, and data protection j) why it is important to comply with different requirements k) how to ensure that records are safe and secure l) what the consequences are of not complying with different requirements



**Unit CM12 Review and Reflect on the Coaching or Mentoring process**

This Unit is about the Coach or Mentor reviewing and reflecting on the coaching and mentoring process in the work environment

**Element 12.1 Monitor and Review the Coaching or Mentoring process**

<b>You must be able to:</b>	<b>You must know:</b>
1. Monitor progress at suitable times throughout the process	a) why it is important to monitor progress b) when it is suitable to monitor the process c) methodologies and techniques for assessment and evaluation
2. Review and compare stakeholders' perceptions of progress with your own	d) why perceptions of progress can differ e) what factors can occur to affect outcomes during the process f) the importance of comparing perceptions of progress
3. Identify and agree progress made and successes achieved through the process	g) ways to identify progress made h) ways to identify success achieved through the coaching or mentoring process
4. Identify and address any issues that have arisen during the process	i) what types of difficulty can emerge during the process
5. Monitor the nature and level of dependency, and maintain boundaries to keep focusing on the coachee or mentee's need and development	j) what range of options and actions can be taken to address them and the implications of not doing so
6. Within ethical and confidentiality guidelines, work with stakeholders to resolve any tension between their expectations of the process and the reality of the process in practice	k) what tensions can arise l) ways to work with the coachee or mentee to resolve tensions
7. Discuss and agree any necessary action required to facilitate further progress	m) what action may be necessary n) the importance of agreeing the necessary action o) ways to gain the agreement of stakeholders to further actions



**Unit CM12 Review and Reflect on the Coaching or Mentoring process**

**Element 12.2 Reflect on the Coaching or Mentoring process**

<b>You must be able to:</b>	<b>You must know:</b>
1. Review the purpose of the process with the coachee or mentee	a) the importance of reviewing the purpose of the process and how to conduct reviews
2. Reflect on the progress made towards the goals and how this was achieved	b) why it is important to reflect on progress
3. Explore with stakeholders the suitability of the methods used during the process	c) what methods were used during the process and why d) ways to explain to the stakeholders the rationale for using the selected methods e) ways to assess the suitability of the methods used
4. Recognise and reflect on stakeholders' contribution to the process 5. Reflect on and assess your own contribution to the process 6. Discuss and agree with stakeholders how their contribution to the process might become more effective	f) ways to recognise the dynamics of the relationship g) why it is important to be able to attribute own and stakeholders' contributions h) how your thoughts, feelings and emotional reactions may impact on the process i) how to manage your own issues and develop strategies to minimise their impact on the process and its outcomes j) ways to manage and maintain boundaries with other professions k) different models of reflection
7. Identify and reflect on any difficulties encountered during the process and the extent to which they have been resolved	l) what types of difficulty emerged and what actions were taken to address them m) what the implications are of not addressing them n) how resolving difficulties impacts on the process



**Unit CM13 Conclude and evaluate the coaching or mentoring process**

**Stakeholders** may include the company or organisation employing the Coach or Mentor, the manager or supervisor of the person receiving the coaching or mentoring, that person's supervisor or manager, and the coachee or mentee themselves.

**Coachee or Mentee** is the person receiving the coaching or mentoring.

This Unit is about how the Coach or Mentor concludes and evaluates the coaching or mentoring process in a work environment.

**Element 13.1 Manage the conclusion of the coaching or mentoring**

You must be able to:	You must know:
<ol style="list-style-type: none"> <li>1. Assess the appropriateness of ending the coaching or mentoring process</li> <li>2. Prepare self and coachee or mentee for the conclusion of the coaching or mentoring</li> </ol>	<ol style="list-style-type: none"> <li>a) ways to focus on ending including by acknowledging and permitting feelings of loss of support, re-affirming and maintaining boundaries, encouraging reflection on the processes, working with stakeholders to identify where the ending might be and when, dealing with conflicts over ending for you and the coachee or mentee, and inviting planning for the post-coaching or mentoring future as appropriate</li> </ol>
<ol style="list-style-type: none"> <li>3. Support the coachee or mentee to identify when the process is approaching its conclusion</li> <li>4. Support the coachee or mentee to recognise the significance and impact of the conclusion of the coaching or mentoring</li> </ol>	<ol style="list-style-type: none"> <li>b) ways to be aware of signs of ending including increasing and sustained coachee or mentee autonomy, realistic perceptions of you and the coaching or mentoring process and what it can and has achieved, and the coachee or mentee planning for the future independently</li> <li>c) ways the coachee or mentee can be supported to acknowledge change including by helping them to be aware of their progress to or towards original and revised agreed outcomes, issues worked through, personal growth, successes and failures, and met and unmet needs</li> </ol>
<ol style="list-style-type: none"> <li>5. Support coachee or mentee to identify, acknowledge and evaluate what is and is not changing, both in the coaching or mentoring relationship and in their situation and development</li> </ol>	<ol style="list-style-type: none"> <li>d) ways to use the ending process to enable the coachee or mentee to understand the nature and impact of earlier issues</li> <li>e) ways to identify unresolved issues and discuss any necessary further work</li> </ol>



---

6. Use the boundaries of the coaching or mentoring relationship to assist the conclusion of the process

f) ways to use the boundaries of the coaching or mentoring relationship to assist in bringing the process to a conclusion, re-asserting the nature of the contract, encouraging and reinforcing their ownership and responsibility for their decisions

---



**Unit CM 13      Conclude and evaluate the coaching or mentoring process**

**Element 13.2      Jointly evaluate outcomes with stakeholders**

<b>You must be able to:</b>	<b>You must know:</b>
1. Review the outcomes defined within the terms of the contract with stakeholders	a) what outcomes were defined and what was achieved
2. Review unintended outcomes with stakeholders”	b) ways to agree and confirm the achievement of the outcomes
3. Clarify and confirm any modifications to the outcomes during the process	c) what modifications were made d) what factors led to modifications of the outcomes during the process
4. Identify with the coachee or mentee any outcomes which have not been achieved and the reasons why	e) what prevented the achievement of outcomes and the impact of non-achievement f) ways these could be addressed
5. Recognise and acknowledge what other benefits have been gained from the process	g) ways to recognise and acknowledge any results which had not been pre-defined h) ways the process can bring about other non-defined benefits
6. Evaluate the overall skills and performance impact with the stakeholders	i) techniques and methodologies for impact assessment and evaluation
7. Confirm the conclusion of the coaching or mentoring process and contract with stakeholders	j) ways to clarify and agree the conclusion of the contract with stakeholders k) the appropriate systems for recording the interactions and agreements
8. Record the conclusion of the coaching or mentoring process and contract in appropriate systems	l) the procedures for the appropriate systems m) why it is important to use the systems n) what to do if agreement can't be reached



**Unit CM 14 Enable coachee or mentee to access alternative services**

**Stakeholders** may include the company or organisation employing the Coach or Mentor, the manager or supervisor of the person receiving the coaching or mentoring, that person's supervisor or manager, and the coachee or mentee themselves.

**Coachee or Mentee** is the person receiving the coaching or mentoring.

This Unit is about the Coach or Mentor seeking advice to identify alternative services which the coachee or mentee may find helpful.

**Element 14.1 Identify alternative services**

<b>You must be able to:</b>	<b>You must know:</b>
<ol style="list-style-type: none"> <li>1. Obtain information from coachee or mentee on their requirements</li> <li>2. Seek advice on other services that are potentially suitable</li> </ol>	<ol style="list-style-type: none"> <li>a) the boundaries of the coaching or mentoring relationship</li> <li>b) who to approach to seek appropriate advice</li> </ol>
<ol style="list-style-type: none"> <li>3. Monitor and review the impact of the limits of own experience, competence, and knowledge when working</li> </ol>	<ol style="list-style-type: none"> <li>c) the limits of own experience, competence, and knowledge</li> <li>d) when to withdraw from working with the individual if own competence is compromised</li> <li>e) when own limits are reached and how to withdraw from working with individuals and seek appropriate support</li> </ol>
<ol style="list-style-type: none"> <li>4. Comply with all relevant legislation, codes of practice and guidelines, organisational policies and procedures, and ethical requirements</li> </ol>	<ol style="list-style-type: none"> <li>f) the relevant national, local, occupational, and organisational requirements that relate to equal opportunities, discrimination, health and safety, security, confidentiality, and data protection</li> <li>g) why it is important to comply with different requirements</li> <li>h) what the consequences are of not complying with different requirements</li> <li>i) how to obtain information on the requirements</li> </ol>



**Unit CM14 Enable coachee or mentee to access alternative services**

**Element 14.2 Review information on alternative services with coachee or mentee**

<b>You must be able to:</b>	<b>You must know:</b>
1. Review the advised alternative service options with the stakeholders”	a) what information should be reviewed b) ways to present alternative service opportunities in a positive manner
2. Establish the acceptability of the alternative service options with stakeholders	c) ways to check stakeholders’ views on the alternative service options
3. Provide additional information and support when required by stakeholders	d) who can provide additional information, advice or support
4. Review the boundaries of confidentiality with coachee or mentee and inform them of the information that could be passed to other services with their agreement	e) the relevant rules relating to confidentiality f) what information could to be transferred
5. Agree any further information or support that is required by the coachee or mentee	g) what types of support the coachee or mentee requires h) who might provide additional information or support
6. Record details of the alternative service options reviewed in the appropriate systems	i) what the systems are for recording the alternative service options reviewed and the procedures for using these j) why it is important to use the systems



## Unit CM15 Interact with coachee or mentee using a range of media

This Unit is about the Coach or Mentor in a work environment interacting with the coachee or mentee through a range of media including telephone, email, instant messaging, video conferencing, Fax, and written correspondence.

### Element 15.1 Establish interactions using a range of media

You must be able to:	You must know:
1. Answer calls or messages appropriately without undue haste or delay	a) what the agreed policy is on response times b) ways to prioritise responses according to client needs c) how to use different types of communication media and when it is appropriate to use them
2. Engage with the coachee or mentee in a calm, clear, friendly, natural and accepting way which assures them that they are being listened to and taken seriously	d) communication techniques which are effective when using a range of media e) ways to encourage the coachee or mentee to maintain the interaction over time
3. Identify any constraints on the coachee or mentee and the circumstances in which the interaction is being made	f) what type of constraints the coachee or mentee might face g) what the circumstances of the coachee or mentee are during the interaction h) the location of the coachee or mentee during the interaction
4. Enable the client to share concerns and/ or goals and to focus on the interaction	i) ways to use active listening skills, pose open questions, maintain a friendly, encouraging tone and pitch of voice during phone calls, give reassurance through verbal or written media and effectively paraphrase and summarise j) ways to encourage the coachee or mentee without face to face interaction
5. Identify any problems with maintaining the interaction and take appropriate action to address them	k) what types of problem could occur l) what actions can be taken to address them m) why it is important to address problems n) what the implications are of not addressing the problems



**Unit CM15      Interact with coachee or mentee using a range of media**

**Element 15.2      Sustain interactions using a range of media**

<b>You must be able to:</b>	<b>You must know:</b>
1. Monitor the coachee or mentee's interaction to gain an understanding of them and what they are trying to convey	a) ways to monitor and interpret intonation, voice level, silences and other non-verbal noises during a phone call to gain an understanding of what the coachee or mentee is trying to convey b) ways to employ active listening skills
2. Respond to coachee or mentee's immediate requirements at each stage during the interaction 3. Match your response to the client's immediate need at each stage in the call 4. Reassure the coachee or mentee of your continued presence and give a sense of safety which encourages them to express their feelings	c) why it is important to respond at regular intervals d) ways to respond using summarising and paraphrasing appropriately e) ways to use verbal gesturing including repetition of the last word, appropriate use of sounds of acknowledgement, affirmation, support, positive response, continued presence and interest
5. Provide suitable indications to reassure the coachee or mentee of continued interest 6. Give client space to speak without interruption and encourage them to carry on when they have difficulty expressing themselves	f) what types of indications are appropriate to different media g) why it is important to provide the coachee or mentee with opportunities to speak without interruption h) ways to enable the coachee or mentee to express themselves
7. Monitor the interaction to recognise signs that the coachee or mentee is reluctant to discuss any topics	i) ways to identify those aspects or issues which they have not been raised or discussed j) ways to decide whether it is appropriate to invite the coachee or mentee to discuss them
8. Recognise when the coachee or mentee may be finding the session stressful	k) what verbal or written signs might indicate that the coachee or mentee is finding the session stressful l) what the common signs of stress are m) the possible significance of any signs of stress n) when it is appropriate or necessary to suggest to the coachee or mentee that a referral to another source of professional support may be advisable
9. Identify any problems with maintaining interactions and take appropriate action to address them	o) what types of problem could occur p) what actions can be taken to address them q) what the implications are of not addressing the problems



**Unit CM15      Interact with coachee or mentee using a range of media**

**Element 15.3      Conclude interactions using a range of media**

<b>You must be able to:</b>	<b>You must know:</b>
1. Indicate clearly to the coachee or mentee that it is time to conclude the interaction	a) when interactions should be ended b) what the reasons are for ending an interaction c) how to end the interaction in a tactful and understanding manner
2. Agree with the coachee or mentee further actions that could be taken	d) what further actions could be taken
3. Identify situations where it would be disadvantageous to the coachee or mentee to terminate the interaction	e) what circumstances may make it disadvantageous to the interest of the client to terminate the interaction
4. Agree with the coachee or mentee when the next interaction will take place	f) what the appropriate medium is for the next interaction and when it will take place g) ways to ensure the coachee or mentee's agreement to the next interaction and its timing h) what alternative or interim contact may be available to the coachee or mentee and convey this to them
5. Record details of interactions in the appropriate systems	i) what the appropriate systems are for recording interactions j) why it is important to use the systems k) what the procedures are relating to the use of the systems



**Unit CM16 Reflect on and develop own coaching or mentoring competence**

This Unit is about the Coach or Mentor in a work environment reflecting on and continually developing their own coaching or mentoring competence

**Element 16.1 Reflect on own competence**

<b>You must be able to:</b>	<b>You must know:</b>
1. Identify suitable criteria for evaluating own competence  2. Recognise the boundaries of your own competence as a coach or mentor and have awareness of other professional disciplines	a) which evaluation criteria could be used b) which factors should be incorporated into the evaluation criteria
3. Review relevant information to evaluate own practice  4. Reflect on the use of accepted techniques and resources within own work	c) what types of information on own practice is relevant d) how much information on own practice should be reviewed e) methods of reflection f) what the accepted techniques and resources are
5. Evaluate own coaching or mentoring against the specified criteria	g) ways to evaluate own competence against criteria h) whether there is a need for professional indemnity insurance
6. Review feedback on own practice	i) how to act upon all feedback, both positive and negative j) who can provide relevant feedback on own work
7. Review the effect of own values, beliefs, attitudes, and behaviours when working	k) own values, beliefs, attitudes, and behaviours l) how own values, beliefs, attitudes, and behaviours impact on your coaching or mentoring
8. Identify how one has complied with relevant legislation, organisational policies and procedures, codes of practice and ethical requirements	m) the relevant national, local, and organisational requirements that relate to equal opportunities, discrimination, health and safety, security, confidentiality, and data protection  n) why it is important to comply with different requirements



	<p>o) what the consequences are of not complying with different requirements</p>
<p>9. Draw suitable conclusions on how one has undertaken coaching or mentoring</p>	<p>p) why it is important to have a clear understanding of own competence</p> <p>q) ways any conclusions can be used to improve work</p>



**Unit CM16 Reflect on and develop own coaching or mentoring competence**

**Element 16.2 Ensure continuing development as a Coach or Mentor**

<b>You must be able to:</b>	<b>You must know:</b>
1. Identify development objectives and establish their priority	a) ways to identify development objectives b) what the specific development objectives are c) which criteria should be used to prioritise the objectives
2. Ensure the development objectives identify competences that are appropriate to your work	d) which competences are required for your work
3. Devise a personal development plan to deliver own development objectives as a coach or mentor  4. Decide whether to make use of supervision opportunities to enable continuing professional development	e) ways to devise a personal development plan f) what a personal development plan should include g) what the processes are for self-development h) ways a personal development plan can be used i) who could supervise the implementation of your personal development plan
5. Maintain and update relevant knowledge of coaching or mentoring  6. Assess the impact of any changes on own competence	j) what types of knowledge are required k) the relevant and current sources of knowledge and information and how to access them l) ways to assess the relevance of the knowledge and information m) how coaching or mentoring has developed during the time of own personal involvement n) what type of developments might occur in the future
7. Identify and assess any developments that can be effectively incorporated into your coaching or mentoring	o) what theory, research, tools or techniques would enable you to improve your competence  p) ways these can be incorporated into own coaching or mentoring
8. Agree the personal development plan with the appropriate people and secure sufficient additional resources to	q) who can agree and support your personal development plan



implement it	r) what resources are required to implement the personal development plan
9. Identify and utilise suitable development opportunities	s) what types of development opportunity are available t) ways to assess the benefits of training and other forms of development
10. Record the personal development plan in the appropriate systems	u) what the appropriate system is and what the procedures are that relate to the use of the system v) why it is important to use the system
11. Review and update personal development plan regularly to take account of changing practice and other factors	w) when personal development plans should be reviewed x) who might require information on the personal development plans



**Unit CM17 Make use of opportunities for supervision in coaching or mentoring**

This Unit is about the Coach or Mentor in a work environment making use of the supervision opportunities for access to other experienced and effective coaches or mentors and what this is intended to achieve.

**Element 17.1 Access and make use of supervision**

<b>You must be able to:</b>	<b>You must know:</b>
1. Understand the role and value of supervision as a key component in supporting the development of your competence	<ul style="list-style-type: none"> <li>a) what the requirements and procedures for supervision are</li> <li>b) the purpose of supervision</li> <li>c) ways to create an agenda for supervision</li> </ul>
2. Participate in the supervision provided and apply the knowledge gained to your own coaching or mentoring activity	<ul style="list-style-type: none"> <li>d) the nature of supervision that is appropriate to your level of competence and stage of your professional development</li> <li>e) what supervision is available</li> <li>f) what the obligations and commitments of both parties are to the coachee or mentee</li> <li>g) what aims and objectives can be achieved through supervision</li> <li>h) what the context will include and what the implications might be in respect of third party involvement, or procedures in the event of incompetence or malpractice</li> <li>i) ways supervision arrangements work including distinctions between training and development, and distinctions between managerial and supervisory relationships</li> </ul>
3. Participate in the supervision opportunities provided and apply the learning to your own coaching or mentoring activity	<ul style="list-style-type: none"> <li>j) ways to address any conflict between the needs of the organisation, coachee or mentee, and your personal needs</li> </ul>
4. Agree the content and agenda for each supervisory session	<ul style="list-style-type: none"> <li>k) ways to create an agenda for supervision</li> <li>l) what aspects of your work might require supervision including processes, activities, ethical issues, reactions to coachee or mentee, or blocks to progress</li> </ul>



---

5 Organise and present your material clearly and openly in your supervision sessions	m) criteria for choosing an appropriate method of presenting work n) what material to bring to supervision o) ways to organise and present your work to make effective use of supervision
6 Bring issues of concern to supervision and seek assistance in your handling of specific situations with individuals	p) ways to recognise aspects of your work which require attention in supervision q) ways to bring difficulties or issues in coaching or mentoring to supervision
7 Use supervision opportunities as a tool for your own development	r) ways to reflect on the supervisory relationship and to inform aspects of your work with individuals s) use supervision to help develop coaching or mentoring competence

---



**Unit CM17 Make use of opportunities for supervision in coaching or mentoring**

**Element 17.2 Review supervision**

<b>You must be able to:</b>	<b>You must know:</b>
1) Regularly review the process, outcomes, and effectiveness of the supervision opportunities against the agreed objectives	a) what the criteria of effective supervision are b) how to evaluate the supervision process
2) Negotiate and agree changes as appropriate	c) ways to identify unresolved issues, future supervision requirements and ways of achieving these d) what unresolved issues there might be including differences of opinion or approach, breakdown of trust, failed or unmet expectations, or issues of power and control
3) Agree the timing and process of changing or ending the supervision opportunity	e) what changes may be needed including different ways of working, focus, or having a different form of supervision



**Unit CM 18 Provide support for other coaches or mentors**

This Unit is for a coach or mentor in the work environment who agrees to provide support to other practitioners and promote and support effective performance with them.

**Element 18.1 Agree to support other coaches or mentors**

<b>You must be able to:</b>	<b>You must know:</b>
1. Explore the purpose and boundaries of the support for other coaches or mentors	a) what types of support can be provided to other coaches or mentors and ways to articulate the support you can provide b) ways to evidence your competence to support other coaches or mentors c) the different purposes and boundaries of each type of support d) whether you should carry professional indemnity insurance
2. Ensure the supervision of specific coaches or mentors is appropriate to both parties	e) which coaches or mentors should be supported f) what the reasons for not supporting coaches or mentors are
3. Review with coaches or mentors the methods for providing the support	g) which methods of support are available h) ways to review the methods of support i) the ethical code which the coach or mentor is working to and whether this is acceptable to you
4. Agree the procedures and limits relating to the exchange of information and confidentiality	j) what the potential procedures and limits are that relate to the exchange of information and confidentiality
5. Clarify options for resolving issues relating to support	k) what the options are for resolving issues l) which are most effective options with different coaches or mentors
6. Agree with coaches or mentors to implement the support	m) ways to reach agreements with coaches or mentors
7. Agree with coaches or mentors when to review the support	n) how often the support should be reviewed
8. Record the support agreement in the appropriate systems	o) what the systems are for recording support agreements and the procedures for using these p) why it is important to use the systems



**Unit CM 18 Provide support for other coaches or mentors**

**Element 18.2 Promote effectiveness and competence**

<b>You must be able to:</b>	<b>You must know:</b>
1. Assist coaches or mentors to identify and work within the limits of their own competence	a) who is being supported b) what the typical limits of competence of coaches or mentors are
2. Enable coaches or mentors to monitor the effectiveness of their work	c) how coaches or mentors can monitor their work d) which criteria can be used for measuring effectiveness
3. Intervene in a timely and appropriate manner in order to maintain coaches or mentors' effectiveness	e) when to intervene in order to maintain coaches or mentors' effectiveness f) ways to intervene in order to maintain coaches or mentors' effectiveness
4. Provide coaches or mentors with regular constructive feedback on their performance	g) when to provide feedback to coaches or mentors h) ways to provide constructive feedback to coaches or mentors
5. Assist coaches or mentors to clarify and manage any tensions between work and personal issues	i) what type of tensions between work and personal issues can arise j) how far to get involved in resolving tensions
6. Identify any issues requiring immediate attention and take appropriate action to assist their resolution	k) what type of issues might require immediate attention l) what actions should be taken assist the resolution of issues
7. Assist coaches or mentors to comply with all relevant legislation, codes of practice, organisational policies and procedures, guidelines, and ethical requirements	m) the relevant national, local, occupational, and organisational requirements that relate to equal opportunities, discrimination, health and safety, ethical practice; security, confidentiality, and data protection n) what constitutes acceptable ethical practice o) why it is important to comply with different requirements p) what the consequences are of not complying with different requirements



**Unit CM19 Operate within networks for coaching or mentoring**

This Unit is for a coach or mentor in a work environment to whom operating within coaching or mentoring networks is relevant.

**Element 19.1 Maintain membership of networks**

<b>You must be able to:</b>	<b>You must know:</b>
1. Identify networks that could be used to the benefit of your competence	a) what types of network exist b) which networks have been used before
2. Ensure the networks meet own and the organisation's criteria for participation	c) what the criteria are for participation in networks
3. Ensure the networks comply with all relevant legislation, codes of practice, organisational policies and procedures, guidelines, and ethical requirements	d) the relevant national, local, occupational, and organisational requirements that relate to equal opportunities, discrimination, health and safety, security, confidentiality, and data protection e) ethical requirements for your practice f) why it is important to comply with different requirements g) what the consequences are of not complying with different requirements
4. Ensure own contributions to the networks are constructive and effective	h) how much time should be devoted to the networks i) how to ensure the time devoted to networks is used effectively j) what levels of involvement should occur
5. Identify and resolve any potential conflict of interest between the network and your own work and/or the organisation	k) what types of conflict of interest could occur l) what to do when conflicts of interest occur
6. Maintain personal contacts within the network to ensure effective co-operation	m) who to maintain contact with n) ways to reciprocate with others
7. Identify any problems with networks and take appropriate action to address them	o) what types of problem could occur p) what actions can be taken to address them q) why it is important to address problems r) what the implications are of not addressing the problems



**Unit CM 19 Operate within networks for coaching or mentoring**

**Element 19.2 Exchange information within networks**

<b>You must be able to:</b>	<b>You must know:</b>
1. Identify the appropriate people who can exchange information	a) who can provide information within the network
2. Ensure the information that is exchanged is accurate and suitable to the purpose for which it is required	b) what information is required by network members c) what the information is used for d) how to assess the accuracy of information
3. Ensure the people are clearly briefed on the exchange of information	e) who should know about the exchange of information
4. Agree a realistic time scale for exchanging the information	f) what would be a realistic time scale for the exchange of different types of information
5. Ensure the exchange of information complies with all relevant legislation, codes of practice, organisational policies and procedures, guidelines, and ethical requirements	g) the relevant national, local, occupational, and organisational requirements that relate to equal opportunities, discrimination, health and safety, security, confidentiality, and data protection h) ethical requirements i) why it is important to comply with different requirements j) what the consequences are of not complying with different requirements
6. Provide suitable feedback on the contribution of the network to own work and/or that of the organisation	k) how feedback has improved the use of networks
7. Record the information that has been exchanged in the appropriate systems	l) what the systems are for recording the exchange of information and the procedures relating to the use of these m) why it is important to use the systems



**Unit CM20 Coach or Mentor in the organisational setting**

This Unit is about the coach or mentor in a work environment understanding organisational settings and cultures and practicing effectively within them.

**Element 20.1 Understand the organisational setting and culture**

<b>You must be able to:</b>	<b>You must know:</b>
1. Describe the coaching or mentoring environment within the organisation	a) ways coaching or mentoring relates to other activities of the organisation b) how requests for coaching or mentoring are received and processed
2. Identify the key issues affecting coaching or mentoring	c) where there may be conflicts between the coaching or mentoring ethical frameworks and organisational demands and requirements and how to address these
3. Describe organisational settings and cultures and how coaching or mentoring can contribute within a period of change or the change process	d) the complaints procedures e) the arrangements for professional indemnity f) the opportunities for supervision and support g) ways to facilitate channels of communication for discussing ideas, issues and concerns h) the roles and responsibilities of managers i) ways coaching or mentoring can contribute within a period of change or the change process
4. Identify and describe organisational policies and procedures	j) the policies and procedures in relation to all aspects of coaching or mentoring including confidentiality, data protection, assessment, environment, availability of time and resources



**Unit CM20 Coach or Mentor in the organisational setting**

**Element 20.2 Provide coaching or mentoring in an organisational setting**

<b>You must be able to:</b>	<b>You must know:</b>
1. Establish and manage the coaching or mentoring contract within organisational requirements 2. Provide coaching or mentoring during periods of organisational or cultural change	a) any organisational requirements that support or impede the coaching or mentoring contract b) ways to advise the coachee or mentee of any organisational requirements that affect the coaching or mentoring contract c) understand the potential effects of organisational or cultural change on individuals within the organisational setting
3. Accept and assess requests for coaching or mentoring within organisational policies and procedures	d) the organisational policies and procedures for accepting or refusing requests for coaching or mentoring e) the requirements of keeping coachees or mentees involved in understanding the contractual processes
4. Negotiate and agree a coaching or mentoring contract within organisational policies and procedures	f) the requirements for negotiating internal coaching or mentoring service contracts g) what the organisational policies and procedures are h) how decisions are made and communicated within the organisation
5. Comply with organisational policies and procedures for recording and storing information	i) the organisation's requirements and arrangements for recording, storing, retrieving and validating information j) the organisation's procedures for maintaining confidentiality and current data protection requirements



**Unit CM 21                      Manage personal commitment to coachees or mentees**

This unit is about the coach or mentor managing their personal workload and the commitment to the working relationships with coachees or mentees

**Element 21.1                      Review personal workload**

<b>You must be able to:</b>	<b>You must know:</b>
1. Review all relevant information on the personal workload	a) what types of information on personal workload should be reviewed b) how often should information on personal workload be reviewed c) how many relationships can be managed
2. Monitor the progress in achieving the required outcomes for the coachees or mentees	d) ways to monitor the progress of coachees or mentees
3. Identify any obstacles in achieving the required outcomes for the coachees or mentees	e) what type of obstacles could occur in achieving the required outcomes for the coachees or mentees f) ways the obstacles can be overcome
4. Identify any factors that might affect the structure or content of the workload	g) the factors that can affect the quantity of relationships being managed
5. Identify any improvements that can be made to the management of the workload	h) what types of improvements could be identified to the management of the workload
6. Exchange information on the workload according to the procedures of the service	i) what types of information are involved in different types of coaching or mentoring relationships j) who should be provided with information on workload k) who should provide information on workload
7. Record the information on the workload in the appropriate systems	l) what the systems are for recording workload information and the procedures relating to the use of these m) why it is important to use the systems
8. Comply with all relevant legislation, codes of practice, organisational policies and procedures, guidelines, and ethical requirements	n) the relevant national, local, occupational, and organisational requirements that relate to equal opportunities, discrimination, health and safety, security, confidentiality, and data protection o) why it is important to comply with different requirements p) what the consequences are of not complying with different requirements q) how to obtain information on the requirements



**Unit CM 21 Manage personal commitment to coachees or mentees**

**Element 21.2 Establish priorities for dealing with personal workload**

<b>You must be able to:</b>	<b>You must know:</b>
1. Establish criteria for setting priorities for workload	a) what types of criteria could be used for setting priorities b) ways to agree on the priority criteria
2. Assess workload against the specified criteria	c) ways to match workload against the priority criteria
3. Identify any immediate action required to meet deadlines	d) what deadlines can occur e) what the consequences are of not meeting the deadlines
4. Specify clearly the coaching or mentoring relationships that require highest priority	f) ways to specify the highest priorities
5. Inform all relevant people of the need to prioritise specific coaching or mentoring relationships	g) who should be informed of the priorities
6. Ensure high priority coaching or mentoring relationships are implemented and assigned the appropriate resources	h) who is responsible for implementing coaching or mentoring relationships i) which resources should be assigned to implementing different types of coaching or mentoring relationships
7. Monitor the effect of the priorities on the entire workload	j) what types of affect or distortion the priorities could have
8. Ensure all coaching or mentoring relationships receive the appropriate attention within the time scales established by the service	k) what time scales are required by the service for different types of coaching or mentoring relationships
9. Provide a clear rationale for the priorities	l) why it is important to provide a clear rationale for priorities



---

**Unit CM22 H&S 'A' - Ensure your own actions reduce the risks to health and safety**

---

**This Unit is imported from the NOS for Health & Safety at work where it is listed as stand-alone Unit 'A'. The format of this Unit is therefore different from other Units in the suite of NOS for Coaching & Mentoring in a Work Environment**

**Elements in this unit are:**

- A.1 Identify the hazards and evaluate the risks in your workplace
- A.2 Reduce the risks to health and safety in your workplace

**Unit Overview**

Fundamental to this unit is an understanding of the terms "hazard" and "risk". They have been defined overleaf and it is VERY IMPORTANT that they are understood before undertaking the Unit.

**This Unit is for:**

Everyone at work - (whether paid, unpaid, full or part-time). The scope of the Health and Safety at Work Act 1974 covers "all persons" whether employers, employees, self-employed, contractors, etc. Amongst other things the Act seeks to secure the health, safety and welfare of people whilst they work and protect other people against risks to health or safety arising from the activity of people at work. This unit does not require the candidate to undertake a full risk assessment, it is about having an appreciation of significant risks in the workplace and knowing how to identify them and deal with them.

**This Unit covers:**

- the health and safety duties for everyone in the workplace. It describes the
- competences required to ensure that:
- your own actions do not create any health and safety risks,
- you do not ignore significant risks in your workplace, and
- you take sensible action to put things right, including: reporting situations which pose a danger to people in the workplace and seeking advice

**This is what you need to show:**

**In Element A.1** you need to show that you understand the health and safety requirements and policies in the workplace, and that you check your own working practices and work area for any risk of you or others being harmed. You should be able to identify the risk arising from any hazards you have identified and know which you can deal with safely yourself, and those which you must report to the "responsible person" for attention.

**Element A.2** requires you to show you have taken steps to reduce those health and safety risks with which you might come into contact during the course of your work. It covers carrying out tasks safely and in accordance with instructions and workplace requirements.



**This is what you need to do next:**

Read the section on “Key Words and Phrases”. This explains how some words and phrases have been used in this unit and will help you understand it more easily.

**Key Words and phrases which you might see used frequently within the Health and Safety for People at Work units**

The Health and Safety Executive (HSE) is the body appointed to support and enforce health and safety law. They have defined two important concepts as follows:

- Hazard** "a hazard is something with potential to cause harm".
- Risk** "a risk is the likelihood of the hazard's potential being realised".

Almost anything may be a hazard, but may or may not become a risk. For example:

- 1 A trailing electric cable from a piece of equipment is a hazard. If it is trailing across a passageway there is a high risk of someone tripping over it, but if it lies along a wall out of the way, the risk is much less.
- 2 Toxic or flammable chemicals stored in a building are a hazard, and by their nature may present a high risk. However, if they are kept in a properly designed secure store, and handled by properly trained and equipped people, the risk is much less than if they are left about in a busy workshop for anyone to use - or misuse.
- 3 A failed light bulb is a hazard. If it is just one bulb out of many in a room it presents very little risk, but if it is the only light on a stairwell, it is a very high risk. Changing the bulb may be a high risk, if it is high up, or if the power has been left on, or low risk if it is in a table lamp which has been unplugged.
- 4 A box of heavy material is a hazard. It presents a higher risk to someone who lifts it manually than if a mechanical handling device is properly used.

**Workplace:** This word is used to describe the single or multiple areas in which you carry out your work.

**Working practices:** Any activities, procedures, use of materials or equipment and working techniques used in carrying out your job. In this unit it also covers any omissions in good working practice which may pose a threat to health and safety.

**Workplace policies:** This covers the documentation prepared by the employer on the procedures to be followed regarding health and safety matters. It could be the employer’s safety policy statement, or general health and safety statements and written safety procedures covering aspects of the workplace that should be drawn to the employees’ (and "other persons’ ") attention.

**Other persons:** This phrase refers to everyone covered by the Health and Safety at Work Act including: visitors, members of the public, colleagues, contractors, clients, customers, patients, students, pupils.



**Personal presentation:** This includes, personal hygiene; use of personal protection equipment; clothing and accessories suitable to the particular workplace.

**Responsible persons:** The person or persons at work to whom you should report any health and safety issues or hazards. This could be a supervisor, line manager or your employer.

### Key points regarding Health and Safety legislation and regulations

#### "Health and Safety At Work Act 1974"

The Health and Safety at Work Act 1974 is the main piece of legislation under which nearly all the other regulations are made. It is for this reason that only this piece of legislation is specifically referred to in this Unit.

Employers have a legal duty under this Act to ensure, so far as is reasonably practicable, the health, safety and welfare at work of the people for whom they are responsible and the people who may be affected by the work they do.

Under this Act it is also important to be aware that all people at work, not just employers, have a duty to take reasonable care to avoid harming themselves or others through the work they do.

Risks should be reduced "so far as is reasonably practicable". This term means the duty-holder (in most instances the employer) can balance the cost against the degree of risk although obviously any Health and Safety Inspectors would expect that relevant good practice is followed.

According to the Act:

Employers must safeguard so far as is reasonably practicable, the health, safety and welfare at work of all the people who work for them and "other persons". This applies in particular to the provision and maintenance of safe plant and systems of work, and covers all machinery, equipment and substances used.

People at work also have a duty under the Act to take reasonable care to avoid harm to themselves or to others by their working practices, and to co-operate with employers and others in meeting statutory requirements. The Act also requires employees not to interfere with or misuse anything provided to protect their health, safety or welfare in compliance with the Act.

#### Other Legislation

There is an array of health and safety regulations and codes of practice which affect people at work. There are regulations for those who, for example, work with electricity, or work on construction projects, as well as regulations covering noise at work, manual handling, working with VDUs, or dealing with substances hazardous to health, etc. The specific requirements for all or any of these can be obtained from HSE local offices.

As many of the regulations are only relevant to certain workplaces or working practices no specific reference has been made in the Knowledge Requirements to any of these regulations. The phrase "your responsibilities for health and safety as required by any specific legislation covering your job role" is intended to relate to those specific pieces of legislation important to your workplace and/or working practices which you should be able to find out about.



**Knowledge Requirements:**

**Essential knowledge and understanding for this Unit:**

**To ensure your own actions reduce risks to Health and Safety you should know and understand the following aspects of health and safety legislation:**

- a your legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974
- b your duties for health and safety as defined by any specific legislation covering your job role

**To ensure your own actions reduce risks to Health and Safety you should know and understand the following relating to risks to health and safety:**

- a what hazards may exist in your workplace
- b the particular health and safety risks which may be present in your own job role and the precautions you must take
- c the importance of remaining alert to the presence of hazards in the whole work place
- d the importance of dealing with or promptly reporting risks
- e the requirements and guidance on the precautions

**Evidence Requirements:**

- You should satisfy the Assessor that you can consistently meet the Standards.
- Evidence should be drawn from real working practices, and evidence must be provided across all the performance criteria in both elements. Your Assessor must see performance evidence for the number of range items, as specified in both elements, appropriate to your own workplace context.
- Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

**Assessor Guidance:**

- In order to demonstrate competence the candidate must be able to show consistent competent performance.
- In this unit evidence from performance is required and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of the candidate's ability to perform competently across all the range items listed.



### Element A.1: Identify the hazards and evaluate the risks in your workplace

---

#### Performance Criteria

---

You must ensure that:

- 1 you correctly name and locate the persons responsible for health and safety in the workplace
- 2 you identify which workplace policies are relevant to your working practices
- 3 you identify those working practices in any part of your job role which could harm yourself or other persons
- 4 you identify those aspects of the workplace which could harm yourself or other persons
- 5 you evaluate which of the potentially harmful working practices and the potentially harmful aspects of the workplace are those with the highest **risk** to you or to others
- 6 you report those hazards which present a high **risk** to the persons responsible for health and safety in the workplace
- 7 you deal with hazards with low **risks** in accordance with workplace policies and legal requirements

---

#### Range Statement

---

**Risks** resulting from:

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

---

#### Specific knowledge for this element

---

You must know and understand:

- a agreed workplace policies relating to controlling risks to health and safety,
- b responsibilities for health and safety in your job description,
- c the responsible persons to whom to report health and safety matters.

---

#### Evidence Requirements

---

Evidence must be provided to demonstrate competence in identifying hazards with reference to working activities or aspects of the workplace and acting upon your decisions as to whether the hazard presents a high or low risk.

Performance evidence must be provided against each of the performance criteria. The assessor will also need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this unit.

You must show from the range that you have:

- identified a minimum of two types of **risks** resulting from those listed.

Performance evidence must be provided from real working practices.



### Element A.2 Reduce the risks to health and safety in your workplace

---

#### Performance Criteria:

---

You must ensure that

- 1 you carry out your working practices in accordance with legal requirements
- 2 you follow the most recent **workplace policies** for your job role
- 3 you rectify those health and safety risks within your capability and the scope of your job responsibilities
- 4 you pass on any suggestions for reducing risks to health and safety within your job role to the responsible persons
- 5 your personal conduct in the workplace does not endanger the health and safety of yourself or other persons
- 6 you follow the **workplace policies** and suppliers' or manufacturers' instructions for the safe use of equipment, materials and products
- 7 you report any differences between **workplace policies** and suppliers' or manufacturers' instructions as appropriate
- 8 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**

---

#### Range Statement

---

**Workplace policies** covering:

- I the use of safe working methods and equipment
- II the safe use of hazardous substances
- III smoking, eating, drinking and drugs
- IV what to do in the event of an emergency
- V personal presentation

---

#### Specific Knowledge for this element

---

You must know and understand:

- a the specific workplace policies covering your job role
- b suppliers' and manufacturers' instruction for the safe use of equipment, materials and products
- c safe working practices for your own job role
- d the importance of personal presentation in maintaining health and safety in the workplace
- e the importance of personal conduct in maintaining the health and safety of yourself and others
- f your scope and responsibility for rectifying risks
- g workplace procedures for handling risks which you are unable to deal with



---

## Evidence Requirements

---

Evidence must be provided to demonstrate competence in reducing the risk to health and safety.

Performance evidence must be provided against each of the performance criteria. The Assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

You must show evidence that you have followed a minimum of four types of **workplace policies**.

Performance evidence must be provided from real working practices.