

# **Pearson Edexcel Level 4 NVQ Diploma in Business Administration**

## **Specification**

NVQ qualification

First registration September 2014

Issue 2

## **Edexcel, BTEC and LCCI qualifications**

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This specification is Issue 2. Key changes are listed in summary table on next page. We will inform centres of any changes to this issue. The latest issue can be found on the Pearson website: [qualifications.pearson.com](http://qualifications.pearson.com).

This qualification was previously known as:

Pearson Edexcel Level 4 NVQ Diploma in Business Administration (QCF)

The QN remains the same.

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*All information in this specification is correct at time of publication.*

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## Summary of Pearson Edexcel Level 4 NVQ Diploma in Business Administration specification Issue changes

Summary of changes made between previous issue and this current issue	Page/section number
All references to QCF have been removed throughout the specification	
Definition of TQT added	Section 1
Definition of sizes of qualifications aligned to TQT	Section 1
TQT value added	Section 2
Reference to credit transfer within the QCF removed	Section 5
QCF references removed from unit titles and unit levels in all units	Section 12
Guided learning definition updated	Section 12

Earlier issue(s) show(s) previous changes.

If you need further information on these changes or what they mean, contact us via our website at: [qualifications.pearson.com/en/support/contact-us.html](http://qualifications.pearson.com/en/support/contact-us.html).



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# Purpose of this specification

This specification sets out:

- the objectives of the qualification
- any other qualification that a learner must have completed before taking the qualification
- any prior knowledge, skills or understanding which the learner is required to have before taking the qualification
- the combination of units that a learner must have completed before the qualification will be awarded and any pathways
- any other requirements that a learner must have satisfied before they will be assessed or before the qualification will be awarded
- the knowledge, skills and understanding that will be assessed as part of the qualification
- the method of any assessment and any associated requirements relating to it
- the criteria against which a learner's level of attainment will be measured (such as assessment criteria)
- assessment requirements and/or evidence requirements required as specified by the relevant Sector Skills Council/Standards Setting Body
- assessment requirements/strategy as published by the relevant Sector Skills Council/Standards Setting Body
- the Apprenticeship Framework in which the qualification is included, where appropriate.

# 1 Introducing Pearson Edexcel NVQ qualifications

## What are NVQ qualifications?

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National Vocational Qualifications (NVQs) qualifications are work-based qualifications that give learners the opportunity to develop and demonstrate their competence in the area of work or job role to which the qualification relates.

NVQs are based on the National Occupational Standards (NOS) for the appropriate sector. NOS define what employees, or potential employees, must be able to do and know, and how well they should undertake work tasks and work roles. At Level 2 and above, these qualifications are recognised as the competence component of Apprenticeship Frameworks. Qualifications at Level 1 can be used in Traineeships, which are stepping-stones to Apprenticeship qualifications. NVQs qualifications can also be delivered as stand-alone for those who wish to take a work-based qualification.

NVQs qualifications are outcomes-based with no fixed learning programme - allowing flexible delivery that meets the individual learner's needs. They are suitable for those in employment or those who are studying at college and have a part-time job or access to a substantial work placement so that they are able to demonstrate the competencies that are required for work.

Most learners will work towards their qualification in the workplace or in settings that replicate the working environment as specified in the assessment requirements/strategy for the sector. Colleges, training centres and/or employers can offer these qualifications provided they have access to appropriate physical and human resources.

### Sizes of NVQ Qualifications

For all regulated qualifications, Pearson specifies a total number of hours that it is estimated learners will require to complete and show achievement for the qualification – this is the Total Qualification Time (TQT). The TQT value indicates the size of a qualification.

Within the TQT, Pearson identifies the number of Guided Learning Hours (GLH) that we estimate a centre delivering the qualification might provide. Guided learning means activities, such as lessons, tutorials, online instruction, supervised study and giving feedback on performance, that directly involve tutors and assessors in teaching, supervising and invigilating learners. Guided learning includes the time required for learners to complete external assessment under examination or supervised conditions.

In addition to guided learning, other required learning directed by tutors or assessors will include private study, preparation for assessment and undertaking assessment when not under supervision, such as preparatory reading, revision and independent research.

TQT is assigned after consultation with employers and training providers delivering the qualifications.

NVQ are generally available in the following sizes:

- Award – a qualification with a TQT value of 120 or less
- Certificate – a qualification with a TQT value in the range of 121–369
- Diploma – a qualification with a TQT value of 370 or more

## 2 Qualification summary and key information

Qualification title	Pearson Edexcel Level 4 NVQ Diploma in Business Administration
Qualification Number (QN)	601/3425/2
Regulation start date	02/06/2014
Operational start date	01/09/2014
Approved age ranges	18+ 19+ Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please refer to the Assessment Strategy in <i>Annexe A</i> .
Credit value	57
Assessment	Portfolio of Evidence (internal assessment).
Total Qualification Time (TQT)	570
Guided learning hours	294
Grading information	The qualification and units are graded pass/fail.
Entry requirements	No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification, however it is likely that they will already be working within the business administration sector, or they may already be employed in a cross-sector role or function that involves responsibility for defined business related activities with an area of responsibility. Centres must follow the Pearson Access and Recruitment policy (see <i>Section 7, Access and Recruitment</i> ).
Funding	Details on funding approval will be available in the future on the Learning Aims Reference Service (LARS) database, which replaces the Learning Aim Reference Application (LARA). In the interim, the LARS Lite database is available to check funding approval.  Alternatively, the Skills Funding Agency's simplified funding catalogues can be used to check funding approval.  Further information and guidance is available on the website: <a href="http://www.gov.uk">www.gov.uk</a>

Centres will need to use the Qualification Number (QN) when they seek public funding for their learners. As well as a QN, each unit within a qualification has a unit reference number (URN).

The qualification title, unit titles and QN will appear on each learner's final certificate. Centres should tell learners this when recruiting them and registering them with Pearson. There is more information about certification in our *UK Information Manual*, available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com).

## 3 Qualification rationale

### Qualification objectives

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The Pearson Edexcel Level 4 NVQ Diploma in Business Administration is for learners who work in, or who want to work in Business Administration in roles such as:

Office Manager	Business Development Manager
Executive Assistant	Project Manager

It gives learners the opportunity to:

- develop the specific types of knowledge to underpin learners competence as well as the wider sector-related knowledge related to the job roles above. This includes the principles underpinning the resolution of administrative problems, the knowledge related to the management of an administrative function and the knowledge related to business communication models, systems and processes
- develop and demonstrate a range of technical skills and behaviours that supports competence in the job roles stated above. This includes being able to identify administrative problems, being able to resolve administrative problems, being able to organise the work of an administrative function, being able to manage administrative workflows and being able to use both written and verbal communication in business
- develop their own personal growth and engagement in learning through the development of personal, learning and thinking skills (PLTS)
- have existing skills recognised
- achieve a nationally-recognised Level 4 qualification.

### Relationship with previous qualifications

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This qualification is a direct replacement for the Pearson Edexcel Level 4 NVQ Diploma in Business and Administration which has expired.

### Apprenticeships

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Skills CFA include the Pearson Edexcel Level 4 NVQ Diploma in Business Administration as the competencies component for the Higher Apprenticeship in Business and Professional Administration.

## **Progression opportunities**

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Learners who achieve the Pearson Edexcel Level 4 NVQ Diploma in Business Administration can progress to:

- Pearson BTEC Level 4 Diploma in Business Administration– knowledge component for the Higher Apprenticeship in Business and Professional Administration
- Pearson BTEC Level 4 Extended Diploma in Business Administration– knowledge component for the Higher Apprenticeship in Business and Professional Administration
- Pearson BTEC Level 4 HNC Diploma in Business– knowledge component for the Higher Apprenticeship in Business and Professional Administration
- Pearson Edexcel Level 4 NVQ Diploma in Customer Service– competencies component for the Higher Apprenticeship in Customer Service
- Pearson Edexcel Level 4 NVQ Diploma in Management– competencies component for the Higher Apprenticeship in Management
- Pearson BTEC Level 4 Diploma in Management and Leadership– knowledge component for the Higher Apprenticeship in Management
- Jobs roles such as Manager, Senior Manager, Director and Head of Department

## **Industry support and recognition**

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This qualification is supported by Skills CFA, the Sector Skills Council for pan-sector business skills, which includes the business and administration sector.

## **Relationship with National Occupational Standards**

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This qualification is based on the National Occupational Standards (NOS) in Business and Administration, which were set and designed by Skills CFA, the Sector Skills Council for the sector.

## 4 Qualification structure

### Pearson Edexcel Level 4 NVQ Diploma in Business Administration

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The learner will need to meet the requirements outlined in the table below before the qualification can be awarded.

Minimum number of credits that must be achieved	57
Minimum number of credits that must be achieved at level 4 or above	30
Number of mandatory credits that must be achieved	18
Number of optional credits that must be achieved from Group B	26
Number of optional credits that must be achieved from Group B or C	13

Unit	Unit reference number	Mandatory units	Level	Credit	Guided learning hours
1	D/506/1956	Resolve Administrative Problems	4	6	56
2	T/506/1946	Manage the Work of an Administrative Function	4	5	27
3	Y/506/1910	Communicate in a Business Environment	3	4	24
4	T/506/2952	Manage Personal and Professional Development	3	3	12

Unit	Unit reference number	Group B Optional units	Level	Credit	Guided learning hours
5	A/506/1950	Contribute to the Design and Development of an Information System	4	5	23
6	F/506/1951	Manage Information Systems	4	6	30
7	H/506/1957	Prepare Specification for Contract	4	4	23
8	M/506/1959	Manage Events	4	6	49
9	R/506/1954	Support Environmental Sustainability in a Business Environment	4	4	38
10	D/506/1911	Contribute to the Improvement of Business Performance	3	6	33
11	F/506/1917	Monitor Information Systems	3	8	43
12	H/506/1912	Negotiate in a Business Environment	3	4	18
13	J/506/1918	Evaluate the Provision of Business Travel or Accommodation	3	5	30
14	K/506/1913	Develop a Presentation	3	3	11
15	K/506/1944	Manage an Office Facility	3	4	21
16	M/506/1914	Deliver a Presentation	3	3	17
17	M/506/1945	Analyse and Present Business Data	3	6	24
18	T/506/1915	Create Bespoke Business Documents	3	4	23

Unit	Unit reference number	Group C Optional units	Level	Credit	Guided learning hours
19	A/506/1995	Manage a Budget	4	4	26
20	A/506/2032	Manage Knowledge in an Organisation	4	5	34
21	F/506/1982	Develop Working Relationships with Stakeholders	4	4	20
22	J/506/1949	Develop and Maintain Professional Networks	4	3	15
23	K/506/1989	Manage Physical Resources	4	4	26
24	K/506/1992	Prepare for and Support Quality Audits	4	3	17
25	L/506/2004	Manage Business Risk <b>Barred combination with Unit 33: Establish Business Risk Management Processes (J/506/2048)</b>	4	6	27
26	M/506/1962	Encourage Learning and Development	4	3	16
27	R/506/1999	Manage a Project	4	7	38
28	T/506/1980	Initiate and Implement Operational Change	4	4	19
29	T/506/1994	Conduct Quality Audits	4	3	21
30	Y/506/1955	Develop and Implement an Operational Plan	4	5	24
31	D/506/2055	Design Business Processes	5	5	23
32	F/506/2064	Optimise the Use of Technology	5	6	29
33	J/506/2048	Establish Business Risk Management Processes <b>Barred combination with Unit 25: Manage Business Risk (L/506/2004)</b>	5	5	29
34	R/506/2053	Promote Equality of Opportunity, Diversity and Inclusion	5	5	26
35	A/506/1821	Manage Team Performance	3	4	21

Unit	Unit reference number	Group C Optional units	Level	Credit	Guided learning hours
36	J/506/1921	Manage Individuals' Performance	3	4	20
37	K/506/1927	Manage Conflict within a Team	3	5	25
38	K/506/1930	Implement and Maintain Business Continuity Plans and Processes	3	4	25
39	M/506/1928	Procure Products and/or Services	3	5	35
40	M/506/1931	Collaborate with other Departments	3	3	14
41	Y/506/1924	Chair and Lead Meetings	3	3	10
42	D/506/2153	Champion Customer Service	4	4	17
43	J/506/2292	Encourage Innovation	3	4	14
44	R/506/2909	Recruitment, Selection and Induction Practice	4	6	33

## 5 Programme delivery

Centres are free to offer these qualifications using any mode of delivery (for example full-time, part-time, evening only, distance learning) that meets learners' needs. Learners must be in employment or working with a training provider on a programme so that they can develop and demonstrate the occupational competence required.

Whichever mode of delivery is used, centres must make sure that learners have access to specified resources and to the sector specialists delivering and assessing the units. Centres must adhere to the Pearson policies that apply to the different modes of delivery. Our policy on *Collaborative arrangements for the delivery of vocational qualifications* can be found on our website: [qualifications.pearson.com](http://qualifications.pearson.com).

There are various approaches to delivering a successful competence-based qualification. The section below outlines elements of good practice that centres can adopt in relation to learner recruitment, preparation and support, training and assessment delivery, and employer engagement.

### Elements of good practice

#### Learner recruitment, preparation and support

Good practice in relation to learner recruitment, preparation and support include:

- providing initial advice and guidance, including work tasters, to potential learners to give them an insight into the relevant industry and the learning programme
- using a range of appropriate and rigorous selection methods to ensure that learners are matched to the programme best suited to their needs
- carrying out a thorough induction for learners to ensure that they completely understand the programme and what is expected of them. The induction can include, for example, the requirements of the programme, an initial assessment of current competency levels, assessment of individual learning styles, identification of training needs, an individual learning plan, details of training delivery, the assessment process. It is good practice to involve employers in the induction process, this helps them to understand what will be taking place during the programme and enables them to start building a relationship with the centre to support the effective delivery of the programme
- keeping in regular contact with the learner to keep them engaged and motivated, and ensuring that there are open lines of communication with the learner, the assessor, the employer and teaching staff.

## Training and assessment delivery

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Good practice in relation to training and assessment delivery include:

- offering flexible delivery and assessment to meet the needs of the employer and learner, through the use of a range of approaches, for example virtual learning environments (VLEs), online lectures, video, printable online resources, virtual visits, webcams for distance training, e-portfolios
- planning opportunities for the development and practising of skills on the job. On-the-job training presents an excellent opportunity to develop the learner's routine expertise, resourcefulness, craftpersonship and business-like attitude. It is therefore important that there is intentional structuring of practice and guidance to supplement the learning and development provided through engagement in everyday work activities. Learners need to have structured time to learn and practice their skills separate from their everyday work activities. Teaching and learning methods, such as coaching, mentoring, shadowing, reflective practice, collaboration and consultation, could be used in this structured on-the-job learning
- integrating the delivery and assessment of Personal, Learning and Thinking Skills (PLTS) and Employment Rights and Responsibilities (ERR) if the programme is being delivered as a part of an Apprenticeship. It is important that learners understand the relevance of these skills in the workplace and are aware of when and how they will be developing them
- developing a holistic approach to assessment by matching evidence to different assessment criteria, learning outcomes and units as appropriate, thereby reducing the assessment burden on learners and assessors. It is good practice to draw up an assessment plan that aligns the units with the learning process and the acquisition of knowledge and skills, and which indicates how and when the units will be assessed. In producing the plan, the assessor should work closely with the learner to identify any activities that relate to more than one unit or learning outcome and to agree the best way to collect a single piece of evidence that meets the assessment requirements sufficiently. The assessment guidance given in the units identifies opportunities to assess units holistically, helping centres to develop assessment plans
- discussing and agreeing with the learner and employer suitable times, dates and work areas where assessment will take place. Learners and employers should be given regular and relevant feedback on performance and progress.

## Employer engagement

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Good practice in relation to employer engagement includes:

- communicating with employers at the start of the programme to understand their business context and requirements so that the programme can be tailored to meet their needs
- working with the employer to ensure that learners are allocated a mentor in the workplace to assist them in the day-to-day working environment and to act as a contact for the assessor/tutor
- helping the employer to better understand their role in the delivery of the programme. It is important that employers understand that sufficient and relevant work must be given to learners in order to provide a culture of learning and to ensure that they are given every opportunity to participate in aspects of continuous professional development (CPD).

## 6 Centre resource requirements

As part of the approval process, centres must make sure that the resource requirements below are in place before offering the qualification.

- Centres must have the appropriate physical resources to support delivery and assessment of the qualification. For example, a workplace in line with industry standards, or a Realistic Working Environment (RWE), where permitted, as specified in the assessment strategy for the sector, equipment, IT, learning materials, teaching rooms.
- Where RWE is permitted, it must offer the same conditions as the normal, day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working.
- Centres must meet any specific human and physical resource requirements outlined in the Assessment Strategy in *Annexe A*. Staff assessing learners must meet the occupational competence requirements within the overarching assessment strategy for the sector.
- There must be systems in place to ensure continuing professional development for staff delivering the qualification.
- Centres must have appropriate health and safety policies, procedures and practices in place for the delivery and assessment of the qualification.
- Centres must deliver the qualification in accordance with current equality legislation. For further details on Pearson's commitment to the Equality Act 2010, please see *Section 7, Access and recruitment*. For full details on the Equality Act 2010, please go to [www.legislation.gov.uk](http://www.legislation.gov.uk)

## 7 Access and recruitment

Our policy on access to our qualifications is that:

- they should be available to everyone who is capable of reaching the required standards
- they should be free from barriers that restrict access and progression
- there should be equal opportunities for all wishing to access the qualifications.

Centres must ensure that their learner recruitment process is conducted with integrity. This includes ensuring that applicants have appropriate information and advice about the qualification to ensure that it will meet their needs.

Centres should review applicants' prior qualifications and/or experience, considering whether this profile shows that they have the potential to achieve the qualification.

### Prior knowledge, skills and understanding

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No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification, however it is likely that they will already be working within the business administration sector, or they may already be employed in a cross-sector role or function that involves responsibility for defined service related activities with an area of responsibility.

### Access to qualifications for learners with disabilities or specific needs

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Equality and fairness are central to our work. Pearson's Equality Policy requires all learners to have equal opportunity to access our qualifications and assessments and that our qualifications are awarded in a way that is fair to every learner.

We are committed to making sure that:

- learners with a protected characteristic (as defined by the Equality Act 2010) are not, when they are undertaking one of our qualifications, disadvantaged in comparison to learners who do not share that characteristic
- all learners achieve the recognition they deserve from undertaking a qualification and that this achievement can be compared fairly to the achievement of their peers.

For learners with disabilities and specific needs, the assessment of their potential to achieve the qualification must identify, where appropriate, the support that will be made available to them during delivery and assessment of the qualification. Please see the information regarding reasonable adjustments and special consideration in *Section 8, Assessment*.

## 8 Assessment

To achieve a pass for the full qualification, the learner must achieve all the units required in the stated qualification structure. All units in this qualification are internally assessed.

### Language of assessment

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Assessment of the internally assessed units may be in English, Welsh or Irish. If assessment is to be carried out in either Welsh or Irish then centres must inform Pearson at the point of learner registration.

A learner taking the qualification may be assessed in British or Irish Sign Language where it is permitted for the purpose of reasonable adjustment.

Further information on the use of language in qualifications is available in our policy document *Use of languages in qualifications policy*, available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com).

Further information on access arrangements can be found in the Joint Council for Qualifications (JCQ) document *Access Arrangements, Reasonable Adjustments and Special Consideration for General and Vocational qualifications*. Both documents are on our website.

### Internal assessment

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The units in this qualification are assessed through an internally and externally quality assured portfolio made up of evidence gathered during the course of the learner's work.

Each unit has specified learning outcomes and assessment criteria. To pass each unit the learner must:

- achieve **all** the specified learning outcomes
- satisfy **all** the assessment criteria by providing sufficient and valid evidence for each criterion
- prove that the evidence is their own.

The learner must have an assessment record that identifies the assessment criteria that have been met. The assessment record should be cross-referenced to the evidence provided. The assessment record should include details of the type of evidence and the date of assessment. Suitable centre documentation should be used to form an assessment record.

It is important that the evidence provided to meet the assessment criteria for the unit and learning outcomes is:

<b>Valid</b>	relevant to the standards for which competence is claimed
<b>Authentic</b>	produced by the learner
<b>Current</b>	sufficiently recent to create confidence that the same skill, understanding or knowledge persist at the time of the claim
<b>Reliable</b>	indicates that the learner can consistently perform at this level
<b>Sufficient</b>	fully meets the requirements of the standards.

Learners can provide evidence of occupational competence from:

- **current practice** – where evidence is generated from a current job role
- a **programme of development** – where evidence comes from assessment opportunities built into a learning programme. The evidence provided must meet the requirements of the Sector Skills Council's assessment requirements/strategy.
- the **Recognition of Prior Learning (RPL)** – where a learner can demonstrate that they can meet a unit's assessment criteria through knowledge, understanding or skills they already possess without undertaking a course of development. They must submit sufficient, reliable, authentic and valid evidence for assessment. Evidence submitted that is based on RPL should give the centre confidence that the same level of skill, understanding and knowledge exists at the time of claim as existed at the time the evidence was produced. RPL is acceptable for accrediting a unit, several units, or a whole qualification.
- Further guidance is available in our policy document *Recognition of Prior Learning Policy and Process*, available on our website.
- a combination of these.

## Assessment requirements/strategy

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The Assessment Strategy for the units in this qualification is given in *Annexe A*. It sets out the overarching assessment principles and the framework for assessing these units to ensure that the qualification remains valid and reliable. The Assessment Strategy has been developed by Skills CFA in partnership with employers, training providers, awarding organisations and the regulatory authorities.

## Types of evidence

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To achieve a unit, the learner must gather evidence that shows that they have met the required standard specified in the assessment criteria, Pearson's quality assurance arrangements (please see *Section 10, Quality assurance of centres*) and the requirements of the Assessment Strategy given in *Annexe A*.

In line with the assessment requirements/strategy, evidence for internally assessed units can take a variety of forms as indicated below:

- direct observation of the learner's performance by their assessor (O)
- outcomes from oral or written questioning (Q&A)
- products of the learner's work (P)
- personal statements and/or reflective accounts (RA)
- outcomes from simulation (S) – Unit 37 only
- professional discussion (PD)
- authentic statements/witness testimony (WT)
- expert witness testimony (EWT)
- evidence of Recognition of Prior Learning (RPL).

Learners can use the abbreviations in their portfolios for cross-referencing purposes.

For guidance on the assessment methods stated above, please refer to the *Guide to Assessing Work Based Learning Qualifications*, available on our website at [qualifications.pearson.com](http://qualifications.pearson.com).

Learners must provide evidence of their achievement of the knowledge-based learning outcomes and the associated assessment criteria in competence units – achievement of these cannot be inferred from performance. Centres must ensure that the assessment methods used are appropriate for the specific learning outcomes and assessment criteria and are in line with the Assessment Strategy in *Annexe A*. Guidance may need to be given to learners before the assessment is conducted to clarify the requirements of different command verbs. This will ensure that evidence provided has sufficient breadth and depth to meet the assessment requirements. The *Unit assessment guidance* given in each unit is useful in supporting centres with the assessment process.

Learners can also use one piece of evidence to prove their knowledge, skills and understanding across different assessment criteria and/or across different units. It is not necessary for learners to have each assessment criterion assessed separately. They should be encouraged to reference evidence to the relevant assessment criteria. However, the evidence provided for each unit must be clearly reference the unit being assessed. Evidence must be available to the assessor, the internal verifier and the Pearson standards verifier.

Any specific evidence requirements for a unit are given in the *Assessment* section of the unit.

Further guidance on the requirements for centre quality assurance and internal verification processes is available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com). Please see *Section 12, Further information and useful publications* for details.

## Appeals

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Centres must have a policy for dealing with appeals from learners. Appeals may relate to incorrect assessment decisions or unfairly conducted assessment. The first step in such a policy is a consideration of the evidence by a Lead Internal Verifier or other member of the programme team. The assessment plan should allow time for potential appeals after learners have been given assessment decisions.

Centres must document all learners' appeals and their resolutions. Further information on the appeals process can be found in the document *Enquiries and appeals about Pearson vocational qualifications policy*, which is available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com).

## Dealing with malpractice

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Centres must have a policy for dealing with malpractice by learners. This policy must follow the *Centre guidance for dealing with malpractice* and the JCQ document *Suspected Malpractice in Examinations and Assessments – JCQ Policies and Procedures*, available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com). Centres must report malpractice to Pearson, particularly if any units have been subject to quality assurance or certification.

## Reasonable adjustments to assessment

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Centres are able to make adjustments to assessments to take account of the needs of individual learners in line with the guidance given in the document *Pearson Supplementary Guidance for Reasonable Adjustment and Special Consideration in Vocational Internally Assessed Units*. In most instances, adjustments can be achieved by following the guidance; for example allowing the use of assistive technology or adjusting the format of the evidence. We can advise you if you are uncertain as to whether an adjustment is fair and reasonable. Any reasonable adjustment must reflect the normal learning or working practice of a learner in a centre or working within the occupational area.

Further information on access arrangements can be found in the Joint Council for Qualifications (JCQ) document *Access Arrangements, Reasonable Adjustments and Special Consideration for General and Vocational qualifications*.

Both documents are on our website at: [qualifications.pearson.com](http://qualifications.pearson.com).

## Special consideration

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Centres must operate special consideration in line with the guidance given in the document *Pearson Supplementary Guidance for Reasonable Adjustment and Special Consideration in Vocational Internally Assessed Units*. Special consideration may not be applicable in instances where:

- assessment requires the demonstration of practical competence
- criteria have to be met fully
- units/qualifications confer licence to practice.

Centres cannot apply their own special consideration; applications for special consideration must be made to Pearson and can be made only on a case-by-case basis. A separate application must be made for each learner and certification claims must not be made until the outcome of the application has been received.

Further information on special consideration can be found in the Joint Council for Qualifications (JCQ) document *Access Arrangements, Reasonable Adjustments and Special Consideration for General and Vocational qualifications*.

Both of the documents mentioned above are on our website at: [qualifications.pearson.com](http://qualifications.pearson.com).

## 9 Centre recognition and approval

### Centre recognition

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Centres that have not previously offered Pearson vocational qualifications need to apply for and be granted centre recognition and approval as part of the process for approval to offer individual qualifications.

Existing centres will be given 'automatic approval' for a new qualification if they are already approved for a qualification that is being replaced by a new qualification and the conditions for automatic approval are met.

Guidance on seeking approval to deliver Pearson vocational qualifications is available at [www.pearsonwbl.edexcel.com/qualifications-approval](http://www.pearsonwbl.edexcel.com/qualifications-approval).

### Approvals agreement

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All centres are required to enter into an approval agreement, which is a formal commitment by the head or principal of a centre, to meet all the requirements of the specification and any associated codes, conditions or regulations. Pearson will act to protect the integrity of the awarding of qualifications. If centres do not comply with the agreement, this could result in the suspension of certification or withdrawal of approval.

## 10 Quality assurance of centres

Quality assurance is at the heart of vocational qualifications. Centres are required to declare their commitment to ensuring quality and to giving learners appropriate opportunities that lead to valid and accurate assessment outcomes.

Centres must follow quality assurance requirements for standardisation of assessors and internal verifiers and the monitoring and recording of assessment processes. Pearson uses external quality assurance procedures to check that all centres are working to national standards. It gives us the opportunity to identify and provide support to safeguard certification and quality standards. It also allows us to recognise and support good practice.

Centres offering competence-based qualifications will usually receive two standards verification visits per year (a total of two days per year). The exact frequency and duration of standards verifier visits will reflect the centre's performance, taking account of the:

- number of assessment sites
- number and throughput of learners
- number and turnover of assessors
- number and turnover of internal verifiers.

For centres offering a full Pearson BTEC Apprenticeship (i.e. all elements of the Apprenticeship are delivered with Pearson through registration of learners on a BTEC Apprenticeship framework) a single standards verifier will normally be allocated to verify all elements of the BTEC Apprenticeship programme. Centres should make use of our one-click learner registration to access this facility. If a centre is also offering stand-alone NVQ qualifications in the same sector as a full BTEC Apprenticeship, the same standards verifier should be allocated. If a centre is also offering stand-alone BTEC qualifications in the same sector as a full BTEC Apprenticeship, a different quality assurance model applies.

In order for certification to be released, confirmation is required that the National Occupational Standards (NOS) for assessment and verification, and for the specific occupational sector are being met consistently.

For further details, please go to the *NVQ Quality Assurance Centre Handbook*, the *BTEC Apprenticeships Quality Assurance Handbook* and the *Pearson Edexcel NVQs, SVQs and competence-based qualifications – Delivery Requirements and Quality Assurance Guidance* on our website at [www.pearsonwbl.edexcel.com](http://www.pearsonwbl.edexcel.com)

# 11 Unit format

Each unit has the following sections.

## Unit title

This is the formal title of the unit that will appear on the learner's certificate.

## Unit reference number

Each unit is assigned a unit reference number that appears with the unit title on the Register of Regulated Qualifications.

## Level

All units and qualifications have a level assigned to them. The level assigned is informed by the level descriptors by Ofqual, the qualifications regulator.

## Credit value

All units have a credit value. When a learner achieves a unit, they gain the specified number of credits. The minimum credit value is 1 and credits can be awarded in whole numbers only.

## Guided learning hours

Guided Learning Hours (GLH) is the number of hours that a centre delivering the qualification needs to provide. Guided learning means activities that directly or immediately involve tutors and assessors in teaching, supervising, and invigilating learners, for example lectures, tutorials, online instruction and supervised study.

## Unit summary

This summarises the purpose of the unit and the learning the unit offers.

## Learning outcomes

The learning outcomes set out what a learner will know, understand or be able to do as the result of a process of learning.

## Assessment criteria

The assessment criteria describe the requirements a learner is expected to meet to demonstrate that a learning outcome has been achieved.

## Unit amplification

Unit amplification sets out the range of subject material required for the programme of learning and specifies the knowledge and understanding required for achievement of the unit. It enables centres to design and deliver a programme of learning that will enable learners to achieve each learning outcome and to meet the standard determined by the assessment criteria.

Where relevant and/or appropriate, unit amplification is informed by the underpinning knowledge and understanding requirements of related National Occupational Standards (NOS).

### Relationship between amplification and assessment criteria

Although it is not a requirement that all of the amplification is assessed, learners should be given the opportunity to cover it all. However, the indicative amplification (see below) will need to be covered in a programme of learning to enable learners to meet the standard determined in the assessment criteria.

### Amplification structure

- Amplification is given only for those assessment criteria associated with knowledge-based learning outcomes. Assessment criteria for competence learning outcomes are not amplified as the related activities are organisation specific.
- Where a knowledge-based assessment criterion is context specific, it is indicated by the following, or similar, statement: *'The knowledge to meet this AC depends on particular organisational requirements and context. Learners need to apply knowledge specific to their organisation to meet this AC'*. Where appropriate, general information is given to support the delivery of the content needed to satisfy the assessment criteria.
- Content in brackets is content that must be covered and delivered.
- Where content is specified as 'e.g.' (indicative content) it means that it could be covered in delivery or replaced with other, similar content.

### Legislation

Legislation cited in the units is current at time of publication. The most recent legislation should be taught and assessed internally.

## Information for tutors

This section gives tutors information on delivery and assessment. It contains the following subsections.

- *Suggested resources* – lists resource materials that can be used to support the teaching of the unit, for example books, journals, websites.
- *Assessment* – gives information about the assessment requirements that learners need to satisfy in order to achieve the unit. This section also gives guidance on the assessment activities that can be used to gather the evidence required to achieve the unit. This section should be read in conjunction with the assessment criteria, learning outcomes and unit amplification.

# Unit 1: **Resolve Administrative Problems**

**Unit reference number: D/506/1956**

**Level: 4**

**Credit value: 6**

**Guided learning hours: 56**

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## **Unit summary**

Problem solving is a key skill and it is one that can make a huge difference to your career. At work, problems are at the centre of what many people do every day, you are either solving a problem for a client, supporting those who are solving problems, or discovering new problems to solve.

The problems you face can be large or small, simple or complex, and easy or difficult to solve. Regardless of the nature of the problems, a fundamental part of every manager's role is finding ways to solve them. So, being a confident problem solver is important to your success. Much of that confidence comes from having a good process to use when approaching a problem. With a good process, you can solve problems quickly and effectively, without one, your solutions may be ineffective or you will get stuck and do nothing, sometimes with consequences.

In this unit you will learn skills and techniques which will help you identify and resolve a range of problems, associated specifically, to an administrative or business environment. You will develop an awareness of the importance of risk assessment as a preventative measure to avoid impact and risk when problems occur as well as reduce the effect. You will explore and implement techniques to monitor, manage, control and analyse the potential for problems. You will demonstrate effective selection and application of problem solving strategies within the context of identified administrative problems.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning the resolution of administrative problems</p>	<p>1.1 Evaluate the effectiveness of different types of information on an administrative function</p> <p>1.2 Explain the basis for selecting tools, techniques and strategies to analyse administrative functions</p> <p>1.3 Explain the constraints attached to the use of resources needed to resolve administrative problems</p> <p>1.4 Explain how to apply risk assessment and management techniques to identify and resolve administrative problems</p> <p>1.5 Analyse the effectiveness of different techniques used to resolve administrative problems</p>
<p>2 Be able to identify administrative problems</p>	<p>2.1 Collect information relevant to the administrative problem</p> <p>2.2 Use analytical techniques that are appropriate to the administrative problem</p> <p>2.3 Clarify whether an administrative problem is recurrent, intermittent or a sole instance</p> <p>2.4 Identify patterns of issues and problems</p> <p>2.5 Identify the likely cause of an administrative problem</p>

Learning outcomes	Assessment criteria
<p>3 Be able to resolve administrative problems</p>	<p>3.1 Select a strategy that is appropriate for the nature, scale, seriousness and priority of the administrative problem</p> <p>3.2 Develop a plan that addresses the administrative problem whilst minimising disruption to business</p> <p>3.3 Identify success criteria that are capable of measuring the effectiveness of solutions to solve administrative problems</p> <p>3.4 Implement a problem-solving plan within the agreed timescale and constraints</p> <p>3.5 Take action to ensure that systems and processes are capable of preventing future reoccurrences</p> <p>3.6 Evaluate the effectiveness of problem solving activities</p> <p>3.7 Adhere to organisational policies and procedures, legal and ethical requirements when resolving administrative problems</p>

### **AC1.1: Evaluate the effectiveness of different types of information on an administrative function**

- *Types of information:* e.g. text, numbers, graphics, audio, video
- *Sources:* internal and external; primary and secondary; formal and informal; team workers; customers and other stakeholders
- *Information needs:* requirements analysis, e.g. strategic, tactical, operational; data requirements, e.g. inputs, outputs, processing activities; information distribution requirements, e.g. location, department, individual
- *Information requirements:* needs for information, e.g. internal, external storing information; information security; accuracy; relevance; outputs, e.g. payroll, invoicing, ordering, bookings, stock control, personnel records, goods tracking, decision making, marketing, customer service
- *Ways of storing information:* methods, e.g. paper based, ICT; location, e.g. local, remote, cloud; organisation of information; retrieval; archive; resources
- *Effectiveness of information:* people, e.g. users, stakeholders; process, e.g. flows, procedures, security, testing; technology, e.g. hardware, software, telecommunications; content, e.g. relevance, validity, level of detail, accuracy; risk; analysis; reporting; monitoring; reviewing

### **AC1.2: Explain the basis for selecting tools, techniques and strategies to analyse administrative functions**

- *Business analysis tools and techniques:*
  - o Business strategies and objectives: strategy analysis, e.g. external business environment, internal capability; strategy definition; strategy implementation; performance management
  - o Investigation: qualitative; quantitative; documenting results
  - o Consider perspectives: stakeholder identification; stakeholder analysis; stakeholder management
  - o Analyse needs: organisation modelling; business process analysis; business change identification
  - o Evaluate options: options, e.g. identification, shortlist; business case, e.g. preparation, presentation
  - o Define requirements: elicitation; analysis; development; modelling
  - o Manage change: organisation; people; benefit management and realisation
- *Administrative functions:* human resources; sales and marketing; research and development; production/operations; customer service; finance and accounts; administration and IT

**AC1.3: Explain the constraints attached to the use of resources needed to resolve administrative problems**

- *Constraints attached to the use of resources:*
  - o Time: management; efficiencies; deadlines; working hours; delays
  - o People: workforce numbers; skills and knowledge; management; stakeholders needs; expectations; abuse
  - o Physical resources: technology; consumables; environmental, e.g. furniture, premises
  - o Environment: space; waste; carbon footprint
  - o Information: sufficiency; accuracy; validity; reliability; sources
  - o Processes: workflows; productivity
  - o Costs: budgets operating funds; salary payments; taxation; debt; credit
  - o Legal and ethical constraints: relevant legislation; employment law; fraud

**AC1.4: Explain how to apply risk assessment and management techniques to identify and resolve administrative problems**

- *Risk assessment techniques:* assessments, e.g. impact, probability; contingency planning; project management; frequency; scale; how it affects quality of work; how it affects others
- *Risk management:* avoidance; reduction; transfer; acceptance; strategy, e.g. set objectives, identify risks, assess risks, treat risks, control risks, communicate and monitor

**AC1.5: Analyse the effectiveness of different techniques used to resolve administrative problems**

- *Administrative problems:* internal, e.g. people, processes, productivity, environment, resources, time, budget, information; external, e.g. suppliers, customers, legislation; business objectives
- *Measuring effectiveness:* objectives; efficiencies; relevance; appropriateness; review; evaluation; stakeholder perception; stakeholder satisfaction

## Information for tutors

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### Suggested resources

#### Books

Cadle J, Paul D and Turner P – *Business Analysis Techniques: 72 Essential Skills for Success* (BCS, 2010) ISBN 9781906124236

Hopkin P – *Fundamentals of Risk Management: Understanding, Evaluating and Implementing Effective Risk Management* (2nd edition) (Kogan Page, 2012) ISBN 9780749465391

Weiss A E – *Key Business Solutions: Essential Problem-Solving Tools and Techniques that every Manager needs to know* (Financial Times/Prentice Hall, 2011) ISBN 9780273750291

#### Websites

[www.businessballs.com](http://www.businessballs.com) – Businessballs: online training for careers, work, management, business training and educators

[www.edexcel.com/qualifications](http://www.edexcel.com/qualifications) – Pearson qualifications: provide guidance for Wider Key Skills – Problem solving

[www.mindtools.com](http://www.mindtools.com) – Mind Tools: essential skills for an effective career

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: Sector Skills Council for Business Administration

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The primary source of evidence for meeting the requirements of learning outcome 2 and learning outcome 3 is direct observation of the learner carrying out their work activities relating to resolving administrative problems.

The evidence from any direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as minutes from meetings, action plans, briefings, reports, business analysis activities, operational observation and monitoring activities, records, e.g. problem solving plans, flow charts, spreadsheets, notes, forms etc. and non-verbal communication to colleagues, managers and/or customers, e.g. emails, letters etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.3, AC2.4, AC2.5, AC3.1, AC3.2, AC3.3, AC3.4 and AC3.5. To achieve AC3.7, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when resolving administrative problems either through checklists or forms. Witness testimony could be used to support the evidence from direct observation for this AC as well as for AC2.1, AC2.3 and AC2.5.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a professional discussion where the learner demonstrates an understanding of the principles of resolving administrative problems. Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about the effectiveness of different types of information on an administrative function (AC1.1), the basis for selecting tools, techniques and strategies to analyse administrative functions (AC1.2), the constraints attached to the use of resources needed to resolve administrative problems (AC1.3), how to apply risk assessment and management techniques to identify and resolve administrative problems (AC1.4) and the effectiveness of different techniques used to resolve administrative problems (AC1.5). Reflective account can be used to support the evidence from professional discussion for learning outcome 1 as well as for AC2.2, AC2.3, AC2.4, AC2.5, AC3.1, AC3.2 and AC3.6.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

## **Unit 2: Manage the Work of an Administrative Function**

**Unit reference number: T/506/1946**

**Level: 4**

**Credit value: 5**

**Guided learning hours: 27**

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### **Unit summary**

The management of an administrative function is critical to the success of the business as it provides the supportive function for other operational departments and teams. Every business needs effective management of an administrative function in order to survive the competitive world. Usually, the administrative role is situated in an office environment, as part of a larger team or working for an individual. Administrative support always involves working with other people, as well as planning, communicating and organising work tasks through establishing requirements. Every business organisation has a structure requiring administrative support to enable it to work efficiently and effectively. The management of an administrative function is critical to the success of the business as it provides the supportive function for other operational departments and teams.

In this unit you will acquire the knowledge, understanding and skills to develop and provide effective administrative management that allows an organisation to function effectively. You will develop and build on management techniques required to lead and manage administrative teams and individuals to achieve shared goals and business objectives. You will demonstrate application of a range of effective management techniques, skills and behaviours required to manage administrative teams and workflows and identify and resolve issues which may affect the function and achievement of its objectives. You will show how you can implement plans and strategies as well as monitor and evaluate its effectiveness to ensure standards are maintained and improved.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand the management of an administrative function	<ul style="list-style-type: none"><li data-bbox="810 450 1359 584">1.1 Evaluate the way in which the purpose and values of an organisation affect the design and delivery of administrative services</li><li data-bbox="810 607 1359 696">1.2 Analyse the role of IT systems in the delivery of administrative services</li><li data-bbox="810 719 1359 786">1.3 Explain how budgetary constraints affect administrative functions</li><li data-bbox="810 808 1359 875">1.4 Analyse techniques to manage team members</li><li data-bbox="810 898 1359 987">1.5 Evaluate the role of stakeholder feedback in the design and delivery of administrative services</li><li data-bbox="810 1010 1359 1077">1.6 Explain techniques used to monitor and evaluate administrative work</li><li data-bbox="810 1099 1359 1232">1.7 Explain techniques to manage bottlenecks and downtime in a way that meets volume targets and quality standards</li></ul>

Learning outcomes	Assessment criteria
<p>2 Be able to organise the work of an administrative function</p>	<p>2.1 Agree specific, measurable, achievable, realistic and time-bound (SMART) objectives with their team</p> <p>2.2 Specify how business targets and objectives will be achieved</p> <p>2.3 Develop systems and standard operating procedures for administrative processes that meet organisational and legal requirements</p> <p>2.4 Set key performance indicators (KPIs) that are capable of measuring the progress and efficiency of the work of an administrative function</p> <p>2.5 Obtain resources likely to enable targets and objectives to be met within the agreed timescale</p> <p>2.6 Allocate workloads in a way that is likely to meet targets, deadlines and budgetary constraints</p>
<p>3 Be able to manage administrative workflows</p>	<p>3.1 Manage workflow in a way that is likely to meet volume targets and quality standards</p> <p>3.2 Minimise downtime and productivity waste</p> <p>3.3 Provide support that facilitates the development of team members and the achievement of targets and objectives</p> <p>3.4 Produce timely management reports that address workflow information requests</p> <p>3.5 Use feedback to prevent and resolve problems</p> <p>3.6 Evaluate the efficiency and effectiveness of administrative services</p> <p>3.7 Implement improvements to administrative services based on the results of evaluation</p> <p>3.8 Adhere to organisational policies and procedures, legal and ethical requirements in managing administrative workflows</p>

**AC1.1: Evaluate the way in which the purpose and values of an organisation affect the design and delivery of administrative services**

- *Administrative services:* order products and services, e.g. stationary, travel tickets; customer service, e.g. reception duties, call handling; organising meetings; supporting meetings; organising events; managing diary systems; project management; facilities management, e.g. IT, premises, energy services; managing travel and accommodation
- *Values of an organisation:* e.g. teamwork; honesty and integrity; excellence; commitment; ownership; recognition; customer service; professionalism
- *Purpose of an organisation:* mission; vision; aims; objectives; goals, values; profits; market share; growth; return on capital employed (ROCE); sales; service level; customer satisfaction; corporate responsibility; ethical issues
- *Design and delivery of administrative services:* policies and procedures; department reviews; budgets; vision; business strategy and plans

**AC1.2: Analyse the role of IT systems in the delivery of administrative services**

- *IT systems:*
  - o Purpose: operational support, e.g. monitoring and controlling; activity analysis, e.g. to identify patterns or trends; decision making, e.g. operational, tactical, strategic; gaining commercial advantage; desired results
  - o Features: data; people; hardware; software; telecommunications
  - o Uses: capture; transmit; store; retrieve; manipulate; display
- *Role of IT systems:* management information systems; others, e.g. marketing, sales performance, competitors; financial, e.g. financial costs, investment returns; Human Resources (HR), e.g. staffing, professional development; Customer Relationship Management (CRM); open and closed systems

### **AC1.3: Explain how budgetary constraints affect administrative functions**

- *Budgetary constraints:*
  - Internal budgetary constraints: increase or decrease in sales or other income; changes to pension and National Insurance contributions; increase or decrease in costs such as commodity price changes; increased salary costs; changes in legislation affecting costs; increase in interest rates charged for borrowing; reduced availability of loans or overdrafts; changes to sales or costs in another area of the organisation's work; changes to how competitors do things
  - External budgetary constraints: changes to priorities or business plans; changes to ownership or governance of organisation leading to revised priorities; original budgets based on poor estimates; inadvertent over-expenditure of budget; poor monitoring and control of budgets; changes to staffing structures
- *Administrative function budgets:*
  - Staffing costs: wages; salaries; consultants' and contractors' fees; recruitment costs; National Insurance; superannuation; pensions; tax; cover for sickness and other absences; training costs
  - Overhead costs: rent; mortgage; insurance; maintenance and repairs; heating; water; air conditioning; telecommunications; access to internet; cleaning; postage
  - Capital expenditure on machines and equipment: computers; phones; copiers; printers; equipment specific to organisational needs
  - Expenses including transport: vehicles and running costs; fares for flights; rail travel; taxis; car hire; subsistence; reimbursement of costs for using vehicles belonging to employees or contractors
  - Material costs on consumables: stationery; printer cartridges; toners
  - Marketing: advertising; promotion; entertainment
  - Financial: bad debts; finance charges; depreciation; legal and professional costs
  - Fixed costs which stay the same regardless of how much work is done: rent; rates; interest charges; repayments of loans; insurance; salaries
  - Variable costs which change according to workload: raw materials; fuel; power; wages

#### **AC1.4: Analyse techniques to manage team members**

- *Teams*: types, e.g. formal, informal; size; temporary project/task teams; permanent groupings; benefits of teams, e.g. contribution to departmental and organisational productivity and effectiveness, target setting and monitoring, how performance is monitored; reduction of alienation; fostering innovation; sharing expertise; implementing change; roles; identification and development of talent (Belbin's team roles); stages of team development (Tuckman's forming, norming, storming, performing); Leigh and Maynard (starting, sorting, stabilising, succeeding, stopping)
- *Effective teams*: characteristics, e.g. participative leadership, loyalty, trust, open communication, shared goals and objectives, shared responsibility, shared vision, common purpose, co-operation between members, motivation; team performance
- *Team management techniques*:
  - Planning: define purpose of the team; team objectives; work plans; SMART targets; team briefing; resources
  - Communication: purpose; method; language; tone
  - Allocation of work: responsibilities, e.g. individual, group; agreement; confirmation
  - Motivation: empowerment; vision; recognition; reward
  - Monitoring work of a team: observation; follow up; progress review; management reports
  - Team management: underperformance; behaviours; conflict; discipline
  - Team development: maximising skills, build common workplace culture; feedback; support; guidance; mentoring; training

#### **AC1.5: Evaluate the role of stakeholder feedback in the design and delivery of administrative services**

- *Stakeholders*: internal, e.g. system users, management, information system developers, technical support; external, e.g. customers, product suppliers, service providers, contractors, regulatory bodies
- *Stakeholder feedback*: feedback objectives, e.g. system, teams, business; desired outcome(s); feedback mechanisms, e.g. observation, verbal, written, electronic, paper-based, data; feedback forums, e.g. individuals, focus groups, organisations; frequency; response deadlines; responses
- *Use of stakeholder feedback*: value stakeholder opinions; timely resolution of issues; inform change; communication of feedback outcomes, e.g. meetings, reporting, presentation, publishing; staff development

**AC1.6: Explain techniques used to monitor and evaluate administrative work**

- *Reasons for monitoring and evaluation:* efficiency; effectiveness; relevance/appropriateness
- *Monitoring and evaluation areas of administrative work:* outputs; processes; outcomes; impact; reach; quality; quantity
- *Techniques used to monitor and evaluate:* random sampling; non-random sampling; stakeholder analysis; documentation review; direct observation; cost-benefit analysis (CBA); questionnaires and surveys; semi-structured interviews; brainstorming; focus groups; simple ranking; SWOT analysis; mapping; trends and timelines; matrix scoring; performance indicators

**AC1.7: Explain techniques to manage bottlenecks and downtime in a way that meets volume targets and quality standards**

- *Types of bottlenecks:* short-term, e.g. temporary problem; long-term, e.g. regular occurrence
- *Causes of bottlenecks:* processes, e.g. confusing, too many, difficult, unpleasant; understaffing; objectives and deadlines not met; working in a team; technology; poor communications; staff training; poorly planned workflow
- *Techniques to manage bottlenecks:* automate processes; encourage minor decision making; organisational skills; provide direction; allocation of responsibilities; cross train staff; early communication; develop work plans; align resources to objectives; prioritise workloads
- *Types of downtime:* planned, e.g. scheduled maintenance; unplanned, e.g. system crash
- *Causes of downtime:* IT systems; human error; natural disaster
- *Techniques to manage downtime:* networking; build team rapport; learning and development; catch up or get ahead; delegation of tasks; thinking time; organisation, e.g. individual, team, environment

## Information for tutors

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### Suggested resources

#### Books

Wellington P – *Managing Successful Teams: Establish Team Objectives and Identity; Manage Performance and Under-performance; Develop Team Creativity (Creating Success)* (Kogan Page, 2012) ISBN 9780202363165

Yager J – *Work Less, Do More: The 14-day Productivity Makeover* (2nd edition) (Hannacroix Creek Books, 2012) ISBN 9781889262376

#### Websites

[www.businessballs.com](http://www.businessballs.com) – Businessballs: online training for careers, work, management, business training and educators

[www.edexcel.com/qualifications](http://www.edexcel.com/qualifications) – Pearson qualifications: provide guidance for Wider Key Skills – Problem solving

[www.mindtools.com](http://www.mindtools.com) – Mind Tools: essential skills for an effective career

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: Sector Skills Council for Business Administration

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The primary source of evidence for meeting the requirements of learning outcome 2 and learning outcome 3 is direct observation of the learner carrying out their work activities relating to managing the work of an administrative function.

The evidence from the direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as minutes from meetings, action plans, briefings, reports, monitoring activities, records, e.g. flow charts, spreadsheets, notes, forms etc. and non-verbal communication to colleagues, managers and/or stakeholders, e.g. emails, letters etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.3, AC2.4, AC2.6, AC3.1, AC3.3, AC3.4, AC3.6 and AC3.7. To achieve AC3.8, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements in managing administrative workflows either through checklists or forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.3, AC3.2, AC3.5 and AC3.7.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a professional discussion where the learner demonstrates an understanding of the principles of managing the work of an administrative function. Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about the way in which the purpose and values of an organisation affect the design and delivery of administrative services (AC1.1), the role of IT systems in the delivery of administrative services (AC1.2), how budgetary constraints affect administrative functions (AC1.3), the techniques to manage team members (AC1.4), the role of stakeholder feedback in the design and delivery of administrative services (AC1.5), the techniques used to monitor and evaluate administrative work (AC1.6) and the techniques to manage bottlenecks and downtime in a way that meets volume targets and quality standards (AC1.7). Reflective account can be used to support the evidence from professional discussion for learning outcome 1 as well as for AC2.3, AC3.2, AC3.5, AC3.6 and AC3.7.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 3: Communicate in a Business Environment

**Unit reference number:** Y/506/1910

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 24

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## Unit summary

Effective Communication is incredibly important in keeping a business functioning. It helps us to better understand a person or situation and is at the heart of customer service, sales, marketing, and relationships with colleagues, visitors, suppliers and other business associates. Understanding how to communicate in a business environment is a key skill for all administrators.

In this unit you will investigate a range of business communication models, systems and processes and will explore different methods of communication including written, verbal, and non-verbal. You will acquire knowledge of more advanced communication techniques including skills to effectively apply communications theories and communication channels. You will look at how you should use appropriate spoken language, tone of voice and body language during verbal discussions, and when responding to others. You will identify barriers to effective communication and explore strategies to overcome these when communicating with others in a business environment. You will also consider language, content, structure and accuracy of information in written communications relevant to your role and place of work.

You will demonstrate the ability to communicate effectively in writing by presenting clear, accurate and timely communications that follow agreed practices for format and style.

Finally, you will demonstrate the ability to communicate effectively and respond appropriately to different situations using verbal and non-verbal communication, including the appropriate use of language and body language.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand business communication models, systems and processes</p>	<p>1.1 Analyse the communication needs of internal and external stakeholders</p> <p>1.2 Analyse the different communication models that support administration</p> <p>1.3 Evaluate the effectiveness of different communication systems</p> <p>1.4 Explain the factors that affect the choice of communication media</p> <p>1.5 Explain the importance of using correct grammar, sentence structure, punctuation, spelling and conventions in business communications</p> <p>1.6 Explain the factors to be taken into account in planning and structuring different communication media</p> <p>1.7 Explain ways of overcoming barriers to communication</p> <p>1.8 Explain the use of communications theories and body language</p> <p>1.9 Explain proof-reading techniques for business communications</p>

Learning outcomes	Assessment criteria
<p>2 Be able to communicate in writing in business</p>	<p>2.1 Identify the purpose and audience of the information to be communicated</p> <p>2.2 Select communication media that are appropriate to the audience and information to be communicated</p> <p>2.3 Present information in the format, layout and style that is appropriate to the information to be communicated</p> <p>2.4 Follow agreed business practices when communicating in writing</p> <p>2.5 Adapt the style and content of a communication, appropriate to specific audiences</p> <p>2.6 Present written communications that are clear, expressed in correct grammar and reflect what is intended</p> <p>2.7 Meet agreed deadlines in communicating with others</p>
<p>3 Be able to communicate verbally in business</p>	<p>3.1 Identify the nature, purpose, audience and use of the information to be communicated</p> <p>3.2 Use language that is correct and appropriate for the audience's needs</p> <p>3.3 Use appropriate body language and tone of voice to reinforce messages</p> <p>3.4 Identify the meaning and implications of information that is communicated verbally</p> <p>3.5 Confirm that a recipient has understood correctly what has been communicated</p> <p>3.6 Respond in a way that is appropriate to the situation and in accordance with organisational policies and standards</p>

## Unit amplification

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### **AC1.1: Analyse the communication needs of internal and external stakeholders**

- *Stakeholders*: internal, e.g. team members, management, other departments; external, e.g. customers, product/service suppliers, regulatory bodies
- *Communication requirements*: purpose; appropriate communication methods (formal, informal, verbal, written); language; organisation standards and protocols; customer expectations
- *Communication channels*: direct; indirect; chain of command
- *Methods of communication*: face-to-face, e.g. one-to-one, team meetings; voice, e.g. telephone, teleconferencing; paper based, e.g. letter, report; electronic and digital, e.g. email, short messaging systems (SMS); social media, e.g. Twitter, Facebook, LinkedIn; Intranet and Internet

### **AC1.2: Analyse the different communication models that support administration**

- *Communication*: models, e.g. Shannon, Berlo, Schramm; communication process, e.g. source, message, encoding, channels, decoding, recipient, context, noise, feedback

### **AC1.3: Evaluate the effectiveness of different communications systems**

- *Organisation communications systems*: definition; types, e.g. chain, wheel, star, all-channel, circle, top down, bottom up, one way, two way
- *Effectiveness of communications systems*: strengths and weaknesses; organisational requirements, e.g. formality, accuracy, speed, control, efficiency; contextual factors, e.g. organisational hierarchy, authority and responsibility, organisational culture, decision making

### **AC1.4: Explain the factors that affect the choice of communication media**

- *Communication media*: e.g. the written or oral methods used to communicate a message
- *Factors that affect communication media choice*: audience; purpose; cost; speed of communication; subject matter of information; how much information is to be communicated; whether feedback is required; whether a permanent record of the information is required; intrusiveness of communication method; accuracy; safety and information security; distance

**AC1.5: Explain the importance of using correct grammar, sentence structure, punctuation, spelling and conventions in business communications**

- *Business communications:* email; letters; reports; presentations
- *Conventions:* paragraphs; format; formality; language; style; terminology, e.g. technical terms, use of jargon, abbreviations, acronyms
- *Importance:* e.g. accuracy, own standards of work, professional image, customer perception

**AC1.6: Explain the factors to be taken into account in planning and structuring different communication media**

- *Planning communication media:*
  - Factors: e.g. audience, communication objective, message, channel, timing, preparation
- *Structuring different communication media:*
  - Factors: introduction, e.g. background, basics; details, e.g. facts and figures; response or action, e.g. conclusion; close

**AC1.7: Explain ways of overcoming barriers to communication**

- *Barriers to communication:* use of jargon; emotions; taboo topics; lack of interest or relevance; distraction; perception and viewpoint; physical disabilities, e.g. hearing problems, speech difficulties, body language; language differences, e.g. understanding accents; expectations and prejudices, e.g. false assumption and stereotyping; cultural differences
- *Ways of overcoming barriers:* focus on the receiver; take the receiver more seriously; crystal clear message; skilfully delivered messages; multiple communication channels; awareness of own emotions and attitude; seven Cs of communication (clarity, credibility, content, context, continuity, capability, channels)

**AC1.8: Explain the use of communications theories and body language**

- *Communications theories:* Mehrabian's 'Silent Messages'; Birdwhistell's theory of kinesics; Argyle's communication cycle; uses; benefits; application of these theories
- *Body language:* types, e.g. facial expressions, eye contact, gestures, posture, touch; uses, e.g. mirroring others, enhancing verbal communication; benefits; application

**AC1.9: Explain proof-reading techniques for business communications**

- *Business communication:* definition; text, e.g. documents, emails; numbers, e.g. spreadsheets; graphical representations, e.g. charts, graphs, diagrams; images, e.g. photographs
- *Proof-reading techniques:* check SPAG (spelling, punctuation and grammar); check facts, figures and names; review hard copy; use a dictionary; sense check the copy; create proof-reading checklists

## Information for tutors

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### Suggested resources

#### Books

Atkinson I – *FT Essential Guide to Business Writing: How to Write to Engage, Persuade and Sell* (Pearson, 2012) ISBN 9780273761136

Butterfield J – *Illustrated Course Guides: Verbal Communication* (2nd edition) (Cengage Learning, 2012) ISBN 9781133526520

#### Websites

[www.data-protection-act.co.uk](http://www.data-protection-act.co.uk) – The Data Protection Act Shop: Data Protection Act Made Easy

[www.edexcel.com/qualifications](http://www.edexcel.com/qualifications) – Pearson qualifications: provide guidance on Functional Skills English, essential Skills Wales Communication and Core Skills (Scotland) Communication

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: The Sector Skills Council for Business and Administration

#### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

It is recommended that assessment of communication in a business environment is holistic and is assessed simultaneously with other mandatory and optional units where communication skills are essential to fulfil assessment criterion.

Assessors should also consider holistic assessment with appropriate transferrable skills qualifications such as Functional Skills (English) or Essential Skills Wales (Communication) however, evidence for this unit must be contextualised with the role and responsibilities of the learner and work place.

The assessment of learning outcome 1 should be integrated with the competence evidence wherever possible to give the learner the opportunity to link and apply their knowledge and understanding to their work activities. The learner could expand on this evidence through professional discussion and/or reflective account to meet the assessment criteria. For example, the learner could explain how they overcame any communication barriers faced and the proof-reading techniques that they used or could have used in checking the accuracy of their communications. Similarly, through the use of a reflective account, the learner could also explain how they have used the principles from different communication theories in their communications or how they can apply these in the future to improve the effectiveness of their communications.

At this level, learners are expected to provide responses to knowledge assessment criterion which should contain sufficient content to effectively respond to the more advanced command verbs such as 'analyse' and 'evaluate'. Guidance may be required to clarify requirements of command verbs before assessment activities being planned. Planned assessments should provide learners with the opportunity to respond appropriately to command verbs.

For learning outcomes 2 and 3, the assessment criteria are most effectively assessed through direct assessment of learner activities in a business environment, particularly assessor observations. Learners can present naturally occurring opportunities to demonstrate competence when communicating verbally and in writing in the context of their own work and responsibilities.

Learners could present examples of written communication such as emails, letters, reports or presentations already available to submit as evidence. Such evidence must be assessed, as work product therefore, is accompanied by additional learner-led evidence such as professional discussion, personal statements and annotation.

Assessors should assess the content of any written business communication surrounding data protection and commercial sensitivity and make decisions as to whether it is appropriate to submit in a portfolio or signpost to its original location.

Where evidence presented is generated from workplace activities and is used to communicate with others in a business environment, or outside the business environment, assessment must ensure correct spelling, punctuation and grammar is appropriately applied.

Assessors could consider capturing competence of verbal communication skills using methods such as audio, video or witness testimony as well as direct observation. Assessors are encouraged to capture the skills and competences demonstrated by the learner as well as the contextualised information and content of discussions, presentations and situations where verbal communication skills are applied.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence.

## **Unit 4: Manage Personal and Professional Development**

**Unit reference number:** T/506/2952

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 12

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### **Unit summary**

This unit focuses on the learning processes that underpin the development of personal and professional skills. The Chartered Institute of Personnel and Development (CIPD) defines continuing professional development (CPD) as 'the need for individuals to keep up to date with rapidly changing knowledge' and in this unit you will learn how to identify and evaluate your own personal and professional development needs.

Businesses will want to know that, as an individual, you have taken personal responsibility for ensuring that you have the skills and knowledge necessary to meet the challenges of an ever-changing world, and that you are keeping up to date in terms of new knowledge, techniques and developments as related to your role. You will look at the benefits of creating a personal development plan (PDP) and set your own targets to create such plans for yourself, then, with the advice and feedback of other, maintain them.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Be able to identify personal and professional development requirements</p>	<p>1.1 Compare sources of information on professional development trends and their validity</p> <p>1.2 Identify trends and developments that influence the need for professional development</p> <p>1.3 Evaluate their own current and future personal and professional development needs relating to the role, the team and the organisation</p>
<p>2 Be able to fulfil a personal and professional development plan</p>	<p>2.1 Evaluate the benefits of personal and professional development</p> <p>2.2 Explain the basis on which types of development actions are selected</p> <p>2.3 Identify current and future likely skills, knowledge and experience needs using skills gap analysis</p> <p>2.4 Agree a personal and professional development plan that is consistent with business needs and personal objectives</p> <p>2.5 Execute the plan within the agreed budget and timescale</p> <p>2.6 Take advantage of development opportunities made available by professional networks or professional bodies</p>
<p>3 Be able to maintain the relevance of a personal and professional development plan</p>	<p>3.1 Explain how to set specific, measurable, achievable, realistic and time-bound (SMART) objectives</p> <p>3.2 Obtain feedback on performance from a range of valid sources</p> <p>3.3 Review progress toward personal and professional objectives</p> <p>3.4 Amend the personal and professional development plan in the light of feedback received from others</p>

## Information for tutors

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### Suggested resources

#### Books

Routledge C and Carmichael J – *Personal Development and Management Skills* (CIPD, 2007) ISBN 9781843981480

#### Websites

[www.businessballs.com](http://www.businessballs.com) – Businessballs: personal development planning

[www.cipd.co.uk](http://www.cipd.co.uk) – Chartered Institute of Personnel and Development: webpage dedicated to continuing professional development

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of learning outcomes 1, 2 and 3 is likely to come from a combination of a review of the learner's work products, professional discussion or reflective accounts and witness testimony.

For learning outcome 1, the learner's work products could include their research notes and findings on professional development trends, as well as notes/records from the evaluation of their current and future personal development needs (AC1.1 and AC1.2). The learner's available work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning their performance. In the professional discussion, the learner could explain how they validated the information from the different sources and how they used this information to decide which trends and developments reflected their professional development needs.

For learning outcome 2, the learner's work products could include their personal development plan and records or notes from their skills gap analysis. The evidence from the review of available work products should be supported by a professional discussion, which could be based around the learner's choice of learning methods and development activities, agreed as a part of the development plan, the general process for developing and agreeing the development plan, and the effectiveness of the development activities in achieving the objectives of the development plan (AC2.2, AC2.3, AC2.4 and AC2.5). The assessor should ensure that the professional discussion covers the evidence to meet the requirements of AC2.1; to achieve this, the learner could weigh up the benefits of personal and professional development for the employer and the employee from a professional as well as a personal perspective.

For learning outcome 3, the learner's work products could include records of agreed objectives and feedback on performance received from others (for example one-to-one meeting notes, performance development review records or appraisal records), CPD records and their amended personal development plan. The learner's available work products should be reviewed by the assessor and could be used as a basis for the professional discussion. To evidence the achievement of AC3.1 and the knowledge and understanding underpinning the learner's performance, the professional discussion could focus on how the learner's SMART objectives were set, who they received feedback on their performance from, and why, and how they determined their progress against the objectives.

Witness testimony from colleagues and the line manager should also be used, as appropriate across the unit, to confirm the learner's competence in managing their personal and professional development (AC1.3, AC2.5, AC2.6, AC3.2 and AC3.3).

The use of a reflective account is a suitable alternative to professional discussion throughout the assessment of this unit. If this is used, the learner should comment on how their development activities address the knowledge and understanding requirement as outlined above for the professional discussion.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 5: **Contribute to the Design and Development of an Information System**

**Unit reference number:** A/506/1950

**Level:** 4

**Credit value:** 5

**Guided learning hours:** 23

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## **Unit summary**

This unit is about the design and development of an information system that will meet identified needs in a business environment. Businesses and organisations use a variety of information systems to support processes needed to carry out their business functions. Each system has a particular purpose of focus which will require regular analysis and review to ensure it continues to meet the changing needs of the business and its stakeholders.

In this unit you will learn how an organisation uses information to meet the needs of internal functional areas as well as stakeholders. You will develop skills to analyse business requirements and make constructive contributions to design solutions to meet business needs. You will be required to demonstrate your awareness of system users and the most appropriate information systems to meet business and information requirements. You will explore budgets, functionality and security of a range of information systems and contribute to making informed decisions based on systems analysis activities. You will be following design and development projects through to implementation and using test results to make recommendations for further systems developments.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand information system design requirements</p>	<p>1.1 Analyse the requirements, advantages and limitations of different ways of storing and managing information in an organisation</p> <p>1.2 Assess the ways in which information can be used by an organisation</p> <p>1.3 Evaluate the implications of data protection requirements for the design of an information system</p>
<p>2 Be able to contribute to the specification of an information system</p>	<p>2.1 Identify the users and stakeholders of an information system</p> <p>2.2 Identify the information that will be managed within a system</p> <p>2.3 Analyse the impact of budgetary constraints on the design of an information system</p> <p>2.4 Specify the functionality of a system that is capable of delivering agreed requirements</p> <p>2.5 Specify access and security restrictions and systems that meet the design specification of an information system</p> <p>2.6 Identify resources needed to implement and operate the system</p> <p>2.7 Adhere to organisational policies and procedures, legal and ethical requirements when contributing to the specification of an information system</p>

Learning outcomes	Assessment criteria
<p>3 Be able to recommend options for the development of an information system</p>	<p>3.1 Evaluate the advantages and limitations of proprietary and customised information systems</p> <p>3.2 Evaluate the advantages and limitations of designing a system in-house and commissioning a system from an external source</p> <p>3.3 Identify the implications of testing information systems before finalising the specification</p> <p>3.4 Justify recommendations for the development of an information system based on an analysis of cost-effectiveness and functionality</p>

### **AC1.1: Analyse the requirements, advantages and limitations of different ways of storing and managing information in an organisation**

- *Information and data:* definition of information and data; sources of information; types of information
- *Information requirements:* needs for information, e.g. internal, external; storing information; information security; accuracy; relevance; outputs, e.g. payroll, invoicing, ordering, bookings, stock control, personnel records, goods tracking, decision making, marketing, customer service
- *Ways of storing information:* methods; location, e.g. local, remote, cloud; organisation of information; retrieval; archive; resources
- *Ways of managing information:* people; process, e.g. flows, procedures, security, testing; technology; content, e.g. relevance, validity, level of detail, accuracy; risk; analysis; reporting; monitoring; reviewing
- *Information systems:* types, e.g. business information systems, management information systems; knowledge information systems; proprietary or customised; in-house designed or commissioned
- *Advantages and limitations:* information characteristics, e.g. format, quantity, quality, source, reliability; budgets; effectiveness; technology; capacity, e.g. storage, memory; staff, e.g. capabilities, training; environment; usability; functionality; output; legal and ethical restrictions; product and/or service suppliers

### **AC1.2: Assess the ways in which information can be used by an organisation**

- *Functional areas of an organisation:* typical areas, e.g. finance, accounts, human resources, stock control, sales, marketing, research and development, production, distribution, customer service, administration
- *Information needs:* requirements analysis, e.g. strategic, tactical, operational; data requirements, e.g. inputs, outputs, processing activities; information distribution requirements, e.g. location, department, individual
- *Sources:* internal and external; primary and secondary; formal and informal; team workers; customers; other stakeholders
- *Types of information:* e.g. text, numbers, graphics, audio, video
- *Information flows:* e.g. information flows between information generators and information users; information flows across functional areas; internal flows; external flows; content; level of detail; volume of information; timing; intelligibility; differentiating between essential and useful information; frequency; storage; retrieval; recording information flows; confirming receipt of information; acting on information

**AC1.3: Evaluate the implication of data protection requirements for the design of an information system**

- *Legal issues:* relevant and current data protection legislation, e.g. Data Protection Act 1998, Freedom of Information Act 2000; other relevant legislation, e.g. Computer Misuse Act 1990
- *Ethical issues:* codes of practice, e.g. use of email, internet; 'whistle blowing'; organisational policies; information ownership
- *Operational issues:* security of information; backups, e.g. hardware, peripherals, software, storage media, local storage, remote storage, cloud storage; organisational policies, procedures and processes; staff training
- *Implications of data protection:* access; information security, e.g. internal threats, external threats, data corruption; cost; reputation; effects on business sustainability
- *Managing risk:* cyber-crime, e.g. diverting financial assets, communications sabotage, intellectual property theft, denial of service attacks; preventive technologies, e.g. firewalls, access control methods, secure payment systems; disaster recovery

## Information for tutors

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### Suggested resources

#### Books

Bocij P, Greasley A and Hickie S – *Business Information Systems: Technology Development and Management for the E-Business* (4th edition) (FT Prentice Hall, 2008) ISBN 9780273716624

Chaffey D and White G – *Business Information Management: Improving Using Information Systems* (2nd edition) (FT Prentice Hall, 2010) ISBN 9780273711797

Lucey Y – *Management Information Systems* (9th edition) (Cengage Learning, 2004) ISBN 9781844801268

#### Websites

[www.data-protection-act.co.uk/](http://www.data-protection-act.co.uk/) – Data Protection Act made easy

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: Sector Skills Council for Business Administration

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The primary source of evidence for meeting the requirements of learning outcome 2 and learning outcome 3 is direct observation of the learner carrying out their work activities relating to contributing to the design and development of an information system.

The evidence from any direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as notes from meetings, project plans, technical specifications, budgets, reports, implementation strategies, records, e.g. flow charts, spreadsheets, notes, forms etc. and non-verbal communication to colleagues, managers and/or stakeholders, e.g. emails etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.4, AC2.5, AC2.6, AC3.1, AC3.2, AC3.3 and AC3.4. To achieve AC2.7, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when contributing to the specification of an information system either through checklists, forms and/or the draft specification. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.1, AC2.2 and AC3.4.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a professional discussion where the learner demonstrates an understanding of the principles of contributing to the design and development of an information system. Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about the requirements, advantages and limitations of different ways of storing and managing information in an organisation (AC1.1), the ways in which information can be used by the organisation (AC1.2) and the implication of data protection requirements for the design of an information system (AC1.3). Reflective account can be used to support the evidence from professional discussion for learning outcome 1 as well as for AC2.3, AC3.1, AC3.2, AC3.3 and AC3.4.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 6: Manage Information Systems

**Unit reference number:** F/506/1951

**Level:** 4

**Credit value:** 6

**Guided learning hours:** 30

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## Unit summary

Information is the most valuable resource that an organisation possesses. The effective gathering, protection, analysis, processing and dissemination of information is vital to the success of any organisation. As globalisation and the 24-hour economy develop and increase, organisations must ensure that their information systems are reliable, efficient and able to cope with rapid change.

Organisations whose information systems previously dealt purely with data processing have now introduced those supporting strategic management and decision support. Managers at all levels need appropriate and timely information to plan successfully in the short, medium and long term, and that information can have many sources and destinations. As organisations diversify and centralise, information also needs to be available to non-managerial staff in a variety of locations. The logical conclusion is that an organisation is now completely dependent on the effectiveness of its information systems in order to survive and thrive in the 21<sup>st</sup> century business environment.

In this unit you will learn about the various uses of information systems and how system users and stakeholders interact with hardware, software and information. You will develop skills to analyse and review information system effectiveness and identify where system updates and developments are required to meet the ongoing needs of an organisation. You will demonstrate your ability to manage information systems which includes hardware, software, people and data. This unit requires you to demonstrate your understanding of change relating to information systems as well as the impact these changes have on individuals, teams and the organisation as a whole whilst remaining compliant with relevant and current legislation.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the management of information systems</p>	<p>1.1 Explain the uses of an information system</p> <p>1.2 Describe typical information system interfaces</p> <p>1.3 Analyse the implications of system updates and system developments to an organisation</p> <p>1.4 Analyse the use of stakeholders' feedback on the effectiveness of an information system</p> <p>1.5 Evaluate the implications of data protection requirements for the management and use of an information system</p>
<p>2 Be able to set up information system processes</p>	<p>2.1 Develop standard operating procedures for administrative processes that meet organisational and legal requirements</p> <p>2.2 Implement management processes that are capable of identifying and resolving problems</p> <p>2.3 Analyse users' training needs for an information system</p>

Learning outcomes	Assessment criteria
<p>3 Be able to manage an information system</p>	<p>3.1 Monitor the quality of information against agreed key performance indicators (KPIs)</p> <p>3.2 Update information systems in line with business and users' needs</p> <p>3.3 Provide training and support in the use of information systems to users and stakeholders</p> <p>3.4 Manage problems in the information system in a way that minimises disruption to business</p> <p>3.5 Evaluate the effectiveness of an information system</p> <p>3.6 Make recommendations for improvements that will enhance the efficiency of an information system</p> <p>3.7 Adhere to organisational policies and procedures, legal and ethical requirements in the management of an information system</p>

### **AC1.1: Explain the uses of an information system**

- *Information systems:*
  - Definition which includes the differences between data and information
  - Purpose: operational support, e.g. monitoring and controlling activity; analysis, e.g. to identify patterns or trends; decision making, e.g. operational, tactical, strategic; gaining commercial advantage; desired results
  - Features: data; people; hardware; software; telecommunications
  - Uses: capture; transmit; store; retrieve; manipulate; display
- *Types of information system:* management information systems; others, e.g. marketing, sales performance, competitors); financial, e.g. financial costs, investment returns; Human Resources (HR), e.g. staffing, professional development; Customer Relationship Management (CRM); open and closed systems

### **AC1.2: Describe typical information system interfaces**

- *Typical information system interfaces:* definition; function; interface types, e.g. hardware, software, people, telecommunications
- *Features of a typical information system interface:* easy; efficient; user-friendly; logical

### **AC1.3: Analyse the implications of system updates and system developments to an organisation**

- *System updates and developments:* definition; differences between updates and developments; hardware, e.g. increasing power, increasing capacity, sophistication of computer platforms, sophistication of communication technologies; software
- *Reasons for systems updates and developments:* external pressures, e.g. changing regulatory and legal frameworks, keeping up with competitors; enhanced business opportunities, e.g. increasing globalisation, potential for outsourcing, improving customer service; internal factors, e.g. revised policies, procedures and processes, additional information requirements; organisation growth; improving staff productivity and performance
- *Impact:* cost; procedures; staff, e.g. upskilling/training, dealing with redundancies; integration of legacy systems; security; legal requirements, e.g. data protection, copyright; system 'downtime'; continuity of service
- *Benefits:* cost reductions; increased profitability; efficiency; improved customer service

**AC1.4: Analyse the use of stakeholders' feedback on the effectiveness of an information system**

- *Stakeholders*: internal, e.g. system users, management, information system developers, technical support; external, e.g. customers, product suppliers, service providers, contractors, regulatory bodies
- *Stakeholder feedback*: feedback objectives, e.g. system, teams, business; desired outcome(s); feedback mechanisms; feedback forums, e.g. individuals, focus groups, organisations; frequency; response deadlines; responses
- *Measuring system effectiveness*: system objectives, e.g. desired system outcomes, actual system outcomes; efficiencies, e.g. cost, time, resources; handling information, e.g. input, processing, output, reporting, analysis, storage; system operations, e.g. interfaces, logical processes, usability, technical support; issues, e.g. hardware, software, people, processes, data; recommendations for improvement
- *Use of stakeholder feedback*: value stakeholder opinions; timely resolution of issues; inform change; communication of feedback outcomes, e.g. meetings, reporting, presentation, publishing; staff development

**AC1.5: Evaluate the implication of data protection requirements for the design of an information system**

- *Legal issues*: relevant and current data protection legislation, e.g. Data Protection Act 1998, Freedom of Information Act 2000; other relevant legislation, e.g. Computer Misuse Act 1990
- *Ethical issues*: codes of practice, e.g. use of email, internet; 'whistle blowing'; organisational policies; information ownership
- *Operational issues*: security of information; backups, e.g. hardware, peripherals, software, storage media, local storage, remote storage, cloud storage; organisational policies, procedures and processes; staff training
- *Implications of data protection*: access; information security, e.g. internal threats, external threats, data corruption; cost; reputation; effects on business sustainability
- *Managing risk*: cyber-crime, e.g. diverting financial assets, communications sabotage, intellectual property theft, denial of service attacks; preventive technologies, e.g. firewalls, access control methods, secure payment systems; disaster recovery

## Information for tutors

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### Suggested resources

#### Books

Bocij P, Greasley A and Hickie S – *Business Information Systems: Technology Development and Management for the E-Business* (4th edition) (FT Prentice Hall, 2008) ISBN 9780273716624

Chaffey D and White G – *Business Information Management: Improving Using Information Systems* (2nd edition) (FT Prentice Hall, 2010) ISBN 9780273711797

Lucey Y – *Management Information Systems* (9th edition) (Cengage Learning, 2004) ISBN 9781844801268

#### Websites

[www.data-protection-act.co.uk/](http://www.data-protection-act.co.uk/) – Data Protection Act made easy

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: Sector Skills Council for Business Administration

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The primary source of evidence for meeting the requirements of learning outcome 2 and learning outcome 3 is direct observation of the learner carrying out their work activities relating to the management of information systems.

The evidence from any direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as system operating procedures, management processes, training materials, quality monitoring tools, notes from meetings, project plans, technical specifications, system monitoring, reports, records, e.g. flow charts, spreadsheets, notes, forms etc. and non-verbal communication to colleagues, managers and/or stakeholders, e.g. emails etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC3.1, AC3.2, AC3.3, AC3.4 and AC3.6. To achieve AC3.7, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements in the management of an information system either through checklists and/or forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.1, AC2.2, AC2.3, AC3.2, AC3.3, AC3.4 and AC3.6.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a questions and answers (Q&A), (AC1.2), or professional discussion where the learner demonstrates an understanding of the principles of managing an information system (AC1.1, AC1.3, AC1.4 and AC1.5). Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about the uses of an information system (AC1.1), the implications of system updates and system developments to an organisation (AC1.3), the use of stakeholders' feedback on the effectiveness of an information system (1.4), the implication of data protection requirements for the design of an information system (AC1.5). Reflective account can be used to support the evidence from professional discussion for learning outcome 1 as well as for AC2.3, AC3.1, AC3.2, AC3.3, AC3.4 and AC3.5.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 7: Prepare Specification for Contract

**Unit reference number:** H/506/1957

**Level:** 4

**Credit value:** 4

**Guided learning hours:** 23

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## Unit summary

In today's fast paced and ever changing business world, mergers, acquisitions tender and bidding opportunities are becoming the norm. Competitive tendering (bidding) is a widely used procurement method within government agencies and private sector organisations. The idea behind competitive tendering is that it forces suppliers to compete and consequently the purchaser and taxpayer will gain better "value for money".

A major portion of every organisation's operating cost is spent on outside goods and services. Based on this fact, executive management everywhere is determining that managing tenders, specifications, and contracts must emerge as a critical core competency if organisations are to increase revenue.

In this unit you will learn how to identify, prepare contract specifications for a range of contracts and agreements. You will demonstrate understanding of tendering processes and develop skills in the design of contract specifications. You will learn about contract specification parameters and how to comply with legal requirements required of the procurement process. You will demonstrate skills and techniques managing tender processes including communication of contract specifications and selection criteria with stakeholders and potential tenderers.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles supporting the preparation of specifications for contracts</p>	<p>1.1 Explain the scope of contract specifications</p> <p>1.2 Explain the roles and interests of those who should be involved in a tender process</p> <p>1.3 Analyse the legal implications of a range of types of contracts and agreements</p> <p>1.4 Explain the requirements of confidentiality and data protection</p> <p>1.5 Evaluate the risks associated with procurement and tendering processes</p> <p>1.6 Explain the basis for the design of a tender evaluation process</p>
<p>2 Be able to prepare specifications for contracts</p>	<p>2.1 Confirm the requirements for the contract specification</p> <p>2.2 Draft contract specifications that meet the requirements including post-contractual requirements</p> <p>2.3 Specify the parameters of the contract in line with the requirements</p> <p>2.4 Provide sufficient information to enable potential suppliers to develop proposals that are capable of meeting the specification</p> <p>2.5 Define objective selection criteria to evaluate tender proposals</p> <p>2.6 Establish a selection process that meets organisational requirements</p> <p>2.7 Adhere to organisational policies and procedures, legal and ethical requirements when preparing specifications for contracts</p>

### **AC1.1: Explain the scope of contract specifications**

- *Types of contract:* sale and purchase of a business agreement; partnership agreements; leases of a business premises; leases of plant and equipment, employment agreements
- *Format of business contract:* face to face; written; distance selling
- *Contract specifications:* offer and acceptance; intention to create legal relations; lawful consideration; capacity; legal formalities, e.g. terms and conditions
- *Matters covered in a contract:*
  - Parties of the contract
  - Contract date
  - Definitions used in the contract
  - Goods and services being provided or received
  - Payment amount and payment date
  - Interest on late payments
  - Delivery dates or performance date for services
  - Insurance promises
  - Guarantee promises
  - Termination dates
  - Renewal terms
  - Damages for breach of contract
  - Special considerations

### **AC1.2: Explain the roles and interests of those who should be involved in a tender process**

- *Roles of those who should be involved in a tender process:* internal, e.g. end user, initiator, preparer, reviewer, approver; external, e.g. potential tenderers, stakeholders, existing contractors, legal advisors
- *Responsibilities of those who should be involved in the tender process:* negotiate; support; manage; implement; evaluate; advise; supply

**AC1.3: Analyse the legal implications of a range of types of contracts and agreements**

- *Types of contracts and agreements:* public; non-public
- *Contract Law:* current legislation, e.g. Public Contracts Regulations 2006, EU Directives
- *Legal requirements of contracts:* formal agreements; intention to create legal relations
- *Contract requirements:* value for money; integrity, e.g. corruption, conflict of interest; accountability; equal opportunities; fair treatment; objectives, e.g. industrial, social, environmental; public markets, efficiency in procurement process

**AC1.4: Explain the requirements of confidentiality and data protection**

- *Legal issues:* relevant and current data protection legislation, e.g. Data Protection Act 1998, Freedom of Information Act 2000
- *Ethical issues:* codes of practice, e.g. use of email, internet; 'whistle blowing'; organisational policies; information ownership
- *Operational issues:* security of information; organisational policies, procedures and processes; staff training; communication of information
- *Implications of data protection:* access; information security, e.g. internal threats, external threats, data corruption; cost; reputation; effects on business sustainability
- *Managing risk:* cyber-crime, e.g. diverting financial assets, communications sabotage, intellectual property theft, denial of service attacks; preventive technologies, e.g. firewalls, access control methods, secure payment systems; disaster recovery

### **AC1.5: Evaluate the risks associated with procurement and tendering processes**

- *Tendering process:* pre-qualification; invitation to tender; mid-tender; tender; presentation; award; delivery
- *Risks associated with procurement and tendering processes:*
  - Identifying the need: understatement of need; overstatement of need; misinterpretation of user needs
  - Planning and purchase: insufficient funding; impractical timeframe; probity issues
  - Developing the specification: narrow definition or commercial specification; definition of inappropriate products or services; biased specification; inadequate statement of requirements
  - Selecting the purchasing method: failure to identify potential services; selecting inappropriate method
  - Purchasing documentation: terms and conditions unacceptable to tenderers; providing inadequate information
  - Inviting, clarifying and closing offers: failure to address enquiries from tenderers; favouritism in providing information; actual or perceived breach of confidentiality; insufficient number of responses, no responses from known suppliers
- *Evaluating offers:* failure to follow effective evaluation procedures; breaches of security; offers fail to meet needs; failure to identify a clear winner
- *Selecting the successful tenderer:* selecting an inappropriate/appropriate supplier; selecting an inappropriate/appropriate product or service
- *Negotiations:* not matching expectations of buyer and tenderer; deadlock on details of agreement; failure to secure mandatory conditions; unfair or onerous contract requirements; contract fails to reflect the terms offered; creating a contract without delegate approval
- *Contract management:* variations, e.g. price and foreign exchange; unwillingness of supplier to accept contract; failure to fulfil conditions of contract; inadequate administration of contract; work commences ahead of contract acceptance; unauthorised increase in scope of work; loss of intellectual property; failure to meet liabilities of third parties, loss or damage of goods; key personnel not available
- *Evaluating the procurement process:* failure to evaluate procurement and management processes; failure to identify and address problems

**AC1.6: Explain the basis for the design of a tender evaluation process**

- *Tenders*: conforming; non-conforming
- *Tender process compliance with mandatory criteria*: be complete; comply with the conditions; lodged on time; meet mandatory specifications
- *Tender evaluation process steps*:
  - Evaluate compliance with objective criteria, e.g. mandatory, qualitative/non-cost criteria
  - Clarify offers, e.g. allowing correction of unintentional errors
  - Evaluate qualitative/non-cost criteria
  - Shortlist offers
  - Formal presentation from tenderers (including site visits and interviews)
  - Calculate value for money, e.g. fitness for purpose, performance history, relative risk, flexibility to adapt to change, financial considerations
  - Compare offers
  - Seek clarification from referees
  - Apply due diligence
  - Write the evaluation report
  - Provide evaluation report to appropriate authorities for approval
  - Contract negotiations
  - Final approval process

## Information for tutors

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### Suggested resources

#### Books

Farrington B and Lysons K – *Purchasing and Supply Chain Management* (8th edition) (Pearson, 2013) ISBN 9780273723684

Hamilton M – *Contract Law (Law Express Questions and Answers)* (2nd edition) (Pearson, 2013) ISBN 9780273783671

Lewis H – *Bids, Tenders and Proposals: Winning Business Through Best Practice* (4th edition) (Kogan Page, 2012) ISBN 9780749465603

#### Websites

[www.cips.org](http://www.cips.org) – Chartered Institute of Purchasing & Supply: Professional body

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: Sector Skills Council for Business Administration

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The primary source of evidence for meeting the requirements of learning outcome 2 is direct observation of the learner carrying out their work activities relating to preparing specifications for contracts.

The evidence from any direct observation for learning outcome 2 could be supported by examining work products such as notes from meetings, draft and final contract specifications, records and non-verbal communication to colleagues, managers, stakeholders and/or potential suppliers, e.g. emails etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.3, AC2.4, AC2.5 and AC2.6. To achieve AC2.7, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when preparing specifications for contracts either through checklists, forms and/or draft specifications. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.1 and AC2.4.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a professional discussion where the learner demonstrates an understanding of the principles of preparing specifications for contracts. Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about the scope of contract specifications (AC1.1), the roles and interests of those who should be involved in a tender process (AC1.2), the legal implications of a range of types of contracts and agreements (AC1.3), the requirements of confidentiality and data protection (AC1.4), the risks associated with procurements and tendering processes (AC1.5) and the basis for the design of a tender evaluation process (AC1.6). Reflective account can be used to support the evidence from professional discussion for learning outcome 1.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

## Unit 8: Manage Events

**Unit reference number:** M/506/1959

**Level:** 4

**Credit value:** 6

**Guided learning hours:** 49

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### Unit summary

Businesses use events to exhibit and promote the company and its products or services. It is often used as an opportunity to build relationships among employees as well as with customers and suppliers. The useful outcomes that can flow from an event which is hosted efficiently can be significant. Those who attend a successful event will carry back a variety of positive images of the organisers to their respective outfits. However, if things go wrong, an event can be detrimental from the perspective of reputation management. Event management then demands a lot of careful focus if things are to proceed well. Preparation is central to the activities going smoothly.

In this unit you will learn how to develop your event management skills, understanding the role of the business event organiser and the methods that are used to plan events, from booking the venue to reviewing the outcomes. You will demonstrate your understanding of the purpose and technical requirements of events, and the skills and techniques required to manage risk and impact. You will develop detailed events plans which will demonstrate your skills to predict problems and initiate contingency plans.

You will demonstrate your ability to apply effective management skills and techniques to implement events plans and learn how to respond to a range of challenges to ensure the objectives of the events are achieved. This will include demonstration of effective stakeholder and team management skills. You will benefit from reflecting on the effects, results and opportunities of the event organisation, highlighting areas for improvement for use in the future.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the management of an event</p>	<p>1.1 Explain how organisational objectives will be met by an event</p> <p>1.2 Explain the flexibilities and constraints of an event's budget</p> <p>1.3 Evaluate the use of project management techniques in event management</p> <p>1.4 Analyse how models of contingency and crisis management can be applied to event management</p> <p>1.5 Analyse the use of customer relationship management (CRM) systems to attract attendees</p> <p>1.6 Evaluate the application of the principles of logistics to event management</p> <p>1.7 Describe the insurance requirements of an event</p>
<p>2 Be able to manage the planning of an event</p>	<p>2.1 Identify the purpose of an event and the key messages to be communicated</p> <p>2.2 Identify target attendees for an event</p> <p>2.3 Assess the impact of an event on an organisation and its stakeholders</p> <p>2.4 Establish requirements for resources, location, technical facilities, layout, health and safety</p> <p>2.5 Identify how event-related risks and contingencies will be managed</p> <p>2.6 Develop an event plan that specifies objectives, success and evaluation criteria</p> <p>2.7 Make formal agreements for what will be provided, by whom and when</p> <p>2.8 Determine methods of entry, security, access and pricing</p>

Learning outcomes	Assessment criteria
<p>3 Be able to manage an event</p>	<p>3.1 Manage the allocation of resources in accordance with the event management plan</p> <p>3.2 Respond to changing circumstances in accordance with contingency plans</p> <p>3.3 Deliver agreed outputs within the timescale</p> <p>3.4 Manage interdependencies, risks and problems in accordance with the event management plan</p> <p>3.5 Comply with the venue, insurance and technical requirements</p> <p>3.6 Apply the principles and good practice of customer care when managing an event</p> <p>3.7 Adhere to organisational policies and procedures, legal and ethical requirements when managing an event</p>
<p>4 Be able to follow up an event</p>	<p>4.1 Ensure that all post-event leads or actions are followed up</p> <p>4.2 Optimise opportunities to take actions that are likely to further business objectives</p> <p>4.3 Evaluate the effectiveness of an event against agreed criteria</p>

## Unit amplification

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### **AC1.1: Explain how organisational objectives will be met by an event**

- *Types of event:* routine/non-routine; formal/informal, e.g. meetings, staff training sessions, exhibitions, receptions, conferences, trade fair stands, seminars
- *Organisational objectives:* positive; negative; internal, e.g. reward work of a team, build on success, communication, staff development; external, e.g. develop corporate image, create awareness of a particular product or service, develop customer loyalty, increase revenue
- *Financial objectives:* profit; loss; break-even

### **AC1.2: Explain the flexibilities and constraints of an event's budget**

- *Events budget planning:* anticipate expenses; contingencies; anticipate income, e.g. registration fees, sponsorship, ticket sales, donations, product sales
- *Events budget flexibilities:* sources of finance, e.g. sponsorship, ticket sales, internal marketing budget, combination
- *Events budget constraints:* time; scope; cost; quality, resources

### **AC1.3: Evaluate the use of project management techniques in event management**

- *Project management techniques:*
  - o Initiation phase: business case, e.g. scope, purpose, objectives, resources, deliverables, timescales, structure; feasibility study; project charter; project team, project office; phase review
  - o Planning phase: project plan, e.g. time, cost, quality; resources; finances; risk; acceptance; communications; procurement; suppliers, e.g. tender process, statement of work, request for information, proposal, supplier contracts; phase review
  - o Execution phase: management and control of deliverables, e.g. time, cost quality, resources, change, risk, issues, acceptance, communications
  - o Evaluation phase: project closure; project completion; post-implementation review
- *Uses of project management techniques in event management:* link event objectives to stakeholder needs; focus on customer needs; build events teams; work across functional boundaries; estimate event budgets and schedules; meet time constraints; calculate risks; establish a dependable event control and monitoring system

**AC1.4: Analyse how models of contingency and crisis management can be applied to event management**

- *Contingency models:* e.g. Gareth Morgan; Fred Fiedlers; William Richard Scott
- *Contingency planning:* probability and impact; description of problem; scope of problem; workaround of problem
- *Crisis management:* sudden; smouldering, e.g. signal detection, preparation and prevention, containment and damage control, business recovery, learning
- *Crisis types:* natural disaster; technological; confrontation; malevolence; organisational misdeed; workplace violence; rumours; terrorist attack or manmade disaster
- *Crisis models:* Alan Hilburg's Crisis Arc (crisis avoidance, crisis mitigation, crisis recovery); Gonzalez-Herrero and Pratt's 3 Phases of Crisis Management (diagnosis of the impending trouble or danger signals, choosing appropriate turnaround strategy, implementation of the change process and its monitoring)
- *Crisis leadership:* building an environment of trust; reforming the organisation's mind-set; identifying obvious and obscure vulnerabilities of the organisation; making wise and rapid decisions as well as taking courageous action; learning from crisis to effect change

**AC1.5: Analyse the use of customer relationship management (CRM) systems to attract attendees**

- *Customer relationship management:* managing organisation, e.g. customer interactions; developing organisation, e.g. customer relationships; sales; marketing; product promotion; technical support; after sales service; value added products and services; customer profiling; benefits, e.g. understanding customer requirements, growing the customer base, retaining customers, winning back customers, growth, profitability, efficient customer management; integrating and synchronising customer management activities and events; customer satisfaction
- *Customer Relationship Management (CRM) systems:* targeting attendees, e.g. existing, historical, needs and requirements, order history, relevance, marketing; cost effectiveness; efficiency saving, e.g. automated workflow, existing contact details; communications, e.g. automated distribution; lead generation; customer perception and evaluation

**AC1.6: Evaluate the application of the principles of logistics to event management**

- *Principles of logistics to event management:*
  - Site selection: sourcing venues; proposals; negotiating contract; signing contract
  - Vendor selection: technology, e.g. audio-visual, lighting, live streaming; décor; staging; photography and videography; entertainment; speakers
  - Resources: print; distribution; merchandise
  - Venue management: monitor and adjust room block; meeting and registration area room set up; menu selection for food and beverage
  - Delegate management: travel; accommodation; liaison
  - Pulling it all together: on-site event management; vendor management; event set up and tear down; speaker management; backchannel monitoring, e.g. Social Media

**AC1.7: Describe the insurance requirements of an event**

- *Insurance requirements:* public liability; employers liability; professional indemnity; product liability; event cancellation and disruption; exhibitors

## Information for tutors

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### Suggested resources

#### Books

Raj R, Walters P and Rashid T – *Events Management: Principles and Practices* (2nd edition) (SAGE Publications, 2013) ISBN 9781446200735

Shone A, Parry B – *Successful Event Management: A Practical Handbook* (3rd edition) (CENGAGE Lrng Business Press, 2010) ISBN 9781408075997

#### Websites

[www.businessballs.com](http://www.businessballs.com) – Businessballs: online training for careers, work, management, business training and educators

[www.edexcel.com/qualifications](http://www.edexcel.com/qualifications) – Pearson qualifications: provide guidance for Wider Key Skills – Problem solving

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: Sector Skills Council for Business Administration

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The primary source of evidence for meeting the requirements of learning outcome 2, learning outcome 3 and learning outcome 4 is direct observation of the learner carrying out their work activities relating to managing events.

The evidence from any direct observation for learning outcome 2, learning outcome 3 and learning outcome 4 could be supported by examining work products such as event plans, minutes from meetings, business requests, budgets, contingency plans, documented timeline, project plan, customer and stakeholder feedback, event evaluations, contracts and agreements with suppliers and vendors, published event information, records, e.g. spreadsheets, forms, flow charts etc. and non-verbal communication to colleagues, managers, suppliers, venues and/or stakeholders, e.g. emails etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.4, AC2.5, AC2.6, AC2.7, AC2.8, AC3.1, AC3.2, AC3.3, AC3.4, AC3.5, AC4.1 and AC4.2. To achieve AC3.7, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when managing an event either through checklists and/or forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.1, AC2.4, AC2.7, AC3.1, AC3.6 and AC4.1.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a questions and answers (Q&A), (AC1.7), or professional discussion where the learner demonstrates an understanding of the principles of managing an event (AC1.1, AC1.2, AC1.3, AC1.4, AC1.5 and AC1.6). Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about how organisational objectives will be met by an event (AC1.1), the flexibilities and constraints of an event's budget (AC1.2), the use of project management techniques in event management (AC1.3), how models of contingency and crisis management can be applied to event management (AC1.4), the use of customer relationship management systems to attract attendees (AC1.5) and the application of the principles of logistics to event management (AC1.6). Reflective account can be used to support the evidence from professional discussion for learning outcome 1 as well as AC2.3, AC3.2, AC4.2 and AC4.3.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# **Unit 9: Support Environmental Sustainability in a Business Environment**

**Unit reference number:** R/506/1954

**Level:** 4

**Credit value:** 4

**Guided learning hours:** 38

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## **Unit summary**

Sustainability and environmental issues are a growing concern for businesses. The impact of business activity on the environment and corporate behaviour has resulted in organisations exercising responsibility by integrating their operations with social and environmental concerns. Waste reduction and resource efficiency are important environmental issues to be addressed and organisations need to implement policies, procedures and audits to manage the impact and damage of work practices on the business environment.

In this unit you will investigate management of sustainability and the management of environmental issues within the context of a business organisation. You will demonstrate your understanding of the main concepts, environmental standards and legislation that apply to a business environment which minimise environmental impact and meet the requirements of Duty of Care. You will demonstrate understanding of the importance of corporate social responsibility (CSR) and how this can be applied to promote and improve organisational environmental sustainability initiatives and targets within the organisation and the wider community. You will demonstrate effective techniques to evaluate sustainable working practices and develop a culture of commitment to environmental sustainability.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles supporting environmental sustainability in a business environment</p>	<p>1.1 Describe current legislation in relation to environmental sustainability in a business environment</p> <p>1.2 Explain government incentives that support environmental sustainability in a business environment</p> <p>1.3 Analyse the relationship between environmental sustainability and corporate social responsibility</p> <p>1.4 Explain the health and safety considerations for environmental sustainability and waste management</p> <p>1.5 Explain techniques to evaluate the impact of an organisation's environmental and sustainability policies and procedures</p>
<p>2 Be able to implement best practice in environmental sustainability in a business environment</p>	<p>2.1 Identify the environmental standards that are relevant to an organisation</p> <p>2.2 Evaluate the impact of an organisation's business on its environment</p> <p>2.3 Promote a culture of efficient consumption of energy in line with an organisation's energy management policies</p> <p>2.4 Establish procedures to minimise waste and maximise the recycling of materials</p> <p>2.5 Establish procedures to meet hazardous waste regulations</p> <p>2.6 Adhere to organisational policies and procedures, legal and ethical requirements when implementing best practice in a business environment</p>

**AC1.1: Describe current legislation in relation to environmental sustainability in a business environment**

- *Environmental sustainability*: definition; managing waste and recycling; using sustainable resources; reducing carbon footprint; improving work activities and production processes; pollution; monitoring impact of activities; identifying improvements
- *Current Legislation*: e.g. Environment Protection Act 1990; Duty of Care; handling, transporting and disposing of waste, e.g. hazardous and non-hazardous waste; Licensed Waste Contractors; Waste Electrical and Electronic Equipment Regulations 2006, Packaging Waste Regulations 2007; building regulations

**AC1.2: Explain government incentives that support environmental sustainability in a business environment**

- *Government incentives*: tax relief schemes, e.g. landfill; feed-in tariffs, e.g. renewable energy; grants, e.g. energy efficiency finance, motoring and transport, low carbon technologies

**AC1.3: Analyse the relationship between environmental sustainability and corporate social responsibility**

- *Corporate social responsibility*: definition; how organisations integrate social and environmental concerns into business operations; corporate governance; stakeholder and community engagement; human rights; 'green' initiatives; importance of ethical codes of practice, e.g. in sales and marketing, intellectual property; role and responsibility of the facilities manager, e.g. energy awareness training and signage, publishing initiatives, targets and results
- *Relationship*: commitment, e.g. environmental sustainability policies; environmental sustainability strategies; organisation values; reporting and disclosure

**AC1.4: Explain the health and safety considerations for environmental sustainability and waste management**

- *Waste management*: waste types, e.g. hazardous, non-hazardous; reusing and recycling; handling waste, e.g. protective clothing; disposal
- *Health and safety considerations*: current legislation; legal compliance; people, e.g. culture, commitment, training and development; environment, e.g. internal, external, ventilation, light, noise; equipment and machinery; accident prevention; fire protection

**AC1.5: Explain techniques to evaluate the impact of an organisation's environmental and sustainability policies and procedures**

- *Techniques:* environmental standards, e.g. ISO14001, Eco-Management Audit System (EMAS); Energy Efficiency Scheme; integration of standards with wider management systems; environmental review; environmental strategies and planning; benchmarking; internal audit and compliance
- *Management systems:* methods and systems of waste and energy management, e.g. using suitable tools, materials and equipment, setting targets, regular maintenance of equipment, re-use and recycling; benefits and methods of waste reduction; minimising risk of waste disposal to people and organisations; responsible purchasing; using eco-friendly products; importance of auditing; minimising environment impact through the supply chain; procedures for dealing with environment incidents; policies and practices to improve environmental awareness
- *Impact of issues:* legal compliance and statutory duties; loss of reputation, poor publicity; types of damage; methods for minimising impact of damage; corrective actions; monitoring impact of activities; identifying improvements

## Information for tutors

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### Suggested resources

#### Books

Robertson M – *Sustainability Principles and Practices* (Routledge, 2014)  
ISBN 9780415840187

Therivel R – *Strategic Environmental Assessment in Action* (2nd edition)  
(Routledge, 2010) ISBN 9781849710657

#### Websites

[www.gov.uk](http://www.gov.uk) – UK Government website: for all environment related departments, legislation and policies

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The primary source of evidence for meeting the requirements of learning outcome 2 is direct observation of the learner carrying out their work activities relating to supporting environmental sustainability in a business environment.

The evidence from any direct observation for learning outcome 2 could be supported by examining work products such as development and implementation of policies, procedures and processes, environmental sustainability strategy documents, policies and processes, reports and non-verbal communication to colleagues and/or managers, e.g. emails etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.3, AC2.4 and AC2.5. To achieve AC2.6, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when implementing best practice environmental sustainability in a business environment either through checklists and/or forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.1, AC2.3, AC2.4 and AC2.5.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a questions and answers (Q&A), (AC1.1), or professional discussion where the learner demonstrates an understanding of the principles of supporting environmental sustainability in a business environment (AC1.2, AC1.3, AC1.4 and AC1.5). Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about government incentives that support environmental sustainability in a business environment (AC1.2), the relationship between environmental sustainability and corporate social responsibility (AC1.3), the health and safety considerations for environmental sustainability and waste management (AC1.4) and techniques to evaluate the impact of an organisation's environmental and sustainability policies and procedures (AC1.5). Reflective account can be used to support the evidence from professional discussion for learning outcome 1 as well as AC2.2 and AC2.3.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.



## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand the principles of resolving business problems	1.1 Explain the use of different problem-solving techniques 1.2 Explain the organisational and legal constraints relating to problem-solving 1.3 Describe the role of stakeholders in problem-solving 1.4 Describe the steps in the business decision-making process 1.5 Analyse the implications of adopting recommendations and implementing decisions to solve business problems
2 Understand improvement techniques and processes	2.1 Describe the purpose and benefits of continuous improvement 2.2 Analyse the features, use and constraints of different continuous improvement techniques and models 2.3 Explain how to carry out a cost-benefit analysis 2.4 Explain the importance of feedback from customers and other stakeholders in continuous improvement

Learning outcomes	Assessment criteria
<p>3 Be able to solve problems in business</p>	<p>3.1 Identify the nature, likely cause and implications of a problem</p> <p>3.2 Evaluate the scope and scale of a problem</p> <p>3.3 Analyse the possible courses of action that can be taken in response to a problem</p> <p>3.4 Use evidence to justify the approach to problem-solving</p> <p>3.5 Develop a plan and success criteria that are appropriate to the nature and scale of a problem</p> <p>3.6 Obtain approval to implement a solution to a problem</p> <p>3.7 Take action to resolve or mitigate a problem</p> <p>3.8 Evaluate the degree of success and scale of the implications of a solved problem</p>
<p>4 Be able to contribute to the improvement of activities</p>	<p>4.1 Identify the nature, scope and scale of possible contributions to continuous improvement activities</p> <p>4.2 Measure changes achieved against existing baseline data</p> <p>4.3 Calculate performance measures relating to cost, quality and delivery</p> <p>4.4 Justify the case for adopting improvements identified with evidence</p> <p>4.5 Develop standard operating procedures and resource plans that are capable of implementing agreed changes</p>

### **AC1.1: Explain the use of different problem-solving techniques**

- *Problem-solving techniques:* brainstorming; workshops; SWOT analysis (strengths, weaknesses, opportunities, threats); PESTLE analysis (political, economic, social, technological, legal, environmental); risk analysis; RCA (root cause analysis); Pareto Principle; PDCA (plan, do, check, act); 5-why analysis
- *Use:* e.g. to create new ideas, to improve decision-making, to improve quality of decisions

### **AC1.2: Explain the organisational and legal constraints relating to problem-solving**

- *Organisational and legal constraints:* contracts and agreements; employee relations; skills and experience of staff; existing policies and procedures; budget; technology; values and ethics; legal or regulatory barriers, e.g. health and safety, equality, data protection

### **AC1.3: Describe the role of stakeholders in problem-solving**

- *Internal:* team leader, oversees and takes responsibility for problem solving; team members, affected by the problem, provide feedback, options, solutions; senior managers, agree solutions and finance
- *External:* potential users/customers feedback; suppliers feedback; competitors sales; regulatory bodies compliance checking

### **AC1.4: Describe the steps in the business decision-making process**

- *Steps:*
  - o Identify the problem: recognising the problem; symptoms; recognising waste
  - o Gather data and information: fact finding; use of management reports and performance indicators
  - o Consider options and solutions: advantages and disadvantages of each option; potential problems and risks; analysis; 5 Whys; cause and effect
  - o Adopt the recommendation: make the decision; responsibility for decision
  - o Implement the decision: act on the chosen solution; set standard operating procedures; set SMART objectives (specific, measurable, attainable, realistic, timely); identify additional problems
  - o Monitoring and seeking feedback: checking success and achievement against objectives; gaining feedback from users and other stakeholders involved in the process; recording outcomes

**AC1.5: Analyse the implications of adopting recommendations and implementing decisions to solve business problems**

- *Implications:* how the solution will be implemented; responsibility for implementation; risks of implementing the solution; avoiding recurrence of problem(s); developing monitoring system; communication (internal, external)

**AC2.1: Describe the purpose and benefits of continuous improvement**

- *Continuous improvement:* definition
- *Purpose:* e.g. improve standards, improve quality, improve productivity, reduce waste
- *Benefits:* business efficiency; effective team working; motivated employees; effective resource management; customer satisfaction

## **AC2.2: Analyse the features, use and constraints of different continuous improvement techniques and models**

- *Continuous improvement models:* Kaizen; PDCA; Six Sigma; DMAIC
  - Features: structured approach to problem solving; improvements based on smaller changes; ideas generated from within the organisation
  - Uses: continuous improvement; innovation; develop a design; reduce waste; improvement in productivity and efficiency
  - Constraints: commitment over time; change in mind-set; resistance to change
- *Continuous improvement techniques:*
- *Planning:*
  - Features: master schedule; SIPOC; problem and goal statements; time bound visual plans; commercial and bespoke software task management systems; responsibility and accountability
  - Use: to determine the 'what, why, how and when'; to provide structure
  - Constraints: limits of stakeholder engagement; timescales
- *Stakeholders identification/engagement:*
  - Features: key stakeholder involvement; RACI Matrix; Boston Matrix
  - Use: to capture ideas; to remove barriers; to ensure individual buy-in and engagement throughout the process; to prioritise areas to be addressed and timescales required; to identify the significance/extent of a problem
  - Constraints: networking skills; communication skills; lack of ownership or accountability; lack of hard data/evidence; differing attitudes and objectives
- *Visual management:*
  - Features: effective communication processes; visual aids, e.g. signs, charts, display or performance boards; company handbooks; key performance indicators; standard operating procedures; voice of the customer
  - Use: to provide current status at a glance; standardisation of approach; identification of non-standard approaches; to increase employee involvement and motivation; to raise productivity and quality; to facilitate faster decision-making
  - Constraints: currency and value if not maintained; timely dissemination of information to participants
- *Problem solving:*
  - Features: brainstorming; affinity diagram; Ishikawa Fishbone diagram; 5 Whys; RCA; data gathering
  - Use: to eliminate problems; to treat the cause not the symptoms; to add value by improving business processes, e.g. efficiency, service, health and safety
- *Constraints: timescales; knowledge of the problem; desire to jump to the solution*

**AC2.3: Explain how to carry out a cost-benefit analysis**

- *Brainstorm costs and benefits:* costs, actual costs and unexpected costs; benefits to staff, stakeholders, environment, business efficiency and service
- *Assign monetary value to costs:* physical resources; labour; additional staffing costs; training costs
- *Assign monetary value to benefits:* minimising future loss; return on investment; profit
- *Compare costs and benefits:* costs vs. benefits; break-even point

**AC2.4: Explain the importance of feedback from customers and other stakeholders in continuous improvement**

- *Importance of feedback:* gathers different viewpoints; enables reflection; resolves further problems; confirms solution is fit-for-purpose; celebrates success; motivational; maintains continuous improvement cycle

## Information for tutors

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### Suggested resources

#### Books

Evans V – *Key Strategy Tools: The 80+ Tools for Every Manager to Build a Winning Strategy* (FT Publishing International, 2013) ISBN 9780273778868

Liker J – *The Toyota Way: Fourteen Management Principles from the World's Greatest Manufacturer* (Reissue edition) (McGraw-Hill Education, 2004) ISBN 9780071392310

Weiss A E – *Key Business Solutions: Essential Problem-Solving Tools and Techniques That Every Manager Needs to Know* (FT Prentice Hall, 2011) ISBN 9780273750291

#### Websites

[www.bbc.co.uk/news/business](http://www.bbc.co.uk/news/business) – BBC website: business news section

[www.bized.co.uk](http://www.bized.co.uk) – Business education: a business education resource site

[www.business.com](http://www.business.com) – Business.com: business skills for personal and professional development

[www.businesscasestudies.co.uk](http://www.businesscasestudies.co.uk) – Business case studies: business studies learning resources including the 'Times 100' business case studies

[www.thecqi.org](http://www.thecqi.org) – Chartered Quality Institute: quality management approach based on planning, measurement and improvement

[www.efqm.org](http://www.efqm.org) – European Foundation for Quality Management: helping European organisations learn from each other and improve performance

[www.managers.org.uk](http://www.managers.org.uk) – Chartered Management Institute: professional body promoting management and leadership excellence

[www.mindtools.com](http://www.mindtools.com) – Mind Tools: business skills that help you excel at work

#### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

### **Unit assessment requirements**

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Possible sources of evidence for demonstrating achievement of this unit could be through direct observation, professional discussion or review of work products relating to the improvement of business performance. A holistic approach to assessment is recommended.

For AC1.1, AC1.2, AC1.3, AC1.4 and AC2.2, learners could provide examples of the types of problems that exist in their workplace with an explanation of the techniques used to determine the cause. Learners could provide a description of the stakeholders involved in this process and their roles. Learners could explain the limitations of problem-solving from an organisation and legal point of view. Professional discussion or reflective accounts could be used demonstrate the learners' achievement of the knowledge-based criteria that could also link to AC2.1, AC2.3 and AC2.4. Learners could describe the purpose and benefits of continuous improvements in their work environment and provide an analysis of the features, use and limitations of a range of business improvement techniques and models and justify the preferred solution. This could also be linked to the competence-based criteria. Learners could provide a cost-benefit analysis and provide an explanation of how this was carried out.

Work products could include evidence of minutes of meetings, process maps and diagrams, master schedules, feedback from stakeholders, presentation notes, reports to management/sponsors, resource plans and performance measures relating to cost, quality, delivery and responsibilities, analysis and evaluation, standard operating procedures showing agreed changes. Evidence could also include photographic evidence of Kaizen events and information centres. This assessment method could be used for all competence-based assessment criteria in learning outcomes 3 and 4 to demonstrate the learner's use of a range of business improvement techniques and models when solving business problems and contributing to improvement activities.

For AC1.5 and AC2.3 learners could analyse the various business improvement models available in their work environment. Learners could review product evidence of the possible solutions to problems, such as minutes of meetings, diagrams and process maps and workshop recommendations to provide an analysis of the implications involved in adopting recommendations and decisions.

To provide corroborating evidence for the assessment criteria in learning outcome 3 and 4 a reflective account could be used to document the learner's own role, responsibilities and skills. For example the learner could reflect on the criteria or standards they used to evaluate the scope of a particular problem, discuss the advantages and disadvantages of the different courses of action to solve the problem and explain the rationale for action chosen to solve the problem.

Witness testimony could be used to support the evidence from direct observation or work products.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 11: Monitor Information Systems

**Unit reference number:** F/506/1917

**Level:** 3

**Credit value:** 8

**Guided learning hours:** 43

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## Unit summary

Information is the most valuable resource that an organisation possesses. The effective gathering, protection, analysis, processing and dissemination of information is vital to the success of any organisation. As globalisation and the 24-hour economy develop and increase, organisations must ensure that their information systems are effective, reliable, efficient and able to cope with rapid change.

Organisations whose information systems previously dealt purely with data processing have now introduced systems to support strategic management and decision-making. Managers at all levels need appropriate and timely information to plan successfully in the short, medium and long term, and that information can have many sources and destinations. As organisations diversify and centralise information also needs to be available to non-managerial staff in a variety of locations.

In this unit you will learn the importance and benefits of monitoring information systems, and recognise methods and techniques that support information system monitoring activities within a business environment. You will demonstrate a range of problem-solving skills needed to investigate, analyse and evaluate information systems in order to resolve system and system user problems before developing and implementing appropriate solutions to the identified problems. You will actively contribute to the development and improvement of information systems and their use based on results of monitoring activities. You will be required to work with stakeholders to improve effectiveness of information input and output within the business environment. You will learn about the potential consequences of inaccurate or unsubstantiated information and breaches of confidentiality for individuals, teams and organisations.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand how information systems are used	<ul style="list-style-type: none"><li>1.1 Explain how the intended use of reports affects the choice of format and language</li><li>1.2 Explain how the audience of reports affects the choice of format and language</li><li>1.3 Explain the features of different problem-solving techniques related to information systems</li><li>1.4 Evaluate the suitability of possible problem-solving actions related to information systems</li><li>1.5 Explain techniques to validate the reliability of information</li><li>1.6 Analyse the suitability of different evaluation techniques related to information systems</li><li>1.7 Assess the potential consequences of breaches of confidentiality</li><li>1.8 Evaluate the potential consequences of publishing reports containing inaccurate or unsubstantiated information</li></ul>

Learning outcomes	Assessment criteria
<p>2 Be able to monitor information systems</p>	<p>2.1 Develop a plan to monitor information systems that specifies objectives, scope, timescale, resource implications, the techniques to be used and reporting requirements</p> <p>2.2 Carry out monitoring activities in accordance with the plan</p> <p>2.3 Provide training and support to system users that is appropriate to their needs</p> <p>2.4 Identify the cause of problems with an information system</p> <p>2.5 Suggest solutions to problems with an information system</p> <p>2.6 Recommend adaptations to the system in response to identified problems or developments</p> <p>2.7 Adhere to organisational policies and procedures, and legal and ethical requirements when monitoring information systems</p>

## Unit amplification

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### **AC1.1: Explain how the intended use of reports affects the choice of format and language**

- *Intended uses of reports:* operational support, e.g. monitoring and controlling activity; analysis to identify patterns or trends; decision making, e.g. operational, tactical, strategic; gaining commercial advantage, e.g. getting the desired results
- *Format:* media, e.g. paper based, electronic, web-based; presentation, e.g. list, tabular, summary, graphical; branding
- *Language:* relevance of information; terminology; organisation communications protocols

### **AC1.2: Explain how the audience of reports affects the choice of format and language**

- *Audience:* internal, e.g. immediate team, other teams, management; external, e.g. customers, suppliers, regulatory bodies

### **AC1.3: Explain the features of different problem-solving techniques related to information systems**

- *Problem-solving techniques:*
  - o Defining the problem: how to do this; the key processes involved, e.g. observation, data sampling, staff reporting
  - o Root causes of information system problems: hardware, e.g. reliability, performance, speed, accessibility; software, e.g. operating systems, applications, compatibility; communications, e.g. networks, telecommunications; information sources, e.g. validity, reliability, relevance, currency; data input, e.g. accuracy, format, language; data manipulation, e.g. queries, formulae, filters; data output, e.g. reporting, presentation, communication; users, e.g. capability, system knowledge, productivity
  - o Alternative solutions: re-run of data; alternative processes; system repair; system development
  - o Evaluation of alternatives: suitability; advantages; disadvantages; cost; conclusion; decision
  - o Best solutions: reason for this decision; consultation
  - o Action planning: informal, e.g. discussion; formal, e.g. project plan
  - o Implement solutions: issuing instruction; allocation of responsibilities; monitoring progress; confirming completion
  - o Evaluate solutions: system testing; system interrogation; data analysis; observation

**AC1.4: Evaluate the suitability of possible problem-solving actions related to information systems**

- *Problem solving actions:* system repair; system upgrade; system development; data validation; user training; alternative sources
- *Suitability criteria:* budgets; effectiveness, e.g. usability, functionality, output; technology, e.g. hardware, software, telecommunications; capacity, e.g. storage, memory; staff, e.g. capabilities, training requirements; environment; legal and ethical restrictions; product and/or service suppliers; customers and stakeholders; timeliness of solution

**AC1.5: Explain techniques to validate the reliability of information**

- *Reliability of information:* sources; collection; input; accuracy; relevance; currency
- *Techniques:* verification, e.g. onscreen prompts, dual input; validation, e.g. presence check, type check, length check, range check, format check, parity check

**AC1.6: Analyse the suitability of different evaluation techniques related to information systems**

- *Information system effectiveness parameters:* system objectives, e.g. desired outcomes, actual outcomes; efficiencies, e.g. cost, time, resources; handling information, e.g. input, processing, output, reporting, storage; system operations, e.g. interfaces, usability, technical support; issues, e.g. hardware, software, processes, data; recommendations for improvement, e.g. resolving issues, system updates, system developments
- *Evaluation techniques:* action research; benchmarking; counts; focus groups; impact assessment; pre-post testing; interviews
- *Suitability:* time; expected outcomes; environment; users

**AC1.7: Assess the potential consequences of breaches of confidentiality**

- *Confidentiality breaches:* unlocked systems; lost or stolen laptops; lost or stolen USB/flash drives; accessing information without permissions; unencrypted data; incorrect recipients; unsecured protocols (FTP); unsecure disposal of documentation; information disclosure
- *Potential consequences:* loss of stakeholder trust; damage to reputation; risk to business sustainability; lawsuit damages; criminal charges; identity theft

**AC1.8: Evaluate the potential consequences of publishing reports containing inaccurate or unsubstantiated information**

- *Inaccurate or unsubstantiated information:* errors; omissions; information integrity
- *Potential consequences:* mistrust; stakeholder satisfaction; bad or delayed decisions; reduced revenue; reduced throughput; tarnished reputation

## Information for tutors

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### Suggested resources

#### Books

Bocij P, Greasley A and Hickie S – *Business Information Systems: Technology Development and Management for the E-Business* (4th edition) (FT Prentice Hall, 2008) ISBN 9780273716624

Borek A et al – *Total Information Risk Management: Maximising the Value of Data and Information Assets* (Morgan Kaufmann, 2013) ISBN 9780124055476

Brockman J – *Thinking: The New Science of Decision-Making, Problem-Solving and Prediction* (Harper Perennial, 2013) ISBN 9780062258540

Chaffey D and White G – *Business Information Management* (2nd edition) (FT/Prentice Hall, 2010) ISBN 9780273711797

#### Websites

[www.data-protection-act.co.uk](http://www.data-protection-act.co.uk) – Data Protection Act made easy

[www.edexcel.com/qualifications](http://www.edexcel.com/qualifications) – Pearson qualifications: provide guidance for Wider Key Skills, in particular problem solving

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: The Sector Skills Council for Business and Administration

#### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Assessors should ensure learners undertaking this unit are able to demonstrate monitor, review and development of information systems within the scope of their role and responsibilities.

Learners working with complex information system monitoring projects at this level could present detailed reflective accounts relating to competence demonstrated throughout a project. This should include clear timelines, project tasks, responsibilities and outcomes. Alternatively, work products such as project plans, implementation strategies, technical specifications and evidence of system monitoring, review and evaluation could be considered for assessment. Learners should make effective use of supportive or supplementary assessments such as discussion, reflective account or direct observation to confirm relevance and demonstration of knowledge and competence against the requirements of the assessment criteria.

Learners should be able to evidence naturally occurring evidence during completion of this unit. Work product evidence such as system operating procedures and training materials, should remain in its usual location and be signposted in records of assessment.

Learners could present their findings and recommendations regarding information system effectiveness and development in a presentation. Where such presentations are a naturally occurring activity in the workplace, assessors could use direct observation to capture evidence of the communication and feedback provided to the organisation or stakeholders.

Learning outcome 1 requires learners to adhere to the use of advanced command verbs such as 'analyse' and 'evaluate'. Guidance may be needed to clarify requirements of command verbs before assessment activities are planned.

To meet the requirements of each knowledge assessment criterion in learning outcome 1, assessment methods could include the presentation of detailed written reflective accounts or well-planned professional discussions. For AC1.1 and AC1.2, evidence of work products relating to reporting of information could be used as the basis of discussions and learner-led evidence such as reflective accounts.

AC1.3 and AC1.4 may require learners to research problem-solving techniques and processes before identifying causes of problems (AC2.4) and suggesting solutions (AC2.5). Learners could provide evidence of work products that support the problem solving process, for example project plans and review documentation.

For AC1.5 and AC1.6, assessors must acknowledge that methods and processes can differ depending on the type of information systems learners have access to in their working environment. It should be encouraged that data validation and evaluation methods are contextualised with the systems familiar to the learner. Assessors could be presented with opportunities for direct observation where learners can demonstrate data validation through information systems monitoring activities (AC2.2).

This unit could provide opportunities for AC1.7 to be holistically assessed with AC2.7 providing both knowledge and competence have been sufficiently satisfied.

For AC1.8, evidence should include an evaluation of consequences that are contextualised with organisation systems and processes relating to data published. Assessors can accept reflective accounts where evaluations lead to conclusions that could be used to inform and improve practices and procedures.

Learning outcome 2 may require assessment over a period of time to capture all, or parts of information system monitoring activities demonstrated by the learner. The assessment period will depend on the complexities of individual information system projects, therefore it cannot be expected that assessment of specific projects from start to end will occur.

For AC2.3, assessors could be presented with evidence relating to training on information system processes or have the opportunity to observe the delivery of appropriate training to system users. Other valid evidence from work products to support AC2.3 could include system user guides, process flows or technical specifications that support learning and development of system users and improve effectiveness of information system activities.

For AC2.7, assessment will require existing understanding of relevant policies and guidance to confirm adherence to these. At this level, learners should be able to confirm these in the context of their role. Policies and guidelines could relate to communications protocols, branding of resources, quality control of developed resources or guidance on the use of audio-visual equipment or achieving business objectives and targets.

Opportunities could arise to assess information systems projects that have already commenced. This is permitted assessment practice providing system-monitoring activities and problem-solving processes have commenced within an acceptable timescale to confirm currency. Validated discussions could be used to assess historical competences demonstrated by the learner where system management is still taking place.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# **Unit 12: Negotiate in a Business Environment**

**Unit reference number: H/506/1912**

**Level: 3**

**Credit value: 4**

**Guided learning hours: 18**

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## **Unit summary**

Negotiation skills are vital when working in a business environment. Negotiation means effectively being able to articulate your position on issues to gain support from others, generate multiple alternatives to a problem and to present these in an effective way.

An effective negotiator works to achieve 'win/win' outcomes that others can accept and utilises skills such as diplomacy and compromise. Negotiation is based on good communication skills; however, there are a number of tools and techniques that can be used for effective negotiation. Negotiating is about achieving results, but is not necessarily about being results-oriented.

In this unit you will learn how to develop relevant and appropriate strategies for successful negotiation. You will demonstrate skills and behaviours and the use of negotiation techniques to resolve different situations within a business environment. You will consider the effectiveness of the negotiation techniques and explore the benefits of researching other parties involved before negotiations taking place. You will take part in negotiations within a business context and apply identified negotiation strategies and techniques to conclude negotiations and achieve objectives.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning negotiation</p>	<p>1.1 Describe the requirements of a negotiation strategy</p> <p>1.2 Explain the use of different negotiation techniques</p> <p>1.3 Explain how research on the other party can be used in negotiations</p> <p>1.4 Explain how cultural differences might affect negotiations</p>
<p>2 Be able to prepare for business negotiations</p>	<p>2.1 Identify the purpose, scope and objectives of the negotiation</p> <p>2.2 Explain the scope of their own authority for negotiating</p> <p>2.3 Prepare a negotiating strategy</p> <p>2.4 Prepare fall-back stances and compromises that align with the negotiating strategy and priorities</p> <p>2.5 Assess the likely objectives and negotiation stances of the other party</p> <p>2.6 Research the strengths and weaknesses of the other party</p>
<p>3 Be able to carry out business negotiations</p>	<p>3.1 Carry out negotiations within responsibility limits in a way that optimises opportunities</p> <p>3.2 Adapt the conduct of the negotiation in accordance with changing circumstances</p> <p>3.3 Maintain accurate records of negotiations, outcomes and agreements made</p> <p>3.4 Adhere to organisational policies and procedures, and legal and ethical requirements when carrying out business negotiations</p>

### **AC1.1: Describe the requirements of a negotiation strategy**

- *Negotiation strategies:* types, e.g. problem solving, contending, yielding, compromising, inaction
- *Components of a negotiation strategy:* process, e.g. prepare, discuss, clarify goals, propose, negotiate, agree, implement action; approach, e.g. hard, soft, assertive, empathetic
- *Desired negotiation outcomes:* defeat other party; collaborate; accommodate; withdraw
- *Requirements of negotiation:* e.g. reach an understanding, resolve points of difference, to gain advantage, craft outcomes that satisfy interests
- *Consequences of negotiation:* win; lose; alternative solutions

### **AC1.2: Explain the use of different negotiation techniques**

- *Negotiation techniques:*
  - o Pre negotiation: problem analysis, e.g. interests of other party; preparation, e.g. identifying negotiation goals and outcomes, conducting research on other party, setting negotiation parameters and fall-back position, confirming available resources
  - o During negotiation: active listening, e.g. body language; emotional control, e.g. head over heart; verbal communication, e.g. clear, effective, state desired outcomes, questioning, exercising silence; collaboration and teamwork, e.g. working towards mutually agreeable solutions; problem solving, e.g. solving the problem rather than focussing on the goal; decision making, e.g. being decisive; interpersonal skills, e.g. forming working relationships, patience, powers of persuasion; ethics and reliability, e.g. maintaining ethical standards, trust, executing promises and agreements

### **AC1.3: Explain how research on the other party can be used in negotiations**

- *Other party:* colleague; direct report; management, e.g. middle, senior, executive; customers; suppliers
- *Research uses:* inform your negotiation strategy; gain advantage
- *Research areas:* who they are; interests; strengths and weaknesses; performance; expected outcome; negotiating style; what they have to trade; perceived needs; issues that can influence their outcome; potential barriers to negotiation

**AC1.4: Explain how cultural differences might affect negotiations**

- *Cultural differences:* people, e.g. religion, nationality, past experiences; businesses, e.g. operations, ethics, reputation; nations, e.g. language, infrastructure, government
- *Affects:* proactive, e.g. appropriate communication, appropriate negotiation style; reactive, e.g. risk of misunderstanding or misinterpretation

## Information for tutors

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### Suggested resources

#### Books

Borg J – *Body Language: 7 Easy Lessons to Master the Silent Language* (Pearson, 2009) ISBN 9780137002603

Borg J – *Persuasion: The Art of Influencing People* (3rd edition) (Pearson, 2010) ISBN 9780273734161

Boynton A and Fischer B – *Virtuoso Teams: Lessons from Teams That Changed their Worlds* (Financial Times/ Prentice Hall, 2005) ISBN 9780273702184

Goleman D – *Emotional Intelligence and Working with Emotional Intelligence* (Bloomsbury Publishing, 2004) ISBN 9780747574569

#### Websites

[www.entrepreneur.com/article/203168](http://www.entrepreneur.com/article/203168) – Entrepreneur.com: article about negotiating in business

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

For learning outcome 1, assessors should ensure learners adhere to the use of command verbs such as “describe” and “explain”. Guidance may be needed to clarify requirements of command verbs before assessment activities are planned.

For AC1.1 and AC1.2, assessors should consider capturing evidence of knowledge and understanding through well-structured and pre-planned professional discussions or question and answer (Q&A) sessions that enable learners to demonstrate a full understanding of the requirements of a negotiation strategy and techniques. The professional discussion or question and answer sessions should be set in the context of the learner’s work as far as possible to provide the opportunity for the learner to link and apply their knowledge and understanding to their work activities.

For AC1.4, assessment could include discussions or oral question and answer sessions providing opportunities for the learner to explain how they have considered cultural differences in negotiation strategies. Assessors could have the opportunity to capture the consideration of cultural differences through observations of negotiations. This could be supported with a question and answer session to the learner about how cultural differences affected their negotiations or could have affected their negotiations, depending on the situation.

Learning outcomes 2 and 3 could largely be assessed through work products. For AC2.1, AC2.3 and AC2.4 learners could provide naturally occurring evidence such as negotiation plans, project plans or documented negotiation objectives. Where naturally occurring evidence is available for assessment, this will provide opportunities to holistically assess; however further professional discussion could be required in order to confirm competence when preparing and using negotiation strategies in their role.

Depending on the style of the negotiation (formal or informal), learners may or may not generate naturally occurring evidence therefore alternative methods of assessment will be required.

For AC2.5 and AC2.6, work product evidence could take the form of research notes on the other party which have been used to inform negotiation strategies. This could be combined with AC1.3 to give learners opportunities to provide examples of research activities undertaken and what they have learned about other parties.

For AC3.3, the learner could demonstrate the maintenance of records through work product. For example internal and/or external communications such as meeting minutes and emails, supplemented with witness testimonies from colleagues who have been present during these negotiations.

For AC2.2 evidence could include professional discussions surrounding responsibilities and scope for negotiations, alternatively, learners can choose to present detailed reflective accounts for assessment. Assessors are encouraged to assess AC2.2 early into this unit, outcomes of which could inform assessment plans for other assessment criteria, particularly in learning outcome 1.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# **Unit 13: Evaluate the Provision of Business Travel or Accommodation**

**Unit reference number: J/506/1918**

**Level: 3**

**Credit value: 5**

**Guided learning hours: 30**

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## **Unit summary**

Organising travel is a key part of a Business Administrator's role and being organised and planning for every eventuality takes time and patience. There may be some research to be carried out before the proposed trip in terms of timings and any onward travel at the destination. Ensuring that the traveller(s) have all the relevant information before the trip, in terms of tickets, itinerary etc., is vital so that they know exactly where they are going and that they are fully aware of the arrangements that have been made on their behalf. Just as important as organising travel is the evaluation of providers of the proposed travel to ensure that they are giving the level of service required and that they are providing value for money. A Business Administrator can make key decisions and recommend particular travel arrangements only if they are working with providers who are able to provide this service. A Business Administrator must have the ability to identify when providers are not providing the level of service required and be able to recommend changes that suit the organisation.

In this unit you will gain understanding of the different needs, factors and arrangements that must be considered to ensure that every part of the proposed trip is covered in terms of documentation required to travel, arrangements for the actual travel itself using appropriate forms of transport and any other arrangements necessary in terms of onward travel to the final destination.

You will evaluate the performance and limitations of existing arrangements and providers against agreed criteria and will identify alternatives where appropriate. You will make recommendations and shortlists of potential providers, supported by detailed, costed plans that you have prepared.

You will work within budget constraints to ensure that value for money is maintained while working to organisational procedures.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the provision of business travel or accommodation arrangements</p>	<p>1.1 Explain the factors to be taken into account in setting evaluation criteria for the provision of business travel or accommodation</p> <p>1.2 Explain different travel or accommodation-related needs and services</p> <p>1.3 Explain different arrangements that could be made for the provision of business travel or accommodation</p> <p>1.4 Explain the scope of legal and organisational security and confidentiality requirements relating to business travel or accommodation</p>
<p>2 Be able to evaluate the quality of organisational business travel or accommodation arrangements</p>	<p>2.1 Assess the performance of providers of travel or accommodation against agreed criteria</p> <p>2.2 Identify instances of exceptional and inadequate performance</p> <p>2.3 Evaluate the benefits and limitations of existing arrangements for organising business travel or accommodation and their implications</p> <p>2.4 Identify alternative potential providers and ways of providing travel or accommodation</p>

Learning outcomes	Assessment criteria
<p>3 Be able to recommend improvements to organisational business travel or accommodation arrangements</p>	<p>3.1 Produce costed plans that set out different options, their benefits, limitations and implications</p> <p>3.2 Shortlist alternative potential providers of business travel or accommodation against agreed criteria</p> <p>3.3 Adhere to organisational policies and procedures, and legal and ethical requirements when recommending improvements to arrangements for business travel or accommodation</p>

### **AC1.1: Explain the factors to be taken into account in setting evaluation criteria for the provision of business travel or accommodation**

- *Factors:* level of the traveller(s) in the organisation determining the type of travel or accommodation to be chosen/ booked; travel within the UK/abroad; language issues; dates and times of proposed travel; timings required for key documents required, e.g. passport, visas, tickets; number of people travelling; budget for the trip; whether overnight accommodation is required before an early morning flight; transfer time to airport/station; transit timings at airports; train connections; baggage allowances on flights; length of trip; number of destinations to be visited
- *Evaluation criteria:* speed of service; ability to obtain the best price-travel tickets; ability to book/make amendments/cancel online; access to travel networks and databases; ability to provide a one-stop service for all aspects of the travel arrangements

### **AC1.2: Explain different travel or accommodation-related needs and services**

- *Needs:* documentation, e.g. passports, visas, tickets on departure; payment of tickets, e.g. use of company credit card, payment on account; medical requirements; petty cash, local currency, traveller's cheques, company credit card; subsistence arrangements for trip
- *Services:* airport/station parking; airport transfers; use of an interpreter at final destination; preparation of an itinerary; early check out; business centre access; travel agent services

### **AC1.3: Explain different arrangements that could be made for the provision of business travel or accommodation**

- *Types of travel:* train; aeroplane; car
- *Class of travel/type of car:* depending on level of the traveller in the organisation
- *Types of accommodation:* hotel location and grading depending on level of traveller in the organisation; cost of accommodation, e.g. budget hotel; meal arrangements in accommodation, e.g. including/excluding breakfast, half board
- *Other arrangements:* meet and greet at the destination airport or station for onward transfer to hotel; car parking at airport or station; provision of cash before the trip; provision of an itinerary for the traveller; delivery of tickets to office or collection on departure

**AC1.4: Explain the scope of legal and organisational security and confidentiality requirements relating to business travel or accommodation**

*The knowledge to meet this AC depends on the particular organisational requirements and context. Learners need to apply the knowledge specific to their organisation to meet this AC*

- *Possible security and confidentiality requirements: carrying confidential documentation; electronically or hard copy; use of laptops/flash drives (USB) while travelling; holding the correct travel documentation; use of filters on laptop screens to ensure confidentiality*

## Information for tutors

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### Suggested resources

#### Books

Bevan J, Dransfield R, Goymer J and Richards C – *BTEC Level 3 National Business Student: Book 2 (Level 3 BTEC National Business)* (Pearson, 2010) ISBN 9781846906350

Carysforth C, Chadwick A and Rawlinson M – *NVQ Level 3 Business and Administration Student Handbook* (Heinemann, 2006) ISBN 9780435463342

Lapsley A – *Business and Administration Student Handbook: Level 3 (Skills CFA, 2011)* ISBN 9780956773821

Sutherland J and Sutherland D – *Business Administration NVQ Level 3* (Hodder Education, 2011) ISBN 9781444144222

#### Websites

[www.businessballs.com](http://www.businessballs.com) – Businessballs: general information about business

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

For learning outcome 1, assessors should consider capturing evidence of knowledge and understanding through well-structured and professional discussions or question and answer (Q&A) sessions that could enable learners to demonstrate a full understanding of the factors, requirements and arrangements to be considered when providing business travel or accommodation. As far as possible, the professional discussion or questioning should be set in the context of the learner's work to give them the opportunity to link and apply their knowledge and understanding to their work activities.

For AC1.1, the learner will need to carry out research before ensuring that times and connections are suitable for the traveller(s), there could be several email conversations with the traveller(s) concerning the arrangements. The results of the research and any email or other documentation used to confirm arrangements before bookings are made could also be used as evidence.

For AC1.4, the learner should be in possession of the organisation's policies on travel, security and confidentiality. The learner could produce a reflective account that explains the key issues around application of the policies and procedures and why it is important for the organisation to ensure that confidentiality is maintained at all times by the staff who are representing it.

For AC2.1, AC2.3 and AC2.4, evidence could be provided through work products that demonstrate when the learner has evaluated arrangements and identified potential alternatives. For example, written evaluative reports on current arrangements or evidence of research of other providers of travel services and accommodation with associated supporting research materials. This work product evidence could be supplemented with professional discussion to demonstrate that the learner fully understands the processes and requirements for evaluating travel arrangements, the reasons why a provider should be changed and the importance of ensuring that all providers are able to give the service level required by the organisation.

AC2.2 could be assessed through professional discussion. The learner could draw on personal experience of the provider, having used them in previous bookings. They could also speak to other members of staff who may have used the provider. The evidence for AC2.2 can be incorporated into the report produced for AC2.1 and judgments made as to the strengths and weaknesses of key providers of travel and accommodation in the past.

For AC3.1 and AC3.2, assessment could be through work products in the form of costed plans, shortlists, recommendation reports, supporting spreadsheets and screenshots. These work products could be supported with professional discussion. For AC3.1, learners could produce a detailed spreadsheet showing the costs associated with the travel plans, the benefits of using a particular form of transport and details of any issues that could potentially come up as a result of the chosen options. For AC3.2, the learner could provide evidence in the form of annotated screenshots from internet searches that show clearly what providers have to offer and whether or not their offers fit with the budget constraints or other defined criteria.

For AC3.3, a direct observation of the learner carrying out duties associated with organising travel and accommodation could be carried out by the assessor. The observation should show clearly that the learner is adhering to organisational rules; alternatively the learner could present a reflective account, supported with witness testimony to cover this criterion.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.



## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand how to develop a presentation</p>	<p>1.1 Explain best practice in developing presentations</p> <p>1.2 Explain who needs to be consulted on the development of a presentation</p> <p>1.3 Explain the factors to be taken into account in developing a presentation</p> <p>1.4 Analyse the advantages and limitations of different communication media</p>
<p>2 Be able to develop a presentation</p>	<p>2.1 Identify the purpose, content, style, timing and audience for a presentation</p> <p>2.2 Select a communication media that is appropriate to the nature of a presentation, message and audience</p> <p>2.3 Tailor a presentation to fit the timescale and audience's needs</p> <p>2.4 Prepare a presentation that is logically structured, summarises the content and addresses the brief</p> <p>2.5 Take action to ensure that a presentation adheres to organisational guidelines and policies</p> <p>2.6 Develop materials that support the content of a presentation</p>

### **AC1.1: Explain best practice in developing presentations**

- *Presentations*: types, e.g. slideshow, practical demonstration, training, interview, pitching concepts and proposals
- *Best practices in developing presentations*: plan, e.g. define purpose, define presentation objective, understand audience, research topic; design, e.g. choose appropriate media, consider format, content, review against purpose and audience; organise and prepare, e.g. assess venue, review resources, review equipment to be used; practice, e.g. rehearse presentation, timings and transitions, review, amend and improve

### **AC1.2: Explain who needs to be consulted on the development of a presentation**

- *Who needs to be consulted with*:
  - o Audience: invitation to presentation; resource and/or support needs; receipt of any pre-presentation materials
  - o Colleagues: line manager, e.g. pre-defined content, communication protocols, agreeing objectives; immediate colleagues, e.g. providing content, providing feedback
  - o Supporting functions: IT Department, e.g. providing audio visual equipment, telecommunications support; reprographics department, e.g. providing printed material and resources
  - o External stakeholders: venue; catering; guest speakers

**AC1.3: Explain the factors to be taken into account in developing a presentation**

- *Factors:*
  - Preparation: establishing purpose; setting objectives; audience; venue
  - Objectives: intended presentation outcomes, e.g. intended learning, intended understanding, intended actions to follow presentation
  - Audience: prior knowledge of topic; linking new material; winning them over
  - Venue: location; room arrangement; atmosphere; audio visual resources
  - Presentation remit/brief: presentation purpose; allotted time; specified format/style; content constraints
  - Choosing main points: structure; logic; coherence; linking statements
  - Supporting information: to add clarity; to explain complex terms; to remind audience of supporting theories; to add authority
  - Developing an opening: introduction; topic; objective; materials; intended outcome; expectations of the audience
  - Developing a conclusion: review objectives; summarise main points; summarise the process; conclusion drawn from main points; parting statement to stimulate thoughts of audience
  - Reviewing presentation: audience response; achievement of objectives; presentation structure; relevance of content and materials; appropriateness of length/timings

**AC1.4: Analyse the advantages and limitations of different communication media**

- *Communication Media:* verbal communication; written communication, e.g. slides, hand-outs; images, e.g. graphs, charts, diagrams; sound, e.g. audio clips, recordings; video, e.g. animations, embedded videos
- *Advantages and limitations:* audience, e.g. learning styles, ability; topic, e.g. appropriateness of media, validity, reliability; budget; audio visual equipment, e.g. availability, accessibility, telecommunications, power; written resources, e.g. production time, content, relevance, cost; verbal communication, e.g. effectiveness, direct communication, misinterpretation

## Information for tutors

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### Suggested resources

#### Books

Harvard Business Review Press – *Developing a Business Case (Pocket Mentor)*  
(Harvard Business School Publishing, 2011) ISBN 9781422129760

Reynolds G – *Presentation Zen Design: Simple Design Principles and Techniques to Enhance your Presentation* (2nd edition) (New Riders, 2014)  
ISBN 9780321934154

Reynolds G – *Presentation Zen: Simple Ideas on Presentation Design and Delivery*  
(2nd edition) (New Riders, 2011) ISBN 9780321811981

#### Websites

[www.office.microsoft.com/en-gb/powerpoint-help](http://www.office.microsoft.com/en-gb/powerpoint-help) – Microsoft Office: guidance of effective use of Microsoft PowerPoint to develop and deliver presentations

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: The Sector Skills Council for Business and Administration

#### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

This unit can be assessed holistically with other units within the qualification such as: *Deliver a Presentation*.

Learners undertaking this unit should be able to provide naturally occurring evidence of their competence to develop presentations in the context of their role, responsibilities and organisation. Evidence can be derived from activities including; the preparation of training sessions, staff briefings, presenting management information or pitching a concept or idea.

For learning outcome 1, assessors should ensure learners evidence full adherence of the use of command verbs such as “explain” and “analyse”. Guidance may be needed to clarify requirements of command verbs before assessment activities begin. Assessments should provide learners with the opportunity to respond appropriately to command verbs.

For AC1.1, AC1.2 and AC1.3, evidence satisfying the assessment criteria could take the form of a pre-prepared discussion where the learner describes best practices relating to different presentation methods (AC1.1), demonstrates understanding of the importance of consultations and with whom they would consult as part of the development process (AC1.2) and relate the different factors to the development of presentations (AC1.3).

Learners may be able to recall familiar best practices however, at this level it is expected that learners research a range of best practices to demonstrate breadth of knowledge.

Learners should relate their discussions to instances which occur naturally in their role and consider annotating work product to capture knowledge and understanding to satisfy these assessment criteria.

For learning outcome 2, learners could present evidence from the workplace, including research notes, presentation plans, email correspondence, draft documents or presentation materials to evidence their ability to plan, prepare and develop a presentation. Evidence of this nature should be supported with professional discussion, personal statements or witness testimonies to confirm both its relevance to this unit and competence that has been demonstrated by the learner which meets assessment criteria.

For AC2.1, learners could present a reflective account recounting their development of a presentation to meet a specific purpose, content, style, timing and audience.

For AC2.4 and AC2.5, assessors could have the opportunity to observe the learner consulting with others for the purpose of developing a presentation. Such consultations can be documented in an assessment record or recorded using audio-visual devices. This evidence could contribute to the achievement of AC2.4 and AC2.5, however, only as part of preparation activities and ensuring adherence to organisational guidelines and policies. Additional evidence would be required to demonstrate competence of wider preparation areas. AC2.5 requires Learners to adhere to organisational guidelines and policies when developing presentations. Assessment of this assessment criterion will require an existing understanding of relevant policies and guidance to confirm adherence to these. This understanding could be assessed via professional discussion.

Although a sound understanding of relevant organisational policies and guidelines is expected, documentation and information relating to these should remain in its usual location and be signposted in assessment records.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence.

# Unit 15: Manage an Office Facility

**Unit reference number:** K/506/1944

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 21

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## Unit summary

Any business that operates from an office facility will require staff to establish and manage the processes, procedures, systems and equipment to ensure that the facility operates safely, effectively and efficiently.

In this unit you will gain understanding of how to ensure that equipment and associated consumables are properly monitored and maintained so that colleagues can use them with confidence. You will also explore the importance of budget constraints and effective supplier relationships.

You will consider the factors to be taken into account in the design of office systems, procedures and guidance documents, and will continually assess the effectiveness of these, making changes when needed, as an office will only operate effectively if there are good systems and procedures in place for everyone to follow.

Regular monitoring of the administrative services that you offer will ensure that these meet the quality standards agreed with your employers.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the management of an office facility</p>	<p>1.1 Explain the requirements of establishing and implementing office management procedures</p> <p>1.2 Explain how to manage the effectiveness of work and systems</p> <p>1.3 Explain how to manage any constraints attached to office facilities and related budgets</p> <p>1.4 Explain the factors to be taken into account in the design of office systems, procedures and guidance documents</p> <p>1.5 Explain how to create an environment that is conducive to productive work</p>
<p>2 Be able to manage and maintain an office facility</p>	<p>2.1 Maintain equipment and consumables to agreed levels</p> <p>2.2 Establish systems to evaluate the effectiveness of office systems and procedures</p> <p>2.3 Review the effectiveness of office systems and procedures to meet users' needs, adapting them to meet changing demands</p> <p>2.4 Manage the maintenance of office equipment to meet users' needs and expectations</p> <p>2.5 Manage effective relationships with suppliers</p> <p>2.6 Take action to ensure that administrative services are provided to agreed standards</p>

## Unit amplification

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### **AC1.1: Explain the requirements of establishing and implementing office management procedures**

- *Requirements for establishing procedures:* compliance, e.g. legislative, organisational; operational needs, e.g. consistency, managing risks, continuous improvement; timelines, e.g. what needs to be done daily, weekly, monthly, annually; physical resource requirements human resource requirements; workflow requirements
- *Requirements for implementing procedures:* clear communications; staff training; establishing productive workflow; health and safety requirement compliance; data protection requirement compliance; stakeholder feedback; customer feedback; service level agreement(s); premises

### **AC1.2: Explain how to manage the effectiveness of work and systems**

- *Management:* ongoing evaluation of facility performance; ongoing evaluation of systems; changes to systems as a result of evaluation; effective communication with staff and management; monitoring outputs; monitoring of machinery and equipment; keeping updated on new legislation; staff training
- *Work and systems:* workflow; processes; outputs; equipment, e.g. avoid breakdowns leading to loss of production, upgrades

### **AC1.3: Explain how to manage any constraints attached to office facilities and related budgets**

- *Management:* continuous liaison, e.g. with staff and management, with other departments, with suppliers; continuous monitoring of budgets to take account of unexpected circumstances and emergencies
- *Constraints:* insufficient resources; insufficient staff to maintain systems and procedures; legislative requirements; insufficient cash flow; insufficient budget

### **AC1.4: Explain the factors to be taken into account in the design of office systems, procedures and guidance documents**

- *Office systems and procedures:* design brief and customer requirements; clear and logical layout of procedures; communication systems; setting staff responsibilities to meet corporate policies; staff knowledge and training required; staff acceptance; risk assessments; health and safety responsibilities; budget, equipment and technology requirements; workflow
- *Guidance documents:* meeting the needs of the target audience; fitness-for-purpose; legislative requirements; corporate/professional image; ease of use; clarity of flow charts and organisational charts; level and type of language used; currency

**AC1.5: Explain how to create an environment that is conducive to productive work**

- *Consideration of conducive environment:* environment, e.g. air circulation, décor, heating, lighting levels, office layout, noise levels, welfare facilities; equipment, e.g. appropriateness, performance; furniture, e.g. type and usage, ergonomics, workstations; health and safety; security

## Information for tutors

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### Suggested resources

#### Books

Lapsley A – *Business and Administration Student Handbook: Level 3* (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D – *Business Administration NVQ Level 3* (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N – *NVQ/SVQ Level 3 Business & Administration Candidate Handbook (NVQ Administration)* (Heinemann, 2011) ISBN 9780435046880

#### Websites

[www.hse.gov.uk/legislation](http://www.hse.gov.uk/legislation) – Health and Safety Executive: providing information on health and safety rights and responsibilities

[www.ico.org.uk/for\\_organisations/data\\_protection/the\\_guide](http://www.ico.org.uk/for_organisations/data_protection/the_guide) – Information Commissioner's Office: guide to data protection

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Learning outcome 1 could be assessed through a reflective account or professional discussion, these give the learner much more scope to give in-depth responses. When planning a professional discussion, the assessor should encourage the learner to give examples of routine work products to supplement the discussion evidence. For example, monitoring and maintaining equipment and consumables, where logs, diaries, lists and associated emails could be used (AC1.2 and AC1.3) or how they have introduced and managed processes and facilities in order to create a productive working environment (AC1.5).

For learning outcomes 2 and 3, the primary assessment method is likely to be direct observation to confirm that the learner is achieving all the performance assessment criteria. For example, an observation of a team meeting where the learner is giving feedback to the team on monitoring of systems and procedures and seeking their input on how to move forward with change (AC2.3, AC2.5 and AC2.6). The learner can be observed and at the close of the observation a discussion session can be conducted. The use of a digital voice recorder is recommended for both observation and professional discussion.

Evidence of work products could be used to support the assessment of competence through observed performance. For example, review documentation or staff surveys could demonstrate the reviewing of the effectiveness of office systems (AC2.3). Other examples of work products could be equipment usage logs, office facilities guides produced for users, office issues/problems logs, office monitoring records, office system reports, records of communications and meetings and staff training programmes. Any product that is part of the learner's routine working can be used. However, the work products must be evaluated and commented on by the assessor and should be kept in their usual location, the learner must signpost where they are kept.

This unit deals with the skills used when managing people and the work environment, so supporting witness testimonies from peers and management are recommended in order to give third party confirmation of sustained performance over a period of time.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 16: Deliver a Presentation

**Unit reference number:** M/506/1914

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 17

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## Unit summary

Whatever role you have within a business or the corporate world, presenting information clearly and effectively is an essential skill whenever you are informing, instructing or persuading an audience. Business presentations take many forms. Some are formal with lots of detailed information. How do you make sure the audience doesn't get lost in the detail and lose focus on the overall message? Some are informal and the difficulty is controlling the cross-talk. What about the technical aspects? What will you do if the projector breaks down; do you have a contingency plan? The outcome you want is that when the audience leaves the venue, they will remember the information and be impressed with the overall presentation. This unit offers some guidelines on how to accomplish that purpose.

In this unit you will learn how to identify the most appropriate presentation methods and media through analysis of advantages and limitations. You will consider your audience and how they can affect your presentation delivery. You will demonstrate your ability to organise all aspects of a presentation including the venue, equipment and resources. You will consider the importance of developing contingency plans to overcome issues during delivery of the presentation. You will demonstrate your ability to engage an audience during presentations and address questions, queries and behaviours effectively.

You will explore a range of evaluation methods and apply these techniques in order to identify if outcomes of delivered presentations have been achieved and where improvements could be made to future presentations.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning the delivery of presentations</p>	<p>1.1 Analyse the advantages and limitations of different methods of, and media for, making presentations</p> <p>1.2 Explain how the type and size of the audience affects the delivery of a presentation</p> <p>1.3 Explain the factors to be taken into account in developing contingency plans when delivering presentations</p> <p>1.4 Explain voice projection and timing techniques when delivering presentations</p> <p>1.5 Explain the factors to be taken into account in responding to questions from an audience</p> <p>1.6 Explain different methods for evaluating the effectiveness of a presentation</p>
<p>2 Be able to prepare to deliver a presentation</p>	<p>2.1 Confirm the layout of the venue and correct functioning of equipment and resources prior to making a presentation</p> <p>2.2 Develop contingency plans for potential equipment and resource failure</p> <p>2.3 Take action to ensure that the presentation fits the time slot available</p>

Learning outcomes	Assessment criteria
<p>3 Be able to deliver a presentation</p>	<p>3.1 Speak clearly and confidently, using language that is appropriate for the topic and the audience</p> <p>3.2 Vary their voice tone, pace and volume appropriately when delivering a presentation</p> <p>3.3 Use body language in a way that reinforces messages</p> <p>3.4 Use equipment and resources effectively when delivering a presentation</p> <p>3.5 Deliver a presentation within the agreed timeframe</p> <p>3.6 Respond to questions in a way that meets the audience's needs</p> <p>3.7 Evaluate the effectiveness of a presentation</p>

### **AC1.1: Analyse the advantages and limitations of different methods of, and media for, making presentations**

- *Communication media*: verbal communication; written communication, e.g. slides, hand-outs; images, e.g. graphs, charts, diagrams; sound, e.g. audio clips, recordings; video, e.g. animations, embedded videos
- *Advantages and limitations*: audience, e.g. learning styles, ability; topic, e.g. appropriateness of media, validity, reliability; budget; audio visual equipment, e.g. availability, accessibility, telecommunications, power; written resources, e.g. production time, content, relevance, cost; verbal communication, e.g. effectiveness, direct communication, misinterpretation

### **AC1.2: Explain how the type and size of the audience affects the delivery of a presentation**

- *Presentations*: types, e.g. slideshow, practical demonstration, training, interview, pitching concepts and proposals
- *Audience size*: one to one; pairs; group, e.g. small, large; webinar, e.g. web-based delivery, unlimited in size
- *Delivery effects*: appropriate presentation type; appropriate communications media; content; delivery method and style; resource requirements; audience participation; technology; venue; length of presentation

### **AC1.3: Explain the factors to be taken into account in developing contingency plans when delivering presentations**

- *Contingency plans*: definition; reasons for contingency plans; possible alternatives, e.g. back up files, hard copy resources, replacement technology; technical/non-technical assistance
- *Factors*:
  - o Information Technology: possible failure; availability of replacements
  - o Access to resources: corrupted or lost; accessibility of back up files
  - o Incorrect resources: wrong versions; missing information
  - o Presentation hand-outs and materials: incorrect number of copies
  - o Professional presentation behaviour: composure; respect
  - o Issues with venue: emergency evacuation; catering; room size and arrangement; lighting and ventilation
  - o Problems with audience: illness; emergencies; level of understanding; disruptive behaviour

**AC1.4: Explain voice projection and timing techniques when delivering presentations**

- *Voice projection techniques:* physical, e.g. posture, breathing, resonance; non-physical, e.g. relax, personality, passion
- *Timing techniques:* awareness of time limit; content planning, e.g. number of slides, complexity of information being presented; rehearsal of presentation timings; start on time; measure progress, e.g. timing check points; adjust if necessary; keep to plan

**AC1.5: Explain the factors to be taken into account in responding to questions from an audience**

- *Factors when responding to questions:*
  - o Planning: audience analysis, e.g. interest and concerns, anticipation of questions based on content; opportunities for questioning, e.g. during, after
  - o Understanding the question: listen carefully to full question; establish understanding before responding; seeking clarification
  - o Not knowing the answer: honesty; indicate when audience can expect a response
  - o Maintaining control: avoid side conversations during questions; repeat content if necessary; manage disruption
  - o Main questioner: actively include other attendees
  - o Irrelevant questions: keep discussion focussed on subject
  - o Hostile questions: stick to facts; find areas of agreement
  - o No questions asked: find subject/opinion that stimulates thought; opportunities for one to one questions afterwards

**AC1.6: Explain different methods for evaluating the effectiveness of a presentation**

- *Effectiveness of a presentation:* purpose and objectives met; level of audience understanding and response; clarity of presentation; quality of information and resources presented; appropriateness of content and level for audience; appropriateness of length; confidence of presenter; impact of environmental factors
- *Evaluation methods:* pre and post presentation testing; presenter review; self-assessment; group discussion; evaluations completed by attendees; monitoring of post-presentation actions

## Information for tutors

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### Suggested resources

#### Books

Reynolds, G – *Presentation Zen Design: Simple Design Principles and Techniques to Enhance your Presentation* (2nd edition) (New Riders, 2014)  
ISBN 9780321934154

Reynolds G – *Presentation Zen: Simple Ideas on Presentation Design and Delivery* (2nd edition) (New Riders, 2011) ISBN 9780321811981

#### Websites

[www.office.microsoft.com/en-gb/powerpoint-help](http://www.office.microsoft.com/en-gb/powerpoint-help) – Microsoft Office: guidance of effective use of Microsoft PowerPoint to develop and deliver presentations

[www.skillsca.org](http://www.skillsca.org) – Skills CFA: The Sector Skills Council for Business and Administration

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

This unit can be assessed holistically with other units within the qualification such as: *Develop a Presentation*.

Learners undertaking this unit should be able to provide naturally occurring evidence of their competence to deliver presentations in the context of their role, responsibilities and organisation. Evidence can be derived from activities including presentations associated with the delivery of training sessions, staff briefings, presenting management information or pitching a concept or idea.

In addition to assessment of presentations being delivered, learners are also required to capture evidence of preparations they make to ensure effective delivery of presentations. Assessors are encouraged to plan assessment of AC2.1 early into the unit, capturing the early stages of presentation preparation. Learners could have work products such as presentation plans, planning notes, internal or external correspondence or presentation materials that support achievement of this criterion, for example AC1.3 and AC2.2 (contingency planning).

Assessors should ensure the work products are sufficiently annotated, discussed or recorded in a reflective account to confirm its relevance and how it has been used to capture the knowledge and/or competence of the learner.

For learning outcome 1, assessors should ensure learners adhere to the use of command verbs such as 'explain' and 'analyse'. Guidance may be needed to clarify requirements of command verbs prior to assessment activities being planned.

Assessment of learning outcome 1 would best be through a reflective account providing the opportunity for the learner to link and apply their knowledge and understanding to their work activities in learning outcomes 2 and 3. For example learners could reflect on the advantages and limitations of the presentation method(s) used and how they could potentially improve on their use of the different methods in the future. Similarly, the learner could explain how they used the information about the type and size of the audiences in the planning and delivery of their presentations, and the voice projection and timing techniques used in their presentation delivery. The opportunity to obtain witness testimonies from presentation attendees could also be considered to validate this. AC1.5 should be considered when planning assessment of AC1.2 as there are likely to be clear links between the type of audience and the predicted audience questions.

Learning outcome 2 lends itself well to the use of work products, however assessors must judge whether evidence can contain confidential or commercially sensitive information, in which case, signposting of evidence is acceptable.

AC3.1, AC3.2, AC3.3, AC3.4 and AC3.5 should be achieved through the assessment of learners delivering presentation(s). It is recommended, where possible, to use direct observation and audio visual devices to capture the presentation. Where it is not possible to use direct observation, assessors could choose to interview attendees or encourage learners to present materials such as speaker notes, slideshows, hand-outs, post-presentation attendee evaluations and presentation planning notes for the purpose of assessment.

For AC1.6 and AC3.7, learners could consider providing a summative report to attendees and/or other relevant stakeholders based on feedback received during the evaluation process. Learners are encouraged to use feedback to suggest areas for presentation development and improvement.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence.

# Unit 17: Analyse and Present Business Data

**Unit reference number:** M/506/1945

**Level:** 3

**Credit value:** 6

**Guided learning hours:** 24

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## Unit summary

In order to ensure a business' survival and growth it is essential for that business to manage information and data to identify past and current performance in order to predict and plan for the future. Analysing and presenting essential data will help to identify strengths and weaknesses, therefore informing decision-making and strategic planning. This provides the basis to support the achievement of business objectives.

In this unit, you will learn how to collect quantitative and qualitative data using primary and secondary sources. You will learn how to manipulate information using data management software to produce information in suitable formats to inform business decisions and future strategies.

You will use a range of IT tools to carry out research relevant to the requirements and objectives. You will organise and analyse data using a variety of techniques and methods including quantitative and qualitative analysis. You will check the accuracy of data, as this is essential to providing valid conclusions.

You will present your information using different formats and techniques that acknowledge the limitations of your analysis and reference your data sources.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the analysis and presentation of business data</p>	<p>1.1 Explain the uses and limitations of primary and secondary data</p> <p>1.2 Explain the uses and limitations of quantitative and qualitative data</p> <p>1.3 Evaluate the issues relating to the validity and reliability of data and its analysis</p> <p>1.4 Explain the use of IT tools to carry out research</p> <p>1.5 Assess the risks attached to making judgments based on limited or unrepresentative samples</p> <p>1.6 Assess the risks attached to generalizing research findings</p> <p>1.7 Explain different formats and techniques for the presentation of the analysis</p>
<p>2 Be able to analyse quantitative and qualitative business data</p>	<p>2.1 Agree the parameters of the analysis</p> <p>2.2 Clarify any ethical requirements of the analysis</p> <p>2.3 Organise the data in a way that will facilitate its analysis</p> <p>2.4 Select valid and reliable data analysis methods and techniques that are appropriate to the data and analysis objectives</p> <p>2.5 Apply analytical techniques that are appropriate to the purpose of the research and the nature of the data</p> <p>2.6 Confirm the accuracy of data analysis and make necessary adjustments</p> <p>2.7 Draw conclusions that are valid and supported by evidence</p>

Learning outcomes	Assessment criteria
3 Be able to present the analysis of business data	3.1 Present data in the agreed reporting format and house style 3.2 Acknowledge the limitations of the analysis 3.3 Reference data sources

### **AC1.1: Explain the uses and limitations of primary and secondary data**

- *Primary data*: definition; examples of sources
- *Secondary data*: definition; examples of sources
- *Uses*: support operations; inform business decisions; benchmark performance; promote efficiency; develop competitive advantage; increase market share
- *Limitations*: accuracy and reliability of data; misinterpretations; bias; access and confidentiality; legal and regulatory issues, e.g. Data Protection Act 1998, Freedom of Information Act 2000, Computer Misuse Act 1990; timescale requirements; ethical issues; IT protocols, codes of practice from the Information Commissioner's Office (ICO)

### **AC1.2: Explain the uses and limitations of quantitative and qualitative data**

- *Quantitative data*: information measured in numbers; sizes or percentages; amenable to statistical manipulation
- *Limitations of quantitative data*: see limitations in AC1.1
- *Qualitative data*: descriptive information; relates to the quality of a service or process; personal; subjective and open to interpretation
- *Limitations of qualitative data*: knowledge produced may not generalise to other settings; difficult to make quantitative predictions; more difficult to test hypotheses and theories with large participant pools; timescales involved in collecting data; ethical issues; subjectivity and bias
- *Uses of quantitative and qualitative data*: product development; human behaviour and capability; provide depth and detail; identify trends; to inform business decisions and marketing strategies

**AC1.3: Evaluate the issues relating to the validity and reliability of data and its analysis**

- *Validity*: unbiased; representative; verifiable
- *Reliability*: consistent; stable; dependable; plausible
- *Analysis*: qualitative and quantitative processing of data; examination of facts; patterns and trends
- *Issues relating to data validity and reliability*: accuracy and relevance of data; level of detail; trusted sources; ownership of data; currency of data; cost of data collection
- *Issues relating to data analysis*: purpose, scope and size of sample; validity and reliability of data; collection of data, limited or unrepresentative samples; validation of data; presentation of information; bias; errors in methodology used, e.g. insufficient statistical power, ignoring measurement error, performing multiple comparisons; interpretation problems, e.g. confusion over significance, precision and accuracy, causality, graphical representation

**AC1.4: Explain the use of IT tools to carry out research**

- *IT tools*: software, e.g. database, spreadsheet, analytical or bespoke software, management information system; functions, e.g. internet searches, online surveys; questionnaires; processes, e.g. coding, formulae, calculating mean, median and mode

**AC1.5: Assess the risks attached to making judgments based on limited or unrepresentative samples**

- *Risks*: sampling error, e.g. selection bias, random sampling error, measurement error; over coverage, under coverage; variability; recognise similarities, identify differences; bias

**AC1.6: Assess the risks attached to generalizing research findings**

- *Generalizing research findings*: inferring results from a small sample can be applied to an entire population
- *Risks*: inaccurate prediction of trends; inappropriate sample size; non-diverse sources; bias; transfer of data; narrow focus; reliability of findings, e.g. repeatability of findings, whether findings support the theory being tested

**AC1.7: Explain different formats and techniques for the presentation of the analysis**

- *Formats*: table; chart; graph; diagram; report; presentation; case study; scenario; screen-based; paper-based
- *Techniques*: software manipulation; ratios; percentages; predictive modelling

## Information for tutors

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### Suggested resources

#### Books

Alexander M and Walkenbach J – *Excel Dashboards and Reports* (2nd edition) (John Wiley & Sons, 2013) ISBN 9781118490426

Anderson K et al – *BTEC Level 3 National IT Student Book 1: Student Book 1 (BTEC National for IT Practitioners)* (1st edition) (Pearson, 2010) ISBN 9781846909283

Bevan J, Dransfield R, Goymer J and Richards C – *BTEC Level 3 National Business Student Book 1 (Level 3 BTEC National Business)* (Edexcel, 2010) ISBN 9781846906343

Krieger S – *Documents, Presentations, and Workbooks: Using Microsoft Office to Create Content that gets Noticed* (Microsoft Press, 2011) ISBN 9780735651999

Kupersmith K, Mulvey P and McGoey K – *Business Analysis for Dummies* (John Wiley & Sons, 2013) ISBN 9781118510582

Nelson E C and Nelson S L – *Excel Data Analysis for Dummies* (2nd edition) (John Wiley & Sons, 2014) ISBN 9781118898093

#### Websites

[www.bized.co.uk/timeweb](http://www.bized.co.uk/timeweb) – Business education: teaching and learning source relating to data handling

[www.businessballs.com](http://www.businessballs.com) – Businessballs: personal and professional development learning resources

[www.computerweekly.com](http://www.computerweekly.com) – Computer Weekly: online information for IT users

[www.ico.org.uk](http://www.ico.org.uk) – Information Commissioner's Office: guide to data requirements, obligations and sharing

[www.office.microsoft.com](http://www.office.microsoft.com) – Microsoft Office: tools and support for Microsoft Office users (PC or Mac)

[www.ons.gov.uk](http://www.ons.gov.uk) – Office for National Statistics: providing statistics relating to the economy, population and society

#### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Possible sources of evidence for demonstrating achievement of this unit could be through direct observation, professional discussion or review of work products relating to the analysis and presentation of business data. A holistic approach to assessment is recommended. Assessors are encouraged to leave evidence in its usual location (with appropriate signposting) due to potential commercial sensitivity of information.

For learning outcome 1, reflective accounts could be used to supplement other evidence to demonstrate the achievement of the knowledge-based criteria. Learners could provide examples of the types of data they analyse and their sources (AC1.1 and AC1.2). They could identify the risks involved with the collation of business data and risks involved in the analysis (AC1.5 and AC1.6), confirming how they check validity and reliability of information, based on specific sampling strategies (AC1.3). Learners could explain the techniques involved in presenting data and the reason for the choice of format (AC1.7).

The evidence from direct observation in learning outcomes 2 and 3 could be supported by examining work products such as original data sources, evidence of analysis and checking accuracy of data, spreadsheets, databases, tables, graphs, charts, diagrams, presentations, reports, case studies and scenarios. Evidence should acknowledge data sources.

A diary or reflective account could be used to document own role, responsibilities and skills. The assessor will need to ensure that the content of the diary or account captures the requirements of the assessment criteria. The diary or account could be used to document the parameters of the analysis, analytical techniques used and how the data was checked to ensure accuracy. The document could also confirm the reporting style format and house style.

For AC2.1, AC2.4, AC3.1 and AC3.2 witness testimony could be used to support the evidence from direct observation and work products.

For AC 2.2, AC2.3, AC2.4, AC2.5, AC2.6, AC2.7, AC3.1 and AC3.2 professional discussion or questions and answers (Q&A) sessions could be used to corroborate the competence of the learner. Similar assessment methods could also provide evidence at the cognitive level required to satisfy the breadth and depth of the level and demand of the assessment criteria in learning outcome 1.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 18: Create Bespoke Business Documents

**Unit reference number:** T/506/1915

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 23

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## Unit summary

Producing attractive and high-quality business documents is important for any business to share essential information. Business documents portray the image, culture and professionalism of the organisation.

In this unit you will learn how to create and produce a range of accurate, attractive and high-quality business documents to be used internally and externally to the organisation.

You will need to demonstrate the knowledge and skills to use relevant software applications and hardware effectively and efficiently to produce a variety of business documents. Designs will be of a complex nature. You will learn how to plan and organise your work. You will consider the specification requirements and needs of users to prepare the content, style and layout of design options. You will consider permissions, copyright, acknowledge sources of research where relevant and avoid plagiarism when designing documents. You will be responsible for the input of text and non-text, and manipulation of software and techniques that will require a number of steps that will be non-routine or unfamiliar. You will also be responsible for collating feedback from users and stakeholders on design options in order to edit, check and produce final business documents that meet the agreed requirements and timescales. Your final documents will convey the corporate identity and will engage users, be attractive, high quality and fit for purpose.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand how to create bespoke business documents</p>	<p>1.1 Explain the use of bespoke business documents</p> <p>1.2 Describe the factors to be taken into account in selecting the appropriate method of presenting a business document</p> <p>1.3 Describe the use of technology to create bespoke business documents</p> <p>1.4 Explain the purpose and requirements of corporate identity in bespoke business documents</p> <p>1.5 Analyse different design techniques used to create attractive bespoke business documents</p> <p>1.6 Explain the factors to be taken into account in evaluating the impact of bespoke business documents</p>
<p>2 Be able to design bespoke business documents</p>	<p>2.1 Confirm the purpose, nature, content, style, quality standards, audience and deadline of the document</p> <p>2.2 Identify the optimum method of presenting the document</p> <p>2.3 Create design options that meet the specification</p> <p>2.4 Take into account feedback from stakeholders</p>
<p>3 Be able to create bespoke business documents</p>	<p>3.1 Include content that meets the brief, is accurate and grammatically correct</p> <p>3.2 Use design techniques to create documents that meet the specification</p> <p>3.3 Integrate non-text items into the agreed layout</p> <p>3.4 Present documents within the agreed timescale</p>

### **AC1.1: Explain the use of bespoke business documents**

- *Bespoke business documents:* e.g. documents that are individually or custom-made to serve a specific requirement or purpose; no template exists or an existing template is modified significantly to create something different
- *Bespoke documents:* types, e.g. forms, specifications for products or services, publicity materials, questionnaires
- *Use of bespoke documents:* e.g. meets specific requirements, support internal processes and procedures, increase brand awareness, business portfolio, corporate presentation, publicity material, compliance with legislation and regulation, auditing and reporting

### **AC1.2: Describe the factors to be taken into account in selecting the appropriate method of presenting a business document**

- *Factors to be taken into account in selection:*
  - o Corporate factors: e.g. corporate/professional image, brand, use of text and non-text, legislation and regulation, clear brief, quality standards, design options
  - o Resource factors: e.g. software, hardware, paper, staff knowledge and skills, cost
  - o Audience factors: e.g. layout and style of document, fit-for-purpose, file format, security, output
  - o Other considerations for selection: e.g. quality, limits of authority and competence, use of non-text, colour, size of finished document, copies and distribution, document control and management, design options, format of design options and draft documents, process for agreeing design and approving final document

### **AC1.3: Describe the use of technology to create bespoke business documents**

- *Use of technology:*
  - o Available software: use of software to input and present information; voice recognition; restrictions and use of non-text; use of shortcuts; create, structure, organise, format and style contents; use of themed documents; editing documents; combining and merging of information; file type; file storage; data backup; check spelling and grammar
  - o Available hardware: keyboard; mouse; computer; mobile device; scanner; printer

**AC1.4: Explain the purpose and requirements of corporate identity in bespoke business documents**

- *Purpose:* brand identity and visibility in the marketplace; presenting a consistent and professional appearance; engage with customers
- *Requirements:* style guidelines, e.g. logo use, styling, layout; links to mission statement and values; software compatibility

**AC1.5: Analyse different design techniques used to create attractive bespoke business documents**

- *Different design techniques:*
  - Use of software functions: styling; field codes input data; combining and linking information; orientation and sizing of images; structure and layout; editing
  - Providing design options: knowledge and application of legislation and regulations; efficient use of software applications and resources; appropriate document type; document size and style; combining information; accurate data input; image size and quality; format; appropriate use of naming conventions; use of tracking functions; compatibility of user and stakeholder software
  - Approval of document: checking and proofreading skills; editing skills; consultation; feedback; final approval; version control

**AC1.6: Explain the factors to be taken into account in evaluating the impact of bespoke business documents**

- *Impact of bespoke business documents:* internal; external; meeting needs of the user; ease of use of documents; brand recognition; business efficiencies
- *Factors to be taken into account:* meeting specification and organisational standards; fit for purpose; accuracy of documents; meeting legislative and regulatory requirements; feedback from users and stakeholders

## Information for tutors

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### Suggested resources

#### Books

Carysforth C, Chadwick A and Rawlinson M – *NVQ Level 3 Business and Administration Student Handbook* (Heinemann, 2006) ISBN 9780435463342

Krieger S – *Documents, Presentations, and Workbooks: Using Microsoft Office to Create Content that Gets Noticed* (Microsoft Press, 2011) ISBN 9780735651999

Lapsley A – *Business and Administration Student Handbook: Level 3* (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D – *Business Administration NVQ Level 3* (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N – *NVQ/SVQ Level 3 Business & Administration Candidate Handbook (NVQ Administration)* (Heinemann, 2011) ISBN 9780435046880

#### Websites

[www.businessballs.com](http://www.businessballs.com) – Businessballs: skills for personal and professional development

[www.digitalunite.com](http://www.digitalunite.com) – Digital unite: support for computer users

[www.office.microsoft.com](http://www.office.microsoft.com) – Microsoft Office: tools and support for Microsoft Office users (PC or Mac)

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Possible sources of evidence for demonstrating achievement of this unit could be through direct observation, professional discussion or review of work products relating to the creation of different and bespoke business documents, for example, handbooks, specification documents or marketing materials. A holistic approach to assessment is recommended.

Bespoke documents can be created using a variety of commercial software packages including voice recognition and should be of appropriate size, using suitable layouts that meet the mission and values of the organisation and be appropriate for either internal or external use. Documents can be paper-based or electronic.

For learning outcome 1, a diary or reflective account could be used to document the process of creating and producing different business documents and to record research relating to design ideas and options. For AC1.2, AC1.3, AC1.5 and AC1.6 reflective accounts could be used to supplement other evidence to demonstrate achievement of the knowledge-based criteria. Learners could describe the factors that influenced their method of presenting the business documents and how they may vary depending on the purpose of each document, its target audience and availability of resources (AC 1.2). Learners could describe the types of software and hardware they used to design and complete the final documents and the factors that influenced their choice (AC 1.3). Analysis of the techniques available to create different business documents could be included in the reflective account to demonstrate the learner's understanding of the process involved in creating different and attractive design options (AC 1.5). Learners could explain how design options were considered by users and stakeholders, and the process involved in obtaining the feedback (AC 1.6).

The evidence from direct observation should be supported through examining work products such as emails, notes or minutes of a meeting, a range of draft and final bespoke business documents, and examples of feedback from users and stakeholders.

For AC2.1, AC2.3, AC2.4, AC3.1 and AC3.4 witness testimony could be used to support the evidence from direct observation or work products.

For AC1.1, AC1.5, AC2.1, AC2.2, AC2.4, AC3.1 and AC3.2 question and answer (Q&A) sessions or professional discussion could be used to corroborate the competence of the learner and to provide evidence at the cognitive level/standards required for the assessment criteria in learning outcome 1. These methods may be particularly useful where the learner needs to give more detailed information to satisfy the breadth and depth of the level and demand of the criteria.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.



## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand how to identify financial requirements	1.1 Explain how to calculate the estimated costs of activities, resources and overheads needed to achieve objectives 1.2 Analyse the components of a business case to meet organisational requirements 1.3 Analyse the factors to be taken into account to secure the support of stakeholders 1.4 Describe the business planning and budget-setting cycle
2 Understand how to set budgets	2.1 Explain the purposes of budget-setting 2.2 Analyse the information needed to enable realistic budgets to be set 2.3 Explain how to address contingencies 2.4 Explain organisational policies and procedures on budget-setting
3 Be able to manage a budget	3.1 Use the budget to control performance and expenditure 3.2 Identify the cause of variations from budget 3.3 Explain the actions to be taken to address variations from budget 3.4 Propose realistic revisions to budget, supporting recommendations with evidence 3.5 Provide budget-related reports and information within agreed timescales 3.6 Explain the actions to be taken in the event of suspected instances of fraud or malpractice

Learning outcomes	Assessment criteria
4 Be able to evaluate the use of a budget	4.1 Identify successes and areas for improvement in budget management  4.2 Make recommendations to improve future budget setting and management

**AC1.1: Explain how to calculate the estimated costs of activities, resources and overheads needed to achieve objectives**

- *Types of costs and classification:* materials; labour; overheads; direct and indirect; fixed; variable and semi-variable
- *Costing methods:* job costing; batch costing; process costing; contract costing; service costing
- *Cost measurement:* absorption and marginal costing; traditional overhead absorption and activity-based costing; stock valuation methods (FIFO, LIFO, AVCO, standard costing)

**AC1.2: Analyse the components of a business case to meet organisational requirements**

- *Components of a business case:* problem statement; statement of the benefits that address the concerns of all relevant stakeholders; likely risks and how they will be addressed; basic plan of work with a timeline and key milestones; roles and responsibilities; alternatives; cost estimates and potential sources of funding

**AC1.3: Analyse the factors to be taken into account to secure the support of stakeholders**

- *External factors:* competition; regulatory framework; economic factors and indicators; environment, e.g. green issues
- *Internal factors:* organisational objectives; management expertise; resources; financial position of the organisation

**AC1.4: Describe the business planning and budget-setting cycle**

- *The business planning process:* purpose; benefits; links with organisational objectives/strategy; the budget manual; budgets as planning, coordinating, motivation and control devices
- *Budget-setting cycle:* limiting or key factors; master, subsidiary and functional budgets; cash budgets; the preparation of sales budget, debtors' budgets, creditors' budgets, production cost, raw materials and finished goods budgets

**AC2.1: Explain the purposes of budget-setting**

- *Purposes:* planning the use of resources; forecasting; controlling the activities within the organisation; motivate individuals to achieve agreed performance levels; resolving conflict of interest between functional areas

**AC2.2: Analyse the information needed to enable realistic budgets to be set**

- *Information:* costs, e.g. staff costs, materials, overheads; capital expenditure on machinery and equipment; budgets and other financial statements from previous year; current and previous sales estimates; business plan and strategy; profitability and liquidity ratios

**AC2.3: Explain how to address contingencies**

- *Budget contingency:* covers unexpected costs; consideration of risk factors in budgeting process; advantages, e.g. risk management, budget performance; disadvantages, e.g. budgetary slack, strained

**AC2.4: Explain organisational policies and procedures on budget-setting**

*The knowledge to meet this AC depends on the particular organisational requirements and context. Learners need to apply the knowledge specific to their organisation to meet this AC*

## Information for tutors

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### Suggested resources

#### Books

Dyson J R – *Accounting for non-Accounting Students* (8th edition) (Financial Times/Prentice Hall, 2010) ISBN 9780273722977

Secrett M – *Brilliant Budgets and Forecasts: Your Practical Guide to Preparing and Presenting Financial Information* (Pearson Business, 2010) ISBN 9780273730910

#### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to achieve this unit should come from the learner's work activities in managing a budget.

Evidence to demonstrate learning outcomes 3 and 4 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include records detailing how they have used the budget to control performance and expenditure, budget-related reports and information, with evidence that they were provided within agreed timescales, and reports detailing recommendations to improve future budget setting and management (AC3.1, AC3.4 and AC4.2). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the actions which should be taken in the event of suspected instances of fraud or malpractice, the actions which would be taken to address variations from the budget and the process used for identifying successes and areas for improvement in budget management and then making recommendations to improve future budget setting and management (AC3.3, AC3.6, AC4.1 and AC4.2). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Evidence to demonstrate achievement of learning outcomes 1 and 2, would best come from a reflective account due to the cognitive demand of the assessment criteria. If a reflective account is used for learning outcomes 3 and 4, it would be best to integrate the assessment of these learning outcomes, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on the method they used to calculate the estimated costs of activities, resources and overheads needed to achieve objectives, how they have addressed contingencies and the organisational policies and procedures that they had to adhere to when setting budgets (AC1.1, AC2.3 and AC2.4). The learner's reflective account to meet the requirements of AC1.1, AC1.2, AC1.3, AC1.4, AC2.1, AC2.2, AC2.3 and AC2.4) must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Whenever possible the learning outcomes in this unit should be assessed holistically across the qualification.

## **Unit 20: Manage Knowledge in an Organisation**

**Unit reference number: A/506/2032**

**Level: 4**

**Credit value: 5**

**Guided learning hours: 34**

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### **Unit summary**

Knowledge is one of the most important assets an organisation will have but many organisations do not pay sufficient attention to how this knowledge is shared, stored or used effectively. The concept of knowledge management is relatively new and highlights how the management of knowledge is just as important as managing finances or resources.

In this unit you will learn how effective knowledge management will help an organisation become more successful and achieve its objectives. You will gain an understanding of how knowledge management is about systematically making use of the knowledge within the organisation to make decisions and avoid making the same mistakes.

As a manager you will need to know the importance of utilising and managing the knowledge in your organisation. You will need to be able to identify this knowledge and implement processes that capture, share and store it knowledge effectively.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles of knowledge management</p>	<p>1.1 Explain the concept, scope and importance of knowledge management</p> <p>1.2 Explain the concept of intellectual property</p> <p>1.3 Identify the business drivers that lead to effective knowledge management</p> <p>1.4 Explain the risks associated with knowledge management and their potential implications</p> <p>1.5 Explain the importance of engaging others and communicating knowledge management issues and activities</p> <p>1.6 Explain best practice principles and techniques for effective knowledge management</p> <p>1.7 Describe strategies to manage tacit and explicit knowledge</p>
<p>2 Be able to identify knowledge to be managed within an organisation</p>	<p>2.1 Identify the criteria against which knowledge will be managed</p> <p>2.2 Engage colleagues in identifying the knowledge to be managed</p>
<p>3 Be able to manage knowledge within an organisation</p>	<p>3.1 Implement actions in accordance with the knowledge management plan</p> <p>3.2 Adhere to security processes for the collection, storage and retrieval of knowledge</p> <p>3.3 Evaluate the extent to which current knowledge management systems and processes are fit for purpose</p> <p>3.4 Recommend improvements to processes and systems to manage knowledge</p> <p>3.5 Assess the likely impact and implications of the loss of knowledge</p>

### **AC1.1: Explain the concept, scope and importance of knowledge management**

- *Knowledge management*: e.g. strategies and processes designed to identify, capture, structure, value, leverage, and share an organisation's intellectual assets to enhance its performance and competitiveness
  - Underpinning principles: promotion of creating, sharing and applying knowledge; incorporating valuable lessons learned and best practices into corporate memory and processes; applying a collaborative and integrated approach
  - Quality of knowledge: features, e.g. accurate, detailed, classified, fit for purpose, complete, accessible
- *Scope*: individual, group and organisation levels; tacit and explicit knowledge; systems and procedures to capture, document and disseminate information
- *Importance*: leverage knowledge to the organisation's advantage; reduces reinvention of the wheel; minimises loss of corporate memory through attrition and retirement; increases scope for innovation in products and/or services and processes; identifies critical resources and critical areas of knowledge; supports risk management; better efficiency and enhanced effectiveness; cost reduction

### **AC1.2: Explain the concept of intellectual property**

- *Intellectual property*: unique creations, e.g. inventions, literary and artistic work, design and symbols; organised knowledge that can create wealth, e.g. know-how, know why, experience and expertise
  - Types of intellectual property: copyrights; patents; trademarks; industrial designs; geographical indications
- *Protecting intellectual property*: importance of protection; benefits for organisation; disputes over intellectual property; legal action; role of the Intellectual Property Office

### **AC1.3: Identify the business drivers that lead to effective knowledge management**

- *Business drivers*: organisational culture, e.g. trust and willingness to share; organisational structure, e.g. flexible, collaborative and decentralised; people with the right skills and attitudes, e.g. T-shaped skills; effective information and technology systems, e.g. intranets, extranets, groupware, databases; use of knowledge to strengthen the strategic plan

**AC1.4: Explain the risks associated with knowledge management and their potential implications**

- *Risks:* e.g. technological malfunction in IT systems, attrition of key employees, system supplier insolvency, uncontrolled and unreliable information, confidentiality of business critical data, intellectual property rights
- *Potential implications:* e.g. loss of money, disillusioned staff, impact on business continuity, impact on brand reputation

**AC1.5: Explain the importance of engaging others and communicating knowledge management issues and activities**

- *Engaging others:* engagement approaches including structured and coordinated, planned, formal and informal; features, e.g. decision-making, problem solving, gathering and disseminating information
- *Importance:* e.g. enable access to tacit knowledge, validation of knowledge, develop a culture of sharing and collaboration, capture knowledge and expertise across different levels of the organisation, motivate and empower staff, transfer of knowledge, encourage commitment and participation

**AC1.6: Explain best practice principles and techniques for effective knowledge management**

- *Best practice principles:* corporate strategy assessment; knowledge audit; knowledge and business strategy alignment; identification of knowledge opportunities; value-benefit analysis; organisational culture review; approval for knowledge management activities; risk reduction techniques
- *Techniques:* peer assists; After Action Review (AAR); Communities of Practice; knowledge centres; exit interviews; social network analysis; Rapid Evidence Review (RER); collaborative technologies, e.g. groupware; expert directories; knowledge mapping

**AC1.7: Describe strategies to manage tacit and explicit knowledge**

- *Distinction between tacit and explicit knowledge:* definition of each; differences
- *Managing tacit knowledge:* personalisation strategy; addresses storage of knowledge in human minds; transfer through person to person, e.g. storytelling, Communities of Practice, work shadowing, coaching
- *Managing explicit knowledge:* codification strategy; allows knowledge to be codified and stored in databases; access to knowledge through IT applications, e.g. intranets and the internet
- *Tacit versus explicit:* how the advantages of one approach can be used to help offset the disadvantages of the other

## Information for tutors

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### Suggested resources

#### Books

Becarra-Fernandez I and Sabherwal R – *Knowledge Management: Systems and Processes* (M E Sharpe, Inc, 2010) ISBN 9780765623515

Davenport T H and Prusak L – *Working Knowledge: How Organizations Manage What They Know* (2nd edition) (Harvard Business Press, 2000) ISBN 9781578513017

Frappaolo C – *Knowledge Management* (2nd edition) (Capstone, 2006) ISBN 9781841127057

Nonaka I (Ed.) – *Knowledge Management: Critical Perspectives on Business and Management* (Routledge, 2005) ISBN 9780415340298

#### Websites

[www.gov.uk](http://www.gov.uk) – UK government website: guide on intellectual property and how to protect ideas and inventions

[www.knowledge-management-tools.net](http://www.knowledge-management-tools.net) – An educational knowledge management site: an introduction to and overview of knowledge management

[www.unc.edu](http://www.unc.edu) – University of North Carolina website: provides an introduction to knowledge management and the impact it can have on an organisation

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of a review of the learner's work products, witness testimony and professional discussion or reflective account.

The learner's work products could include records detailing the criteria for managing knowledge (AC2.1), report/notes detailing the fitness for purpose evaluation of the current knowledge management systems and processes (AC3.3) and records of relevant communications to colleagues or line manager, for example a report/an email recommending improvements to systems and processes (AC3.4). The learner's work products may contain commercially sensitive information and this needs to be considered in the use of these documents.

The evidence from the work products should be supported by a reflective account or professional discussion to corroborate the learner's competence as well as meet the knowledge requirements in learning outcome 1. Within the reflective account or professional discussion, the learner could comment on the process used to decide on the criteria for managing knowledge, the criteria used to evaluate the fitness for purpose of the systems and processes and how the outcomes of this review relate to the improvements recommended (AC2.1, AC3.3 and AC3.4). The learner could also describe the relevant security processes for the collection, storage and retrieval of knowledge and explain the actions they have taken to comply with these (AC3.2). Witness testimony could also be used for learning outcomes 2 and 3 to provide supporting evidence for the learner's competence over time.

Evidence to demonstrate achievement of learning outcome 1 would best come from a reflective account or professional discussion. The assessment of this learning outcome could be integrated into the assessment of the underlying knowledge and understanding for learning outcomes 2 and 3. This gives the learner the opportunity to link and apply their knowledge to workplace activities, as well as easing the burden of assessment for both the assessor and the learner. For example, the learner could explain the best practice principles and techniques for managing knowledge in an organisation and relate this to their evaluation of the fitness for purpose of the systems and processes in their own organisation. This links the knowledge for AC1.6 to the learner's activities for AC3.3. Similarly, the learner could explain the importance of engaging others in the context of how they went about engaging colleagues to identify the knowledge to be managed (AC1.5 and AC2.2).

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# **Unit 21:**                      **Develop Working Relationships with Stakeholders**

**Unit reference number:** F/506/1982

**Level:** 4

**Credit value:** 4

**Guided learning hours:** 20

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## **Unit summary**

All organisations have stakeholders, both internal and external. Engaging with stakeholders involves establishing good lines of communication and maintaining a constructive relationship with them. This relationship with stakeholders is important to ensure that the organisation responds to their needs and is able to manage any competing priorities. Stakeholder relationships that are unmanaged or mismanaged can result in negative consequences for an organisation.

In this unit you will learn that stakeholders are individuals or organisations that shape the operation of a business and/or are affected by the actions of the business. You will understand the importance of developing good working relationships with stakeholders and the consequences of poor engagement.

You will also develop the skills needed to plan for stakeholder engagement, such as stakeholder mapping, and the competences needed to develop and maintain productive working relationships with stakeholders.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand working relationships with stakeholders</p>	<p>1.1 Analyse stakeholder mapping techniques</p> <p>1.2 Explain how influencing skills and techniques can be used to enhance the relationship with stakeholders</p> <p>1.3 Explain how expectation management and conflict resolution techniques are applied to stakeholder management</p> <p>1.4 Analyse the advantages and limitations of different types of stakeholder consultation</p> <p>1.5 Evaluate the risks and potential consequences of inadequate stakeholder consultation</p>
<p>2 Be able to determine the scope for collaboration with stakeholders</p>	<p>2.1 Identify the stakeholders with whom relationships should be developed</p> <p>2.2 Explain the roles, responsibilities, interests and concerns of stakeholders</p> <p>2.3 Evaluate business areas that would benefit from collaboration with stakeholders</p> <p>2.4 Evaluate the scope for and limitations of collaborating with different types of stakeholder</p>
<p>3 Be able to develop productive working relationships with stakeholders</p>	<p>3.1 Create a climate of mutual trust and respect by behaving openly and honestly</p> <p>3.2 Take account of the advice provided by stakeholders</p> <p>3.3 Minimise the potential for friction and conflict amongst stakeholders</p>

Learning outcomes	Assessment criteria
<p>4 Be able to evaluate relationships with stakeholders</p>	<p>4.1 Monitor relationships and developments with stakeholders</p> <p>4.2 Address changes that may have an effect on stakeholder relationships</p> <p>4.3 Recommend improvements based on analyses of the effectiveness of stakeholder relationships</p>

### **AC1.1: Analyse stakeholder mapping techniques**

- *Types of stakeholder:* primary; secondary; key; internal; external; connected
- *Stakeholder mapping:* purpose, e.g. identifies potential conflicts, gaps, contradictions or incompatibilities between stakeholders, supports on-going two-way communication; mapping process, e.g. identifying key stakeholders, defining their concerns and issues, assessing their level of commitment or resistance
- *Mapping techniques:* e.g. basic stakeholder analysis (Bryson 1995), power versus interest grids (Eden and Ackerman 1998), stakeholder-influence diagrams (Eden and Ackerman 1998); features of techniques, e.g. two-by-two matrix, stakeholder interest and power as dimensions; importance of influence relationships; benefits and limitations of techniques; suitability of contexts

### **AC1.2: Explain how influencing skills and techniques can be used to enhance the relationship with stakeholders**

- *Influencing skills:* probing and listening, e.g. reflective questions, active listening; building rapport, e.g. signposting, framing and reframing, pacing; persuading, e.g. mirroring; assertiveness; negotiating (concessions, win-win)
- *Influencing techniques:* e.g. determining outcomes and objectives of the engagement process; setting the scene; understanding needs and values of other party; empathy
- *Impact on stakeholder relationship:* e.g. encourages shift from a transaction basis for business towards relationship basis; recognition of stakeholder needs; encourage support from powerful stakeholders; maintains open lines of communication

### **AC1.3: Explain how expectation management and conflict resolution techniques are applied to stakeholder management**

- *Managing expectations:* process, e.g. setting expectations, articulating risks and issues, communicating progress, monitoring expectations, influencing expectations; skills needed, e.g. influencing skills, communication skills, negotiation skills (concessions and compromises)
- *Conflict-resolution techniques:* different approaches, e.g. avoidance, domination, accommodation, consensus, compromise; facilitation; negotiation
- *Use of expectation management and conflict resolution techniques:* e.g. generating and negotiating solutions; seeking stakeholder input during planning; addressing concerns before they escalate; clarifying and resolving issues in a timely manner

**AC1.4: Analyse the advantages and limitations of different types of stakeholder consultation**

- *Methods of consultation:* e.g. focus groups/workshops; surveys and opinion polls; Web 2.0 tools events/roadshows; individual meetings/interviews; governance
- *Analysis to include:* advantages and limitations; suitability of methods to different types of stakeholder and the purpose of the consultation; clarity where decision-making power lies

**AC1.5: Evaluate the risks and potential consequences of inadequate stakeholder consultation**

- *Risks and potential consequences:* e.g. failure to achieve goals; damage to organisational reputation; lack of stakeholder acceptance; potential negative impact on customer retention and loyalty; negative publicity; conflicting views

## Information for tutors

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### Suggested resources

#### Books

Freeman R E, et al – *Stakeholder Theory: The State of the Art* (Cambridge University Press, 2010) ISBN 9780521137935

Friedman A L and Miles S – *Stakeholders: Theory and Practice* (OUP, 2006) ISBN 9780199269877

#### Websites

[www.bized.co.uk](http://www.bized.co.uk) – Business education: materials on business stakeholders

[www.businesscasestudies.co.uk](http://www.businesscasestudies.co.uk) – Business case studies: The Times 100 has case-study material on stakeholders

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

There are opportunities to assess this unit holistically with the following unit: *Chair and Lead Meetings*.

Evidence to achieve this unit should come from the learner's work activities in developing relationships with either internal stakeholders, external stakeholders or a combination of both.

Evidence to demonstrate achievement of learning outcomes 2 and 4 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include stakeholder mapping/analysis documents, stakeholder engagement plan, related communications with colleagues and/or stakeholders and reports or records detailing the outcomes of the analyses of stakeholder relationships. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the criteria used to evaluate the scope and limitations of collaborating with different types of stakeholder and the process of monitoring stakeholder relationships and addressing the changes in these relationships (AC2.4, AC4.1 and AC4.2). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Evidence to demonstrate achievement of learning outcome 3 could come from direct observation of the learner in meetings with stakeholders. Evidence could also come from the learner's work products such as minutes/records of meetings and witness testimony from colleagues or a line manager who were present at the meetings. The evidence from performance can be supported by the assessment of learning outcome 1, as detailed below.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 4 then it would be best to integrate the assessment of this learning outcome, therefore giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on the influencing skills and conflict-resolution techniques they have used in meetings and discussions with stakeholders, explaining how they helped in achieving the desired outcomes and how they could possibly use other techniques in the future (AC1.2 and AC1.3). The learner's reflective account to meet the requirements of AC1.1 to AC1.5 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs. For example, for AC1.1, the learner needs to explain in detail the methodology of the mapping technique used, why it was suitable for the particular context/circumstance, the limitations experienced in using the technique and how, and when they could use other techniques in the future.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence.



## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles of effective networking</p>	<p>1.1 Describe the interpersonal skills needed for effective networking</p> <p>1.2 Explain the basis on which to choose networks to be developed</p> <p>1.3 Evaluate the role of shared agendas and conflict management in relationship-building</p> <p>1.4 Evaluate the role of the internet in business networking</p> <p>1.5 Assess the importance of following up leads and actions</p> <p>1.6 Analyse ethical issues relating to networking activities</p>
<p>2 Be able to identify professional networks for development</p>	<p>2.1 Identify potential networks for professional development from an analysis of their benefits compared with individual needs and aspirations</p> <p>2.2 Shortlist networks for development against defined criteria</p> <p>2.3 Assess the benefits and limitations of joining and maintaining selected network(s)</p>

Learning outcomes	Assessment criteria
<p>3 Be able to maintain professional networks</p>	<p>3.1 Identify the potential for mutual benefit with network members</p> <p>3.2 Promote their own skills, knowledge and competence to network members</p> <p>3.3 Provide information, services or support to network members where the potential for mutual benefit has been identified</p> <p>3.4 Establish the boundaries of confidentiality</p> <p>3.5 Agree guidelines for the exchange of information and resources</p> <p>3.6 Take action to ensure that participation in networks reflects current and defined future aspirations and needs</p> <p>3.7 Make introductions to people with common or complementary interest to and within networks</p>

### **AC1.1: Describe the interpersonal skills needed for effective networking**

- *Networking*: definition, e.g. the exchange of information or services among individuals, groups, or institutions; business networking, e.g. nurturing productive relationships for employment or business; social networking
- *Interpersonal skills*: e.g. communication skills (verbal and non-verbal), creating good first impressions, building rapport, empathy, courtesy, respect, tolerance, personal presentation

### **AC1.2: Explain the basis on which to choose networks to be developed**

- *Choosing networks*: reasons, e.g. alignment with personal and career goals, industry connections, organisational goals, technological changes in the industry

### **AC1.3: Evaluate the role of shared agendas and conflict management in relationship-building**

- *Role of shared agendas*: common purpose; shared commitment; diversity of knowledge and ideas; innovation
- *Cause of conflict*: power struggles; professional differences; barriers to communication, e.g. poor listening skills or sharing of information
- *Role of conflict management*: conflict can lead to new ideas and approaches; strengthens relationships; builds trust; supports emotional awareness and self-management

### **AC1.4: Evaluate the role of the internet in business networking**

- *Global network platforms*: social, e.g. Facebook, Twitter; professional, e.g. LinkedIn, Plaxo, Biznik
- *Risks associated with internet networking*: e.g. hacking and posting of threatening online messages, cyber bullying

### **AC1.5: Assess the importance of following up leads and actions**

- *Generating leads*: set achievable goals; know your target audience; practice professional pitch; interact and contribute to group discussions; capture contact information
- *Importance*: e.g. to produce results; builds trust, reputation and relationships

### **AC1.6: Analyse ethical issues relating to networking activities**

- *Ethical issues*: integrity risk, e.g. posts that violates the organisation's ethical policy; irresponsible advertising and marketing practices; employees' rights to privacy and fairness; duty of care, e.g. maintaining personal and professional boundaries

## Information for tutors

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### Suggested resources

#### Books

Townsend H – *FT Guide to Business Networking: How to Use the Power of Online and Offline Networking for Business Success (The FT Guides)* (Financial Times/Prentice Hall, 2011) ISBN 9780273745822

Vermerien J – *How to Really Use LinkedIn* (Booksurge Publishing, 2009) ISBN 9781439229637

#### Websites

[www.britishchambers.org.uk](http://www.britishchambers.org.uk) – British Chambers of Commerce: provides business support and advice on networking

[www.gov.uk](http://www.gov.uk) – Government services and information: practical business advice on networking can be found

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include network analysis documents, reports shortlisting networks for development, detailing the benefits and limitations of chosen networks and records detailing the outcome of establishing boundaries of confidentiality. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion the learner could discuss the criteria used to shortlist networks for development (AC2.2), the process used to establish boundaries of confidentiality and the process used to agree guidelines for the exchange of information and resources (AC3.4 and AC3.5). Alternatively, a reflective account could be used to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on the basis on which they have chosen networks to be developed, how they have used the internet in their networking activities and any ethical issues which relate to networking activities and how these have affected their activities (AC1.2, AC1.4 and AC1.6). The learner's reflective account must be in sufficient depth and breadth to meet the level of demand of the operative command verbs of AC1.1, AC1.2, AC1.3, AC1.4, AC1.5 and AC1.6.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Whenever possible the learning outcomes in this unit should be assessed holistically across the qualification.

# **Unit 23: Manage Physical Resources**

**Unit reference number: K/506/1989**

**Level: 4**

**Credit value: 4**

**Guided learning hours: 26**

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## **Unit summary**

Every organisation will need physical resources to enable them to function and operate efficiently and there will often be occasions when it is necessary to purchase new or updated resources. When considering the purchase of new resources there are several factors which need to be considered such as the cost, potential benefits and the need to follow organisation procedures in the procurement of any purchase.

In this unit you will learn how to identify the need for physical resources that meet the operational requirements of the organisation. You will learn how to evaluate alternative options for obtaining resources and the impact the new resources will have for the organisation. You will learn the organisational procedures and policies to follow in the procurement of the resource. You will gain an understanding of the factors that need to be taken into account when obtaining physical resources and the importance of using sustainable resources. You will gain an understanding of the importance of ensuring that the resources are managed and used efficiently.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Be able to identify the need for physical resources	1.1 Identify resource requirements from analyses of organisational needs 1.2 Evaluate alternative options for obtaining physical resources 1.3 Evaluate the impact on the organisation of introducing physical resources 1.4 Identify the optimum option that meets operational requirements for physical resources
2 Be able to obtain physical resources	2.1 Develop a business case for physical resources that is supported by evidence, cost estimates, contingency arrangements and an analysis of likely benefits 2.2 Obtain authorisation and financial commitment for the required expenditure 2.3 Negotiate best value from contracts in accordance with organisational standards and procedures 2.4 Adhere to organisational policies and procedures, legal and ethical requirements when obtaining physical resources 2.5 Check that the physical resources received match those ordered
3 Be able to manage the use of physical resources	3.1 Take action to ensure physical resources are used in accordance with manufacturers' instructions 3.2 Evaluate the efficiency of physical resources against agreed criteria 3.3 Recommend improvements to the use of physical resources and associated working practices 3.4 Analyse the benefits of effective equipment in the conservation of energy and the environment

## Information for tutors

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### Suggested resources

#### Books

Barrat C and Whitehead M – *Buying for Business: Insights in Purchasing and Supply Management* (John Wiley and Sons, 2004) ISBN 9780470092460

Chopra S and Meindl P – *Supply Chain Management: Strategy, Planning and Operation* (4th edition) (Pearson Education, 2009) ISBN 9780136094517

Christopher M – *Logistics and Supply Chain Management* (4th edition) (Financial Times/Prentice Hall, 2010) ISBN 9780273731122

Emmett S – *Supply Chain Management in 90 Minutes* (Management Books 2000, 2004) ISBN 9781852524760

Institute of Leadership and Management – *Controlling Physical Resources (ILM Super Series)* (4th edition) (Pergamon, 2002) ISBN 9780750658867

#### Websites

[www.supplymanagement.com](http://www.supplymanagement.com) – Chartered Institute of Purchasing and Supply: provides up to date information on purchasing and supply news, laws, analysis and resources

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The evidence to demonstrate achievement of the learning outcomes is likely to come from a combination of learner work products, professional discussion or reflective accounts and witness testimonies.

For learning outcome 1, the learner's work products such as emails or minutes from meetings could be used to evidence where they have identified resource requirements, evaluated the alternative options for obtaining the resources, identified the optimum option and evaluated the impact of purchasing the resource (AC1.1, AC1.2, AC1.3 and AC1.4). Alternatively the evidence could be provided in a professional discussion or a reflective account. The evidence must be in sufficient depth to demonstrate that the learner has satisfied the command verbs of identify and evaluate.

For learning outcome 2, the learner should use the resource need identified in learning outcome 1 to develop a business case for the physical resource. Work products such as emails, minutes from meetings, purchase orders and invoices could provide evidence for AC2.1 and AC2.2. Relevant sections from organisational policies and procedures supported by witness testimony will provide evidence for AC2.3 and AC2.4. The signed delivery note, which highlights that resources have been checked, will provide evidence for AC2.5.

The evidence for learning outcome 3 could be generated by witness testimonies from a line manager or colleagues, which shows that actions have been taken to ensure that the resource purchased in learning outcome 2 is used in accordance with the instructions provided by the manufacturer (AC3.1). Work products such as emails or minutes from meetings could provide evidence on the evaluation of the efficiency of the resource and recommendations for improvements to the use of the resource (AC3.2 and AC3.3). Alternatively, the evidence could be provided in a professional discussion or a reflective account. The evidence must be in sufficient depth to satisfy the command verb of evaluate for AC3.2. A reflective account could be used to provide evidence for AC3.4, to demonstrate where the learner has analysed the benefits of effective equipment in the conservation of energy and the environment.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 24: Prepare for and Support Quality Audits

**Unit reference number:** K/506/1992

**Level:** 4

**Credit value:** 3

**Guided learning hours:** 17

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## Unit summary

In this unit you will learn how to prepare for and support quality audits. In order to do this you will understand the principles underpinning the management of quality in an organisation and how this contributes to meeting organisational objectives. By examining the advantages and limitations of using different quality techniques you will understand the importance of promoting a quality culture and how customer satisfaction drives continuous improvement to meet standards.

This unit you will introduce you to the concept of 'Total Quality Management (TQM)' and how this approach depends on the need to embed a quality culture in an organisation. This is important as business success is very dependent upon customer satisfaction and as technology and communications become more powerful standards are more easily comparable.

You will prepare relevant documentation for work to be audited, identify where improvements could be made to processes, procedures, or standards, and develop a quality improvement plan to address any issues.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand the principles underpinning the management of quality	1.1 Analyse the principles of quality management 1.2 Analyse the purpose and requirements of a range of quality standards 1.3 Analyse the advantages and limitations of a range of quality techniques 1.4 Assess how the management of quality contributes to the achievement of organisational objectives
2 Be able to prepare for quality audits	2.1 Establish the quality requirements applicable to the work being audited 2.2 Confirm that documentation is complete 2.3 Confirm that any previously agreed actions have been implemented 2.4 Make available information requested in advance by auditors
3 Be able to support quality audits	3.1 Provide access to information on request within scope of the audit 3.2 Agree actions and timescales with auditors that will remedy non-conformance or non-compliance 3.3 Identify instances where business processes, quality standards and/or procedures could be improved 3.4 Develop a quality improvement plan that addresses the issues raised

### **AC1.1: Analyse the principles of quality management**

- *Quality management Theories:* e.g. W Edwards Deming – PDCA Cycle; Joseph M Juran – quality trilogy; Kaoru Ishikawa – total quality viewpoint, 7 basic tools of quality; Philip B Crosby – 14 steps to quality improvements, Zero Defects, Quality is Free; A V Feigenbaum – total quality control
- *Quality management terminology:* e.g. fitness for purpose, Total Quality Management (TQM), Quality Assurance (QA), continuous improvement (Kaizen), quality indicators, quality measures (financial measures, customer-based measures)
- *ISO9001 8 Principles of quality management:* customer focus; leadership; involvement of people; process approach; system approach to management; continual improvement; factual approach to decision-making; mutually beneficial supplier relationship

### **AC1.2: Analyse the purpose and requirements of a range of quality standards**

- *Quality standards:* e.g. International Standards ISO9000 series, British Standards Institute (BSI) BS5750, Investors in People, CE marking, Royal warrants
- *Analysis to include:* purpose, requirements, application and benefits in business operations

### **AC1.3: Analyse the advantages and limitations of a range of quality techniques**

- *Quality techniques:* e.g. Six Sigma, TQM, Quality Circles, statistical process control, benchmarking

### **AC1.4: Assess how the management of quality contributes to the achievement of organisational objectives**

- *Contribution to achievement of organisational objectives:* by promoting a quality culture, e.g. self-managed teams and quality circles, 'interlocking teams'; product innovation and quality; improved customer relationship; partnerships with suppliers; external auditing
- *Management of quality:* leadership and commitment; action planning on areas for improvement; setting clear organisational objectives; empowering, mentoring, counselling; delegating; responding to feedback

## Information for tutors

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### Suggested resources

#### Books

Bicheno J and Holweg M – *The Lean Toolbox: The Essential Guide to Lean Transformation* (4th edition) (Picsie Books, 2008) ISBN 9780954124458

Hoyle D – *ISO 9000 Quality Systems Handbook* (Butterworth-Heinemann, 2009) ISBN 9781856176842

Webber L and Wallace M – *Quality Control for Dummies* (John Wiley and Sons, 2007) ISBN 9780470069097

Slack N et al – *Operations Management* (7th edition) (Pearson, 2013) ISBN 9780273776208

#### Websites

[www.efqm.org](http://www.efqm.org) – European Foundation for Quality Management: promotes the Excellence Model through forums, training, events and information

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to achieve this unit must come from the learner's work activities when preparing for and supporting quality audits.

Evidence to demonstrate learning outcomes 2 and 3 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include the completed audit documentation and any evidence of actions used to confirm document completion and action implementation (AC2.2 and AC2.3). Work products could also include meeting minutes or audit reports detailing what actions and timescales have been agreed and the improvement plan developed to address quality issues (AC3.2 and AC3.4). The assessor should review the work products and use them to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the importance of ensuring that records and documentation are complete (AC2.2 and AC2.3) and the criteria and process used to identify instances where business processes, quality standards and/or procedures could be improved (AC3.3). Alternatively a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time as well as to provide supporting evidence for assessment criteria such as AC2.4, AC3.1 and AC3.2.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, it would be best to integrate the assessment of this learning outcome, giving the learner opportunity to link and apply their knowledge to workplace activities. For example, the learner could analyse the purpose and requirements of a range of quality standards in the content of how they are used to establish the quality requirements for the work audited. This enables the learner to make the relationship between the requirements of the relevant quality standards and the organisational quality requirements (AC1.1 and AC2.1). The learner's reflective account must be in sufficient depth and breadth to meet the level of demand of the operative verbs within AC1.1, AC1.2, AC1.3 and AC1.4. For example, for AC1.3, the learner needs to explain in depth a range of quality techniques, the advantages and limitations they have found with using these quality techniques and how they would use different techniques to improve on their practice in future quality audits.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Whenever possible the learning outcomes in this unit should be assessed holistically across the qualification.

## **Unit 25: Manage Business Risk**

**Unit reference number: L/506/2004**

**Level: 4**

**Credit value: 6**

**Guided learning hours: 27**

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### **Unit summary**

Every organisation will face risks and each risk could be a potential threat to their success. Managing business risks is the process of identifying threats and then effectively implementing activities to manage or reduce the impact of the threats. This involves reviewing the business processes, identifying any potential threats and the consequences and then taking appropriate actions to address the potential threat.

In this unit you will gain an understanding of the potential risks which could have an impact on organisations and the processes which could be implemented to identify the consequences and effect of the potential risk. You will gain an understanding of the processes which could be implemented to mitigate the business risks. You will be responsible for identifying potential risks for your organisations and in assessing the consequence of these risks. You will have the opportunity to develop risk management plans, monitor on-going risk related developments and to evaluate the effectiveness of the actions taken.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand the management of business risk	1.1 Explain what is meant by business risk 1.2 Analyse business risk identification theories and models 1.3 Explain measures and techniques to mitigate business risk 1.4 Explain their own level of authority in managing risk
2 Be able to address business risk	2.1 Monitor work in line with organisational risk procedures 2.2 Identify potential risks using agreed risk criteria 2.3 Assess identified risks, their potential consequences and the probability of them happening 2.4 Communicate to stakeholders the likelihood of the risk occurring and its potential consequences 2.5 Explain organisational business risk management policies
3 Be able to mitigate business risk	3.1 Develop risk management plans and processes that are proportionate to the risk and the available resources 3.2 Implement risk management plans in accordance with organisational requirements 3.3 Monitor on-going risk-related developments and amend plans in the light of changing circumstances 3.4 Keep stakeholders informed of any developments and their possible consequences 3.5 Evaluate the effectiveness of actions taken, identifying possible future improvements

### **AC1.1: Explain what is meant by business risk**

- *Business risk*: definition; relationship between risk and probability; different types of business risks, e.g. strategic risks, compliance risks, financial risks, operational risks, reputational risks; emerging risks, e.g. cyber risks, environmental liability
- *Influencing factors*: internal factors; external factors; factors out of the control of the business; factors controllable by the business; increased business costs, increased competitors or competitor activity, changes in the economic climate, new UK and EU legislation or regulations

### **AC1.2: Analyse business risk identification theories and models**

- *Techniques for identifying business risks*: e.g. risk analysis, risk management planning, business impact analysis, cost benefit analysis
- *Models for identifying risks*: SWOT analysis for identifying internal, external factors; PESTLE analysis, key external factors which impact on a business; SLEPT analysis, the social, legal, economic, political, technological influences; decision trees; Monte-Carlo technique; Delphi model

### **AC1.3: Explain measures and techniques to mitigate business risk**

- *Risk management*: assessing and prioritising risks; analysing impact and consequences; level of risk, low, medium, high; implementing appropriate processes, methods and tools to manage risks; monitoring and reviewing processes
- *Reducing risks*: implement quality processes; mitigation strategies, e.g. avoidance, acceptance, transference, control

### **AC1.4: Explain their own level of authority in managing risk**

*The knowledge to meet this AC depends on the particular organisational requirements and context. Learners need to apply the knowledge specific to their organisation to meet this AC*

- *Level of authority*: roles; responsibilities; accountability

## Information for tutors

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### Suggested resources

#### Books

Boddy D – *Management: An Introduction* (5th edition) (Financial Times/Prentice Hall, 2010) ISBN 9780273738961

British Standards Institution (BSI) – *BS ISO 31000: Risk Management – Principles and Guidelines* (BSI, 2009) ISBN 9780580675713

Dallas M – *Value and Risk Management – A Guide to Best Practice* (Blackwell, 2006) ISBN 9781405120692

Slack N et al – *Operations Management* (6th edition) (FT Prentice Hall, 2009) ISBN 9780273731603

#### Websites

europa.eu – European Union: provides information on current EU legislation

www.gov.uk – UK Government website: information on risk management

www.hse.gov.uk – Health and Safety Executive: provides information on risk assessments

www.infoentrepreneurs.org – Info for Entrepreneurs: information on potential risks and risk management

www.managementhelp.org – Free management library: provides a range of materials on risk management

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria. **This unit is barred with Unit 33: Establish Business Risk Management Processes.**

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

To provide the evidence for this unit the learner will need to be involved in the process for identifying and managing business risks. The evidence to demonstrate achievement of all learning outcomes is likely to come from a combination of learner work products, professional discussion or reflective accounts and witness testimonies.

For learning outcome 1, the evidence could be provided in a professional discussion or a reflective account which explains what is meant by business risk and the measures and techniques to mitigate business risk AC1.1, AC1.3. Work products such as reports, emails or letters could be used to provide evidence for AC1.1, AC1.3 but must be in sufficient depth to satisfy the command verb of explain. A reflective account could be used to analyse the business risk identification theories and models (AC1.2). For AC1.4 the learner will need to explain in a professional discussion or a reflective account the level of authority they have in managing risk within their organisation.

For learning outcome 2, the learner could use witness testimonies from their line manager or colleagues, which show how they have monitored work in line with organisational risk procedures (AC2.1). Work products such as reports, letters or emails supported by witness testimonies could provide evidence on how the learner has identified potential risks using the agreed risk criteria and assessed the identified risks, their potential consequences and the probability of them happening (AC2.2 and AC2.3). Copies of written communication appropriately anonymised, to stakeholders on the likelihood of the risk, the potential consequences, any developments and the consequences would provide evidence for AC2.4 and AC3.4. A professional discussion or a reflective account could be used to explain the organisational business risk management policies (AC2.5).

For learning outcome 3, the learner will need to develop and implement risk management plans and processes that are appropriate for the risk, the available resources and in accordance with organisational requirements. The evidence for AC3.1 and AC3.2 will be copies of the risk management plans supported by witness testimonies from line manager or colleagues. For AC3.3, the learner will need to provide evidence that they have monitored and, where relevant, amended the risk management plans. A professional discussion or a reflective account could be used to evaluate the effectiveness of the actions taken and to identify possible areas for improvement (AC3.5).

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Whenever possible the learning outcomes in this unit should be assessed holistically across the qualification.

## **Unit 26: Encourage Learning and Development**

**Unit reference number: M/506/1962**

**Level: 4**

**Credit value: 3**

**Guided learning hours: 16**

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### **Unit summary**

In this unit you will learn the principles of learning and development and the importance of this function in the human resources process to support the overall organisational strategy. You will understand that learning is complex and explore the theories of organisational learning and the learning organisation, with a focus on the fact that learning is a continuous process, not a set of discrete training activities.

You will have the opportunity to support individuals in identifying their current and likely future learning and development needs from a range of information sources and provide opportunities for them to apply their learning. As a result of this you will develop your understanding of the relationship between the learning and development function and whole organisational needs.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles of learning and development</p>	<p>1.1 Assess the role of continuous professional development (CPD) in identifying and meeting individuals' learning and development for current and future business needs</p> <p>1.2 Analyse the advantages and limitations of different learning and development methods</p> <p>1.3 Explain how to identify individuals' learning and development needs</p> <p>1.4 Evaluate the role of self-reflection in learning and development</p>
<p>2 Be able to support individuals' learning and development</p>	<p>2.1 Promote the benefits of learning to people in own area of responsibility</p> <p>2.2 Support individuals in identifying their current and likely future learning and development needs from a range of information sources</p> <p>2.3 Agree with individuals the learning activities to be undertaken, ensuring they are within agreed budgets and consistent with business needs</p> <p>2.4 Summarise agreed learning objectives, learning activities, review mechanisms and success criteria in a personal development plan</p> <p>2.5 Create an environment that encourages and promotes learning and development</p> <p>2.6 Provide opportunities for individuals to apply their developing competence in the workplace</p>

Learning outcomes	Assessment criteria
<p>3 Be able to evaluate individuals' learning and development</p>	<p>3.1 Analyse information from a range of sources on individuals' performance and development</p> <p>3.2 Evaluate the effectiveness of different learning and development methods</p> <p>3.3 Agree revisions to personal development plans in the light of feedback</p>

**AC1.1: Assess the role of continuous professional development (CPD) in identifying and meeting individuals' learning and development for current and future business needs**

- *Terminology:* Continuing Professional Education (CPE); Continuing Personal and Professional Development (CPPD), e.g. guiding choices, identifying the abilities and skills required for progression
- *Purpose of CPD:* review existing individual knowledge and skills; evaluating personal experiences; identifying need for updating of skills and knowledge, e.g. requirements of professional bodies and organisation; employment or contractual requirement
- *Types of learning:* organisational learning, learning organisation; nature of learning; knowledge management; importance, e.g. contribution to achieving organisation's objectives; designed to achieve improvements in corporate, functional, team and individual performance

**AC1.2: Analyse the advantages and limitations of different learning and development methods**

- *Learning and Development (L&D):* progression opportunities, e.g. new learning, alternative routes towards new skills; choice of methods, e.g. on job training, off job training, self-directed learning, planned experience, work shadowing, coaching, interactive computer based package, learning, course attendance
- *Factors affecting options available:* acceptability; location; access; internal and external resource availability; cost
- *Indicators:* labour turnover; productivity measures; quality improvements; performance indicators, e.g. sales figures, customer service feedback

**AC1.3: Explain how to identify individuals' learning and development needs**

- *Analysis methods:* e.g. initial assessment, skills matrix, competency assessment, critical incident technique, job learning analysis, assessment centres, appraisal, interviewing questioning and listening, self-assessment, 360° feedback

#### **AC1.4: Evaluate the role of self-reflection in learning and development**

- *Self-reflection*: theories and concepts of reflective practice, e.g. Honey & Mumford Learning Styles, Murphy's new situation awareness; analysing; evaluating relevance; identifying learning to apply to new experience
- *Methods*: reflective journal; self-assessment; evaluating learning and development activity; skills audit; training needs analysis; appraisal; SWOT analysis (strengths, weaknesses, opportunities, threats); organisation questionnaire on attitudes and practice; opportunities, e.g. before or at start of new experience, on-going, 'Eureka' moments, when things go wrong, at end of experience, when required to do so

## Information for tutors

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### Suggested resources

#### Books

Beevers K and Rea A – *Learning and Development Practice* (2nd edition) (Chartered Institute of Personnel and Development, 2013) ISBN 9781843983460

BPP Learning Media – *Business Essentials Human Resource Development and Employee Relations* (BPP Learning Media, 2013) ISBN 9781445368375

Harrison R – *Learning and Development* (5th edition) (Chartered Institute of Personnel and Development, 2009) ISBN9781843982166

#### Websites

[www.cipd.co.uk](http://www.cipd.co.uk) – Chartered Institute of Personnel and Development: resource and information relating to human resource practices and learning and development

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to achieve this unit should come from the learner's work activities in a management and leadership role where they have responsibility for the learning and development of their team or direct reports.

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include communications or meeting minutes as a record of promoting the benefits of learning to people within their area of responsibility (AC2.1), appropriately anonymised personal development plans from within their area of responsibility, evidencing where learning objectives, activities, review mechanisms and success criteria have been agreed (AC2.4) and analysis records documenting where the learner has analysed information from a range of sources on individuals' performance and development, again within their area of responsibility (AC3.1). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could comment on the process for supporting individuals in identifying their current and likely future learning and development needs from a range of information sources (AC2.2), different learning and development methods used to support individuals' learning and development, the advantages and limitations of each and how to evaluate how effective they are (AC3.2) and the process for agreeing revisions to individuals' personal development plans following feedback received (AC3.3). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Evidence to confirm achievement of learning outcome 1 would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, then it would be best to integrate assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could assess the role of continuous professional development in terms of how they have used it in the learning and development process for their direct line reports (AC1.1). In a similar manner, the learner could analyse the advantages and the limitations of the learning and development methods they have used and comment on how they could improve on their practice in the future (AC1.2). The learner's reflective account to meet the requirements of AC1.1, AC1.2, AC1.3 and AC1.4 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Whenever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 27: Manage a Project

**Unit reference number:** R/506/1999

**Level:** 4

**Credit value:** 7

**Guided learning hours:** 38

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## Unit summary

In this unit you will learn how to plan and manage a project and evaluate its effectiveness. You will gain an understanding of project management principles, methodologies and tools and techniques that may be used in any business.

You will develop an understanding of what constitutes a project, the skills needed to plan the activities needed to carry out the project, including how to carry out a cost-benefit analysis and risk assessment, and how to conduct project reviews. You will also understand how the project fits into the organisational environment.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the management of a project</p>	<p>1.1 Explain how to carry out a cost-benefit analysis for a project</p> <p>1.2 Evaluate the use of risk analysis techniques</p> <p>1.3 Evaluate project planning and management tools and techniques</p> <p>1.4 Evaluate the impact of changes to project scope, schedule, finance, risk, quality and resources</p> <p>1.5 Analyse the requirements of project governance arrangements</p>
<p>2 Be able to plan a project</p>	<p>2.1 Analyse how a project fits with an organisation's overall vision, objectives, plans and programmes of work</p> <p>2.2 Agree the objectives and scope of proposed projects with stakeholders</p> <p>2.3 Assess the interdependencies and potential risks within a project</p> <p>2.4 Develop a project plan with specific, measurable, achievable, realistic and time-bound (SMART) objectives, key performance indicators (KPIs) and evaluations mechanisms appropriate to the plan</p> <p>2.5 Develop proportionate and targeted plans to manage identified risks and contingencies</p> <p>2.6 Apply project lifecycle approaches to the progress of a project</p>

Learning outcomes	Assessment criteria
<p>3 Be able to manage a project</p>	<p>3.1 Allocate resources in accordance with the project plan</p> <p>3.2 Brief project team members on their roles and responsibilities</p> <p>3.3 Implement plans within agreed budgets and timescales</p> <p>3.4 Communicate the requirements of the plans to those who will be affected</p> <p>3.5 Revise plans in the light of changing circumstances in accordance with project objectives and identified risks</p> <p>3.6 Keep stakeholders up to date with developments and problems</p> <p>3.7 Complete close-out actions in accordance with project plans</p> <p>3.8 Adhere to organisational policies and procedures, legal and ethical requirements when managing a project</p>
<p>4 Be able to evaluate the effectiveness of a project</p>	<p>4.1 Conduct periodic reviews of the progress and effectiveness of a project using information from a range of sources</p> <p>4.2 Evaluate the effectiveness of capturing and managing project-related knowledge</p> <p>4.3 Report on the effectiveness of plans</p>

### **AC1.1: Explain how to carry out a cost-benefit analysis for a project**

- *Project management*: business case; stages in project life cycle, e.g. initiation, planning, execution, closure and evaluation; roles and responsibilities, e.g. project manager, project sponsor, project team members
- *Cost-benefit analysis*: definition (appraisal technique); purpose, e.g. assessing costs and benefits to determine the rate of return, evaluate project outcomes; analysis process including, identifying costs (physical and human resources, time) and benefits (tangible and intangible revenues) over project lifetime, allocating monetary value to costs and benefits, comparing value of costs and benefits; breakeven points; payback period

### **AC1.2: Evaluate the use of risk analysis techniques**

- *Risk analysis*: qualitative techniques, e.g. probability and impact matrix (low, high rating), risk urgency assessment, risk categorisation, expert judgement; quantitative techniques, e.g. schedule risk analysis, sensitivity analysis, severity assessment, modelling and simulation; use of documentation, e.g. risk log

### **AC1.3: Evaluate project planning and management tools and techniques**

- *Project management tools and techniques*: e.g. checklists/activity lists; project work plans; charting, e.g. Gantt Load; analysis, e.g. PERT, critical paths; risk management logs; dependencies, responsibilities

### **AC1.4: Evaluate the impact of changes to project scope, schedule, finance, risk, quality and resources**

- *Impact of changes*: contingency plans, e.g. increase resources, change methods; degree to which critical success factors are met; achievement of performance measures; positive outcomes; negative outcomes; implications, e.g. internal, external; potential future developments, e.g. short term, long term

### **AC1.5: Analyse the requirements of project governance arrangements**

- *Governance*: definition – set of policies, regulations, functions, processes, procedures and responsibilities that define establishment, management and control of projects, programmes and portfolios; principles of project governance
- *Three pillars of project governance*: structure (committee or steering group structure including stakeholder and user groups); people (role of sponsor relating to project manager and stakeholders); information (reports, issues, risks); roles and responsibilities

## Information for tutors

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### Suggested resources

#### Books

Horine G – *Project Management Absolute Beginner's Guide* (3rd edition) (QUE Publishing, 2012) ISBN 9780789750105

Nokes S and Kelly S – *The Definitive Guide to Project Management: The Fast Track to Getting the Job Done on Time and on Budget* (3rd edition) (FT Publishing International, 2014) ISBN 9780273756378

Williams M – *The Principles of Project Management* (SitePoint, 2008) ISBN 9780980285864

#### Websites

[www.apm.org.uk](http://www.apm.org.uk) – Association for Project Management: providing articles on project management and information for practitioners on training and qualifications

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to achieve this unit should come from the learner's work activities in managing projects.

Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing of learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include a project plan and related documentation which they have developed that clearly shows agreed SMART objectives and KPIs, project members' roles and responsibilities, governance structure, tasks and activities to be completed, reporting structure and format, flow of activities and dependencies, evaluation mechanisms and risk mitigation plans. Product evidence could also include minutes from project meetings, relevant communications to project team members, risk logs and reports detailing the effectiveness of plans (AC2.2, AC2.3, AC2.4, AC3.2 and AC4.3). The assessor should review the work products and use them to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss how they agreed the objectives and scope of the projects with stakeholders and the importance of doing this, the process for assessing the interdependencies and identifying potential risks and the rationale for the targeted mitigation plans for these risks (AC2.2, AC2.3 and AC2.5). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the organisational requirements and that the project planning and management was effective, appropriate and aligned to organisational strategies and priorities, (AC2.1, AC3.6 and AC3.8).

Evidence to demonstrate achievement of learning outcome 1, would best come from a reflective account due to the cognitive demand of the assessment criteria. If a reflective account is used for learning outcomes 2, 3 and 4, then it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on how they carried out a cost-benefit analysis for a project, risk analysis techniques which they have used and the advantages and limitations of these and an evaluation of how changes impacted upon project scope, schedule, finance, risk, quality and resources of the project they were managing (AC1.1, AC1.2 and AC1.4). The learner's reflective account must be in sufficient depth and breadth to meet the requirements of the operative command verbs in AC1.1, AC1.2, AC1.3, AC1.4 and AC1.5.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Whenever possible the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 28: **Initiate and Implement Operational Change**

**Unit reference number:** T/506/1980

**Level:** 4

**Credit value:** 4

**Guided learning hours:** 19

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## **Unit summary**

In this unit, you will learn how to plan, manage and evaluate the effectiveness of operational change. Developing a clear plan and involving others in the process through explaining the reasons for the change will reduce the likelihood of any resistance.

You will examine your organisations' current position in the market in which it works, relevant to the operational change. You will also learn about the different concepts, tools and models used to manage operational change and their strengths and weaknesses. This will help you to understand the relationship between transformational and transactional change, and theory and application of the change/performance curve.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the implementation of operational change</p>	<p>1.1 Explain sources of information indicating the need for change</p> <p>1.2 Analyse the advantages and limitations of different project and change management techniques</p> <p>1.3 Analyse the characteristics, strengths and weaknesses of evaluation techniques used in change management</p>
<p>2 Be able to plan for operational change</p>	<p>2.1 Develop an operational plan that includes specific, measurable, achievable, realistic and time-bound (SMART) objectives and resources</p> <p>2.2 Take action to ensure that colleagues are briefed on their roles, responsibilities and change objectives</p> <p>2.3 Provide colleagues with the support needed to implement operational change</p>
<p>3 Be able to manage operational change</p>	<p>3.1 Implement the change plan within the agreed timescale using available resources</p> <p>3.2 Assess the significance of deviations from the change plan</p> <p>3.3 Address interdependency issues and tensions that affect the achievement of change objectives</p> <p>3.4 Assess the value and risks of unintended outcomes from operational change</p> <p>3.5 Inform stakeholders of any unforeseen obstacles or problems and the actions that have been taken</p>

Learning outcomes	Assessment criteria
<p>4 Be able to evaluate the effectiveness of operational change</p>	<p>4.1 Evaluate the effectiveness of operational change</p> <p>4.2 Identify areas for improvement, justifying conclusions and recommendations with evidence</p> <p>4.3 Communicate to stakeholders the lessons learned from the change</p>

### **AC1.1: Explain sources of information indicating the need for change**

- *Sources:* internal, e.g. SWOT analysis (strengths, weaknesses, opportunities, threats; external, e.g. PESTLE analysis (political, economic, social, technological, legal, environmental)
- *Types of change:* e.g. processes or procedures, outsourcing, corporate mission or objectives, development of new products, market forces

### **AC1.2: Analyse the advantages and limitations of different project and change management techniques**

- *Change management models:* e.g. John P Kotter's eight steps to successful change, Kübler-Ross Five Stage Transition Cycle, Prosci's ADKAR Model, Kurt Lewin's Change Management model
- *Project management techniques:* e.g. project work plans; charting, e.g. Gantt, Load; analysis, e.g. PERT, critical paths; risk management logs; dependencies, responsibilities

### **AC1.3: Analyse the characteristics, strengths and weaknesses of evaluation techniques used in change management**

- *Evaluating change:* importance, e.g. assess the effectiveness of change management, keep the change process moving; techniques, e.g. Key Performance Indicators (KPIs), success criteria, Kubler-Ross change performance curve

## Information for tutors

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### Suggested resources

#### Books

Carnall C and Todnem By R – *Managing Change in Organisations* (Pearson, 2014) ISBN 9780273736417

Nokes S and Kelly S – *The Definitive Guide to Project Management: The Fast Track to Getting the Job Done on Time and on Budget* (2nd edition) (Financial Times/Prentice Hall, 2007) ISBN 9780273710974

#### Websites

[www.apm.org.uk](http://www.apm.org.uk) – Association for Project Managers: provides project management resources. Membership is required for full access

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to achieve this unit should come from the learner's work activities in initiating and implementing operational change as a part of the management role. Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include copies of operational plans which the learner has developed, ensuring that it includes SMART objectives and resources (AC2.1), meeting minutes detailing where they have briefed colleagues on their roles, responsibilities and change objectives in the process of planning for operational change (AC2.2), and communications or reports evidencing where the learner has informed stakeholders of any unforeseen obstacles or problems and actions that have been taken, during the process of managing operational change (AC3.5). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could comment interdependency issues and tensions that affected the achievement of change objective and the process for addressing these whilst managing operational change (AC3.3) and the criteria used for evaluating the effectiveness of operational change within their organisation (AC4.1). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2, 3 and 4, then it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on different project and change management techniques which they have utilised in the process of operational change, how they have applied these and what the advantages and limitations of each was (AC1.2). The learner's reflective account to meet the requirements of AC1.1, AC1.2 and AC1.3 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Whenever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

## **Unit 29: Conduct Quality Audits**

**Unit reference number: T/506/1994**

**Level: 4**

**Credit value: 3**

**Guided learning hours: 21**

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### **Unit summary**

In this unit you will learn how to prepare and conduct quality audits. In order to do this you will understand the importance of quality management in an organisation and how this contributes to meeting organisational objectives. This unit is important as in today's business world customer satisfaction is seen to be fundamental to success and as technology and communications become more powerful everyone can more easily compare standards.

By examining the advantages and limitations of using different quality techniques you will understand how customer satisfaction drives continuous improvement to meet standards, as well as exploring the consequences of not meeting standards on an organisation's reputation. This unit will introduce you to the concept of 'Total Quality Management (TQM)' and how this approach depends on the need to embed a quality culture in an organisation.

In order to carry out the quality audit you will prepare a plan, agree quality criteria and requirements with those who will be involved in the audit, and use relevant documentation. Upon completion of the audit you will identify where improvements could be made to processes, procedures, or standards by agreeing remedial actions.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand the principles underpinning the management of quality	1.1 Analyse the principles of quality management 1.2 Analyse the purpose and requirements of a range of quality standards 1.3 Analyse the advantages and limitations of a range of quality techniques 1.4 Assess how the management of quality contributes to the achievement of organisational objectives
2 Be able to prepare to carry out quality audits	2.1 Establish the quality requirements applicable to the work being audited 2.2 Develop a plan for a quality audit 2.3 Prepare the documentation needed to undertake a quality audit 2.4 Specify data requirements to those who will support the audit
3 Be able to conduct quality audits	3.1 Confirm that any previously agreed actions have been implemented 3.2 Analyse information against agreed quality criteria 3.3 Identify instances where business processes, quality standards and/or procedures could be improved 3.4 Agree actions and timescales that will remedy non-conformance or non-compliance

### **AC1.1: Analyse the principles of quality management**

- *Quality management Theories:* W Edwards Deming - PDCA Cycle; Joseph M Juran - quality trilogy; Kaoru Ishikawa – total quality viewpoint, 7 basic tools of quality; Philip B Crosby – 14 steps to quality improvements, Zero Defects, Quality is Free; A V Feigenbaum – total quality control
- *Quality management terminology:* e.g. fitness for purpose, Total Quality Management (TQM), Quality Assurance (QA), continuous improvement (Kaizen), quality indicators, quality measures (financial measures, customer-based measures)
- *ISO9001 8 Principles of quality management:* customer focus; leadership; involvement of people; process approach; system approach to management; continual improvement; factual approach to decision-making; mutually beneficial supplier relationship

### **AC1.2: Analyse the purpose and requirements of a range of quality standards**

- *Quality standards:* e.g. International Standards ISO9000 series, British Standards Institute (BSI) BS5750, Investors in People, CE marking, Royal warrants
- *Analysis to include:* purpose, requirements, application and benefits in business operations

### **AC1.3: Analyse the advantages and limitations of a range of quality techniques**

- *Quality techniques:* e.g. Six Sigma, TQM, Quality Circles, statistical process control, benchmarking

### **AC1.4: Assess how the management of quality contributes to the achievement of organisational objectives**

- *Contribution to achievement of organisational objectives:* by promoting a quality culture, e.g. self-managed teams and quality circles, 'interlocking teams'; product innovation and quality; improved customer relationship; partnerships with suppliers; external auditing
- *Management of quality:* leadership and commitment; action planning on areas for improvement; setting clear organisational objectives; empowering, mentoring, counselling; delegating; responding to feedback

## Information for tutors

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### Suggested resources

#### Books

Bicheno J and Holweg M – *The Lean Toolbox: The Essential Guide to Lean Transformation* (4<sup>th</sup> edition) (Picsie Books, 2008) ISBN 9780954124458

Hoyle D – *ISO 9000 Quality Systems Handbook* (Butterworth-Heinemann, 2009) ISBN 9781856176842

Webber L and Wallace M – *Quality Control for Dummies* (John Wiley and Sons, 2007) ISBN 9780470069097

Slack N et al – *Operations Management* (7<sup>th</sup> edition) (Pearson, 2013) ISBN 9780273776208

#### Websites

[www.efqm.org](http://www.efqm.org) – the European Foundation for Quality Management: promotes the Excellence Model through forums, training, events and information

#### Other

*Benchmarking: An International Journal*, Emerald – this journal has many articles on total quality management

*Management Today*, Haymarket Business Media – this magazine provides information on the latest management thinking

*Professional Manager*, Chartered Management Institute – the official magazine of the CMI aimed at equipping managers with management knowledge and skills

*The TQM Journal*, Emerald – this journal provides guidance and discussions around Total Quality Management principles

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to achieve this unit should come from the learner's work activities in preparing to and carrying out quality audits.

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of witness testimony, learner work products and professional discussion or reflective account. The learner's work products could include their quality audit plan, the relevant documentation for the quality audit, meeting minutes, communications to colleagues regarding data requirements and an audit report detailing the audit outcomes and any remedial actions. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the criteria used for establishing the quality requirements applicable to the work being audited and how they went about analysing the information gathered against the agreed quality criteria (AC2.1 and AC3.2). Alternatively a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, it would be best to integrate the assessment of this learning outcome, giving the learner opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect upon the advantages and limitations of quality techniques which they have applied and how the management of quality has contributed to the achievement of objectives within their organisation (AC1.3 and AC1.4). The learner's reflective account must be in sufficient depth and breadth to meet the level of demand of the operative verbs within AC1.1 to AC1.4. For example, for AC1.3, the learner needs to explain in depth a range of quality techniques, the advantages and limitations they have found with using these quality techniques and how they would use different techniques to improve on their practice in future quality audits.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically.



## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles of operational planning</p>	<p>1.1 Evaluate the use of risk analysis techniques in operational planning</p> <p>1.2 Explain the components of an operational plan</p> <p>1.3 Analyse the relationship between strategic and operational plans</p> <p>1.4 Evaluate the use of planning tools and techniques in the operational planning process</p> <p>1.5 Explain how to carry out a cost-benefit analysis</p>
<p>2 Be able to develop an operational plan</p>	<p>2.1 Identify specific, measurable, achievable, realistic and time-bound (SMART) objectives and key performance indicators (KPIs)</p> <p>2.2 Identify evaluation mechanisms appropriate to the plan</p> <p>2.3 Take action to ensure that plans are consistent with organisational strategy, objectives, values, policies and procedures</p> <p>2.4 Develop proportionate and targeted plans to manage identified risks</p> <p>2.5 Take action to ensure that plans complement and maximise synergy with other business areas</p> <p>2.6 Adhere to organisational policies and procedures, legal and ethical requirements</p>
<p>3 Be able to implement an operational plan</p>	<p>3.1 Implement plans within agreed budgets and timescales</p> <p>3.2 Communicate the requirements of the plans to those who will be affected</p> <p>3.3 Revise plans in the light of changing circumstances in accordance with strategic objectives and identified risks</p>

Learning outcomes	Assessment criteria
4 Be able to evaluate the effectiveness of an operational plan	4.1 Conduct periodic reviews of the progress and effectiveness of the plans, using information from a range of sources  4.2 Report on the effectiveness of operational plans in the appropriate format

### **AC1.1: Evaluate the use of risk analysis techniques in operational planning**

- *Risk management*: definition of risk; types of risks e.g. environmental uncertainty, supply chain, outsourcing, market, task loading; risk management process, e.g. identify hazards, assess hazards, make risk decisions, implement controls, supervise; risk probability
- *Risk analysis*: qualitative techniques, e.g. probability and impact matrix (low, high rating), risk urgency assessment, risk categorisation, expert judgement; quantitative techniques, e.g. schedule risk analysis, sensitivity analysis, severity assessment, modelling and simulation

### **AC1.2: Explain the components of an operational plan**

- *Operational plan*: purpose, e.g. manages the use of resource to achieve the strategic objectives, direct the implementation of strategy, identifies responsibilities and tasks in line with strategic goals and objectives
- *Components of an operation plan*: varies across organisations; examples of components include, strategic goals and SMART objectives, activities and tasks to be completed, roles and responsibilities performance measures, KPIs, capacity requirements (human resources, time, systems, management structure), financial requirements, risk assessment and mitigation strategy

### **AC1.3: Analyse the relationship between strategic and operational plans**

- *Operational plans*: short to medium term planning; five performance objectives (cost, dependability, flexibility, quality and speed)
- *Strategic plans*: long term planning to focus an organisation's vision and priorities; strategic management responsibility; framework and basis for lower level planning

### **AC1.4: Evaluate the use of planning tools and techniques in the operational planning process**

- *Planning tools and techniques*: budgeting, scheduling, charting (Gantt, Load); analysis (breakeven, PERT), forecasting, capacity planning (demand management, capacity management); scenario planning, contingency planning

**AC1.5: Explain how to carry out a cost-benefit analysis**

- *Cost-benefit analysis*: definition (appraisal technique); purpose, e.g. assessing costs and benefits to determine the rate of return, evaluate project outcomes; analysis process including, identifying costs (physical and human resources, time) and benefits (tangible and intangible revenues) over project lifetime, allocating monetary value to costs and benefits, comparing value of costs and benefits; breakeven points; payback period

## Information for tutors

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### Suggested resources

#### Books

Jones P and Robinson P – *Operations Management* (OUP, 2012)  
ISBN 9780199593583

Slack N, Brandon-Jones A and Johnston R – *Operations Management* (7<sup>th</sup> edition)  
(Pearson, 2013) ISBN 9780273776208

#### Websites

[www.bis.gov.uk](http://www.bis.gov.uk) – Department for Business, Innovation and Skills: with tools and guidance for running a business

[www.businesscasestudies.co.uk](http://www.businesscasestudies.co.uk) – Business case studies: providing the Times 100 business case studies, including business operations

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to achieve this unit should come from the learner's work activities in developing and implementing an operational plan.

Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing of learner work products, witness testimony and professional discussion or reflective account. The learner's work products could include the operational plan produced showing key areas such as the agreed SMART objectives and KPIs, activities and owners, resource allocation and risk mitigation strategies. Product evidence could also include other operational planning documentation, communications with those who will be affected by the operational plan and reports/presentations/communications detailing the outcomes of reviews into the effectiveness of the operational plans. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the rationale for the evaluation mechanisms used and the nature of the actions taken to ensure that the operational plan was in line with organisational requirements and maximised synergies with other functional areas (AC2.2, AC2.3 and AC2.5). The learner could also discuss the process for ensuring that plans are implemented within agreed budgets and timescales and the process for revising plans in accordance with strategic objectives and identified risks (AC3.1 and AC3.3).

Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met organisational requirements and that the operational plan was appropriate and aligned to organisational strategies and priorities, e.g. AC2.3, AC2.5, AC2.6 and AC3.3.

Due to the overall cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2, 3 and 4 then it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on the usefulness and appropriateness of the risk analysis techniques, planning tools and techniques they have used in their planning (AC1.1 and AC1.4). The learner's reflective account for AC1.1, AC1.2, AC1.3, AC1.4 and AC1.5 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs. For example, to meet AC1.4, the learner needs to explain the planning tools and techniques used in the operational planning process, why certain tools and techniques were suitable, limitations they experience when using certain tools and techniques and how and when they could use different tools and techniques in the future when developing and implementing an operational plan.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically.

# Unit 31: Design Business Processes

**Unit reference number:** D/506/2055

**Level:** 5

**Credit value:** 5

**Guided learning hours:** 23

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## Unit summary

Business processes enable business activities to be identified, organised and conducted, through a set of agreed codified arrangements to allow work processes to be undertaken in a systematic and efficient way.

This unit will give learners an understanding of the need for business processes to be responsive to change and adaptable to accommodate such change. Learners will consider how the business processes associated with change are modelled to ensure that business needs are met. They will learn how to develop, test and integrate business processes into existing processes and understand the benefit that the processes bring to the business, including achieving its objectives.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand techniques and tools that support the design of business processes</p>	<p>1.1 Analyse the principles of business change and business process re-engineering</p> <p>1.2 Evaluate the concept and application of workflow patterns and usability testing</p> <p>1.3 Evaluate a range of modelling tools</p> <p>1.4 Analyse the factors to be taken into account when evaluating the effectiveness of business processes</p>
<p>2 Be able to develop business processes</p>	<p>2.1 Evaluate the scope for business process improvement and constraints</p> <p>2.2 Generate ideas that meet defined business needs</p> <p>2.3 Test a proposed process through a modelling exercise</p> <p>2.4 Evaluate the feasibility and viability of a proposed process against agreed criteria</p> <p>2.5 Establish the degree of overlap between a proposed process and existing processes and systems</p> <p>2.6 Resolve tensions between existing and proposed systems and processes</p> <p>2.7 Adhere to organisational policies and procedures, legal and ethical requirements when developing business processes</p>

Learning outcomes	Assessment criteria
<p>3 Be able to evaluate the effectiveness of business processes</p>	<p>3.1 Analyse valid information using techniques that are appropriate to the process being evaluated</p> <p>3.2 Assess the cost and benefit of a business process to the organisation</p> <p>3.3 Justify recommendations for the rejection, adoption or enhancements to processes with evidence</p>

### **AC1.1: Analyse the principles of business change and business process re-engineering**

- *Principles of business change:* dimensions of change (purpose, size, duration); impact (strategic, operational); holistic approach to change
- *Drivers for change:* business improvement (profitability, productivity, efficiency, cost control); maintain competitive advantage; response to changes in the environment (internal, external)
- *Business process re-engineering (BPR):* BPR cycle (process identification, analysis, design, testing, implementation); systematic re-design of business processes and workflows; alignment of processes to business objectives; use of information technology, e.g. e-commerce, CAD/CAM, additive manufacturing

### **AC1.2: Evaluate the concept and application of workflow patterns and usability testing**

- *Workflow patterns:* design patterns, e.g. Van Der Alst classification; purposes, e.g. control flow dependencies, data, resources, exceptions
- *Usability testing:* evaluation by testing it with users; types of testing, e.g. scenarios, prototypes, hallway testing; usability audit

### **AC1.3: Evaluate a range of modelling tools**

- *Modelling tools:* conceptual models, e.g. business reference model, workflow reference model, object transformation process model; purposes, e.g. function definition, application interfaces, client interfaces, operation, control

### **AC1.4: Analyse the factors to be taken into account when evaluating the effectiveness of business processes**

- *Effectiveness of business processes:*
  - o Factors: e.g. internal to the business, external to the business
  - o Effectiveness: e.g. key performance indicators; support of business objectives; integration with other internal processes; integration with external processes; efficiency; ease of operation

## Information for tutors

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### Suggested resources

#### Books

Cameron E and Green M – *Making Sense of Change Management: A Complete Guide to the Models Tools and Techniques of Organizational Change* (Kogan Page, 2012) ISBN 978074946435

Davenport T – *Process Innovation: Reengineering Work through Information Technology* (Harvard Business School Press, 1992) ISBN 9780875843667

Hindle T – *The Economist Guide to Management Ideas and Gurus* (Economist Books, 2012) ISBN 9781846686078

#### Websites

[www.managementhelp.org](http://www.managementhelp.org) – Free management library: provides a range of materials on organisational change subjects

[www.managers.org.uk](http://www.managers.org.uk) – Chartered Management Institute: professional body with a range of resources on change management topics

#### Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit, for example the podcast on materials considers aspects of process change in response to cost changes. They are available at: [www.bbc.co.uk/podcasts/series/bottomline/all](http://www.bbc.co.uk/podcasts/series/bottomline/all)

*The Economist* (The Economist Newspaper Ltd) – has a business section and produces specialist reports such as *Building Process Excellence*, *Lessons from the Leaders*

*Management Today* (Haymarket Media Group Ltd) – has articles on management topics, including change management

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Assessment in the unit should be holistic and be practically focused. Assessment is based on performance at work in an area that requires the learner to be involved in designing and developing business processes.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products, such as designs for business processes, and keeping a log, a reflective journal or witness statements. Explanatory narratives could identify the learner's specific contributions. These sources of evidence should show clearly how and why the learner considered the need for business change and the ways in which business processes are re-designed, together with their impact on the workplace. In learning outcomes 2 and 3, the log or reflective journal should ensure that the learner reflects on the approach adopted for the practical aspect of this unit and any lessons learned from putting theory into practice.

For learning outcome 2, evidence of achievement could be using work products, such as discussion records, diagrams, project plans, feasibility studies and the designs and documentation for a process. A witness statement for AC2.2 could evidence the full range of the learner's ideas and their reasoning, with a professional discussion to evidence AC2.6 of how the learner managed conflict and the methods used for reconciliation. A learner could demonstrate achievement of AC2.7 in a log or reflective journal of how organisational policies and procedures, legal and ethical requirements were adhered to when developing business processes.

For learning outcome 3, work products such as monitoring data, results of data analyses results, cost-benefit calculations and reports recommending rejection, adoption or enhancements to a process, could be used to evidence achievement of all the assessment criteria. A log or reflective journal could also evidence the learner's justification of techniques used for AC3.1 and AC3.2 and of their data analysis and cost- benefits selection. A professional discussion could evidence the achievement of AC3.3, allowing the learner's justifications for action taken.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

## Unit 32: Optimise the Use of Technology

**Unit reference number:** F/506/2064

**Level:** 5

**Credit value:** 6

**Guided learning hours:** 29

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### Unit summary

Technology continues to change the way businesses operate, for example:

- computing and the supporting networks that enable the instant, secure completion of business transactions wherever the parties are located
- additive manufacturing that enables the small scale production of customised components
- inventories controlled through 'just-in-time' systems.

The impact of technological change has been to improve business efficiency. Some businesses have successfully exploited technological change and other developments, while other businesses have seen their competitive edge slip by failing to exploit technology.

Learners will learn how to optimise the use of technology and understand that it is necessary to establish the availability of technology and the capacity it offers businesses. Learners will gain understanding of the need to have a technology strategy and will recognise that there are legal implications associated with the use of technology in areas such as privacy and security. Learners will scope out how the technology can be extended to improve business systems and operations. They will develop, implement and manage procedures to ensure that technology is used efficiently and effectively in ensuring that business objectives are supported.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning the optimisation of technology</p>	<p>1.1 Explain how to keep up-to-date with technological developments</p> <p>1.2 Analyse the requirements of organisational procurement processes</p> <p>1.3 Evaluate the implications of technology for business continuity and crisis management plans</p> <p>1.4 Evaluate the legal implications of changes to the use of technology</p> <p>1.5 Analyse the requirements of a technology strategy</p>
<p>2 Be able to scope the use of technology</p>	<p>2.1 Establish evaluation criteria for the use of technology including extent of use, value, efficiency and quality</p> <p>2.2 Evaluate the current use of technology against agreed criteria</p> <p>2.3 Identify the scope for improvement including training, adaptations to existing systems and the implementation of new systems</p> <p>2.4 Identify the strategic implications of changes to the use of technology</p> <p>2.5 Assess the risks, limitations and benefits of changes to the use of technology</p>
<p>3 Be able to optimise the use of technological solutions</p>	<p>3.1 Specify technological requirements and priorities including the input of others in accordance with organisational technology strategy</p> <p>3.2 Take action to ensure the compatibility of technological plans and systems with other systems, processes and plans</p> <p>3.3 Recommend technological solutions that meet the specified objectives</p>

Learning outcomes	Assessment criteria
<p>4 Be able to manage the use of technology</p>	<p>4.1 Develop procedures that address all aspects of the technology and their implications</p> <p>4.2 Take action to ensure that everyone using the technology is adequately trained and equipped</p> <p>4.3 Promote the benefits of technology</p> <p>4.4 Use monitoring techniques that are appropriate to the nature of the work carried out and the system</p> <p>4.5 Take prompt corrective action in the event of problems arising</p>

## Unit amplification

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### **AC1.1: Explain how to keep up-to-date with technological developments**

- *Technological developments:* hardware; software; networking; cloud computing; applications, e.g. manufacturing; design; distribution; finance; marketing; back office functions
- *Keeping up to date:* research and development; literature scanning; trade fairs; liaison with IT suppliers; demonstrations; competitor analysis

### **AC1.2: Analyse the requirements of organisational procurement processes**

- *Organisational procurement:* direct procurement, e.g. material for production; indirect procurement, e.g. maintenance resources; procurement process; business case for acquisition; tendering; supplier selection; negotiation; delivery; payment; reasons for standard procurement process, e.g. openness; best value; fraud minimisation; use of information technology in procurement

### **AC1.3: Evaluate the implications of technology for business continuity and crisis management plans**

- *Implications of technology:*
  - o Business continuity plans: identifying business critical activities; monitoring risks to business critical activities; maintaining business critical activities when risk occurs; recovering business critical activities; generating reports
  - o Crisis-management plans: identifying potential crisis events; assessing risk; monitoring risk; automated warning; initiating responses; monitoring crisis responses; generating reports

### **AC1.4: Evaluate the legal implications of changes to the use of technology**

- *Legislation:* Health and Safety at Work Act 1974; Computer Misuse Act 1990; Data Protection Act 1998; The Freedom of Information Act 2000; Copyright, Design and Patents Act (1988); Telecommunications Act (1984); Interception of Communications Act (1985)
- *Legal implications:* working conditions when using technology; access to computer-based information; security of computer-based information; rights of access to information; respecting copyrights; use of telecommunications systems

**AC1.5: Analyse the requirements of a technology strategy**

- *Technology strategy*: objectives; alignment with business objectives; creating value; generating efficiency; integration of internal business activities; integration of business systems with external systems, e.g. suppliers, fiscal authorities; technology use to exploit business opportunities and develop competitive advantage; resource requirements; monitoring and review processes

## Information for tutors

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### Suggested resources

#### Books

Bocij P, Chaffey D, Greasley A and Hicjkie S – *Business Information Systems: Technology, Development and Management for the E-Business* (3rd edition) (Financial Times/Prentice Hall, 2005) ISBN 9780273688143

Turban E, Leidner D, McLean E and Wetherbe J – *Information Technology for Management: Transforming Organizations in the Digital Economy* (6th edition) (John Wiley and Sons, 2007) ISBN 9780471787129

#### Websites

[www.managementhelp.org](http://www.managementhelp.org) – Free management library: provides a range of materials on the use of information technology in business

[www.open.edu](http://www.open.edu) – The Open University: offers a course on knowledge management technology

#### Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit, for example the podcasts on hyperconnectivity and tech slowdown consider aspects of technology use. They can be searched through and downloaded from [www.bbc.co.uk/podcasts/series/bottomline/all](http://www.bbc.co.uk/podcasts/series/bottomline/all)

*E-Commerce Times* (ECT News) – has current stories about the use of technology in business, it can be found at: [www.ecommercetimes.com/](http://www.ecommercetimes.com/)

*The Economist* (The Economist Newspaper Ltd) – has a business section and articles on the use and application of technology in business. There is an archive with articles and surveys on business and technology usage

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Assessment in the unit should be holistic and practically focused. Assessment is based on performance at work in an area that requires the learner to be involved in optimising the use of technology.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products such as stakeholder mapping and change analyses to which the learner has contributed. These can be augmented by the learner keeping a log or reflective journal with witness statements. Explanatory narratives could be used to identify the learner's specific contributions. These sources of evidence should show clearly how and why the learner considered the need for optimising the use of technology. In learning outcomes 2, 3 and 4 the log or reflective journal should ensure that the learner reflects on the approach adopted for the practical aspect of this unit and any lessons learned from putting theory into practice.

For learning outcome 2, work products such as a traceability matrix, a project scope statement, meetings records, risk assessments and discussion papers will cover all the assessment criteria. For AC2.1, a professional discussion could consider how and why particular evaluation criteria are selected, together with reasons why others are unsuitable. For AC2.4, a log or reflective journal could explore the strategic implications and identify those that are the most significant when considering the impact of technological change.

For learning outcome 3, work products such as proposals and recommendations to develop technical solutions to improve business activities, technical specifications and records of actions to integrate technical systems with other systems will cover all the assessment criteria. For AC3.3, witness testimony could identify how the proposed technological solutions were identified from the range of solutions that were considered, together with their benefits.

For learning outcome 4, work products such as process specifications, training programmes, promotional presentations and materials, monitoring records on the functioning of technologically-based systems and logs of actions taken in response to problems will cover all the assessment criteria. A witness statement could similarly support the achievement of all criteria and confirm the performance indicated through work products. For AC4.3, a log or reflective journal could be used to explore the factors to be considered in selecting appropriate methods to promote the benefits of technology to a range of stakeholders.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

## **Unit 33: Establish Business Risk Management Processes**

**Unit reference number: J/506/2048**

**Level: 5**

**Credit value: 5**

**Guided learning hours: 29**

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### **Unit summary**

Business activity carries with it associated risks and uncertainties. Risk can arise internally from decisions such as how to grow a business or it may arise externally from changes in the technical environment. As risks pose a threat to a business, risk-management techniques are developed and applied to anticipate and control risks, minimising and managing risk allows operational continuity, ensuring that the business can better achieve its objectives.

Learners will gain understanding of, and be able to apply, techniques to identify the potential risks that affect a business. Learners will learn how to anticipate the likelihood and consequences of events that carry risks. They will also learn how to develop business risk-management processes and integrate them into standard operations, and learn about the need to monitor and evaluate the risk for change.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand business risk management models and techniques</p>	<p>1.1 Analyse standards relating to the management of business risk</p> <p>1.2 Analyse the factors influencing different types of risk</p> <p>1.3 Evaluate the relationship between risk management, business continuity and crisis management</p> <p>1.4 Evaluate a range of scenario planning and crisis management models</p> <p>1.5 Analyse methods of calculating risk probability</p> <p>1.6 Analyse the effectiveness of a range of risk monitoring techniques</p> <p>1.7 Analyse the significance of risk governance structures and ownership</p>
<p>2 Be able to develop business risk management processes</p>	<p>2.1 Review periodically the effectiveness of risk management strategy, policy and criteria</p> <p>2.2 Take action to ensure that risk profiles remain current and relevant</p> <p>2.3 Develop viable and affordable risk management processes that are consistent with business needs and the degree of potential impact of the risk</p> <p>2.4 Develop contingency and business disruption processes that are commensurate with the degree of risk to business as usual and organisational reputation</p> <p>2.5 Take action to ensure that risk management processes are integrated into operational plans and activities</p>

Learning outcomes	Assessment criteria
<p>3 Be able to evaluate the effectiveness of business risk management processes</p>	<p>3.1 Appraise the suitability of a range of risk evaluation techniques to business risk management</p> <p>3.2 Evaluate risk using valid quantitative and qualitative information</p> <p>3.3 Identify areas for improvement in identifying and managing risk</p> <p>3.4 Encourage a culture that accepts and manages risk</p>

### **AC1.1: Analyse standards relating to the management of business risk**

- *Business risk management*: identifying risks; assessing potential impact of risks; managing risks
- *Standards relating to the management of business risk*: business risk-management standards, e.g. ISO 31000:2009 Principles and Guidelines on Implementation, ISO/IEC 31010:2009 Risk Management – Risk Assessment Techniques; business risk-management frameworks, e.g. risk maturity model, Committee of Sponsoring Organizations of the Treadway Commission (COSO), International Risk Governance Council (IRGC) Risk Governance Framework

### **AC1.2: Analyse the factors influencing different types of risk**

- *Types of risk*: to include operational, financial, hazard and strategic
- *Factors influencing risk*:
  - o Operational: e.g. product/service quality, customer perceptions, system robustness
  - o Financial: e.g. level of working capital, financial stability
  - o Hazard: e.g. legal liabilities, natural disasters
  - o Strategic: e.g. capital requirement, competition environment, technical change

### **AC1.3: Evaluate the relationship between risk management, business continuity and crisis management**

- *Risk management*: to include business context, risk identification, quantifying risks, potential impacts of risks, risk rating, risk control, and monitoring the risk environment
- *Business continuity*: identifying business critical activities; specific risks to business critical activities; maintaining business critical activities when risk occurs; recovering business critical activities; integrating business continuity plan with risk management plan
- *Crisis management*: identifying potential crisis events; nature of the crisis; responding to the crisis; integrating crisis management plans with risk management plans

**AC1.4: Evaluate a range of scenario planning and crisis management models**

- *Scenario planning*: isolating the matter for analysis; scenario assumptions; creating scenarios and simulations; risk mapping; view alternative futures; scenario outcomes; implications for business strategy and operations
- *Crisis management*: crisis management model (diagnosis, containment, business recovery, implementation of change); management responses to crises, e.g. Perrier Water benzene contamination, BP Deepwater Horizon oil spill

**AC1.5: Analyse methods of calculating risk probability**

- *Calculating risk probability*: statistical measures of probability; establishing probability of a risk occurring; cost of a risk = (probability of a risk event happening) x (expected cost/loss when the risk event happens); using risk probabilities to manage risk

**AC1.6: Analyse the effectiveness of a range of risk-monitoring techniques**

- *Risk monitoring*:
  - Techniques: purpose; risk audits; risk reviews; risk re-assessment; risk register update
  - The effectiveness of techniques: e.g. identification, responses, controls

**AC1.7: Analyse the significance of risk governance structures and ownership**

- *Risk governance*: risk-management strategy and policies
- *Structures for*:
  - Management and control of risk
  - Integrity of risk management framework
  - Quality assurance
- *Ownership*: approaches by owners to risk management; moral hazard; impact of risk-management framework on owners

## Information for tutors

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### Suggested resources

#### Books

Crouhy M, Galai D and Mark R – *The Essentials of Risk Management: The Definitive Guide for the Non-risk Professional* (McGraw-Hill Professional, 2006)  
ISBN 9780071429665

Hopkin P – *Fundamentals of Risk Management: Understanding, Evaluating and Implementing Effective Risk Management* (2nd edition) (Kogan Page, 2012)  
ISBN 9780749465391

#### Websites

[www.gov.uk](http://www.gov.uk) – UK Government website: HM Government portal, a business continuity toolkit

[www.irgc.org](http://www.irgc.org) – The International Risk Governance Council: a risk governance framework

[www.managementhelp.org](http://www.managementhelp.org) – Free management library: provides a range of materials on risk management

#### Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit, for example the podcast on futurology for business considers aspects of risk. They can be searched through and downloaded from [www.bbc.co.uk/podcasts/series/bottomline/all](http://www.bbc.co.uk/podcasts/series/bottomline/all)

*Risk Management* (Palgrave Macmillan Journals) – has articles on risk management

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria. **This unit is barred with Unit 25: Manage Business Risk.**

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Assessment in the unit should be holistic and be practically focused. Assessment is based on learner performance at work in an area that requires the learner to be involved in business risk management.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products, a log or reflective journal and witness statements. These sources of evidence should show clearly how and why the learner made their choices and decisions in relation to the 'business risk' management models and techniques used. Explanatory narratives could identify the learner's specific contributions. The learner should also maintain a log or reflective journal to reflect on the approach adopted for the practical aspect of this unit in learning outcomes 2 and 3, and any lessons learned from putting theory into practice.

For learning outcome 2, work products, such as an action or contingency plan, could evidence the achievement of AC2.2, AC2.3, AC2.4 and AC2.5, along with the use of a witness statement or a professional discussion. A log or reflective journal could be a source of evidence for demonstrating achievement of AC2.1, AC2.2 and AC2.5, allowing the learner to reflect on the effectiveness of risk-management policies and strategies used, reviewed and how this had an impact on further action.

For learning outcome 3, work products could evidence achievement of all the assessment criteria. In addition, a reflective journal could demonstrate how the learner selected the range of data and information, the reason for their choice of techniques used and how a positive approach to risk management was encouraged. A professional discussion or a witness statement could evidence the achievement of AC3.1, AC3.2 and AC3.4, allowing the learner to explain how to evaluate the effectiveness of business risk management processes.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 34: Promote Equality of Opportunity, Diversity and Inclusion

**Unit reference number:** R/506/2053

**Level:** 5

**Credit value:** 5

**Guided learning hours:** 26

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## Unit summary

Businesses have a legal responsibility to comply with statutory and regulatory requirements in respect of equality in the workplace. Many businesses also want to demonstrate their commitment to best practices in respect of equality, diversity and inclusion in the workforce. By doing so, they show themselves to be socially and ethically responsible businesses that have a positive corporate reputation. Their aim is to create and promote a business culture that is positively oriented around equality, diversity and inclusion requirements, and in doing so promote a healthy working environment that can contribute towards achieving business objectives.

Learners will gain understanding of how to evaluate organisational strategies, policies and practices that address equality, diversity and inclusion. They will learn about the use of external benchmarks and quality standards and developing performance indicators against which business performance are measured. Learners will also understand how to collect and analyse data used to measure the effectiveness of equality, diversity and inclusion activities.

Learners will learn how to promote equality, diversity and inclusion policies and practices, using techniques such as communicating relevant requirements and implementing positive action programmes.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning equality, diversity and inclusion in the workforce</p>	<p>1.1 Analyse the development of equality, diversity and inclusion policies and practices in the workforce</p> <p>1.2 Evaluate the application of approaches to equal opportunities</p> <p>1.3 Evaluate the impact of equality, diversity and inclusion policy on workforce performance</p> <p>1.4 Evaluate methods of managing ethical conflicts</p> <p>1.5 Evaluate the business benefits of effective equality, diversity and inclusion policies and practices</p> <p>1.6 Evaluate the impact of equality, diversity and inclusion on organisational practices</p> <p>1.7 Evaluate the requirements of legislation, regulation and codes of practice affecting equality, diversity and inclusion in the workforce</p>
<p>2 Be able to evaluate organisational strategies, policies and practices which address equality, diversity and inclusion requirements</p>	<p>2.1 Identify the extent to which equality, diversity and inclusion strategies, policies and practices are fit for purpose</p> <p>2.2 Identify strengths and weaknesses by benchmarking organisational equality, diversity and inclusion policies and practices internally and externally</p> <p>2.3 Identify a range of areas for improvement in human resource practices, organisational systems, procedures and/or processes</p> <p>2.4 Appraise the basis for setting criteria to evaluate the effectiveness of equality, diversity and inclusion strategies, policies and practices</p>

Learning outcomes	Assessment criteria
<p>3 Be able to promote equality, diversity and inclusion policies and practices</p>	<p>3.1 Devise a communications strategy and plan that covers everyone within their area of responsibility</p> <p>3.2 Use communication media that are appropriate to the nature and structure of the organisation when promoting equality, diversity and inclusion</p> <p>3.3 Take action to ensure that equality, diversity and inclusion policies and practices are embedded in business practices</p> <p>3.4 Promote a culture where actual and potential discrimination is challenged</p> <p>3.5 Take action to ensure that organisational procedures, culture and values reinforce good practices and encourage people to challenge discrimination</p>

### **AC1.1: Analyse the development of equality, diversity and inclusion policies and practices in the workforce**

- *Equality*: the Equality Act 2010, protection people from discrimination in specific situations, including the workplace and from discrimination through association
- *Protected characteristics*:
  - o Age
  - o Marital status including civil partnership
  - o Pregnancy or having a child
  - o Disability
  - o Race including colour, nationality, ethnic or national origin
  - o Religion, belief or lack of religion/belief
  - o Sex
  - o Transsexuality
- *Diversity*: recognising individuals' differences; respecting individuals' differences
- *Inclusion*: application of human rights principles of fairness, respect, equality, dignity, autonomy; business culture; business values; business environment

### **AC1.2: Evaluate the application of approaches to equal opportunities**

- *Approaches to equal opportunities*: impact of equalities legislation to include the Equality Act 2010; legal and regulatory compliance responsible officers; equality policies; equality practices; monitoring; review; evaluation
- *Application*: recruitment; selection; promotion; tendering; procurement; customer relationships; stakeholder relationships

### **AC1.3: Evaluate the impact of equality, diversity and inclusion policy on workforce performance**

- *Impact on workforce performance*: productivity; inter-personal relationships; team dynamics; workforce cohesion; commitment; motivation; community involvement

### **AC1.4: Evaluate methods of managing ethical conflicts**

- *Conflicts*: disputes based on unfair treatment, unequal opportunities, discrimination, harassment, bullying, grievance, discipline
- *Managing conflicts*: internally, e.g. negotiation (informal, formal); internal procedures, e.g. grievance, discipline, mediation; external procedures, e.g. arbitration to include industrial tribunal; judicial

**AC1.5: Evaluate the business benefits of effective equality, diversity and inclusion policies and practices**

- *Business benefits:* range of expertise; quality of employees; productivity; profitability; team dynamics; workforce cohesion; commitment; motivation; community involvement; reputation

**AC1.6: Evaluate the impact of equality, diversity and inclusion on organisational practices**

- *Impact of policies and practices:*
  - Equality: compliance with equality legislation; requirements of equality legislation are incorporated into policies and practices
  - Diversity: explicit diversity policy that recognises and respects individuals' differences
  - Inclusion: application of human rights principles of fairness, respect, equality, dignity, autonomy
  - Employee behaviour in respect of equality, diversity and inclusion
  - Monitoring, review and evaluation of equality, diversity and inclusion policies and practices; equality impact assessments

**AC1.7: Evaluate the requirements of legislation, regulation and codes of practice affecting equality, diversity and inclusion in the workforce**

- Legislation and the need to be compliant with national law in respect of equality, diversity and inclusion
- Regulation and the need to be compliant with regulations (legal, professional, industry-specific) in respect of equality, diversity and inclusion
- Codes of practice and the need to be compliant with best practice codes and requirements in respect of equality, diversity and inclusion

## Information for tutors

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### Suggested resources

#### Books

Rollinson D and Dundon T – *Employee Relations* (McGraw-Hill Higher Education, 2007) ISBN 9780077114862

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – Advisory, Conciliation and Arbitration Service (ACAS): information on rights and responsibilities at work, good work practices, and disputes and problems at work

[www.cipd.co.uk](http://www.cipd.co.uk) – Chartered Institute of Personnel and Development: information on diversity in the workplace. An online account needs to be set up to view the information

[www.equalityhumanrights.com](http://www.equalityhumanrights.com) – Equality and Human Rights Commission: information on the Equality Act 2010 and equality issues relevant to businesses

[www.hse.gov.uk](http://www.hse.gov.uk) – Health and Safety Executive: information on diversity

#### Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit. They can be searched through and downloaded from [www.bbc.co.uk/podcasts/series/bottomline/all](http://www.bbc.co.uk/podcasts/series/bottomline/all)

*Employee Relations* (Emerald Group Publishing Ltd) – has articles on employment topics

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the requirements. Centres can adapt the guidance as appropriate for learners and the particular assessment context.

Assessment of the unit should be holistic and be practically focused. Assessment is on performance in the workplace in an area that allows the learner to be involved in promoting equality, diversity and inclusion in the workplace.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products such as equality, diversity and inclusion policies and practices in the workforce or a log or reflective journal and witness statements. These sources of evidence should show clearly how and why the learner considered the importance of equality, diversity and inclusion issues and the impact they have on workplace practices. Explanatory narratives could identify the learner's specific contributions. The log or reflective journal should ensure that the learner reflects on the approach adopted for the practical aspect of this unit in learning outcomes 2 and 3 and any lessons learned from putting theory into practice.

Evidence for learning outcome 2 could be through work products such as the results of reviews of strategies, policies and practices for achievement of AC2.1 and AC2.2, along with the use of a witness statement. For AC2.3, a professional discussion could evidence the issues considered when identifying improvements to systems, procedures and processes. A log or reflective journal could be evidence for demonstrating the achievement of AC2.4, allowing the learner to discuss why and how evaluative criteria are set when considering equality, diversity and inclusion requirements.

Evidence of achievement of learning outcome 3 could be through work products such as a communications strategy, plan and the associated implementation procedures. In addition, for AC3.1, a log or reflective journal could be used to consider the factors relevant to a communications strategy in order to identify and ensure that the requirements of different groups are met. A witness statement for AC3.3 could evidence the learner's actions used to embed policies and practices, and a professional discussion for AC3.4 and AC3.5 could allow the learner to explain why and how an anti-discriminatory culture was promoted and how others are supported to challenge discriminatory behaviour.

Evidence of Recognition of Prior Learning (RPL) can be used in the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.



## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand the management of team performance	1.1 Explain the use of benchmarks in managing performance 1.2 Explain a range of quality management techniques to manage team performance 1.3 Describe constraints on the ability to amend priorities and plans
2 Be able to allocate and assure the quality of work	2.1 Identify the strengths, competences and expertise of team members 2.2 Allocate work on the basis of the strengths, competences and expertise of team members 2.3 Identify areas for improvement in team members' performance outputs and standards 2.4 Amend priorities and plans to take account of changing circumstances 2.5 Recommend changes to systems and processes to improve the quality of work
3 Be able to manage communications within a team	3.1 Explain to team members the lines of communication and authority levels 3.2 Communicate individual and team objectives, responsibilities and priorities 3.3 Use communication methods that are appropriate to the topics, audience and timescales 3.4 Provide support to team members when they need it 3.5 Agree with team members a process for providing feedback on work progress and any issues arising 3.6 Review the effectiveness of team communications and make improvements

### **AC1.1: Explain the use of benchmarks in managing performance**

- *Benchmarks*: definition (performance measurement standards); based on an organisation's own experience, industry practice or regulatory requirements
- *Benchmarking*: definition; types, e.g. internal, external, strategic, performance, process
- *Using benchmarking in performance management*: e.g. maintain team performance in line with industry and/or organisational standards; identify areas for targeted improvement activities, e.g. training needs; set standards for reward systems, e.g. performance-related pay; evaluate the effectiveness of workforce performance initiatives

### **AC1.2: Explain a range of quality management techniques to manage team performance**

- *Team performance management*: purpose, e.g. establishing performance goals; identifying any gap between current and desired performance; planning, implementing and monitoring changes to improve
- *Techniques*: performance objectives, e.g. strategic and operational; performance review meetings, e.g. one-to-one meetings, appraisal meetings; 360 degree feedback; personal development plans (PDPs); reward systems, e.g. performance-related pay, bonus payments, team-based pay

### **AC1.3: Describe constraints on the ability to amend priorities and plans**

- *Constraints*: e.g. resource availability in other functional areas; regulatory, industry or organisational requirements; deliverables and timescales agreed with internal and/or external customers; existing workload and competence of team members

## Information for tutors

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### Suggested resources

#### Books

Jones S and Schilling D – *Measuring Team Performance* (Jossey-Bass, 2000)  
ISBN 9780787945695

Muller-Camen M, Croucher R and Leigh S – *Human Resource Management: A Case Study Approach* (CIPD, 2008) ISBN 9781843981657

#### Websites

[www.cipd.co.uk](http://www.cipd.co.uk) – Chartered Institute of Personnel and Development (CIPD): offers a range of guidance on HR, learning and development and employment law issues, for example a Performance Management factsheet. Membership is required for full access

[www.managers.org.uk](http://www.managers.org.uk) – Chartered Institute of Management: offers practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials

[www.mindtools.com](http://www.mindtools.com) – Mind Tools: resources on many business and management topics, including team management

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of direct observation, review of the learner's work products, witness testimony and professional discussion or reflective account. Wherever possible, and with the appropriate permissions, the learner could be observed in team/departmental meetings, one-to-one meetings, appraisal meetings and other relevant contexts.

Evidence from any direct observation of the learner should be supported by a professional discussion around the learner's performance and work products to provide further evidence for the assessment criteria. The learner's work products could include minutes from team meetings, team work plans, team rotas/allocations, anonymised personal development plans and any relevant communications to team members or colleagues (for example email to team members detailing the lines of communication and authority). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could explain how they determined the strengths, competences and expertise of team members, how they used this information in allocating/planning the team's work and the decision making and rationale for any work plans in terms of priorities, critical activities and resource availability (AC2.1 and AC2.2). The professional discussion could also cover the reasons for the choice of communication methods used and the criteria used to assess the effectiveness of team communications, and how they relate to the improvements made (AC3.3 and AC3.6). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from team members and the line manager could also be used to confirm evidence for a number of assessment criteria (AC2.5, AC3.4 and AC3.5), as well as confirm that the learner has consistently met the requirements over a period of time.

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion or reflective account for learning outcome 2, giving the learner the opportunity to link and apply their knowledge to the workplace activities. For example, the learner could comment on how they have used benchmarks in managing the team performance; where the learner has not used these they could explain how these may be used in the future to better manage their team's performance. This would link AC1.1 to AC2.3. In a similar manner, if appropriate, the learner could be asked to describe any constraints they faced in amending work plans to meet changing circumstances and how they dealt with these constraints; if the learner did not face any actual constraints they could describe possible constraints relative to their context and how they would have dealt with them (AC1.3 linked to AC2.4).

The learner's responses or statements to meet the requirements of AC1.1, AC1.2 and AC1.3 must be in sufficient depth and breadth to meet the level of demand relative to the operative verbs. For example, for AC1.2, the learner would need to explain at least two techniques and show clearly how they have used them, or could use them, to manage their team's performance.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.



## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand the management of underperformance in the workplace	<ul style="list-style-type: none"><li>1.1 Explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance</li><li>1.2 Explain how to identify causes of underperformance</li><li>1.3 Explain the purpose of making individuals aware of their underperformance clearly but sensitively</li><li>1.4 Explain how to address issues that hamper individuals' performance</li><li>1.5 Explain how to agree a course of action to address underperformance</li></ul>

Learning outcomes	Assessment criteria
<p>2 Be able to manage individuals' performance in the workplace</p>	<p>2.1 Agree with team members specific, measurable, achievable, realistic and time-bound (SMART) objectives that align to organisational objectives</p> <p>2.2 Delegate responsibility to individuals on the basis of their expertise, competence, skills, knowledge, and development needs</p> <p>2.3 Apply motivation techniques to maintain morale</p> <p>2.4 Provide information, resources and on-going mentoring to help individuals meet their targets, objectives and quality standards</p> <p>2.5 Monitor individuals' progress towards objectives in accordance with agreed plans</p> <p>2.6 Recognise individuals' achievement of targets and quality standards</p> <p>2.7 Adhere to organisational policies and procedures, and legal and ethical requirements when managing individuals' performance in the workplace</p>

### **AC1.1: Explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance**

- *Disciplinary policy*: definition; policy content, e.g. timekeeping, absence, health and safety, use of organisational facilities and equipment; Equality Act (2010); policy access
- *Disciplinary procedure*: purpose, e.g. deals with discipline issues and underperformance; ensures rules and standards are maintained; format, e.g. ACAS Code of Practice on Disciplinary and Grievance Procedures; mediation
- *Grievances*: definition; causes, e.g. bullying and harassment, discrimination, new working practices, organisational change
- *Grievance procedure*: definition; purpose; format, e.g. ACAS Code of Practice on Disciplinary and Grievance Procedures

### **AC1.2: Explain how to identify causes of underperformance**

- *Underperformance*: types, e.g. failure to perform the duties of the job role; failure to perform to the required standard; poor productivity; disruptive or negative behaviour; high rate of absence
- *Causes*: e.g. employee lack of clarity of expectations; lack of knowledge/skills; goals/standards/policies and consequences unclear; interpersonal differences; poor personal motivation; inappropriate or insufficient training; low morale in the workplace

### **AC1.3: Explain the purpose of making individuals aware of their underperformance clearly but sensitively**

- *Purpose*: e.g. highlights where and why performance was not in line with expectations, explores how performance may be improved, positive way of improving future performance, provides positive reinforcement
- *Handling underperformance sensitively*: e.g. use communication styles based on people and situations, understanding individuals' needs, feelings and motivations; taking account of cultural differences, individuals treated with respect

### **AC1.4: Explain how to address issues that hamper individuals' performance**

- *Addressing issues*: clear systems in place to identify problems; assessing the gravity of problems; support and coaching; mentoring; constructive feedback; use of disciplinary procedures

**AC1.5: Explain how to agree a course of action to address underperformance**

- *Addressing underperformance:* possible interventions/actions, e.g. enhance ability (resupply, retrain, refit, reassign, release), improve motivation (performance goals, performance feedback, Performance Improvement Plan)
- *Agreeing course of action:* methods, e.g. meeting with employee and union representative/person of their choice, open discussion with employee, joint solution devised, plan of action drawn up, follow-up meeting, agreeing SMART objectives, progress reviews

## Information for tutors

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### Suggested resources

#### Books

Armstrong M and Baron A – *Managing Performance: Performance Management in Action (Developing Practice)* (2nd edition) (Chartered Institute of Personnel and Development, 2004) ISBN 9781843981015

Hutchinson S – *Performance Management: Theory and Practice* (Chartered Institute of Personnel and Development, 2013) ISBN 9781843983057

Lloyd K – *Performance Appraisals and Phrases For Dummies* (John Wiley and Sons, 2009) ISBN 9780470498729

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – Advisory, Conciliation and Arbitration Service (ACAS): provides free advice on workplace-related issues. These recommended publications can be found on the website; How to manage performance (advisory booklet), ACAS Code of Practice on Disciplinary and Grievance Procedures, Discipline and Grievances at Work – The ACAS Guide

[www.cipd.co.uk](http://www.cipd.co.uk) – Chartered Institute of Personnel and Development: has a variety of free factsheets available on their website on performance management. A recommended publication is Performance Management: an overview

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of learning outcome 2 is likely to come from a combination of direct observation, review of the learner's work products, witness testimony and professional discussion or reflective account. Where possible, and with the appropriate permissions, the learner could be observed in team/departmental meetings, one-to-one meetings, interim performance reviews, appraisal meetings and other relevant contexts.

Evidence from any direct observation of the learner should be supported by a professional discussion around the learner's performance and work products, to provide further evidence for the assessment criteria. The learner's work products could include minutes from team meetings, anonymised personal development plans, performance reviews, performance plans, appraisal reports and one-to-one meeting notes, and relevant communications to colleagues (for example an email giving advice on a work issue/problem). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could explain the rationale for delegating particular tasks to specific individuals, the basis for the agreed SMART objectives and the rationale for their choice of motivation techniques and recognition of achievement (AC2.1, AC2.2, AC2.3 and AC2.6). The discussion could also cover the organisational, ethical and legal requirements associated with performance management (AC2.7). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational, legal and ethical requirements (AC2.1 and AC2.7).

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion or reflective account for learning outcome 2, giving the learner the opportunity to link and apply their knowledge to the workplace activities. For example, the relationship between disciplinary and grievance procedures and performance management could be explored. The learner's responses or statements to meet the requirements of AC1.1, AC1.2, AC1.3, AC1.4 and AC1.5 must be in sufficient depth and breadth to meet the level of demand expected from an explanation. For example, the learner's response on grievance and disciplinary procedures (AC1.5) should go beyond just a statement of the steps/stages and should include reasoning around the relevance of the steps/stages in relation to the purpose of the procedures.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# **Unit 37: Manage Conflict within a Team**

**Unit reference number: K/506/1927**

**Level: 3**

**Credit value: 5**

**Guided learning hours: 25**

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## **Unit summary**

This unit focuses on the principles of conflict management and looks at how conflict can be reduced and dealt with in a team setting.

In this unit you will gain an understanding of the principles of conflict management. Teams come in many forms and exist for many purposes and, if properly managed, can contribute to improved organisational performance. Unfortunately, not all teams succeed as conflict can appear in many situations and this is especially true of the team situation.

You will gain an understanding of how this potential for conflict can be reduced. Conflict threatens group goals in organisations and so it is therefore of utmost importance that you can deal with and resolve conflict. You will learn how to assess the seriousness of conflict and its potential impact knowing that unresolved conflict costs organisations millions of pounds every year and come to a conclusion that allows you to effectively deal with conflict.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles of conflict management</p>	<p>1.1 Evaluate the suitability of different methods of conflict management in different situations</p> <p>1.2 Describe the personal skills needed to deal with conflict between other people</p> <p>1.3 Analyse the potential consequences of unresolved conflict within a team</p> <p>1.4 Explain the role of external arbitration and conciliation in conflict resolution</p>
<p>2 Be able to reduce the potential for conflict within a team</p>	<p>2.1 Communicate to team members their roles, responsibilities, objectives and expected standards of behaviour</p> <p>2.2 Explain to team members the constraints under which other colleagues work</p> <p>2.3 Review systems, processes, situations and structures that are likely to give rise to conflict in line with organisational procedures</p> <p>2.4 Take action to minimise the potential for conflict within the limits of their own authority</p> <p>2.5 Explain how team members' personalities and cultural backgrounds may give rise to conflict</p>

Learning outcomes	Assessment criteria
<p>3 Be able to deal with conflict within a team</p>	<p>3.1 Assess the seriousness of conflict and its potential impact</p> <p>3.2 Treat everyone involved with impartiality and sensitivity</p> <p>3.3 Decide a course of action that offers optimum benefits</p> <p>3.4 Explain the importance of engaging team members' support for the agreed actions</p> <p>3.5 Communicate the actions to be taken to those who may be affected by it</p> <p>3.6 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with conflict within a team</p>

**AC1.1: Evaluate the suitability of different methods of conflict management in different situations**

- *Conflict*: definition; conflict situations, e.g. substantive, affective, procedural
- *Methods of conflict management*: e.g. prevention, non-intervention, participative resolution, active resolution
- *Suitability based on context*: e.g. serious conflict, manageable conflict, trivial conflict

**AC1.2: Describe the personal skills needed to deal with conflict between other people**

- *Personal skills*: e.g. professionalism, problem solving, effective communication, mediation, giving feedback

**AC1.3: Analyse the potential consequences of unresolved conflict within a team**

- *Potential consequences*: e.g. impact on morale, decreased productivity, stress and anxiety of staff, increase in absenteeism, increase in grievances, increased employee turnover resulting in increase of recruitment and training costs, damaged organisation reputation

**AC1.4: Explain the role of external arbitration and conciliation in conflict resolution**

- *Conciliation*: purpose, e.g. resolution of workplace disputes after mediation; principles, e.g. uses an independent impartial third party, parties involved retain power to decide on the outcome, parties must volunteer to use the process
- *Role of conciliation*: e.g. avoid permanent breakdown in working relationship, improve communications, provide technical assistance, interpret and discuss the issues in dispute, explore potential solutions
- *Arbitration*: purpose, e.g. resolution of collective disputes; principles, e.g. voluntary process, decision-making power is given to arbitrator
- *Role of arbitration*: e.g. deals with cases where conciliation has not succeeded, private alternative to attending a public court of law, imposes an independent and impartial decision that is binding on both sides
- *External arbitrators and conciliators*: independent and impartial third parties; private/commercial services; ACAS

## Information for tutors

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### Suggested resources

#### Books

Muller-Camen M, Croucher R and Leigh S – *Human Resource Management: A Case Study Approach* (CIPD, 2008) ISBN 9781843981657

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – Advisory, Conciliation and Arbitration Service (ACAS): provides free advice on many workplace related issues. A recommended publication is Advisory booklet – Managing conflict at work

[www.belbin.com](http://www.belbin.com) – information from Belbin Associates on Belbin’s team roles

[www.cipd.co.uk](http://www.cipd.co.uk) – Chartered Institute of Personnel and Development (CIPD): has a range of guidance on a range of HR, learning and development and employment law issues. A recommended publication is Guide booklet: Managing conflict at work

[www.managers.org.uk](http://www.managers.org.uk) – Chartered Institute of Management: provides practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials

#### Other

*Management Today*, Haymarket Media Group Ltd – this journal has many articles on management topics

*The Economist*, The Economist Newspaper Ltd – this journal has a business section and articles that included specialist features and articles on management topics

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

Simulation is allowed for this unit and so the unit may be assessed either under real workplace conditions or in a Realistic Work Environment (RWE). Please refer to the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*, for further guidance on the use of simulation and RWE.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

While simulation is allowed for this unit, evidence from the learner's performance in the workplace should be used as far as possible. As it is expected that the learner should act to minimise the potential for conflict in their teams as an on-going part of their management role, the evidence for learning outcome 2 should come from their performance in the workplace. Evidence to demonstrate achievement is most likely to come from a combination of examination of the learner's work products, witness testimony and professional discussion or reflective account. Learner work products could include relevant communications to team members and other colleagues (e.g. emails), minutes of team meetings where related issues were discussed, review reports on related systems, processes, situations or procedures and records detailing the actions taken to minimise conflict situations. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance as well as the achievement of AC2.5. Within the professional discussion, the learner could explain how they went about identifying and reviewing the systems, processes, situations or procedures that could potentially cause conflict, the outcomes of the review and how these relate to the actions taken to minimise the potential for conflict (AC2.3 and AC2.4). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and line manager should also be used to confirm that the learner has consistently met the requirements over a period.

For learning outcome 3, evidence to confirm competence can either come from the learner's performance in the workplace, where the work context allows this, or from simulation. Where simulation is used, it must be a structured exercise involving a specific task that reproduces real-life situations and that will allow the learner to meet the requirements of AC 3.1, AC3.2, AC3.3, AC3.4, AC3.5 and AC3.6. Assessors must be confident that the simulation replicates the workplace to such an extent that the learner will be able to fully transfer their occupational competence to the workplace and real situations. The simulation exercise should be agreed with the learner beforehand. Evidence to demonstrate achievement is most likely to come from a combination of examination of the learner's work products and professional discussion or reflective account. Work products could include communications to relevant team members, anonymised records of meetings and other formal records of the conflict resolution process. Where the evidence is from performance in the workplace, all efforts must be made to maintain confidentiality of the individuals involved. Professional discussion should be used to meet the requirements of AC3.4 and to evidence the knowledge and understanding underpinning the learner's performance. The professional discussion or reflective account could focus on the process used to assess the seriousness and potential impact of the conflicts and how the outcome of this affected the course of action taken to resolve the conflict (AC3.1 and AC3.3). Witness testimony may also be used to confirm competence, as appropriate.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm the achievement would best come from a reflective account. If reflective accounts are used for learning outcomes 2 and 3, then it would be best to integrate the assessment of this learning outcome, therefore providing the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, the learner could comment on the method(s) of conflict management that they used, explaining their suitability relevant to the context and discussing the other methods of conflict resolution and the different situations in which they could use them in the future (AC1.1). The learner's reflective account to meet the requirements for AC1.1, AC1.2, AC1.3 and AC1.4 must be at a sufficient depth and breadth to meet the level of demand of the operative command verbs.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically.

# **Unit 38: Implement and Maintain Business Continuity Plans and Processes**

**Unit reference number: K/506/1930**

**Level: 3**

**Credit value: 4**

**Guided learning hours: 25**

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## **Unit summary**

This unit is designed to give new and aspiring first line managers the skills and understanding needed to prepare and monitor business continuity plans (BCPs).

In this unit you will learn how BCPs are an integral part of systems and processes for organisations and are developed for each critical part of the organisation to ensure that they maintain or restore critical services, systems such as IT and telecommunications, business processes and the supporting infrastructure of the organisation. The process begins with planning to prevent risk from potential disaster large or small, and you will learn how to plan and subsequently implement these plans. Plans must be monitored and reviewed regularly to ensure their fitness for purpose and you will learn how to proactively manage the BCP process through validating and testing plans, and updating them in light of your findings.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Be able to plan for the implementation of business continuity plans and processes</p>	<p>1.1 Describe the components of a business continuity plan</p> <p>1.2 Explain the uses of a business continuity plan</p> <p>1.3 Explain the features of different business continuity planning models</p> <p>1.4 Explain the potential consequences of inadequate business continuity plans and processes</p> <p>1.5 Confirm the required aim, scope and objectives of business continuity plans</p> <p>1.6 Engage stakeholders in developing business continuity plans and processes</p> <p>1.7 Identify business-critical products and/or services and the activities and resources that support them</p>
<p>2 Be able to implement business continuity plans and processes</p>	<p>2.1 Develop a framework for business continuity management</p> <p>2.2 Recommend resources that are proportionate to the potential impact of business disruption</p> <p>2.3 Communicate the importance and requirements of business continuity plans and processes to stakeholders</p> <p>2.4 Meet their own objectives within the plan</p>
<p>3 Be able to maintain the fitness for purpose of on-going business continuity plans and processes</p>	<p>3.1 Provide training for staff who may be affected</p> <p>3.2 Validate and test the strength of business continuity plans and processes</p> <p>3.3 Update plans and processes in the light of feedback from business continuity exercises and other sources of information</p>

## Information for tutors

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### Suggested resources

#### Books

Hotchkiss S – *Business Continuity Management: In Practice* (BCS, 2010)  
ISBN 9781906124724

The Cabinet Office – *Business Continuity for Dummies* (Wiley and Sons, 2012)  
ISBN 9781118326831

#### Websites

[www.disasterrecovery.org](http://www.disasterrecovery.org) – Disaster recovery: an independent organisation that provides guidance and information disaster recovery and business continuity planning. Some free templates are provided on the site

[www.gov.uk](http://www.gov.uk) – UK Government website: have published a Business Continuity Management Toolkit: 'How prepared are you?'

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

To achieve this unit, learners must be showing their ability to implement and maintain business continuity plans and processes. The main sources of evidence to meet learning outcome 1, learning outcome 2 and learning outcome 3 are a review of learners work products supported by professional discussion.

For learning outcome 1, learner work products could include evidence of active research such as their research notes and findings on business continuity plans (AC1.1, AC1.2, AC1.3, AC1.4 and AC1.5) and correspondence with the business stakeholders (AC1.6). These work products should be used as the basis for a professional discussion with the learner to meet the requirements of learning outcome 1, as well to evidence the learner's competence. For example, within the professional discussion the learner could explain the process they used to identify business-critical products (AC1.7).

For learning outcome 2, the main source of evidence would again come from a review of learner work products e.g. the plan framework, their recommendations and emails or letters sent (AC2.1 AC2.2 and AC2.3). This evidence should be supported by a professional discussion around the potential consequences of inadequate business continuity plans and processes (AC1.4). Witness testimony could also provide support to show that they have met their own objectives within the plan (AC2.4).

Evidence for learning outcome 3 would likely come from a combination of a review of work products and professional discussion plus witness testimony. Witness statements could be used to show that they have provided training for staff (AC3.1). Learner work products could include the original and new plans show the learner's updates (AC3.3). Within the professional discussion the learner could explain how they validated and tested the strength of business continuity plans and processes (AC3.2).

The use of a reflective account is a suitable alternative to professional discussion throughout the assessment of this unit.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Whenever possible the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 39: Procure Products and/or Services

**Unit reference number:** M/506/1928

**Level:** 3

**Credit value:** 5

**Guided learning hours:** 35

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## Unit summary

This unit focuses on procurement requirements, selection of suppliers and the ability to purchase goods and services.

In this unit you will learn about procurement, which is far more than simply buying goods or services. An organisation cannot deliver its goals without procuring goods and services from suppliers outside the organisation and the amounts of money involved can be very large with many organisations spending more with suppliers than they do on employing their workforce.

You will firstly learn how to identify procurement requirements, a part of the initial preparation process and seen within organisations as having considerable strategic importance. You will then learn how to select appropriate suppliers, taking into consideration their track record and their and your own ethical stance. You will lastly be able to make the formal arrangements to buy the required products and/or services within the guidelines set out by your organisation, deal with any problems arising and agree end receipt of goods and approval of payment.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Be able to identify procurement requirements</p>	<p>1.1 Explain current and likely future procurement requirements</p> <p>1.2 Decide whether the purchase of products and/or services offers the organisation best value</p> <p>1.3 Evaluate ethical and sustainability considerations relating to procurement</p> <p>1.4 Justify the decision to buy products and/or services with evidence of an analysis of risk, costs and benefits</p>
<p>2 Be able to select suppliers</p>	<p>2.1 Explain the factors to be taken into account in selecting suppliers</p> <p>2.2 Explain organisational procurement policies, procedures and standards</p> <p>2.3 Explain the effect of supplier choice on the supply chain</p> <p>2.4 Use appropriate media to publicise procurement requirements</p> <p>2.5 Confirm the capability and track record of suppliers and their products and/or services</p> <p>2.6 Select suppliers that meet the procurement specification</p>
<p>3 Be able to buy products and/or services</p>	<p>3.1 Explain the action to be taken in the event of problems arising</p> <p>3.2 Agree contract terms that are mutually acceptable within their own scope of authority</p> <p>3.3 Record agreements made, stating the specification, contract terms and any post-contract requirements</p> <p>3.4 Adhere to organisational policies and procedures, legal and ethical requirements</p>

## Information for tutors

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### Suggested resources

#### Books

Baily P, et al – *Procurement, Principles and Management* (10th Edition) (FT Prentice Hall, 2008) ISBN 9780273713791

#### Websites

[www.cips.org](http://www.cips.org) – Chartered Institute of Purchasing & Supply (CIPS): promotes best practice in the procurement and supply profession. It provides a wide range of services. Membership is required for full access

#### Other

Supply Management, Redactive Media Group – a magazine for procurement and supply chain professionals globally. Published monthly on behalf of the Chartered Institute of Purchasing & Supply, the publication features the latest news, views and analysis for those working in the procurement profession

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of learning outcome 1 is likely to come from a combination of a review of the learner's work products, witness testimony and a reflective account by the learner. The learner's work products could include minutes/notes from relevant meetings with colleagues or procurement or legal specialists, draft product/service specifications or documented risk analysis or cost benefit analysis (AC1.2 and AC1.4). These work products should be reviewed by the assessor and could be used to support the reflective account, which will provide further evidence of the learner's competence as well as evidence to meet the requirements of AC1.1 and AC1.3. In the reflective account, the learner could use the outcomes of their risk or cost benefit analysis to justify their decisions to the buy products and/or services and could comment on the usefulness of these analyses in making the buying decision (AC1.4). In order to satisfy the requirements for AC1.3, the learner should evaluate the ethical and sustainability considerations in relation to the products/services to be procured and in the context of their organisation's ethical requirements. Witness testimony from colleagues and the line manager could also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Evidence to demonstrate the achievement of learning outcomes 2 and 3 is likely to come from a combination of a review of the learner's work products, professional discussion and witness testimony. For learning outcome 2, work products could include a short list of suppliers, evidence of the publicised procurement requirements (e.g. advertisement) and the findings/notes from the review of the capability and track record of suppliers and their products and/or services (AC2.4, AC2.5 and AC2.6). The professional discussion should provide the evidence satisfy the requirements of AC2.1, AC2.2 and AC2.3; the learner's explanations for these assessment criteria should be in the context of their particular organisational requirements and should be of a sufficient breadth and depth to meet the requirements of an explanation. To provide further evidence to support achievement of AC2.4, AC2.5 and AC2.6, the professional discussion could also cover the rationale for the choice of media, the collection and use of information to confirm the capability and track record of suppliers and the criteria used in the selection of suppliers. Witness testimony could also provide evidence to satisfy the requirements of AC2.4, AC2.5 and AC2.6.

For learning outcome 3, work products could include minutes/notes from meetings with suppliers and contracts with suppliers, if not commercially sensitive (AC3.2 and AC3.3). The professional discussion could be used to support the evidence from these products by focusing on the basis for the agreed terms of contract and how the learner ensured compliance with organisational policies and procedures and ethical and legal requirements. It should also include an explanation of the actions taken to deal with any problems experienced, or how they would deal with potential problems in the future, if none were actually experienced (AC3.1). Witness testimony could also support the learner's ability to adhere to policies (AC3.4).

The use of a reflective account is a suitable alternative to professional discussion in the assessment of learning outcomes 2 and 3; this would allow the learner to provide a reflective account on their performance and learning of the unit as a whole.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

## **Unit 40: Collaborate with other Departments**

**Unit reference number: M/506/1931**

**Level: 3**

**Credit value: 3**

**Guided learning hours: 14**

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### **Unit summary**

An organisation cannot overlook the importance of collaboration and communication between departments. Business innovation and improvement requires collaboration amongst a variety of departments.

In this unit you will learn how to collaborate with other departments. Work completed by one department with total disregard of the importance of that work to others and to the organisation as a whole is a thing of the past. Collaboration is important, especially as organisations become more widespread and complex. The unit will also equip you with the ability to identify opportunities for collaboration between variety of departments, from research and development to production to marketing to customer service, and the ability to collaborate with departments, all to better the work and achieve the desired outcomes of the organisation.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand how to collaborate with other departments</p>	<p>1.1 Explain the need for collaborating with other departments</p> <p>1.2 Explain the nature of the interaction between their own team and other departments</p> <p>1.3 Explain the features of effective collaboration</p> <p>1.4 Explain the potential implications of ineffective collaboration with other departments</p> <p>1.5 Explain the factors relating to knowledge management that should be considered when collaborating with other departments</p>
<p>2 Be able to identify opportunities for collaboration with other departments</p>	<p>2.1 Analyse the advantages and disadvantages of collaborating with other departments</p> <p>2.2 Identify with which departments collaborative relationships should be built</p> <p>2.3 Identify the scope for and limitations of possible collaboration</p>
<p>3 Be able to collaborate with other departments</p>	<p>3.1 Agree Service Level Agreements (SLAs), objectives and priorities of collaborative arrangements</p> <p>3.2 Work with other departments in a way that contributes to the achievement of organisational objectives</p>

**AC1.1: Explain the need for collaborating with other departments**

- *Collaboration*: definition, e.g. cooperative arrangement in which two or more parties work jointly towards a common goal; techniques, e.g. brainstorming, affinity sorting/affinity diagrams, ranking
- *Need for collaboration*: reasons, e.g. cross-disciplinary skills and insight, innovation, builds trust, communication, stakeholder/team buy-in, greater productivity

**AC1.2: Explain the nature of the interaction between their own team and other departments**

*The knowledge to meet this AC depends on the particular organisational requirements and context. Learners need to apply the knowledge specific to their organisation to meet this AC*

**AC1.3: Explain the features of effective collaboration**

- *Features*: e.g. shared goals, respect for all perspectives, empowerment of individuals, open communication, equal access to information, a collective mind set

**AC1.4: Explain the potential implications of ineffective collaboration with other departments**

- *Potential implications of ineffective collaboration*: e.g. conflict between individuals and departments, wasted resources, organisation's competitive ability is weakened, delays, inefficiencies, poor lines of communication

**AC1.5: Explain the factors relating to knowledge management that should be considered when collaborating with other departments**

- *Knowledge management*: e.g. strategies and processes designed to identify, capture, structure, value, leverage, and share an organisation's intellectual assets to enhance its performance and competitiveness
- *Factors to consider*: tacit and explicit knowledge to be managed; availability of IT systems to support the process e.g. intranets, databases; organisational culture, e.g. trust and willingness to share knowledge; suitability of engagement approaches; intellectual property; collaborative technologies to manage knowledge, e.g. groupware

## Information for tutors

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### Suggested resources

#### Books

Taylor S and Woodhams C – *Studying Human Resource Management* (CIPD, 2012)  
ISBN 9781843983125

#### Websites

[www.forbes.com](http://www.forbes.com) – Forbes: has a useful article on the habits of collaborative organisations by Jacob Morgan titled The 12 Habits of Highly Collaborative Organizations

[www.kmworld.com](http://www.kmworld.com) – KMWorld: supplies information on knowledge management. A recommended article is: What is KM? Knowledge Management explained by Michael Koenig. A subscription is required for full access to the site

[www.cipd.co.uk](http://www.cipd.co.uk) – Chartered Institute of Personnel and Development (CIPD): has a range of factsheets to provide introductory guidance on a range of HR issues. Membership is required for full access

#### Other

*The Economist* – has a good (subscription) archive that includes specialist features and articles on management topics

*How the workplace can improve collaboration* – Steelcase has a 360 white paper publication on how the workplace can improve collaboration on their website at [www.steelcase.com](http://www.steelcase.com)

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

The main sources of evidence to meet learning outcomes 2 and 3 are a review of the learner's work products, witness testimony and professional discussion.

For learning outcome 2, the learner's work products could include their notes or formal documentation relating to the department(s) with which collaborative relationships should be built, including the scope for and limitations of the potential collaborations (AC2.2 and AC2.3). These work products should be reviewed by the assessor to confirm that they meet the requirements of the specified assessment criteria, and could be used as the basis for the professional discussion with the learner to meet the requirements of AC2.1 as well to evidence the knowledge and understanding underpinning the learner's competence. For example, within the professional discussion the learner could explain the reasons for selecting the specific departments for collaboration in relation to the roles and responsibilities of those departments and the opportunities for synergies (AC2.2 and AC2.3).

For learning outcome 3, a combination of a review of the learner's work products, professional discussion and witness testimony could be used. Examples of work products could include the documented agreed SLAs, priorities and objectives of the collaborative arrangement or meeting notes indicating these (AC3.1). These work products should be reviewed by the assessor to ensure that they meet the requirements of the assessment criterion. The professional discussion could cover the content of SLAs and the process of developing the SLAs with the relevant departments. Witness testimony could also be used to provide evidence of the agreed SLAs as well as provide evidence that the learner can work with other departments in a way that contributes to the achievement of organisational objectives (AC3.2).

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion for learning outcomes 2, providing the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, the learner could be asked to explain the features of effective collaboration (AC1.3) in the context of how they have used them in collaborating and working with other departments (AC3.2). The learner's responses to meet the requirements for AC1.1, AC1.2, AC1.3, AC1.4 and AC1.5 must be at a sufficient depth and breadth to meet the level of demand expected from an explanation. For example, the learner's response on the features of effective collaboration (AC1.3) should go beyond just statements but should include reasoning around why these features make the collaboration effective.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# Unit 41: Chair and Lead Meetings

**Unit reference number:** Y/506/1924

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 10

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## Unit summary

Every business will have meetings to give staff the opportunity to come together to determine business goals and plans for those achieving goals, including who will do what and when.

In this unit you will learn how to prepare to lead meetings to ensure that the meeting achieves the intended outcomes. You will chair a meeting, ensuring everyone's involvement and that the meeting has a focus that allows it to have the desired outcome. You will also deal with those matters that arise after the meeting to ensure that documentation is accurate and distributed to the correct people. You will reflect on the meeting to suggest how it could be carried out better in the future.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Be able to prepare to lead meetings	1.1 Identify the type, purpose, objectives, and background to a meeting 1.2 Identify those individuals expected, and those required to attend a meeting 1.3 Prepare for any formal procedures that apply to a meeting 1.4 Describe ways of minimising likely problems in a meeting 1.5 Take action to ensure that meeting documentation is prepared correctly and distributed to the agreed people within the agreed timescale
2 Be able to chair and lead meetings	2.1 Follow business conventions in the conduct of a meeting 2.2 Facilitate meetings so that everyone is involved and the optimum possible consensus is achieved 2.3 Manage the agenda within the timescale of the meeting 2.4 Summarise the agreed actions, allocated responsibilities, timescales and any future arrangements
3 Be able to deal with post-meeting matters	3.1 Take action to ensure that accurate records of a meeting are produced and distributed in the agreed format and timescale 3.2 Take action to ensure that post-meeting actions are completed 3.3 Evaluate the effectiveness of a meeting and identify points for future improvement

## Information for tutors

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### Suggested resources

#### Books

Gutmann J – *Taking Minutes of Meetings (Creating Success)* (3rd edition) (Kogan Page, 2013) ISBN 9780749467241

Hood J H – *How to Book of Meetings: Conducting Effective Meetings: Learn How to Write Minutes for Meetings Using Samples: 1 (How To series)* (WordCraft Global Pty Ltd, 2013) ISBN 9780987557520

#### Websites

[www.businessballs.com](http://www.businessballs.com) – Businessballs: includes learning and planning resources on running meetings, workshops and presentations

[www.managers.org.uk](http://www.managers.org.uk) – Chartered Institute of Management: offers practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials

[www.ksl-training.co.uk](http://www.ksl-training.co.uk) – KSL Training: offers a range of free training resources, including resources for chairing and managing a meeting

[www.youtube.com](http://www.youtube.com) – Youtube: range of videos providing advice on chairing meetings (use the search function to find appropriate videos)

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

There are opportunities to assess this unit holistically with the following units: *Developing Working Relationships with Stakeholders* and *Negotiate in a Business Environment*.

To achieve this unit, the learner must chair and lead meetings to achieve specific objectives, which may be to solve problems, take decisions, consult with people or to exchange information and knowledge. The meetings may be face to face or conducted remotely using appropriate technology. The meetings must have some element of formality to allow the learner to fully achieve the learning outcomes.

The main source of evidence to meet learning outcome 1 is a review of the learner's work products supported by professional discussion and witness testimony. The learner's work products could include meeting planning notes, notices of meeting, agendas and relevant communications (for example emails) sent to meeting attendees prior to the meeting (AC1.3 and AC1.5). These work products could be used as the basis for a professional discussion with the learner to meet the knowledge requirement of AC1.4, as well as to evidence the learner's knowledge and understanding underpinning their performance. For example, within the professional discussion the learner could explain how they identified the purpose, background, objectives and attendees for the meetings they have chaired (AC1.1 and AC1.2). They could also explain any formal meeting procedures that they had to prepare for, and how they prepared for these. Some of the assessment criteria, for example, AC1.3 and AC1.5, may require witness testimony from the line manager or colleagues.

For learning outcome 2, the main source of evidence would come from direct observation of the learner chairing and leading meetings. This evidence should be supported by a review of the learner's work products (for example action lists, minutes) and professional discussion around the learner's chairing style and the strategies they used to manage the agenda and facilitate involvement. For AC2.1, business conventions in relation to meetings could include the organisation's procedures and policies for meetings or generally accepted practice for conducting business meetings. Witness testimony from colleagues or the line manager would be useful to confirm competence over a period of time.

Evidence for learning outcome 3 would likely come from a combination of observation, review of work products and professional discussion. The learner's work products could include minutes from the meetings chaired, notes/reports on the effectiveness of the meetings and action lists. In the professional discussion, the learner could explain the criteria they used to evaluate the effectiveness of the meetings and how the identified points for improvement will help them to develop their chairing skills in the future.

The use of a reflective account is a suitable alternative to professional discussion throughout the assessment of this unit.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence.

# Unit 42: **Champion Customer Service**

**Unit reference number:** D/506/2153

**Level:** 4

**Credit value:** 4

**Guided learning hours:** 17

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## **Unit summary**

This unit is about acting as a champion for customer service in an organisation, being constantly alert for issues that affect customer service, analysing these issues and their implications, challenging on behalf of the customer and passing on your knowledge and expertise to others.

Being a customer service champion involves examining the behaviours and processes that have most impact on the way your customers see you and your organisation. Champions have to be customer service winners who are genuinely customer-focused employees focused on and empowered to improve the customer experience at every stage. Your customers can be anyone to whom you provide a service and may be internal to your organisation or they may be external customers.

Staff members with high levels of responsibility for customer service have an important role to play as champions of excellent service within their organisations. Customer service champions need to have a great deal of knowledge and expertise about customer service from which others can benefit.

In this unit you will learn how to champion customer service within your organisation and to recognise excellent behaviour in other organisations. Using a range of techniques you will learn how to evaluate the effectiveness of customer service in your organisation. You will be able to identify where improvements can be made to customer service and be able to promote customer service to colleagues in the organisation taking on the role of being a champion for customer service.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand how to champion customer service</p>	<p>1.1 Evaluate the importance of viewing operations from the customer's viewpoint</p> <p>1.2 Analyse the role of service partners in providing customer service</p> <p>1.3 Evaluate the effectiveness of information collection systems and reports</p> <p>1.4 Describe organisational decision-making processes and limits of their own authority</p> <p>1.5 Assess the suitability of a range of monitoring techniques to identify opportunities for customer service improvements</p> <p>1.6 Describe activities that give added value to the service chain</p>
<p>2 Be able to identify the scope for improvements to customer service</p>	<p>2.1 Monitor customer service delivery to identify issues that are important to customer service</p> <p>2.2 Analyse the implications of improvements to customer service</p> <p>2.3 Identify customer service issues relating to new products and/or services</p> <p>2.4 Identify the strategic and managerial implications of changes to customer service and the service offer</p>

Learning outcomes	Assessment criteria
<p>3 Be able to champion customer service</p>	<p>3.1 Promote the role of customer service within an organisation's operational plans</p> <p>3.2 Inform individual staff members about their role in championing customer service</p> <p>3.3 Promote the benefits of effective customer service</p> <p>3.4 Provide validated customer service advice and information to colleagues</p> <p>3.5 Support others to identify areas for improvement to customer service</p> <p>3.6 Monitor the effectiveness of advice and information given</p> <p>3.7 Take actions to ensure that customer service delivery meets agreed standards</p>

### **AC1.1: Evaluate the importance of viewing operations from the customer's viewpoint**

- *Customer's viewpoint:* adopting a customer-centred approach; customer relationship management (CRM); mapping customer touch points; identifying moments of truth; continuous improvements to service delivery policies and procedures; focus on meeting customers' needs
- *Importance:* to customers, e.g. improves the customer experience, provision of products and services that meet needs; to the organisation, e.g. identifies improvements to customer service, builds customer loyalty and referenceability, supports information exchange, increases cross selling and up selling opportunities, customer retention

### **AC1.2: Analyse the role of service partners in providing customer service**

- *Service partners:* internal and external partners, e.g. suppliers of goods and/or support services; organisations that provide specialist services to other organisations
- *Role of service partners:* e.g. call handling, claims handling, despatch, providing legal services, maintenance services, specialist contractors, IT services, Public Relations companies
- *Partners responsibilities:* contingent on formal or informal agreement, power and authority based on agreed partnership structure, agreed procedures and priorities
- *Service level agreements:* with internal and external partners

### **AC1.3: Evaluate the effectiveness of information collection systems and reports**

- *Information collection systems:* e.g. customer feedback cards, on-line customer feedback collection, social network metrics system, loyalty cards
- *Information reports:* written or oral, specific or general reports, e.g. customer feedback on using system X, social media reports, e.g. number of 'hits' per hour/day/week

**AC1.4: Describe organisational decision-making processes and limits of their own authority**

*The knowledge to meet this AC depends on the particular organisational processes and context. Learners need to apply the knowledge specific to their organisation to meet this AC*

- *General guidance may include:*
  - Level of decision-making: strategic, tactical or operational/administrative
  - Quality of decision-making: SMART objectives and success criteria; use of valid and reliable information to support decision-making; cost-benefit analysis of impact of decisions; ethics, social responsibility and sustainability; consequences
  - Responsibilities: level of decision-making; level of authority and responsibility; organisational approval procedures, e.g. multiple level sign off, finance department sign off, internal requisition process

**AC1.5: Assess the suitability of a range of monitoring techniques to identify opportunities for customer service improvements**

- *Monitoring techniques:* formal feedback systems, e.g. customer comment cards, feedback facility on the organisations websites, silent monitoring phone calls, mystery shopper, post-contact customer survey, complaints; informal feedback collection, e.g. customer comments, repeat customers, referrals by customers to new customers, customer forums

**AC1.6: Describe activities that give added value to the service chain**

- *Primary activities:* inbound logistics; operations; out bound logistics; service; marketing and sales
- *Support activities:* procurement; technology developments; infrastructure; human resources
- *Adding value:* analysis of the service chain; identifying costs savings; removing blockages; removing unnecessary systems and processes; recruiting customer service focussed people; training the customer service team; motivating the customer service team, e.g. providing incentives; using technology to provide improved customer service, e.g. using social media; easy access to support materials, e.g. handbooks and manuals

## Information for tutors

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### Suggested resources

#### Books

Barlass S – *Creating Customer Service Champions* (SB Marketing Group, Inc, 2011)  
ASIN: B004MDLW94

Di Julius R – *What's the Secret: To Providing a World-Class Customer Experience*  
(John Wiley and Sons, 2008) ISBN 9780470196120

Shapira Z – *Organizational Decision Making* (Cambridge University Press, 2002)  
ISBN 9780521890502

Zimmermann A – *The Service Payoff: How Customer Service Champions Outserve and Outlast the Competition* (Peak Performance Publishing, 2011)  
ISBN 9781937125004

#### Websites

[www.tutor2u.net/business/organisation/decisionmaking.htm](http://www.tutor2u.net/business/organisation/decisionmaking.htm) – Tutor2u: provides information about the process of decision making

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of learning outcomes 2 and 3 could be gathered through a combination of direct observation of the learner and a review of their work products, supported by a professional discussion and/or reflective account and witness testimony.

Evidence for learning outcome 2 could include a review of the learner's work products, for example, the documented process of the monitoring activities, evidence of data analysis from the monitoring process (AC2.1 and AC2.2) or reports produced to support AC2.3 and AC2.4. For learning outcome 3, direct observation of the learner promoting customer service within the organisation could provide evidence for AC3.1, AC3.2, AC3.3 and AC3.4. Alternatively, evidence for these assessment criteria could come from the learner's work products such as presentation slides, written or verbal records of communications to colleagues relating to championing customer service. Witness testimony could provide useful supporting evidence for the assessment criteria above, for example, how the learner has helped colleagues to improve customer service (AC3.5).

Observation and work products evidence provided for learning outcomes 2 and 3 should be supported by a professional discussion and/or reflective account based around the evidence to corroborate the learner's competence. For example, for learning outcome 2, a reflective account would give the learner the opportunity to comment on how they identified the customer service issues and the strategic and managerial implications of the changes to be made (AC2.3 and AC2.4). For learning outcome 3, the learner could describe the actions taken to ensure customer service delivery meets standards and explain why these actions were appropriate (AC3.7).

A reflective account by the learner, designed to meet all the assessment criteria and applied to their job role would be seen as the most suitable and effective way to evidence learning outcome 1, and could be integrated into the reflective account if used for learning outcomes 2 and 3. This would provide the opportunity for the learner to link and apply their knowledge to their work activities. For example, the work products and supporting reflective account used to evidence AC2.1 and AC2.3 could be used to support the evidence that would meet AC1.1 and AC1.2.

Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

## **Unit 43: Encourage Innovation**

**Unit reference number: J/506/2292**

**Level: 3**

**Credit value: 4**

**Guided learning hours: 14**

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### **Unit summary**

Without new and fresh ideas a business does not improve, and it can easily become stagnant. In a competitive world this could cause the business to struggle to survive.

In this unit you will learn about the importance of innovation to a business. Unfortunately generation of ideas is only the start of the process and so you will learn how look for ideas that could be improved and to work independently as well as within a team to generate and select ideas that could be implemented to better the business. You will look at how innovative ideas need to be tested and costed before they can be put into place and learn how to schedule and process ideas to make them viable.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Be able to identify opportunities for innovation</p>	<p>1.1 Analyse the advantages and disadvantages of techniques used to generate ideas</p> <p>1.2 Explain how innovation benefits an organisation</p> <p>1.3 Explain the constraints on their own ability to make changes</p> <p>1.4 Agree with stakeholders terms of reference and criteria for evaluating potential innovation and improvement</p> <p>1.5 Engage team members in finding opportunities to innovate and suggest improvements</p> <p>1.6 Monitor performance, products and/or services and developments in areas that may benefit from innovation</p> <p>1.7 Analyse valid information to identify opportunities for innovation and improvement</p>
<p>2 Be able to generate and test ideas for innovation and improvement</p>	<p>2.1 Generate ideas for innovation or improvement that meet the agreed criteria</p> <p>2.2 Test selected ideas that meet viability criteria</p> <p>2.3 Evaluate the fitness for purpose and value of the selected ideas</p> <p>2.4 Assess potential innovations and improvements against the agreed evaluation criteria</p>

Learning outcomes	Assessment criteria
<p>3 Be able to implement innovative ideas and improvements</p>	<p>3.1 Explain the risks of implementing innovative ideas and improvements</p> <p>3.2 Justify conclusions of efficiency and value with evidence</p> <p>3.3 Prepare costings and schedules of work that will enable efficient implementation</p> <p>3.4 Design processes that support efficient implementation</p>

## Information for tutors

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### Suggested resources

#### Books

Harvard Business Review – *HBR's 10 Must Reads on Innovation* (Harvard Business Review Press, 2013) ISBN 9781422189856

Lammiman J and Syrett M – *Successful Innovation: How to Encourage and Shape Profitable Ideas* (Economist Books, 2002) ISBN 9781861972859

#### Websites

ec.europa.eu – DG Enterprise and Industry (part of the European Commission website): looks at innovation in the workplace. It places particular emphasis on the need to stimulate entrepreneurship and encourage the growth of SMEs. A recommended article is Workplace innovation

www.changedesigns.net – Change Designs: offers a range of online ideas and advice. Membership is required for full site access

### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of the unit (learning outcomes 1, 2 and 3) is likely to come from a combination of direct observation, examination of the learner's work products, witness testimony from colleagues or line manager to confirm competence over a period of time and a reflective account. Where possible the learner could be observed in one-to-one conversations, team and stakeholder meetings and other relevant contexts where innovation development activities and behaviour could be observed. Learners' work products could include notes showing ideas for innovation, meeting notes and communications that show how the learner has engaged team members in finding opportunities to innovate, preparation or drafts of costings and schedules of work and agreed implementation procedures and processes (AC1.5, AC2.1, AC3.3 and AC3.4). The work products should be reviewed by the assessor to confirm that they meet the requirements of the assessment criteria and could be used to support the learner's reflective account, which should provide evidence for the explicit knowledge assessment criteria (AC1.1 and AC1.2) as well as provide evidence of the knowledge and understanding underpinning learners' performance.

Witness testimony from colleagues and line manager should also be used to provide supporting evidence for many of the assessment criteria within the unit as well as confirm that the learner has consistently met the requirements over a period of time.

Evidence of Recognition of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

# **Unit 44: Recruitment, Selection and Induction Practice**

**Unit reference number: R/506/2909**

**Level: 4**

**Credit value: 6**

**Guided learning hours: 33**

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## **Unit summary**

In this unit, you will learn how to manage the recruitment, selection and induction processes to ensure the appointment of the most suitable people. As labour is both an expensive and valuable resource, it is important to ensure its use is planned and that staff of right calibre with suitable experience and expertise are recruited. The skills demanded by employers change as markets, technology, the legal framework and working practices change.

You will learn the importance of the main stages of identifying staff requirements, from undertaking a job analysis, through to recruitment and induction. This includes examining methods of selection and understanding the role of employment legislation as it affects recruitment and selection.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
<p>1 Understand the principles and theories underpinning recruitment, selection and induction practice</p>	<p>1.1 Explain workforce planning techniques</p> <p>1.2 Describe the information needed to identify recruitment requirements</p> <p>1.3 Assess the impact of an organisation's structure and culture on its recruitment and selection policies and practices</p> <p>1.4 Analyse the factors involved in establishing recruitment and selection criteria</p> <p>1.5 Evaluate the suitability of different recruitment and selection methods for different roles</p> <p>1.6 Analyse patterns of employment that affect the recruitment of staff</p> <p>1.7 Explain the factors to be taken into account when developing job specifications, personal specifications and job advertisements</p> <p>1.8 Explain the induction process</p> <p>1.9 Explain the relationship between human resource processes and the induction processes</p>

Learning outcomes	Assessment criteria
<p>2 Be able to recruit people into an organisation</p>	<p>2.1 Determine current staffing needs</p> <p>2.2 Identify current skills needs from identified staffing needs</p> <p>2.3 Identify future workforce needs</p> <p>2.4 Develop a resourcing plan that addresses identified needs within budgetary limitations</p> <p>2.5 Evaluate the cost-effectiveness of different methods of recruitment for an identified role</p> <p>2.6 Explain how recruitment policies and practices meet legal and ethical requirements</p> <p>2.7 Select the most appropriate method of recruitment for identified roles</p>
<p>3 Be able to select appropriate people for the role</p>	<p>3.1 Plan assessment processes that are valid and reliable</p> <p>3.2 Provide those involved in the selection process with sufficient information to enable them to make informed decisions</p> <p>3.3 Justify assessment decisions with evidence</p> <p>3.4 Inform applicants of the outcome of the process in line with organisational procedures</p> <p>3.5 Evaluate the effectiveness of the selection process</p> <p>3.6 Adhere to organisational policies and procedures, legal and ethical requirements when carrying out selection assessments</p>

Learning outcomes	Assessment criteria
<p>4 Be able to induct people into an organisation</p>	<p>4.1 Develop induction materials that meet operational and new starters' needs</p> <p>4.2 Explain to new starters organisational policies, procedures and structures</p> <p>4.3 Explain to new starters their role and responsibilities</p> <p>4.4 Explain to new starters their entitlements and where to go for help</p> <p>4.5 Assess new starters' training needs</p> <p>4.6 Confirm that training is available that meets operational and new starters' needs</p> <p>4.7 Provide support that meets new starters' needs throughout the induction period</p>

### **AC1.1: Explain workforce planning techniques**

- *Workforce planning*: purpose, e.g. ensuring organisation has sufficient staff to enable efficient operation, clarify the future situation and the staffing implications; process stages, e.g. supply analysis, demand analysis, gap analysis, strategy development techniques, e.g. scenario planning, trend analysis, impact analysis, Delphi technique

### **AC1.2: Describe the information needed to identify recruitment requirements**

- *Analysis*: purpose, e.g. to meet increased or decreased volumes of business, employee turnover; job analysis, e.g. tasks, skills, qualifications, experience; current staffing levels; matching existing skills with skills requirements
- *Job description*: purpose, content, format, e.g. title, overall purpose of job, key accountabilities, scope of post, education, skills, experience, key result areas, terms and conditions
- *Person specification*: job title, essential and desirable attributes e.g. qualifications, training, experience, competences, special aptitudes, personality, interests

### **AC1.3: Assess the impact of an organisation's structure and culture on its recruitment and selection policies and practices**

- *Organisational structures*: functional, product-based, geographically based, multi-functional and multi-divisional structures, matrix, centralisation and decentralisation
- *Organisational culture*: classification of organisational culture, e.g. power culture, role culture, task culture, person culture; cultural norms and symbols; values and beliefs; development of organisational culture, cultural issues
- *Impact of organisation's structure and culture on policies and practices*: selection based on values and work culture; reward and development strategies, e.g. pay, pension schemes, health care, flexible working, career breaks

### **AC1.4: Analyse the factors involved in establishing recruitment and selection criteria**

- *Internal factors*: organisational needs, e.g. demand for products and services, new products and services, new markets, technological change, location of production; skills requirements; workforce profiles, e.g. age, gender, ethnicity, ability
- *External factors*: supply of labour; labour costs; workforce skills; government policy; labour market competition; changing nature of work; employee expectations, e.g. full time, part time, permanent, temporary, casual work; demand for products and services

**AC1.5: Evaluate the suitability of different recruitment and selection methods for different roles**

- *Recruitment methods:* e.g. advertising in press or professional journals, advertising agencies, recruitment consultants, job centres, websites, networking
- *Selection methods:* e.g. assessment centres, interviews, ability tests, psychometric testing, biodata, references
- *Evaluation:* cost effectiveness of the process; rigour of methods used to ensure validity; achievement of new staff against benchmarks and targets; retention and development of staff

**AC1.6: Analyse patterns of employment that affect the recruitment of staff**

- *Patterns of employment:* technological developments; globalisation; changing work patterns, e.g. flexible working, part-time working, working from home, work/life balance; seasonal peaks and troughs; economic factors; customer demand for outside traditional working hours; religious observances; zero hours contracts

**AC1.7: Explain the factors to be taken into account when developing job specifications, personal specifications and job advertisements**

- *Legislative factors:* relating to equal opportunities (Equality Act 2010); discrimination; employment rights and responsibilities (Health and Safety at Work Act (1974); contractual terms and conditions; protection of personal data (Data Protection Act 1998)
- *Policies and procedures:* equality and diversity; working time; health and safety; pay; discipline; grievance; maternity/paternity; whistle blowing; smoking and drug use

**AC1.8: Explain the induction process**

- *Induction process:* probationary period to assess work performance and future potential; integration into workplace culture; formal induction course; content, e.g. information about the organisation, health and safety, policies, procedures and working arrangements, trade unions and employee involvement, pay and benefits, performance management processes, learning opportunities; on-the-job induction, e.g. coaching, job analysis, self-managed learning arrangements

**AC1.9: Explain the relationship between human resource processes and the induction processes**

- *Human Resource processes:* recruitment and selection; training and development; compensation and benefits; performance management; career management; leadership and development

## Information for tutors

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### Suggested resources

#### Books

Armstrong M – *Armstrong's Handbook of Human Resource Management Practice* (13th edition) (Kogan Page, 2014) ISBN 9780749469641

Brown J N – *The Complete Guide to Recruitment: A Step-by-Step Approach to Selecting, Assessing and Hiring the Right People* (Kogan Page, 2011) ISBN 9780749459741

Yeung R – *Successful Interviewing and Recruitment (Creating Success)* (revised edition) (Kogan Page, 2010) ISBN 9780749462222

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – Advisory, Conciliation and Arbitration Service: providing information on workplace problems, including the recruitment and induction advisory booklet

[www.cipd.uk](http://www.cipd.uk) – Chartered Institute of Personnel and Development: including resources on the topic of recruitment

[www.gov.uk](http://www.gov.uk) – Government services and information: including information on employment

#### Assessment

To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria and the requirements of the Assessment Strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt a holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

This guidance supports assessors in making decisions about how best to assess each unit and the evidence needed to meet the assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to achieve this unit should come from the learner's work activities in the practice of recruitment, selection and induction within an organisation.

Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include work notes, reports or a resourcing plan that demonstrates where the learner has determined current staffing needs, current skills needs and future working needs (AC2.1, AC2.2, AC2.3 and AC2.4). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the organisation's recruitment policies and procedures and how these meet the relevant legal and ethical requirements (AC2.6), the criteria they would use to evaluate the effectiveness of the selection process (AC3.5) and the process for assessing new starters' training needs (AC4.5). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2, 3 and 4 then it would be best to integrate the assessment of this learning outcome, therefore giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on their organisation's structure and culture and the impact that this has had on its recruitment and selection policies and practices (AC1.3), the factors that they have had to take into account when developing job specifications, personal specifications and job advertisements as part of the recruitment process (AC1.7) and their organisation's human resource and induction processes and the relationship between them (AC1.9). The learner's reflective account to meet the requirements of AC1.1, AC1.2, AC1.3, AC1.4, AC1.5, AC1.6, AC1.7, AC1.8 and AC1.9 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

Evidence of Recognitions of Prior Learning (RPL) can also be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

## 12 Further information and useful publications

To get in touch with us visit our 'Contact us' pages:

Pearson: <http://qualifications.pearson.com/en/support/contact-us.html>

- BTEC: [www.btec.co.uk/contactus](http://www.btec.co.uk/contactus)
- Pearson Work Based Learning: [www.edexcel.com/about-wbl/Pages/Contact-us.aspx](http://www.edexcel.com/about-wbl/Pages/Contact-us.aspx)
- books, software and online resources for UK schools and colleges: [www.pearsonschoolsandfecolleges.co.uk](http://www.pearsonschoolsandfecolleges.co.uk)

Key publications:

- *Adjustments for candidates with disabilities and learning difficulties – Access and Arrangements and Reasonable Adjustments, General and Vocational qualifications* (Joint Council for Qualifications (JCQ))
- *Equality Policy* (Pearson)
- *Recognition of Prior Learning Policy and Process* (Pearson)
- *UK Information Manual* (Pearson)
- *UK Quality Vocational Assurance Handbook* (Pearson).

All of these publications are available on our website.

Further information and publications on the delivery and quality assurance of NVQ qualifications are available at our website: [www.edexcel.com/quals/NVQ-competence-based-qcf/Pages](http://www.edexcel.com/quals/NVQ-competence-based-qcf/Pages)

Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please go to the resources page of our website, [qualifications.pearson.com](http://qualifications.pearson.com)

# 13 Professional development and training

## Professional development and training

Pearson supports UK and international customers with training related to our qualifications. This support is available through a choice of training options offered on our website: <http://qualifications.pearson.com/en/home.html>

The support we offer focuses on a range of issues, such as:

- planning for the delivery of a new programme
- planning for assessment and grading
- developing effective assignments
- building your team and teamwork skills
- developing learner-centred learning and teaching approaches
- building in effective and efficient quality assurance systems.

The national programme of training we offer is on our website at: <http://qualifications.pearson.com/en/home.html>. You can request centre-based training through the website or you can contact one of our advisers in the Training from Pearson UK team via Customer Services to discuss your training needs.

## Training and support for the lifetime of the qualifications

**Training and networks:** our training programme ranges from free introductory events through sector-specific opportunities to detailed training on all aspects of delivery, assignments and assessment. We also host some regional network events to allow you to share your experiences, ideas and best practice with colleagues in your region.

**Regional support:** our team of Regional Quality Managers, based around the country, are responsible for providing quality assurance support and guidance to anyone managing and delivering NVQ qualifications. The Regional Quality Managers can support you at all stages of the standard verification process as well as in finding resolutions of actions and recommendations as required.

To get in touch with our dedicated support teams please visit our website at: [www.edexcel.com/contactus](http://www.edexcel.com/contactus)

**Online support:** find the answers to your questions by browsing over 100 FAQs on our website or by submitting a query using our Work Based Learning Ask the Expert Service. You can search the database of commonly asked questions relating to all aspects of our qualifications in the work-based learning market. If you are unable to find the information you need, send us your query and our qualification or administrative experts will get back to you. The Ask the Expert service is available on our website at: [www.pearsonwbl.edexcel.com/Our-support](http://www.pearsonwbl.edexcel.com/Our-support)

## Online forum

Pearson Work Based Learning Communities is an online forum where employers, further education colleges and workplace training providers can seek advice and clarification about any aspect of our qualifications and services, and share knowledge and information with others. The forums are sector specific and cover business administration, customer service, health and social care, hospitality and catering and retail. The online forum is available on our website at: [www.pearsonwbl.edexcel.com/Our-support](http://www.pearsonwbl.edexcel.com/Our-support)

## 14 Contact us

We have a dedicated Account Support team, across the UK, to give you more personalised support and advice. To contact your Account Specialist:

**Email:** wblcustomerservices@pearson.com

**Telephone:** 0844 576 0045

If you are new to Pearson and would like to become an approved centre, please contact us by:

**Email:** wbl@pearson.com

**Telephone:** 0844 576 0045

### Complaints and feedback

We are working hard to give you excellent service. However, if any element of our service falls below your expectations, we want to understand why, so that we can prevent it from happening again. We will do all that we can to put things right.

If you would like to register a complaint with us, please email wblcomplaints@pearson.com.

We will formally acknowledge your complaint within two working days of receipt and provide a full response within seven working days.

# Annexe A: Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership

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## 1. Introduction

This Assessment Strategy provides principles and guidance to Awarding Organisations for the assessment of competence-based units and qualifications (including Scottish Vocational Qualifications and National Vocational Qualifications) within Business Administration, Customer Service and Management and Leadership in England, Scotland, Wales and Northern Ireland.

This document outlines Skills CFA principles in regards to:

- external quality control of assessment
- requirements of assessor and verifiers
- evidence
- employer direct model.

These principles are in addition to the generic criteria that Awarding Organisations must meet for delivery of qualifications as required by the qualification regulators, for example Ofqual's Regulatory Arrangements for the Qualifications and Credit Framework and any regulatory requirements specified by the SQA Accreditation.

This strategy should only be used for the assessment of the Business Administration, Customer Service and Management and Leadership competence-knowledge based units and qualifications owned by Skills CFA. Units which have been imported by Skills CFA into their apprenticeships or competence-based qualifications will be assessed in compliance with their relevant assessment strategies. Awarding Organisations may assess knowledge-only units as they see fit.

## 2. External quality control of assessment

The quality of the assessment process is the responsibility of Awarding Organisations. However, Skills CFA encourages flexibility and innovation of approach, alongside robust systems to support quality control. Awarding Organisations are also encouraged to detail their approach to external verification, risk assessment and data requests.

### 2.1 External verification

- Awarding Organisations are responsible for the competence of external verifiers. It is the responsibility of Awarding Organisations to monitor centres' performance in accordance with regulatory requirements.
- Awarding Organisations must consistently apply external verification processes at all assessment centres delivering competence-based qualifications. These should be underpinned by standard risk assessment and risk management processes.

### 2.2 Risk assessment

- Awarding Organisations must carry out standard risk assessments for all qualification assessment centres that are delivering competence-based qualifications. Identified risks must be managed appropriately.
- Awarding Organisations must retain evidence to prove that a risk assessment has been carried out for each approved centre, and that a strategy to minimise any identified risk has been implemented.

### 2.3 Data requests

- Each quarter, Awarding Organisations must provide registration and achievement data at all qualification levels and unit levels (where possible) to Skills CFA.

### 3. Requirements of assessors, external and internal verifiers

Candidates may be assessed, moderated or verified at work either by several appointed individuals.

#### 3.1 Assessors

The primary responsibility of an Assessor is to assess candidates' performance in a range of tasks and to ensure the evidence submitted by the candidate meets the requirements of the assessment criteria.

It is important that an assessor can recognise occupational competence as specified by the national standard. Assessors therefore need to have a thorough understanding of assessment and quality assurance practices, as well as have in-depth technical understanding related to the qualifications for which they are assessing candidates.

To be able to assess candidates, Assessors must:

- hold an appropriate qualification, as specified by the appropriate regulatory authority, confirming their competence to assess candidates undertaking competence-based units and qualifications. Assessors holding older qualifications must be able to demonstrate that they are assessing to the current standards;

**OR**

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. An Assessor working towards an appropriate qualification must ensure their decisions are countersigned by a suitably-qualified assessor/verifier and should be supported by a qualified assessor throughout their training period.
- be "occupationally competent". Assessors must provide current evidence of competence, knowledge and understanding in the areas to be assessed. This will normally be achieved through demonstrating competence in the roles which are to be assessed or demonstrated by relevant experience and continuing professional development (CPD) which may include the achievement of qualifications relevant to the areas being assessed.
- have a full and current understanding of the units of competence and requirements of the qualifications being assessed, including the quality of assessment and the assessment process.

It is the responsibility of approved centres to select and appoint assessors.

### 3.2 External quality assurer (EQA)<sup>1</sup>

The primary responsibility of EQAs is to assure quality of internal verification and assessments across the centres for which they are responsible. EQAs must have a thorough understanding of quality assurance and assessment practices, as well as in-depth technical knowledge related to the qualifications that they are externally verifying.

EQAs must:

- hold an appropriate qualification as specified by the appropriate regulatory authority, confirming their competence to verify competence-based assessments. EQAs holding older qualifications must be able to demonstrate that they are verifying to the current standards;

**OR**

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. If EQAs are working towards an appropriate qualification, their decisions must be countersigned by a suitably qualified EQA<sup>2</sup> and should be supported by a qualified EQA throughout their training period.
- be "occupationally competent. EQAs must demonstrate sufficient and current understanding of the qualifications to be verified, and how they are applied in business.
- demonstrate competence practice in external verification of assessment, and demonstrate understanding of the principles and practices of external verification of assessment, including the quality of assessment and the assessment process.

It is the responsibility of the awarding body to select and appoint EQAs.

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<sup>1</sup> Also known as External Verifier (EV)

<sup>2</sup> The need for countersigning the decisions of EQAs working towards a qualification, applies to England and Wales and not Scotland.

### 3.3 Internal quality assurer (IQA)<sup>3</sup>

A primary responsibility of IQAs is to assure the quality and consistency of assessments by the assessors for whom they are responsible. IQAs therefore need to have a thorough understanding of quality assurance and assessment practices, as well as sufficient technical understanding related to the qualifications that they are internally verifying. It will be the responsibility of the approved centre to select and appoint IQAs.

IQAs must:

- hold an appropriate qualification, as specified by the appropriate regulatory authority, confirming their competence to internally verify competence-based assessments and candidates. IQAs holding older qualifications must be able to demonstrate that they are verifying to the current standards;

**OR**

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. If an IQA is working towards an appropriate qualification, their decisions must be countersigned by a suitably qualified IQA<sup>4</sup> and should be supported by a qualified IQA throughout their training period.
- be "occupationally competent. IQAs must demonstrate sufficient and current understanding of the qualifications to be internally verified, and know how they are applied in business.
- demonstrate competence practice in internal verification of assessment, and demonstrate understanding of the principles and practices of internal verification of assessment, including the quality of assessment and the assessment process.

Skills CFA and awarding organisations requires all assessors, moderators and verifiers to maintain current Business Administration, Customer Service and Management and Leadership competence to deliver these functions. Skills CFA recognises this can be achieved in many ways. However, such information must be formally recorded in individual CPD records that are maintained in assessment centres.

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<sup>3</sup> Also known as Internal Verifier (IV)

<sup>4</sup> The need for countersigning the decisions of IQAs working towards a qualification, applies to England and Wales and not Scotland.

## 4. Evidence

### 4.1 Evidence from Workplace Performance

- Evidence of occupational competence of all competence units at any level, should be generated and collected through performance under workplace conditions. This includes the knowledge-based learning outcomes and assessment criteria of the competence units.
- These conditions would be those typical to the candidate's normal place of work. The evidence collected under these conditions should also be as naturally occurring as possible. It is accepted that not all employees have identical workplace conditions and therefore there cannot be assessment conditions that are identical for all candidates. However, assessors must ensure that, as far as possible, the conditions for assessment should be those under which the candidate usually works.

### 4.2 Simulation

- Simulation can be applied to all units listed in Section 7.
- Where simulation is used for units at Level 2 and above, it should only form a small part of the evidence for the qualification.
- Evidence may be produced through simulation solely in exceptional circumstances. The exceptional circumstances, under which simulation is possible, are those situations that are not naturally or readily occurring, such as response to emergencies.
- Simulation must be undertaken in a 'realistic working environment' (RWE). A RWE is "an environment which replicates the key characteristics in which the skill to be assessed is normally employed". The RWE must provide conditions the same as the normal day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working. Guidelines for using RWE can be found in Section 6.

## 5. Employer direct model

Skills CFA encourages the use of an employer direct model. The employer direct model is where colleagues, supervisors and/or managers in the workplace are involved in the assessment process. Under this model, the employer, with the agreement of their Awarding Organisation may choose between:

- Achieving the appropriate regulatory body approved unit qualifications for assessment; **OR**
- Demonstrating that the employer's training and development activity undertaken to prepare, validate and review these assessment roles, maps 100% to the National Occupational Standards which these qualifications are based on. The mapping process must be agreed by the Awarding Organisation as providing the equivalent level of rigour and robustness as achievement of the unit qualification

In order to use the employer direct model:

- **An organisation must:**
  - o have staff who have achieved, or be working towards achieving, appropriate regulatory body approved unit qualifications for assessment, moderation or verification; **OR**
  - o seek guidance and approval from an awarding organisation to demonstrate that they have:
    - appropriate processes in place to facilitate assessment, moderation or verification functions
    - carried out 100% mapping of the trainer, supervisor or managers' assessment, moderation or verification skills and knowledge to the National Occupational Standards upon which the qualifications above are based.
- **An Awarding Organisation must:**
  - o offer this model to employers only
  - o supply information on the requirements for internal and external moderation/verification activities to assessment centres.

Skills CFA and awarding organisations requires all assessors, moderators and verifiers to maintain current Business Administration, Customer Service and Management and Leadership competence to deliver these functions. Skills CFA recognises this can be achieved in many ways. However, such information must be formally recorded in individual continual professional development (CPD) records that are maintained in assessment centres.

## 6. Realistic Working Environment Guidelines

Realistic Working Environment (RWE) can be applied to all the units on page 324:

It is essential that organisations wishing to operate a RWE operate in an environment which reflects a real work setting. This will ensure that any competence achieved in this way will be sustained in real employment.

To undertake the assessment in a RWE the following guidelines must be met:

1. the RWE is managed as a real work situation
2. assessment must be carried out under realistic business pressures
3. all services that are carried out should be completed in a way, and to a timescale, that is acceptable in business organisations
4. candidates must be expected to achieve a volume of work comparable to normal business practices
5. the range of services, products, tools, materials and equipment that the candidates use must be up to date and available
6. account must be taken of any legislation or regulations in relation to the type of work that is being carried out
7. candidates must be given workplace responsibilities to enable them to meet the requirements of the units
8. customer perceptions of the RWE is similar to that found in the work situation being represented
9. candidates must show that their productivity reflects those found in the work situation being represented.

## 7. Simulation: a list of units

Simulation can only be applied to the following competence units:

### Business Administration

Skills CFA Ref.	Unit title	Level
B&A 3	Work with others in a business environment	1
B&A 4	Health and safety in a business environment	1
B&A 5	Manage time and workload	1
B&A 6	Use a telephone and voicemail system	1
B&A 7	Prepare text from notes	1
B&A 8	Meet and welcome visitors in a business environment	1
B&A 9	Handle mail	1
B&A 10	Use office equipment	1

### Customer Service

Skills CFA Ref.	Unit title	Level
CS 2	Communication in customer service	1
CS 3	Record details of customer service problems	1
CS 4	Deal with customer queries, requests and problems	1

### Management and Leadership

Skills CFA Ref.	Unit title	Level
M&L 17	Manage conflict within a team	3
M&L 31	Discipline and grievance management	4
M&L 44	Manage redundancy and redeployment	4

**April 2017**

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