Specification

Edexcel BTEC Level 3 Award and Certificate in Management (QCF)

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Issue 2

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Edexcel, a Pearson company, is the UK's largest awarding body, offering academic and vocational qualifications and testing to more than 25,000 schools, colleges, employers and other places of learning in the UK and in over 100 countries worldwide. Qualifications include GCSE, AS and A Level, NVQ and our BTEC suite of vocational qualifications from entry level to BTEC Higher National Diplomas, recognised by employers and higher education institutions worldwide.

We deliver 9.4 million exam scripts each year, with more than 90% of exam papers marked onscreen annually. As part of Pearson, Edexcel continues to invest in cutting-edge technology that has revolutionised the examinations and assessment system. This includes the ability to provide detailed performance data to teachers and students which helps to raise attainment.

This specification is Issue 2. Key changes are sidelined. We will inform centres of any changes to this issue. The latest issue can be found on the Edexcel website: www.edexcel.com

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BTEC Specialist qualification titles covered by this specification

Edexcel BTEC Level 3 Award in Management

Edexcel BTEC Level 3 Certificate in Management

These qualifications have been accredited to the Qualifications and Credit Framework (QCF) and are eligible for public funding as determined by the Department for Education (DfE) under Sections 96 and 97 of the Learning and Skills Act 2000.

The qualification titles listed above feature in the funding lists published annually by the DfE and the regularly updated website www.education.gov.uk/. The QCF Qualifications Accreditation Number (QAN) should be used by centres when they wish to seek public funding for their learners. Each unit within a qualification will also have a QCF unit code.

The QCF qualification and unit codes will appear on learners' final certification documentation.

The Qualification Accreditation Numbers for the qualifications in this publication are:

Edexcel BTEC Level 3 Award in Management   501/0112/2

Edexcel BTEC Level 3 Certificate in Management   501/0113/4

These qualification titles will appear on learners' certificates. Learners need to be made aware of this when they are recruited by the centre and registered with Edexcel.

These qualifications are accredited by Ofqual as being Stand Alone/part of Apprenticeships.

Welcome to BTEC Level 3 qualifications in Management

We are delighted to introduce our new qualifications, which will be available for teaching from August 2010. These qualifications have been revised and conform with the requirements of the new QCF (Qualifications and Credit Framework).

Focusing on BTEC Level 3 qualifications in Management

The BTEC Level 3 Award and Certificate in Management are designed to provide:

- a framework of education and training for those with a responsibility to provide first-line management

- opportunities to achieve a nationally recognised Level 3 vocationally-specific qualification

- opportunities for full-time learners to gain a nationally recognised vocationally-specific qualification to enter employment in management or progress to further vocational qualifications such as an NVQ level 3 in Management or a Level 5 BTEC Award/Certificate/Diploma in Management, a Level 5 NVQ in Management or a Level 4 BTEC HNC in Business

- the knowledge, understanding and skills learners need to carry out effective management

- opportunities for learners to develop a range of skills and techniques, personal qualities and attributes essential for successful performance in working life.

The BTEC Level 3 Certificate in Management is also the technical certificate for the Management and Leadership Higher Apprenticeship.

Straightforward to implement, teach and assess

Implementing BTECs couldn't be easier. They are designed to easily fit into your curriculum and can be studied independently or alongside existing qualifications, to suit the interests and aspirations of learners. The clarity of assessment makes grading learner attainment simpler.

Engaging for everyone

Learners of all abilities flourish when they can apply their own knowledge, skills and enthusiasm to a subject. BTEC qualifications make explicit the link between theoretical learning and the world of work by giving learners the opportunity to apply their research, skills and knowledge to work-related contexts and case studies. These applied and practical BTEC approaches give all learners the impetus they need to achieve and the skills they require for workplace or education progression.

Recognition

BTECs are understood and recognised by a large number of organisations in a wide range of sectors. BTEC qualifications are developed with key industry representatives and Sector Skills Councils (SSC) to ensure that they meet employer and student needs — **in this case the Council for Administration SSC**. Many industry and professional bodies offer successful BTEC students exemptions for their own accredited qualifications.

All you need to get started

To help you off to a flying start, we've developed an enhanced specification that gives you all the information you need to start teaching BTEC. This includes:

- a framework of equivalencies, so you can see how this qualification compares with other Edexcel vocational qualifications

- information on rules of combination, structures and quality assurance, so you can deliver the qualification with confidence

- explanations of the content's relationship with the learning outcomes

- guidance on assessment, and what the learner must produce to achieve the unit.

Don't forget that we're always here to offer curriculum and qualification updates, local training and network opportunities, advice, guidance and support.

Contents

What are BTEC Level 3 Specialist qualifications?

BTEC Specialist qualifications are qualifications at Entry Level to Level 3 in the Qualifications and Credit Framework (QCF) and are designed to provide specialist work-related qualifications in a range of sectors. They give learners the knowledge, understanding and skills that they need to prepare for employment. The qualifications also provide career development opportunities for those already in work. Consequently they provide a course of study for full-time or part-time learners in schools, colleges and training centres.

BTEC Specialist qualifications provide much of the underpinning knowledge and understanding for the National Occupational Standards for the sector, where these are appropriate. They are supported by the relevant Standards Setting Body (SSB) or Sector Skills Council (SSC). A number of BTEC Specialist qualifications are recognised as the knowledge components of Apprenticeships Frameworks.

On successful completion of a BTEC Specialist qualification, learners can progress to or within employment and/or continue their study in the same, or related vocational area.

Care needs to be exercised when registering learners as the titling conventions and titles for the revised QCF versions of the BTEC Level 2 Firsts and BTEC Level 3 Nationals have changed.

The QCF is a framework which awards credit for qualifications and units and aims to present qualifications in a way that is easy to understand and measure. It enables learners to gain qualifications at their own pace along flexible routes.

There are three sizes of qualification in the QCF:

- Award (1 to 12 credits)

- Certificate (13 to 36 credits)

- Diploma (37 credits and above).

Every unit and qualification in the framework will have a credit value.

The credit value of a unit specifies the number of credits that will be awarded to a learner who has achieved the learning outcomes of the unit.

The credit value of a unit is based on:

- one credit for those learning outcomes achievable in 10 hours of learning

- learning time – defined as the time taken by learners at the level of the unit, on average, to complete the learning outcomes of the unit to the standard determined by the assessment criteria.

The credit value of the unit will remain constant in all contexts, regardless of the assessment method used for the qualification(s) to which it contributes.

Learning time should address all learning (including assessment) relevant to the learning outcomes, regardless of where, when and how the learning has taken place.

Edexcel BTEC Level 3 Award

The Edexcel BTEC Level 3 Award provides an introduction to the skills, qualities and knowledge that may be required for employment in a particular vocational sector.

Edexcel BTEC Level 3 Certificate

The Edexcel BTEC Level 3 Certificate extends the work-related focus from the Edexcel BTEC Level 3 Award and covers some of the knowledge and practical skills required for a particular vocational sector.

The 13-credit Edexcel BTEC Level 3 Certificate is both a stand-alone BTEC qualification and also a Technical Certificate for the Management and Leadership Higher Apprenticeship.

The Edexcel BTEC Level 3 Certificate offers an engaging programme for those who are clear about the vocational area they want to learn more about. These learners may wish to extend their programme through the study of a related GCSE, a complementary NVQ or other related vocational or personal and social development qualification. These learning programmes can be developed to allow learners to study complementary qualifications without duplication of content.

For adult learners the Edexcel BTEC Level 3 Certificate can extend their knowledge and understanding of work in a particular sector. It is a suitable qualification for those wishing to change career or move into a particular area of employment following a career break.

Key features of the Edexcel BTEC Level 3 qualifications in Management

The Edexcel BTEC Level 3 qualifications in Management have been developed to give learners the opportunity to:

- engage in learning that is relevant to them and which will provide opportunities to develop a range of skills and techniques, personal skills and attributes essential for successful performance in working life

- achieve a nationally recognised Level 3 vocationally-related qualification

- progress to employment in a particular vocational sector

- progress to related general and/or vocational qualifications.

National Occupational Standards

Where relevant, Edexcel BTEC Level 3 qualifications are designed to provide some of the underpinning knowledge and understanding for the National Occupational Standards (NOS), as well as developing practical skills in preparation for work and possible achievement of NVQs in due course. NOS form the basis of National Vocational Qualifications (NVQs). Edexcel BTEC Level 3 (QCF) qualifications do not purport to deliver occupational competence in the sector, which should be demonstrated in a work context.

The Edexcel BTEC Level 3 Award and Certificate in Management relate to the NOS in Management and Leadership. Mapping to the NOS for each unit can be found in *Annexe C*.

Rules of combination

The rules of combination specify the credits that need to be achieved, through the completion of particular units, for the qualification to be awarded. All accredited qualifications within the QCF have rules of combination.

Rules of combination for the Edexcel BTEC Level 3 qualifications in Management

When combining units for an Edexcel BTEC Level 3 qualification in Management, it is the centre's responsibility to ensure that the following rules of combination are adhered to.

Edexcel BTEC Level 3 Award in Management

1 Qualification credit value: a minimum of 5 credits.

2 Minimum credit to be achieved at, or above, the level of the qualification: 5 credits.

3 All credits must be achieved from the units listed in this specification.

Edexcel BTEC Level 3 Certificate in Management

1 Qualification credit value: a minimum of 13 credits.

2 Minimum credit to be achieved at, or above, the level of the qualification: 10 credits.

3 All credits must be achieved from the units listed in this specification.

Edexcel BTEC Level 3 Award in Management

The Edexcel BTEC Level 3 Award in Management is a 5-credit and 50-guided-learning-hour (GLH) qualification that consists of one mandatory unit.

Edexcel BTEC Level 3 Award in Management			
Unit	Mandatory unit	Credit	Level
1	Key Principles of Management and Leadership	5	3

Edexcel BTEC Level 3 Certificate in Management

The Edexcel BTEC Level 3 Certificate in Management is a 13-credit and 130-guided-learning-hour (GLH) qualification that consists of two mandatory units **plus** two optional units (where at least 10 credits must be at Level 3 or above).

Edexcel BTEC Level 3 Certificate in Management			
Unit	**Mandatory units**	**Credit**	**Level**
1	Key Principles of Management and Leadership	5	3
2	Improving Your Own Management and Leadership Performance	2	3
Unit	**Optional units - choose two units**		
3	Managing the Delivery of Customer Service	3	3
4	Recruiting and Selecting Staff	3	4
5	Appraising and Developing Staff	3	3
6	Supporting Organisational Change Initiatives	3	4
7	Principles of Budgets and Financial Information	3	3
8	Principles of Project Management	3	4
9	Developing Working Relationships With Team Members	3	2
10	Health and Safety Risk Assessment in Your Team	3	3
11	Coaching Skills in Team Leading and Management	3	3
12	Environmental and Ethical Issues in Management	3	3
13	Managing Physical Resources	3	3

Assessment

These qualifications have the option of being assessed through a portfolio of evidence or on screen multiple choice tests, or a combination of both. No other form of assessment is available for these qualifications.

All units within these qualifications are available for internal assessment by portfolio.

Some units within these qualifications are also available for external assessment by the use of multiple choice questions.

The qualifications are criterion referenced, based on the achievement of all the specified learning outcomes.

Each of the units within the qualifications has specified assessment criteria. The overall grading in this qualification is a pass, based on the successful completion of the external assessments or a portfolio of evidence or a combination of both.

External assessments using multiple-choice assessment method assess all of the learning outcomes in the individual units and meet the standard determined by the specified assessment criteria in the units.

All of the content in each unit that can be assessed through the onscreen multiple-choice assessment method is mandatory. Therefore, tutors must ensure that learners have covered all the unit content before sitting any external test.

Information relating to external assessments can be found in the *Centre Guidance for Tested Vocational Qualifications* which can be found on Edexcel website (www.edexcel.com).

Guidance

The purpose of assessment is to ensure that effective learning has taken place to give learners the opportunity to:

- meet the standard determined by the assessment criteria and

- achieve the learning outcomes.

In these qualifications the following units can be externally assessed by the multiple-choice assessment method:

Unit 1: Key Principles of Management and Leadership

Unit 2: Improving Your Own Management and Leadership Performance

Unit 3: Managing the Delivery of Customer Service

Unit 5: Appraising and Developing Staff

Unit 9: Developing Working Relationships with Team Members.

All assessments created by centres for the development of portfolio evidence should be reliable and fit for purpose, and should be built on the unit assessment criteria. Assessment tasks and activities should enable learners to produce valid, sufficient and reliable evidence that relates directly to the specified criteria. Centres should enable learners to produce evidence in a variety of different forms, which may include performance observation, presentations and posters, along with projects, or time-constrained assessments.

Centres are encouraged to emphasise the practical application of the assessment criteria, providing a realistic scenario for learners to adopt, and making maximum use of practical activities. The creation of assignments that are fit for purpose is vital to achievement and their importance cannot be over-emphasised.

The assessment criteria must be clearly indicated in the assignments briefs. This gives learners focus and helps with internal verification and standardisation processes. It will also help to ensure that learner feedback is specific to the assessment criteria.

When designing assignment briefs, centres are encouraged to identify common topics and themes. A central feature of vocational assessment is that it allows for assessment to be:

- current, ie to reflect the most recent developments and issues

- local, ie to reflect the employment context of the delivering centre

- flexible to reflect learner needs, ie at a time and in a way that matches the learner's requirements so that they can demonstrate achievement.

Qualification grade

Learners who achieve the minimum eligible credit value specified by the rule of combination will achieve the qualification at pass grade.

In the Edexcel BTEC Level 3 Specialist qualifications each unit has a credit value which specifies the number of credits that will be awarded to a learner who has achieved the learning outcomes of the unit. This has been based on:

- one credit for those learning outcomes achievable in 10 hours of learning time

- learning time being defined as the time taken by learners at the level of the unit, on average, to complete the learning outcomes of the unit to the standard determined by the assessment criteria

- the credit value of the unit remaining constant regardless of the method of assessment used or the qualification to which it contributes.

Quality assurance of centres

Edexcel BTEC Level 3 qualifications provide a flexible structure for learners enabling programmes of varying credits and combining different levels. For the purposes of quality assurance, all individual qualifications and units are considered as a whole.

Centres delivering the Edexcel BTEC Level 3 must be committed to ensuring the quality of the units and qualifications they deliver.

The Edexcel quality assurance processes for these qualifications will depend on the method of assessment chosen by the centre.

Centre quality assurance and assessment is monitored and guaranteed by Edexcel through the quality review process.

For centres choosing to assess the qualification entirely through onscreen, externally set and marked multiple-choice tests administered by the centre, the Edexcel quality assurance processes will involve**:**

- centre approval for those centres not already recognised as a centre for BTEC qualifications

- approval for the Edexcel BTEC Level 3 qualifications and units.

For centres choosing to assess the qualification by a portfolio of evidence, or a combination of a portfolio and externally set and marked onscreen multiple-choice tests administered by the centre, the Edexcel quality assurance processes will involve:

- centre approval for those centres not already recognised as a centre for BTEC qualifications

- approval for the Edexcel BTEC Level 3 qualifications and units

- **compulsory** Edexcel-provided training and standardisation for internal verifiers and assessors leading to the accreditation of lead internal verifiers via the OSCA system

- quality review of the centre verification practice

- centre risk assessment by Edexcel of overarching processes and quality standards

- remedial training and/or assessment sampling for centres identified through standardisation or risk assessment activities as having inadequate quality, assessment or internal verification processes.

For centres using this qualification as a component of an Apprenticeship the Edexcel quality-assurance processes will involve:

- gaining centre recognition and qualification approval if a centre is not currently approved to offer Edexcel qualifications

- annual visits by occupationally competent and qualified Edexcel Standards Verifiers for sampling of internal verification and assessor decisions for the occupational sector

- the provision of support, advice and guidance towards the achievement of National Occupational Standards.

Approval

Centres are required to declare their commitment to ensuring the quality of the programme of learning and providing appropriate assessment opportunities for learners that lead to valid and accurate assessment outcomes. In addition, centres will commit to undertaking defined training and online standardisation activities.

Centres already holding BTEC approval are able to gain qualification approval online. New centres must complete a centre approval application.

Quality Assurance Guidance

Details of quality assurance for the Edexcel BTEC Level 1-4 qualifications are set out in centre guidance which is published on our website (www.edexcel.com).

Programme design and delivery

Mode of delivery

Edexcel does not normally define the mode of delivery for Edexcel BTEC Entry to Level 3 qualifications. Centres are free to offer the qualifications using any mode of delivery (such as full-time, part-time, evening only, distance learning) that meets their learners' needs. Whichever mode of delivery is used, centres must ensure that learners have appropriate access to the resources identified in the specification and to the subject specialists delivering the units. This is particularly important for learners studying for the qualification through open or distance learning.

Learners studying for the qualification on a part-time basis bring with them a wealth of experience that should be utilised to maximum effect by tutors and assessors. The use of assessment evidence drawn from learners' work environments should be encouraged. Those planning the programme should aim to enhance the vocational nature of the qualification by:

- liaising with employers to ensure a course relevant to learners' specific needs
- accessing and using non-confidential data and documents from learners' workplaces
- including sponsoring employers in the delivery of the programme and, where appropriate, in the assessment
- linking with company-based/workplace training programmes
- making full use of the variety of experience of work and life that learners bring to the programme.

Resources

Edexcel BTEC Level 3 qualifications are designed to give learners an understanding of the skills needed for specific vocational sectors. Physical resources need to support the delivery of the programme and the assessment of the learning outcomes, and should therefore normally be of industry standard. Learning resources also need to support the delivery of the programme and the assessment of the learning outcomes using multiple choice questions. Staff delivering programmes and conducting the assessments should be familiar with current practice and standards in the sector concerned. Centres will need to meet any specific resource requirements to gain approval from Edexcel.

Where specific resources are required these have been indicated in individual units in the *Essential resources* sections.

Delivery approach

It is important that centres develop an approach to teaching and learning that supports the vocational nature of Edexcel BTEC Level 3 qualifications, the mode of delivery and assessment through multiple choice questions. Specifications give a balance of practical skill development and knowledge requirements, some of which can be theoretical in nature. Tutors and assessors need to ensure that appropriate links are made between theory and practical application and that the knowledge base is applied to the sector. This requires the development of relevant and up-to-date teaching materials that allow learners to apply their learning to actual events and activity within the sector. Maximum use should be made of learners' experience.

All of the content in each unit that can be assessed externally is mandatory. Therefore, tutors must ensure that learners have covered all the unit content before sitting any external test.

Additional and specialist learning

Additional and Specialist Learning (ASL) consists of accredited qualifications at the same level as, or one level above a 14-19 Diploma course of study, which have been approved under Section 96 of the Learning and Skills Act 2000. The ASL may include BTEC qualifications which are also available to learners not following a 14-19 Diploma course of study.

ASL qualifications are listed on the 14-19 Diploma Catalogue which is available on the Register of Regulated Qualifications (www.ofqual.gov.uk). The catalogue will expand over time as more qualifications are accredited and approved.

Centres undertaking, or preparing to undertake, ASL should refer regularly to the Edexcel website for information regarding additions and the 14-19 Diploma Catalogue for the latest information.

Functional skills

Edexcel Level 3 BTEC Specialist qualifications give learners opportunities to develop and apply functional skills. Functional skills are, however, not required to be achieved as part of the BTEC Specialist qualification(s) rules of combination. Functional skills are offered as stand-alone qualifications.

Access and recruitment

Edexcel's policy regarding access to its qualifications is that:

- they should be available to everyone who is capable of reaching the required standards

- they should be free from any barriers that restrict access and progression

- there should be equal opportunities for all wishing to access the qualifications.

Centres are required to recruit learners to BTEC qualifications with integrity. This will include ensuring that applicants have appropriate information and advice about the qualifications and that the qualification will meet their needs. Centres should take appropriate steps to assess each applicant's potential and make a professional judgement about their ability to successfully complete the programme of study and achieve the qualification. This assessment will need to take account of the support available to the learner within the centre during their programme of study and any specific support that might be necessary to allow the learner to access the assessment for the qualification. Centres should consult Edexcel's policy on learners with particular requirements.

Centres will need to review the entry profile of qualifications and/or experience held by applicants, considering whether this profile shows an ability to progress to a higher level qualification.

Restrictions on learner entry

The Edexcel BTEC Level 3 Award and Certificate in Management are accredited on the QCF for learners aged 16 and above.

Access arrangements and special considerations

Edexcel's policy on access arrangements and special considerations for BTEC and Edexcel NVQ qualifications aims to enhance access to the qualifications for learners with disabilities and other difficulties (as defined by the 1995 Disability Discrimination Act and the amendments to the Act) without compromising the assessment of skills, knowledge, understanding or competence.

Further details are given in the policy document *Access Arrangements and Special Considerations for BTEC and Edexcel NVQ Qualifications*, which can be found on the Edexcel website (www.edexcel.com). This policy replaces the previous Edexcel policy (Assessment of Vocationally Related Qualifications: Regulations and Guidance Relating to Learners with Special Requirements, 2002) concerning learners with particular requirements.

Recognition of Prior Learning

Recognition of Prior Learning (RPL) is a method of assessment (leading to the award of credit) that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so do not need to develop through a course of learning.

Edexcel encourages centres to recognise learners' previous achievements and experiences whether at work, home and at leisure, as well as in the classroom. RPL provides a route for the recognition of the achievements resulting from continuous learning.

RPL enables recognition of achievement from a range of activities using any valid assessment methodology. Provided that the assessment requirements of a given unit or qualification have been met, the use of RPL is acceptable for accrediting a unit, units or a whole qualification. Evidence of learning must be sufficient, reliable and valid.

Unit format

All units in the Edexcel BTEC Level 3 Specialist qualifications have a standard format. The unit format is designed to give guidance on the requirements of the qualification for learners, tutors, assessors and those responsible for monitoring national standards.

Each unit has the following sections.

Unit title

The unit title is accredited on the QCF and this form of words will appear on the learner's Notification of Performance (NOP).

Unit code

Each unit is assigned a QCF unit code that appears with the unit title on the National Database of Accredited Qualifications.

QCF level

All units and qualifications within the QCF will have a level assigned to them, which represents the level of achievement. There are nine levels of achievement, from Entry Level to Level 8. The level of the unit has been informed by the QCF level descriptors and, where appropriate, the NOS and/or other sector/professional benchmarks.

Credit value

All units have a credit value. The minimum credit value that may be determined for a unit is one, and credits can only be awarded in whole numbers. Learners will be awarded credits for the successful completion of whole units.

Guided learning hours

Guided learning hours are defined as all the times when a tutor, trainer or facilitator is present to give specific guidance towards the learning aim being studied on a programme. This definition includes lectures, tutorials and supervised study in, for example, open learning centres and learning workshops. It also includes time spent by staff assessing learners' achievements. It does not include time spent by staff in day-to-day marking of practice multiple choice questions, assignments or homework where the learner is not present.

Unit aim

The aim provides a clear summary of the purpose of the unit and is a succinct statement that summarises the learning outcomes of the unit.

Unit introduction

The unit introduction gives the reader an appreciation of the unit in the vocational setting of the qualification, as well as highlighting the focus of the unit. It gives the reader a snapshot of the unit and the key knowledge, skills and understanding gained while studying the unit. The unit introduction also highlights any links to the appropriate vocational sector by describing how the unit relates to that sector.

Learning outcomes

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

Assessment criteria

The assessment criteria of a unit specify the standard a learner is expected to meet to demonstrate that a learning outcome, or set of learning outcomes, has been achieved. The learning outcomes and assessment criteria clearly articulate the learning achievement for which the credit will be awarded at the level assigned to the unit.

Unit content

The unit content identifies the breadth of knowledge, skills and understanding needed to design and deliver a programme of learning to achieve each of the learning outcomes. This is informed by the underpinning knowledge and understanding requirements of the related National Occupational Standards (NOS), where relevant. The content provides the range of subject material for the programme of learning and specifies the skills, knowledge and understanding required for achievement of the unit.

Each learning outcome is stated in full and then the key phrases or concepts related to that learning outcome are listed in italics followed by the subsequent range of related topics.

Relationship between content and assessment criteria

The learner should have the opportunity to cover all of the unit content.

It is not a requirement of the unit specification that all of the content is assessed. However, the indicative content will need to be covered in a programme of learning in order for learners to be able to meet the standard determined in the assessment criteria.

Content structure and terminology

The information below shows the unit content is structured and gives the terminology used to explain the different components within the content.

- Learning outcome: this is shown in bold at the beginning of each section of content.

- Italicised sub-heading: it contains a key phrase or concept. This is content which must be covered in the delivery of the unit. Colons mark the end of an italicised sub-heading.

- Elements of content: the elements are in plain text and amplify the sub-heading. The elements must be covered in the delivery of the unit. Semi-colons mark the end of an element.

- Brackets contain amplification of content which must be covered in the delivery of the unit.

- 'eg' is a list of examples, used for indicative amplification of an element (that is, the content specified in this amplification could be covered or could be replaced by other, similar material).

Essential guidance for tutors

This section gives tutors additional guidance and amplification to aid understanding and a consistent level of delivery and assessment. It is divided into the following sections.

- *Delivery* – explains the content's relationship to the learning outcomes and offers guidance about possible approaches to delivery. This section is based on the more usual delivery modes but is not intended to rule out alternative approaches.

- *Assessment* – gives amplification about the nature and type of evidence that learners need to produce in order to achieve the unit. This section should be read in conjunction with the assessment criteria.

- *Essential resources* – identifies any specialist resources needed to allow learners to generate the evidence required for each unit. The centre will be asked to ensure that any requirements are in place when it seeks approval from Edexcel to offer the qualification.

- *Indicative resource materials* – gives a list of learner resource material that benchmarks the level of study.

Units

Unit 1: Key Principles of Management and Leadership

Unit code: R/602/0413

QCF Level 3: BTEC Specialist

Credit value: 5

Guided learning hours: 50

Unit aim

This unit provides the learner with the knowledge and understanding of leadership and the ways that it links to the process of management.

Unit introduction

This unit gives learners the knowledge that underpins approaches to leadership and management. Learners will be introduced to the debate about leadership and management and they will learn about the differences and similarities between the two.

Some of the key issues that leaders have to deal with in the workplace will be investigated. Two of the issues focus on people and learners will gain a valuable insight into ways of managing conflict and the important link between leadership skills and motivation. The other issue they will investigate focuses on ways of allocating work and this links in with the process of delegating work to others. This theme continues when learners look at the value of setting objectives for team members. Ways of providing team members with support and ways of monitoring progress towards objectives will be investigated.

Learners are introduced to the concept of quality in the workplace by looking at the different approaches to quality systems. The importance of developing a quality culture will be investigated and learners should be encouraged to bring their own experiences to the discussions. They will need to understand that developing quality systems and embedding a quality culture often takes time. When an organisation focuses on quality improvement, barriers such as resistance to change may be present and learners will need to understand that strategies have to be devised to overcome these barriers to promoting quality improvements.

Method of assessment

This unit can be assessed through either a portfolio of evidence (internal assessment) or a multiple-choice (MCQ) test (external assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria
1 Know differences between leadership and management	1.1 outline the functions of management
	1.2 describe the skills associated with leadership
	1.3 describe the differences between leadership and management
2 Understand key issues of leadership	2.1 describe methods of allocating work to others
	2.2 compare ways of managing conflict
	2.3 analyse the links between leadership skills and motivation
3 Understand the implications of delegating work to others	3.1 describe the purpose of delegation
	3.2 describe ways of coordinating delegated work
	3.3 analyse possible psychological barriers to delegation
4 Understand the purpose of setting work objectives with team members	4.1 describe the value of setting agreed work objectives with team members
	4.2 compare ways of providing support to meet work objectives with team members
5 Know the importance of promoting quality in the workplace	5.1 outline ways of developing a quality culture in the workplace
	5.2 describe possible barriers to promoting quality in the workplace

Unit content

This content has been written in an expanded format to facilitate both multiple-choice (MCQ) testing and portfolio assessment. Learners presenting work for portfolio assessment are not expected to evidence all of the content. Learners who opt for MCQ assessment could be tested on any part of this content

1 **Know differences between leadership and management**

Functions of management: theories of management (Henri Fayol's seven functions – planning, organising, leading, coordinating, controlling, staffing, monitoring); management definitions such as Mary Parker Follett – the art of getting things done through people; management by objectives

Areas of management responsibility: leading, mission statements, tactics; organisational structures, divisions, coordination, information flows, control of tasks, distribution of authority to job holders, staffing, recruitment, hiring, training, evaluating; directing, motivating, group dynamics, communications, discipline; control, measuring performance, reporting performance, improving performance

Management skills: technical skills (use tools, techniques, specialised knowledge); human skills (build positive interpersonal relationships); conceptual skills (problem solving, analytical, creative, intuitive)

Management styles: autocratic, democratic, paternalistic, laissez-faire

Leadership and management differences: theories (great man, trait, contingency, behavioural, participative); situational theories (Adair's task, team and individual; Tannenbaum and Schmidt's tell, sell, consult, share, delegate model; Handy's best-fit approach); universal theories (Transformational Leadership, Transactional Leadership; Bennis, Bass; charismatic leadership – Conger and Kanungo, Shamir, House and Arthur 1994); current theories, models and principles of leadership: types of power and authority (coercive, reward, legitimate, referent, expert (French and Raven)); situational theories (levels of leadership, varying importance of factors in sectors, organisations and sub-units – efficiency, reliability, innovation, adaptation and human resources (Zajac, Kraatz and Bresser); size and stage of development of organisation (business start-up versus established business); difference between direction and vision and controlling and directing

Leadership skills: becoming a leader, leadership qualities, power and authority, types of authority (French and Raven – coercive, reward, legitimate, referent, expert), authority and responsibility, team, task and individual needs (Adair); people skills; models of different leadership styles such as the continuum of leadership behaviour (Tannenbaum and Schmidt); different methods of developing leaders (training courses, coaching, mentoring, companies' own universities, action learning, partnerships with key academics); changing methodology in leadership development programmes

2 Understand key issues of leadership

Allocation of work: methods (develop plans); the stages of planning to include defining and agreeing objectives; SMART objectives (specific, measurable, achievable, realistic, time-based) specifying the resources required to achieve the objectives, checking availability of resources, agreeing appropriate working methods, scheduling work for individuals and teams, agreeing individual and team responsibilities, keeping relevant people informed, negotiation skills; monitoring progress by listening, observing, asking others, dealing with problems, taking corrective action, reviewing the progress on allocated work and adjusting plans, provide learning and development opportunities; provide support; brief team members and teams on the allocation of work (team briefings, team meetings, encourage questions, suggestions, clarification)

Managing conflict: identifying conflict at work, individual conflict (personality clashes, differences of opinion, bullying or harassment); group conflict (rivalry between groups, disagreement over team goals, unfair treatment between groups, unclear job roles); conflict between groups of employees and management (specific issues such as pay or health and safety, general issues such as poor motivation or management styles); signs of conflict, heated exchanges, standoffs, cutting off from colleagues, motivation drops, behaviour changes, productivity falls, sickness and absences increase

Ways of managing conflict: quiet word approach, communication, education, networking, participation, negotiation, building alliances, creating positive attitudes; fight it, challenge it: flight from it, ignore it; freeze it, indecision, prolonging; face it, problem-solving cycle – identify the problem and set goals, analyse the problem, collect data, analyse data, search for solutions, analyse solutions, create action plan, evaluate the plan, action the plan; formal investigation, use of internal procedures; use of outside agencies

Approaches to motivation: definition and importance of motivation, intrinsic and extrinsic motivation, needs-based motivational theory such as Maslow's hierarchy of needs, Herzberg's two factor theory – motivators and hygiene factors, Alderfer's (existence, relatedness and growth) ERG theory, Edward Deci and Richard Ryan's self-determination theory, cognitive theories – Edwin Locke's goal-setting theory; Victor Vroom's Expectancy Theory; Douglas McGregor's Theory X and Theory Y; role of rewards, financial rewards (pay, commission, piece rates, performance-related pay, individual bonuses, team bonuses, salary increases, profit sharing, share ownership); fringe benefits (travel allowances, free meals, company cars, expense accounts, private health insurance); non-financial rewards (job enrichment, job enlargement, teamwork, empowerment); practical measures to motivate staff, giving recognition, providing effective feedback, mentoring, showing appreciation, respect for others, treating people equally

3 Understand the implications of delegating work to others

Purpose of delegation: definition of delegation, benefits of delegation to manager, organisation and staff, delegation and motivation, responsibility and authority, levels of decision making (Tannenbaum and Schmidt's tell, sell, consult, share, delegate model), identification of work to delegate, identification of potential delegates, matching of work to delegates, gradual delegation models such as recommend/act/delegate, principles of learning such as learning curve, learning styles, conscious/unconscious competence (Johari Window)

Psychological barriers: managers' psychological barriers to delegation (loss of control, lack of trust, reluctance to take risks, loss of stature, fear of loss of position, lack of confidence in others, lack of necessary skills required to delegate effectively, resistance to change); staff member's psychological barriers to delegation (fear of criticism, lack of skills, being 'dumped on', lack of rewards, dislike of responsibilities, increased workload, fear of failure, resistance to change)

Coordinating delegated work: one-to-one meeting skills, processes for briefing staff, model/checklist such as TRUST ME, importance of defining desired outcomes, resources, benefits, responsibilities, timescales, SMART objectives, determination of critical review points: coordination tools such as simple project management methodology – activity lists, to-do lists, Gantt charts, milestones, work schedules, regular reporting systems, exception reporting, one-to-one progress review meetings, budgetary control

4 **Understand the purpose of setting work objectives with team members**

The value of setting objectives: importance of setting objectives for individuals, importance of setting team objectives, the link between individual, team and organisational objectives: agreeing objectives; SMART objectives (specific, measurable, achievable, realistic, time-based); improves motivation; increases empowerment; provides clarity; provides focus; improves decision making; encourages the prioritising of activities; provides direction; encourages responsibility; allows personal growth; encourages an achievement culture, encourages trust

Support: coaching models (GROW model – Goal, (current) Reality, Obstacles/Options, Will/Way Forward; Pinnacle Performance Model for Effective Leadership – Humphrey and Stokes), conduct of one-to-one review meetings, giving feedback skills, review of learning, dealing with critical incidents; providing group support, group meetings, resources support, mentoring support, support through giving guidance and advice, sourcing external support if appropriate, support from colleagues, support through motivation, support through providing manuals and job-related documents, training support, educational support, support through flexible working arrangements

Monitoring progress: establish clear performance expectations; standardise performance processes and practices; use monitoring tools such as simple project management methodology – activity lists, to-do lists, Gantt charts, milestones; work schedules (monitoring quality, monitoring production volumes, checking customer orders, monitoring delivery schedules, monitoring sales figures, monitoring customer satisfaction surveys, monitoring progress on health and safety issues, monitoring externally set targets, monitoring organisational employment statistics); regular reporting systems, exception reporting, one-to-one progress review meetings, team and group progress meetings, written progress reports, analysis of statistical information, budgetary control; importance of planning for things that could go wrong, importance of reviewing work on a regular basis and reviewing plans, importance of providing regular feedback, contingency planning

5 **Know the importance of promoting quality in the workplace**

Approaches to quality: customer based, manufacturing based, product based, value based, user based, transcendent: excellence, lack of defects, fitness for purpose, value for money, conforming to customer expectations, performance, features, reliability, conforming, durability, serviceability, consistency, courtesy, responsiveness, reliability, efficiency, safety; service versus product quality, kaizen and continuous development, zero defects; workplace context: links to business plans, objectives and markets; quality as everyone's responsibility, quality chain; internal customers concept; measuring quality: financial or cost of conformance measures – operations costs of non-conformance measures – costs of exceeding requirements; customer-based measures – customer satisfaction, customer surveys, handling complaints; benchmarking eg informal benchmarking, formal benchmarking, performance benchmarking, best practice benchmarking

Theoretical approaches: advantages and disadvantages of approaches – benchmarking, continuous improvement, quality inspection and control, quality assurance; Total Quality Management (TQM), Six Sigma, quality management systems, ISO 9000, European Foundation for Quality Management's Business Excellence Model, Failure Mode and Effects Analysis, Peters and Waterman's Eight Attributes of Excellence, Investors in People (IiP)

Promoting a quality culture: quality assurance team, self-managed teams and quality circles; focus groups (process improvement group, process review group, technology improvement group, knowledge transfer group); 'interlocking teams', need for top management commitment, need for workforce commitment, need to set quality standards, no successes or failures – just learning experiences, focus on processes, importance of open and honest communication, open access to information, workforce empowerment, partnerships with suppliers, external auditing, customer service policies, internal customers, external customers, feedback from customer surveys, feedback from audits

Barriers to quality: inflexible policies, procedures and processes; organisational culture and structure, limited management perspectives, lack of commitment from senior management, changing customer expectations, lack of organisational vision and objectives, closed communication systems, closed knowledge channels, limited staff development, inadequate support mechanisms, poor supplier support

Essential guidance for tutors

Delivery

For learning outcome 1, leadership and management could be introduced with the tutor providing an overview of the debate about the differences and similarities between the roles. A useful starting point in the debate could be a discussion around the qualities and attributes of well-known leaders in different situations, for example Winston Churchill and Richard Branson. This will give learners opportunities to discuss and compare leadership attributes in different contexts. Learners will have had experience of being part of a team, either in a workplace or in social situations, and they should be encouraged to draw on their experiences in tutor-led discussions.

Learning outcome 2 could require tutor input, particularly in the areas of motivation and the allocation of work. A useful starting point could be a tutor-led discussion on what motivates each learner in the group in their place of work. Learners could again be encouraged to draw on their experiences when looking at the link between motivation and leadership skills. It would be useful to introduce mini case studies to facilitate small discussion groups on conflict resolution. This approach will provide the tutor with opportunities to draw on the experiences of learners in the workplace or in social situations.

Learners could be introduced to the theories and models of delegation in learning outcome 3 with tutor input and discussion. This could be followed by small-group work with a case study looking at ways of coordinating delegated work. In the scenario, the case study could provide opportunities for learners to describe possible psychological barriers to delegation. Groups can be asked to feed back and compare their findings.

There are opportunities to link the learning on delegation from learning outcome 3 and the allocation of work in learning outcome 2 to learning outcomes 4 and 5. Tutor input may be required on methods of setting objectives, providing support and monitoring progress towards the objectives. The experiences of learners either as a leader or as a team member should be utilised to encourage discussion. This could be followed by a case study where learners are asked to set objectives for a team in a work situation – for example, to set sales targets for a sales team. Learners could be asked to follow this up by suggesting ways in which support could be provided for the sales team to help them meet their targets. Finally, learners could describe practical and appropriate ways of monitoring progress towards the objectives. Tutor input will be required on the theories and models of quality. Mini case studies on companies such as Toyota and Marks and Spencer are a good vehicle for generating discussion on developing a quality culture. They are also a useful starting point for introducing issues that focus on barriers to promoting quality in the workplace. Topical examples from the press on organisations which have problems with developing a quality culture are also very good starting points with this topic.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with either portfolio (internal assessment) or multiple-choice (MCQ) tests (external assessment).

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit
Tutor input – introduction to leadership and management
Tutor input and discussion – leadership skills
Tutor input and discussion – functions of management
Tutor input and discussion – leadership and management theories
Small-group activity – case studies on leadership and management
Assignment 1: What is a Leader?*
Tutor input and discussion – introduction to the concept of work allocation
Tutor input – conflict management
Small-group activity – case studies on conflict management
Tutor input – motivation theories
Tutor input, mini case studies and examples – the link between motivation and leadership skills
Assignment 2: Motivating the Team*
Tutor input and discussion – delegation
Tutor-led discussion – benefits of delegation to managers and staff
Tutor input – psychological barriers
Small-group activity – case studies on psychological barriers
Assignment 3: Delegating Work*
Tutor input and discussion – objective setting
Tutor input and discussion – providing support: models and practical issues Role-play activity – feedback skills
Tutor input and mini case studies – monitoring progress
Tutor input – introduction to quality
Tutor input and discussion – quality models
Tutor input with business examples and discussion – promoting quality culture
Tutor input and discussion – barriers to quality
Assignment 4: Delegation and Quality*
Review of unit and onscreen multiple-choice tests OR review of unit and programme of assignments (portfolio assessment)

***Suggested assignment titles for portfolio assessment only**

Assessment

This unit can be assessed through either portfolio (internal assessment) or an onscreen multiple-choice (MCQ) test (external assessment). The following information on assessment relates to assessment by portfolio. Edexcel publishes separate guidance and information on MCQ testing.

For AC1.1, learners need to outline the functions of management, showing that managers are responsible for performing a range of functions in the workplace. It is not necessary for learners to go into great detail about each of the functions.

For AC 1.2 and 1.3, learners need to describe the skills associated with leadership and link these to a description of the differences between leadership and management. This will require some knowledge of the debate surrounding the issue of leadership and management and the perceived differences.

For AC2.1, learners need to describe methods that managers/leaders can use to allocate work to others. Their descriptions should provide reasons why planning and agreeing allocations is important if objectives are to be met.

For AC2.2, learners need to compare practical and workable ways of managing conflict, demonstrating an understanding of the importance of identifying causes of conflict in a team.

For AC2.3, learners need to analyse the links between leadership skills and motivation, demonstrating some background knowledge of motivational theories such as those of Maslow and Hertzberg. They need to identify appropriate leadership skills and show how these skills link to the practical application of motivating people in the workplace.

For AC3.1, learners need to describe the purpose of delegation, demonstrating an understanding of what the process of delegation involves in the workplace, taking account of the benefits to managers/leaders, staff and the organisation.

For AC3.2, learners need to describe ways of coordinating delegated work that are appropriate to the situation they are working with, either through a case study or their work experience.

For AC3.3, learners need to analyse possible psychological barriers to delegation, showing an awareness that barriers to delegation can come from several quarters including individual staff, teams and managers.

For AC4.1, learners need to describe the value of setting agreed work objectives with team members, demonstrating an understanding of SMART objectives and recognising the importance to managers/leaders and staff of agreeing the objectives.

For AC4.2, learners need to compare practical and workable ways of providing support to meet work objectives with team members that are appropriate to the situation they are working with, either through a case study or their work experience.

For AC5.1, learners need to outline ways of developing a quality culture in the workplace, demonstrating knowledge of theoretical approaches to quality. They need to include quality processes and procedures that have been implemented in practice in a workplace, providing examples to support their outline.

For AC5.2, learners need to describe possible barriers to promoting quality in the workplace with reasons why the barriers may exist at different levels throughout the workplace.

Programme of suggested assignments

The table shows a programme of suggested assignments. This information on suggested assignments relates to assessment by portfolio only. Edexcel publishes separate guidance and information on MCQ testing. This programme is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2, 1.3	What is a Leader?	Analyse the role of a real leader or through a case study.	Presentation
AC 2.1, 2.2, 2.3	Motivating the Team	Allocation of work causes conflict which requires resolution and a motivation boost.	Report
AC 3.1, 3.2, 3.3, 4.1, 4.2, 4.3	Delegating Work	Case study part 1: delegation and setting objectives.	Report
AC 5.1, 5.2	Delegation and Quality	Case study part 2: quality issues.	Report

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Adair J – The Inspirational Leader: How to Motivate, Encourage and Achieve Success (Kogan Page, 2009) ISBN 0749454784

Adair J and Thomas N (ed) – *The Best of Adair on Leadership and Management* (Thorogood, 2008) ISBN 1854186086

Bennis W and Goldsmith J – *Learning to Lead* (Basic Books, 2010) ISBN 0465018866

Brooks I – *Organisational Behaviour: Individuals*, *Groups and Organisations, 4th Edition* (Financial Times/Prentice Hall, 2008) ISBN 0273715364

Crainer S (ed) – *Leaders on Leadership* (Institute of Management, 1996) ISBN 0859462676

Frohman D and Howard R – *Leadership the Hard Way: Why Leadership Can't be Taught - And How You Can Learn it Anyway* (Jossey-Bass, 2008) ISBN 0787994375

George B, McClean A and Craig N – *Finding your True North* (Jossey-Bass, 2008) ISBN 0470261366

Humphrey B and Stokes J – *The 21st Century Supervisor: Nine Essential Skills for Frontline Leaders* (Pfeiffer & Co, 1999) ISBN 0787946842

Lefton R and Buzzotta V – *Leadership Through People Skills* (McGraw-Hill, 2004) ISBN 0071420355

Nahavandi A – *The Art and Science of Leadership*, *5th Edition* (Pearson Education, 2008) ISBN 0132089955

Pedlar M, Burgoyne J and Boydell T – *A Managers Guide to Leadership* (McGraw-Hill Professional, 2004) ISBN 0077104234

Rollinson D – *Organisational Behaviour and Analysis: An Integrated Approach, 4th Edition* (Financial Times/Prentice Hall, 2008) ISBN 0273711148

Thomas N (ed) – *The John Adair Handbook of Management and Leadership* (Thorogood, 2004) ISBN 1854182048

Journals/magazines

Academy of Management Perspectives (Academy of Management)

Harvard Business Review (Harvard Business Publishing)

International Journal of Project Management (Elsevier)

International Journal of Training and Development (John Wiley and Sons)

Management Today (Haymarket Business Media)

Organizational Dynamics (Elsevier)

Professional Manager (Chartered Management Institute)

Websites

www.6sigma.us	Offers training on improving business performance
www.business.com	Business search engine
www.businessballs.com	Useful overviews of theories, models, history of quality management and links to other articles and websites
www.cipd.co.uk	Chartered Institute of Personnel and Development
www.cqm.org	Centre for Quality of Management
www.efqm.org	European Foundation for Quality Management – helping European organisations learn from each other and improve performance
www.i-l-m.com	Institute of Leadership and Management
www.managers.org.uk	Chartered Management Institute – searchable database which members can use to access journal articles and other publications
www.managementhelp.com	Free management library for articles and blogs on TQM

Unit 2: Improving Your Own Management and Leadership Performance

Unit code:	**H/602/0416**
QCF Level 3:	**BTEC Specialist**
Credit value:	**2**

Guided learning hours: 20

Unit aim

This unit provides the learner with an understanding of the skills and knowledge needed for effective management and leadership, and the processes involved to improve own performance.

Unit introduction

This unit introduces learners to the importance of identifying and evaluating the skills and knowledge required for effective management and leadership. The focus of the unit is on learners understanding ways to improve their own performance through assessing career and personal goals and planning development. Learners will examine the knowledge and personal skills needed for management and leadership at this level of responsibility.

This unit will also help learners understand how to assess career and personal goals through receiving feedback on individual performance as the basis for improving their own performance. Learners can research different sources of feedback and compare the usefulness of these for improving management and leadership performance.

Understanding how to conduct a skills audit to identify any gaps in skills is important, and learners will examine how the information from this audit is then used to inform the structure for a personal development plan. Learners will be able to research a range of personal and interpersonal skills needed for a relevant job role and, through developing SMART objectives, identify the resources needed to support the achievement of objectives of the plan. Finally, this unit will provide learners with an understanding of the importance of the ongoing monitoring and review of a personal development plan.

Method of assessment

This unit can be assessed through either a portfolio of evidence (internal assessment) or a multiple-choice (MCQ) test (external assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria
1 Know the importance of management and leadership skills	1.1 describe the knowledge and skills needed for management and leadership
2 Understand how to assess career and personal goals	2.1 describe the importance of setting personal work objectives
	2.2 compare ways to collect feedback to improve management and leadership performance
	2.3 analyse ways to use feedback to improve management and leadership performance
3 Understand the importance of having a personal development plan to improve own management and leadership performance	3.1 describe how to produce a plan using a skills audit
	3.2 describe resources and activities needed to meet objectives of a personal development plan
	3.3 analyse the importance of monitoring a personal development plan
	3.4 describe the importance of reviewing a personal development plan

Unit content

This content has been written in an expanded format to facilitate both multiple-choice (MCQ) testing and portfolio assessment. Learners presenting work for portfolio assessment are not expected to evidence all of the content. Learners who opt for MCQ assessment could be tested on any part of this content

1   **Know the importance of management and leadership skills**

Management and leadership skills: communicating, influencing and persuading, leading by example, motivating, consulting, planning, setting objectives, providing feedback, coaching, mentoring, valuing and supporting others, empowering, learning, following, managing conflict, obtaining feedback

Listening skills: body language (eye contact, nodding, responsive facial expressions, arms uncrossed, 'alert' posture); concentration on speaker shown through use of encouraging words and questions (yes, tell me more about…, how did you feel about that?, how did you deal with that?; summarising conversation so far – stating main points)

Speaking skills: choice of language – comprehensible to audience, respectful to audience and all colleagues, avoiding negative language such as afraid, anxious, disgusted, insulted, overwhelmed; clear and confident; use of questioning – open questions to encourage fuller answers and explore issues, closed questions to clarify facts and to discourage fuller answers, leading questions – questions with suppositions, use of leading questions to influence, dangers of leading questions when researching

Writing skills: correct format, suitable structure, grammatical conventions, clear sentence construction, correct use of jargon, accurate spelling, avoid colloquialisms in formal communications, courteous professional tone

Netiquette: follow organisation's protocols for using email and online communications, avoid unnecessary mass emailing, avoid repeated forwarding of emails, avoid use of all capitals in emails, ensure courtesy and confidentiality are respected

Presentation skills: clear structure with welcome, introduction, objectives, introduction and explanation of information in logical order, summary, next steps and thanks for attending, clear visual aids, room layout allowing all participants to see presenter and visual aids, clear speech, eye contact with participants

Dealing with stress: setting clear goals, using time management skills, planning, acting rather than procrastinating, examining facts rather than speculating, breaking large tasks into chunks, being assertive, controlling interruptions, analysing problems and forming plans for worst possible outcomes

Time management: importance (limited resource, major expense for an organisation); assertiveness (feeling free to discuss feelings, thoughts and desires, knowing own rights, control over anger, understanding and respecting feelings and rights of others); unassertive behaviour (either aggressive or passive); saying 'No', being able to delegate, handling interruptions, taking control over telephone and email communications, overcoming procrastination, daily focus on what is important, avoiding over-perfectionism, planning

Communication skills: one-to-one meetings/conversations (clear structure with beginning – welcome, explaining background and purpose of meeting, acquire – information gathering, looking at different angles, supply – summarise and work out how to move forward, part-agree explicitly what actions are to be taken, when and how these are to be checked)

Information technology skills: use of packages used in organisation for document production, data management, handling numerical information, diary management or other work scheduling software, communication, use of internet, intranet and extranet, use of landline and mobile telephony, video and audio conferencing skills

Importance of leadership skills: adaptation to different role, loss of camaraderie with colleagues, first-line manager as an intermediary between staff and management, role partly technical and partly management and leadership, need to develop greater understanding of the organisation and its stakeholders, need to learn new skills, ability to develop new skills and behaviours

Leadership qualities: articulate a vision that generates excitement, enthusiasm and commitment, create sense of common purpose, take personal responsibility for making things happen, make complex things simple, encourage and support others to take decisions autonomously, act within the limits of own authority, make time available to support others, show integrity, fairness and consistency in decision making, seek to understand people's needs and motivations, model behaviour that shows respect, helpfulness and cooperation, encourage and support others to make the best use of their abilities, application of leadership behaviours to different situations

Leadership theories – power and authority: bases for power (French and Raven) charismatic (stemming from the leader's personality and personal magnetism), legitimate (deriving from the leader's position in the organisation), expert (based on the leader's technical knowledge or expertise), reward (based on ability to reward subordinates with pay, promotion, praise or recognition, coercive (based on the leader's ability to punish); validity of each source dependent on the situation – culture, environment, colleagues; application to specific situations

Leadership theories – task, team and individual needs (Adair): achieve the task (the task needs a team as it is too much for one individual); build and maintain the team (if team needs are not met the task will suffer and the individuals will not be satisfied); develop the individual (if individual needs are not met the team will suffer and the performance of the task will be impaired); model of overlapping circles showing need to focus at different times on single aspects, or different combinations of all three aspects; application to specific situations

Leadership theories – model of different leadership styles: (Tannenbaum and Schmidt) Continuum of Leadership Behaviour (tells – manager makes decision and announces it, sells – manager sells decision, tests – manager presents tentative decision and asks for comments, consults – manager presents problem, gets suggestions, makes decisions, joins – manager asks group to make decision within defined limits); advantages and disadvantages of 'tell' style (quick result, no management time spent on meetings, good in emergencies, does not develop team or individual skills, does not use skills and knowledge of team members, team may resent lack of involvement in decisions, likely to reduce motivation in the long term); advantages and disadvantages of 'sell' style (takes little management time, fairly quick decision making, team understand the reasons for the decision, team may resent lack of involvement in decisions in the long term, does not use skills and knowledge of team members); advantages and disadvantages of the 'test' style (fairly quick, team feel they have a chance to influence decisions so would have more commitment to the decision, process uses some of the skills and knowledge of the team members); advantages and disadvantages of the 'consult' style (uses skills and knowledge of team members, team feel high commitment to the decision, team develop more skills and knowledge through their involvement, decision making rather slow); advantages and disadvantages of the 'join' style (skills and knowledge of all team members fully utilised, approach likely to develop both individuals and team, there is likely to be high commitment to decisions made, slow decision making; appropriate style depends upon urgency, maturity of team, expertise of team members, whether team is permanent or temporary); choice of different styles for different situations; application to different situations

2 **Understand how to assess career and personal goals**

Setting personal work objectives: objectives set from comparison of requirements with existing skills, motivating/compelling; objectives should be SMART (specific, measurable, achievable, realistic and time-based); realistic number of objectives to include in plan (up to six, reasons for not including more – overwhelming, too many to focus on, lead to feelings of failure and loss of confidence); setting objectives (where you are going and how you are going to get there)

Feedback sources: feedback from others including appraisal; 360° appraisal with feedback from different people in the workplace (managers, colleagues, customers); performance reviews; keeping a reflective diary to monitor activities carried out, what went well, what didn't go so well, areas for improvement

Collecting feedback: collecting feedback over a period of at least six months; being clear what is required to meet work and personal objectives and goals; identifying own preferred learning style – Kolb's definitions of learning styles for self-analysis (accommodators, divergers, convergers, assimilators)

Using feedback to improve performance: conduct reflective exercises to identify learning and development needs required for current and likely future roles; reflect on work activities undertaken and how these meet job role competencies; reflect on training attended and how this meets job role competencies; evaluate work activities and plan to develop knowledge, understanding and skills in ways that fit with preferred learning style

3 **Understand the importance of having a personal development plan to improve own management and leadership performance**

Skills audit: definition (comparison of personal work-related skills with those needed for current work role and intended future work roles)

Sources of information: requirements (job descriptions, person specifications), business plans for organisation or department, line manager, mentor, National Occupational Standards, professional bodies, research into future of industry

Level of skills: own assessment, feedback from manager, feedback from peers, feedback from customers, use of workplace performance measures, personality profiling tools, emotional intelligence (EQ) assessment tool measuring levels of self-awareness, emotional resilience, motivation, interpersonal sensitivity, influence, intuitiveness and conscientiousness, leadership assessment tools

Personal development plan: evaluates current level of work-related personal skills, identifies scope for improvement of personal work-related skills, sets objectives for development of skills, identifies actions that can be taken to improve targeted skills, includes planned monitoring and review of progress; reasons for creating and implementing (based on the widely accepted learning cycle as model of how adults learn – Concrete experience, Reflective observation, Abstract conceptualisation, Active experimentation (Lewin/Kolb and developed by others), enables learners to take control of their learning and become independent learners, ensures own development is given sufficient time and attention, the objectives or goals are motivating, breaking down objectives into clear activities makes them easier to achieve, having a plan attracts and focuses support of others in the workplace, the review and monitoring celebrates achievements and builds confidence, having a personal development plan helps people cope with changes

Resources to meet objectives: courses delivered by employer or by training providers, National Vocational Qualifications (NVQs), distance learning courses, computer-based training, working with experienced practitioner, reading manuals or selected books, practising skills and evaluating results, practising skills and collecting feedback on performance from peers, line manager or mentor, research using the internet

Activities to develop targeted skills: aspects to consider: whether in-house or more general knowledge needed, availability of resources (skilled and suitable colleagues to act as role models/mentors, learning resources, budget for bought-in training); type of skill gap (need new knowledge, need to change habitual behaviour, need to change attitude, need to practise to gain fluency and confidence, amount of learning or change required, learning preferences of learner)

Setting review dates: importance (to maintain focus, to motivate, to revise in the light of changes, to reflect on learning); conduct of review (set date when plan devised, involve manager or mentor, agree objectives to be completed by review date)

Feedback: compare achievements with objectives, reflect on learning, agree whether objectives achieved or not, discuss problems

Monitoring plan to assess progress against targets: importance (to agree further development activities, record results, set date for next review)

Essential guidance for tutors

Delivery

This unit introduces learners to the importance of identifying and evaluating the skills and knowledge required for effective management and leadership. Learners will understand the processes involved to improve their work and personal performance. Delivery of this unit gives the opportunity to use as wide a range of teaching and learning strategies as possible, including lectures, discussions, seminar presentations, case studies, role play, video clips, internet research and library resources. Learners can also draw on personal and employment experience.

A good starting point to introduce the unit and learning outcome 1 would be to have a group discussion on the differences between management and leadership, and for learners to use their own experience or knowledge to identify someone who has provided a good role model for leadership, describing four qualities they have displayed. The results of this can be discussed in groups, and learners can rank the qualities according to their perceived importance. This can be developed into a tutor-led discussion on the different kinds of leadership styles and how these impact on learning (eg democratic, autocratic, *laissez-faire*).

An important attribute for all team leaders is to communicate effectively, and role-play activities and video clips/DVDs can be used to illustrate the importance of both verbal and non-verbal communications. Learners can undertake role-play activities to illustrate listening skills and the importance of two-way communication using the EARS model (empathise, acknowledge, reflect and summarise).

Tutors can deliver input on theoretical models and concepts of leadership by introducing John Adair's Action Centred Leadership model. Learners can work in groups and investigate the team leader practices which encourage high commitment and motivation. They can research different methods a team leader can use on a day-to-day basis to motivate the team, and the results of this can be presented to the rest of the group on a flipchart for further discussion.

For learning outcome 2 learners could be encouraged to examine a range of feedback sources, including both formal and informal methods, and how this feedback can be used to improve management and leadership performance. Learners should practise giving constructive and positive feedback through role play. Tutor input on the importance of giving constructive feedback is vital, as is receiving feedback in a way that can be easily taken on board by the recipient. Video clips or DVDs can be used to reinforce good and poor practice.

Learners need to know the nature of learning and how it takes place. Using Kolb's learning cycle model and Honey and Mumford's learning styles to illustrate this, learners can work in small groups to discuss how understanding learning helps the team leader and benefits the team.

Tutors can introduce the importance of setting personal work objectives by explaining that effective team leaders use techniques including setting clear aims and objectives utilising the concept of setting SMART objectives. Learners can select a team to which they belong and examine whether it has clear aims and objectives using the SMART approach.

For learning outcome 3 learners can research the skills and knowledge required for a suitable job role at this level (this could be their own if they have one) and then complete a skills audit against the competencies and knowledge requirements.

Using this information from the skills audit learners can create an initial development/action plan linked to personal and work objectives. Self- and personal development might include maintaining a learning diary/log, progress review documentation and records of meetings with others such as employers or tutors who can provide guidance.

In constructing individual career and learning plans, learners may be offered a pre-existing pro-forma plan, or helped to develop their own format. Tutors should encourage learners to think about their career objectives for the short, medium and long term (one, three and five years) respectively. For learners who are just starting to think about their career paths, longer-term goals may not be entirely appropriate and may be difficult to set in a rapidly changing, global economic environment.

Learners will need to understand the importance of identifying the resources needed to support the achievement of objectives in the plan, and identifying how they will source these. Reviewing and monitoring of targets is essential and learners will need to understand the importance of this for improving performance. Learners can visit organisations to compare the learning and development activities that are used and their suitability for personal development to improve work performance.

Delivery should be learner-centred and participatory, encouraging them to explore and develop their own sources of information. Learners should be helped to develop skills of self-review and encouraged to actively maintain their career and learning plans after completion of this unit.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with either portfolio (internal assessment) or multiple-choice (MCQ) tests (external assessment).

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit
Tutor-led discussion – theory components of management and leadership Group work and exercises
Role-play activities – personal and interpersonal skills and behaviours
Tutor input – theoretical models and concepts of leadership
Small-group activity – researching knowledge and skills needed for management and leadership **Assignment 1: Management and Leadership***
Tutor input – feedback Role-play activities
Small-group activity – researching suitable development activities to improve performance
Activity – learners conduct a skills audit, with tutor support
Tutor input – components of development plan and setting SMART objectives
Activity – learners prepare a personal development plan, contributing to **Assignment 2: Personal Development Planning***
Review of unit and onscreen multiple-choice tests OR review of unit and programme of assignments (portfolio assessment)

Suggested assignment titles for portfolio assessment only

Assessment

This unit can be assessed through either portfolio (internal assessment) or an onscreen multiple-choice (MCQ) test (external assessment). The following information on assessment relates to assessment by portfolio. Edexcel publishes separate guidance and information on MCQ testing.

Evidence for assessment will be generated from the learning programme. For much of the evidence learners will need to research information and make decisions based on it. The personal development plan, skills audit and appropriate continuous professional development material will develop from the choices made from the research.

For AC1.1, learners need to describe the knowledge and skills needed for management and leadership. Learners can relate this to a given job role, and provide information which is sufficiently detailed and more than just a list.

For AC2.1, learners need to describe the importance of setting personal work objectives, demonstrating that they can set SMART objectives.

For AC 2.2 and 2.3, learners need to show that they understand the importance of giving and receiving constructive and positive feedback to improve management and leadership performance. They need to compare at least three different ways of collecting feedback and analyse at least three different ways of using feedback, giving examples to illustrate how this can improve performance.

For AC3.1, learners need to describe the steps involved in producing a personal development plan using a skills audit. They need to understand the importance of identifying skills gaps and how this information can be used to inform the development plan. Learners will need to look at a wide range of skills and knowledge needed for effective management and leadership.

For AC3.2, learners need to describe the resources and different types of development activities that are needed to help meet the objectives of a personal development plan. Learners can relate this to their own skills gaps for a given job role and draw on a range of suitable on-the-job and off-the-job activities.

For AC3.3, learners need to analyse the importance of monitoring a personal development plan and then describe the importance of reviewing the plan (AC3.4).

It is possible to assess work orally, with learners explaining and describing things to the assessor in discussion or in group work or in a presentation. If oral assessments are used then the work must be directly attributable to the learner, and hard copies of the learner's presentation slides/notes or discussion notes/prompts made available in addition to a detailed assessor statement. The assessor must provide a signed statement that includes detail of the evidence presented that is aligned to the criteria. The evidence must support achievement of the criteria. If there is sufficient evidence from the oral work or from observations to make an assessment decision then the assessment decision should be shown.

Programme of suggested assignments

The table shows a programme of suggested assignments. This information on suggested assignments relates to assessment by portfolio only. Edexcel publishes separate guidance and information on MCQ testing. This programme is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1	Management and Leadership	The learner produces material for an induction programme.	A booklet aimed at new team leaders
AC 2.1, 2.2, 2.3, 3.1, 3.2, 3.3. 3.4	Personal Development Planning	The learner carries out a skills audit and uses the results to produce a personal development plan.	Skills audit and personal development plan

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Adair J – *The Inspirational Leader: How to Motivate, Encourage and Achieve Success* (Kogan Page, 2009) ISBN 0749454784

Honey P – *Teams and Teamwork* (Peter Honey Publications, 2001) ISBN 1902899156

Leigh A and Maynard M – *Leading Your Team: How to Involve and Inspire Teams, 2nd Edition* (Nicholas Brealey Publishing, 2002) ISBN 1857883047

Journals/magazines

Management Today (Haymarket Business Media)

People Management (Chartered Institute of Personnel and Development)

Professional Manager (Chartered Management Institute)

Websites

www.managers.org.uk	Chartered Management Institute – searchable database which members can use to access journal articles and other publications
www.peterhoney.com	Offers a range of questionnaires and trainer packs
www.trainingjournal.com	*Training Journal* – an online learning and development resource

Unit 3: Managing the Delivery of Customer Service

Unit code: M/602/0418

QCF Level 3: BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with the knowledge and understanding of the importance of managing the delivery of customer service through processes that provide a positive customer experience.

Unit introduction

The level of customer service provided by an organisation is the key to business success, as today's customers expect a higher level of service to that of a few years ago. Therefore, it is important to build relationships with internal and external customers and provide excellent customer service to meet their needs and expectations. This involves good communication and interpersonal skills, a thorough knowledge of the product or service provided, and the ability to monitor and evaluate the quality of customer service provided.

In this unit learners will learn what customer service is and the benefits of providing excellent customer service to both external customers and customers inside the organisation. They will consider how organisational policies can help ensure that managing customer service delivery is consistent with overall organisational methods, aims and values. Organisations will have procedures for dealing with customers, communication and complaints.

Learners will review relevant legislation to identify how it affects customer service development, including legislation relating to consumer protection, data protection, equal opportunities, diversity and inclusion and health and safety. This unit explores the ways that organisations and their staff build effective relationships with their customers and why this is important to improve the customer experience.   Learners will look at the importance of identifying and confirming customer needs, and ways to develop their knowledge and interpersonal skills.

Finally, learners will examine how businesses monitor and evaluate their level of customer service by obtaining feedback, and how this enables them to make improvements to the service processes.

Method of assessment

This unit can be assessed through either a portfolio of evidence (internal assessment) or a multiple-choice (MCQ) test (external assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria
1 Know how to manage the delivery of customer service	1.1 define customer service
	1.2 describe ways of managing the delivery of customer service
2 Understand how to improve the customer experience	2.1 describe ways to meet the needs and expectations of different types of customer
	2.2 analyse how legislation affects customer service delivery
	2.3 compare ways of improving the customer experience
3 Understand how to improve customer service delivery	3.1 compare ways of monitoring customer service
	3.2 analyse ways of evaluating customer service
	3.3 describe the importance of making improvements to customer service processes

Unit content

This content has been written in an expanded format to facilitate both multiple-choice (MCQ) testing and portfolio assessment. Learners presenting work for portfolio assessment are not expected to evidence all of the content. Learners who opt for MCQ assessment could be tested on any part of this content

1 **Know how to manage the delivery of customer service**

Customer service: definition of customer service from the Institute of Customer Service (customer service is the sum total of what an organisation does to meet customer expectations and produce customer satisfaction. Customer service generally involves service teamwork and service partnerships. Although somebody may take a leading part in delivering customer service it normally involves actions by a number of people in a team or in several different organisations); role of the Institute of Customer Service (a professional body made up of organisational and individual members with the aim to lead customer service performance and professionalism); the Customer Service Network (a networking organisation where the aim is for members to learn from one another and share best practice)

Customer service delivery: providing consistent and reliable service; matching or surpassing customer needs/expectations; providing a personal service; staff knowledge and understanding of organisation's products and services; providing accurate information; key factors affecting customer service delivery (the need to balance customer expectations and needs with organisational aims and objectives, the service chain and the need to ensure that several services are integrated to meet customer needs – production, finance, marketing, selling, logistics, customer service)

Managing customer service delivery: importance of reviewing systems (to bring about improvements); customer profiling, customer research techniques (informal customer feedback, customer questionnaires, comment cards, staff feedback, mystery customers); complaint/complimentary letters; evaluating feedback, level of sales, repeat customers, new customers, level of complaints, staff turnover; planning for change in competitive environment (improvements to quality of service, reliability, keeping staff by improving job satisfaction, working environment, attracting new customers, increasing turnover, complying with legal obligations); importance of teamwork by ensuring each member of the team carries out their own role in providing customer service (providing information, providing resources, developing products, producing products, collecting and delivering products at set times); service partnership (when two organisations or departments in same organisation combine to provide effective customer service – encourages teamwork and cooperation)

Role of organisational policies and procedures: purpose (to ensure consistency with organisational practice, aims, goals, values; helping to keep within restrictions set by legislation and regulatory bodies where they exist (to ensure legislation/regulation complied with); helping organisations surpass minimum requirements and adding value to offer competitive advantage (quality products, value for money, speed of service); protecting individuals in potentially vulnerable circumstances (referring difficult customers to senior staff, procedures regarding health and safety, security of information)

Types of organisational procedure: staff training; customer research; handling customer queries; handling customer complaints; keeping customer records; updating customers; procedures for improving products/services; procedures for introducing new products/services; pricing strategies; communication within organisation; completing financial transactions

Benefits of providing excellent customer service: features of effective customer service (meeting customers' needs, providing accurate and complete information, fulfilling commitments to customers, keeping customers informed, consistently meeting quality standards); importance (to earn repeat business from customers, to encourage customers to spend more with the organisation, to save wasting time on dealing with complaints, to enhance reputation of the organisation, customers willing to pay more for goods or services if customer service is perceived as excellent, to have competitive advantage over rivals, to be profitable, to be able to invest in improvements)

2 **Understand how to improve the customer experience**

Types of customer: internal customers (team colleagues; supervisors; staff in other teams, departments or company sites, service providers); external customer types (clients, patients, visitors, guests): existing; new; individuals; groups; businessmen and women; customers with particular needs (English not first language, visual difficulties, hearing difficulties, mobility difficulties); different groups of customers (customers of different ages, different cultures, individuals, families)

Customer needs and expectations: identifying needs (being well prepared, knowledge of product/service/promotion materials, listening to customer, asking questions to clarify needs, relating needs to products/services, checking timescale, explaining relevant quality standards, confirming transaction; exceeding customer expectations in level of service offered (in providing value for money, extra services — free delivery, dedicated helpline, follow-up service); methods of comparing an organisation's customer service offer with that of competitors (gathering information through published data – www.comparison.com); reasons for comparing (to introduce similar measures, to seek to surpass them); achieving and sustaining competitive advantage; unique selling points

Communicating with customers: ability to communicate with diverse group of customers; methods of communication (face to face, telephone, email, text message, writing); techniques to ascertain customer needs (questioning, listening, clarifying); the need to provide clear, accurate information

Data Protection Act 1998 and confidentiality: Data Protection Act lays down principles for those handling personal information; information must be fairly and lawfully processed; processed for limited purposes; adequate, relevant, not excessive; accurate and up to date; not kept for longer than necessary; processed in line with rights; secure; not transferred to other countries without adequate protection; the right of individuals to find out what personal information is held about them in computer and paper records

Health and safety: health and safety within the organisation, rules that govern health and safety within the job role, balancing cost of health and safety legislation and an organisation's objectives; Health and Safety at Work Act – employers must maintain workplace, machinery and ensure equipment is safe and without risk to health; provide training to employees to carry out work safely; keep the environment safe; keep work areas safe (access to and from); each organisation to have written safety policy; to consult with safety reps of trade union or establish safety committee (varies according to number of employees)

Trade Descriptions Act 1968: any descriptions of goods and services (including verbally, in writing – advertisement, packaging, or implication) given by a person acting in the course of trade or business should be accurate and not misleading; descriptions include quantity, size, gauge; method of manufacture; composition; fitness for purpose; physical characteristics; results of testing; place or date of manufacture; person by whom manufactured; previous ownership or use

Sale of Goods Act 1979: wherever goods are bought it is the responsibility of the seller to ensure they must be as described, fit for purpose, of satisfactory quality (free from minor defects, appearance and finish, durability and safety); if goods do not conform to contract, purchasers can request money back within a reasonable time

Supply of Goods and Services Act 1982: supplier of service must carry out that service with reasonable care and skill, within reasonable time, and make reasonable charge; strict limits on circumstances in which an exclusion or variation will be effective; if conditions of contract are breached, consumer can claim compensation or cancel contract; any goods supplied must be as described, of satisfactory quality, fit for purpose; if not consumer is entitled to repair, replacement or compensation

Consumer Protection Act 1987: strict liability on producers for harm caused by defective products; people injured by defective products can sue for compensation without having to prove producer negligent, provided they can prove the product was defective and the defect in the product caused the injury

Distance Selling Regulations 2000: if goods or services sold via the internet, digital television, mail order, phone or fax, seller must give consumer clear prior information in writing including details of good(s) or service(s) offered, delivery arrangements and payment, supplier's details and consumer's cancellation right before they buy; consumer has cooling-off period of seven days

The customer experience: definition from the Institute of Customer Service (what a customer feels and remembers about the customer service they have received; the customer experience of an individual customer service transaction affects the customer relationship and influences customer expectations for the future; when a customer is about to receive customer service their customer expectations are influenced by all the customer experiences they have had with organisations in the past); improving the customer experience through effective communication and interpersonal skills of the customer service deliverer (calm, polite manner, tone of voice, pitch, listening, body language, appropriateness to situation); dealing with different customer behaviour, personalities; how the behaviour of the service deliverer can affect the customer service experience; building customer relationships through getting to know the customer; providing added value by providing value for money; keeping customers up to date with new products and services; going beyond a basic satisfactory level of service; providing more than customer was expecting; coaching staff to handle customer complaints

3 **Understand how to improve customer service delivery**

Monitoring customer satisfaction: methods for measuring customer satisfaction (surveys – online and telephone, questionnaires, comment cards, complaint/complimentary letters, staff feedback, mystery shopper, suggestion boxes, word of mouth); usefulness and effectiveness of different methods (response rates can be low, time consuming, expensive to conduct, not a representative sample, complicated questions); importance of monitoring (to identify problems early on, to give information on customers' views on products and services, to take action to deal with any problems immediately, to show changes as a result of any improvement programmes)

Evaluating customer service: through sales performance, repeat and retention of customers, new customers, level of complaints/compliments, staff turnover/recruitment, good press; importance (to indicate a reduction in the numbers of complaints, repeat business from loyal customers, retention of customers, reduced staff turnover levels, increased sales and profit); ways of evaluating customer service

Improving customer service provision: importance (to consistently keep ahead of competitors by providing better customer service); gathering and analysing information from customers and colleagues; customer research techniques (informal feedback – customer comments; formal feedback – questionnaires, comment cards, focus groups, complaint/complimentary letters); balancing customer satisfaction with cost of providing service and regulatory requirements; undertaking regular self-evaluation; keeping a complaints log to help identify improvements

Essential guidance for tutors

Delivery

This unit introduces learners to the processes involved in managing the delivery of customer service in order to provide a positive customer experience. If they currently work, learners should be encouraged to use their own organisation as a resource for investigating customer service practices. Visits to other organisations would be beneficial for learners, enabling them to observe and experience customer service practices. Learners will also require access to research facilities and the internet. Case study materials will support areas that cannot be sustained practically. Guest speakers can provide a valuable input to support the underpinning knowledge and understanding of the unit.

For learning outcomes 1 and 2, learners can use their experiences of customer service and discussion groups are a useful way of opening up the subject. Learners will find it beneficial to visit or contact organisations within the customer service industry to assess their customer service delivery. They could take on the role of a mystery customer, provided this is agreed with the management of the organisation in advance.

This unit requires learners to understand the importance of building an effective relationship with the customer. Learners need to recognise the importance of internal customers as well as external customers. They need to understand the benefits to the organisation such as repeat business, increased sales, improved reputation and competitive advantage. It is also important that they appreciate that an effective customer relationship has benefits for staff such as increased job satisfaction and greater chances of promotion. Discussion groups should be used for learners to share good and bad personal experiences of receiving customer service. Some learners may only have experience of being a customer, whereas others may have work experience of delivering customer service and can share their experiences.

Practical situations could be used as much as possible. However, role-play activities are a highly effective way for learners to explore the different ways in which dissatisfied customers and problems may be dealt with. Learners should have the opportunity to evaluate each situation from both the customer's and the member of staff's perspective. Role-play activities are also a useful way of allowing learners to practise and evaluate their interpersonal and communication skills and to suggest ways in which they could improve these skills. Role play can be particularly useful when handling complaints, solving problems and dealing with customers who have specific needs.

The unit develops learners' appreciation of the importance of how legislation impacts on customer service delivery. Learners should be able to describe the legislation and regulations that affect customer service and should understand what effect such legislation has on the performance of the organisation. Tutors should be conscious of the depth of understanding needed at this level and, as part of one learning outcome in a 30-hour unit, care should be taken not to attempt an in-depth delivery of this aspect. Where they are available, copies of organisations' codes of practice, induction materials and programmes will help learners explore organisations' customer service practices.

Guest speakers and/or visits to industry can provide real examples of delivering excellent customer service and a raised awareness of the types of customer problems which may arise.

For learning outcome 3, learners need to appreciate the importance of customer service, and examine some supervisory aspects, such as monitoring and evaluating customer service provision. Guest speakers could be used to demonstrate the breadth of customer service provision. Learners must be aware of the changing customer needs and expectations, products and service and the regulatory environment.

Copies of comment cards and questionnaires will help learners identify the areas of focus which companies think are important when evaluating their customer service provision. Learners can design and use a customer questionnaire themselves during their investigations.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with either portfolio (internal assessment) or multiple-choice (MCQ) tests (external assessment).

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit
Tutor-led discussion – definition of customer service and the benefits of providing excellent customer service
Group work and exercises
Learners visit customer service providers to research how needs and expectations are met
Guest speaker – legislation
Case study activities – legislation affecting customer service delivery
Tutor input – improving the customer experience
Role-play activities – communication and interpersonal skills in customer service situations
Activity – learners produce material for an induction programme which new staff have to attend before they can serve customers
Assignment 1: Induction Programme*
Learners visit an organisation with an excellent customer service reputation to find out how customer service is monitored and evaluated
Activity – learners evaluate customer service provision and recommend improvements
Assignment 2: Monitoring and Evaluating Customer Service*
Review of unit and onscreen multiple-choice tests OR review of unit and programme of assignments (portfolio assessment)

*Suggested assignment titles for portfolio assessment only

Assessment

This unit can be assessed through either portfolio (internal assessment) or an onscreen multiple-choice (MCQ) test (external assessment). The following information on assessment relates to assessment by portfolio. Edexcel publishes separate guidance and information on MCQ testing.

For AC1.1, learners need to provide a definition of customer service. They can use the definition from the Institute of Customer Service as a basis and interpret this in their own words, giving examples from their own experiences.

For AC1.2, learners need to use an example of customer service provision from an organisation they have investigated to describe at least three ways in which that organisation manages the delivery of customer service. They will need to show the link between effective delivery and customer satisfaction.

For AC2.1, learners need to describe how the needs and expectations of at least four different types of customer can be met, including both internal and external customers. Learners can select examples from their investigations or draw on case studies.

For AC2.2, learners need to analyse how legislation affects customer service delivery. They should not reproduce large chunks of information verbatim from legislation, but contextualise it to a customer service situation they are familiar with or have investigated.

For AC2.3, learners need to compare ways of improving the customer experience. They must show they understand the importance of effective communication.

For AC3.1, learners need to compare at least three ways of monitoring customer service, using examples they have investigated, or through visits to organisations. This can be developed for AC3.2 to analyse ways of evaluating customer service.

For AC3.3, learners need to describe the importance of making improvements to customer service processes, and how this benefits the customer, the organisation and staff members.

It is possible to assess work orally, with learners explaining and describing things to the assessor in discussion or in group work or in a presentation. If oral assessments are used then the work must be directly attributable to the learner, and hard copies of the learner's presentation slides/notes, or discussion notes/prompts made available in addition to a detailed assessor statement. The assessor must provide a signed statement that includes detail of the evidence presented that is aligned to the criteria. The evidence must support achievement of the criteria. If there is sufficient evidence from the oral work or from observations to make an assessment decision then the assessment decision should be shown.

Programme of suggested assignments

The table shows a programme of suggested assignments. This information on suggested assignments relates to assessment by portfolio only. Edexcel publishes separate guidance and information on MCQ testing. This programme is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2, 2.1, 2.2, 2.3	Induction Programme	The learner takes the role of a customer service supervisor to produce an induction booklet on customer service delivery.	Booklet
AC 3.1, 3.2, 3.3	Monitoring and Evaluating Customer Service	The learner uses an organisation they have researched to investigate how they monitor and evaluate customer service delivery to make improvements to processes.	Report

Essential resources

There are no essential resources required for this unit. However, learners would benefit from being able to access customer service environments.

Indicative resource materials

Textbooks

Leland K and Bailey K – *Customer Service for Dummies* (John Wiley and Sons, 2006) ISBN 0471768693

Newby T and McManus S – *The Customer Service Pocketbook* (Management Pocketbooks, 2002) ISBN 1903776007

Journals/magazines

Customer Focus (Institute of Customer Service)

Customer Service Manager (www.customerservicemanager.com)

Websites

www.customernet.com	Customer Service Network – for sharing best practice
www.instituteofcustomerservice.com	Institute of Customer Service – for reports, research, publications

Unit 4: Recruiting and Selecting Staff

Unit code: L/602/0443

QCF Level 4: BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with the understanding and skills needed to select and recruit suitable staff who can fulfil human resource requirements of organisations.

Unit introduction

Recruiting the right people is important for the success of organisations. Learners will recognise the importance of the recruitment and selection process in ensuring that high-calibre employees are attracted and appointed.

Initially the mechanics of the recruitment process will be investigated, identifying the steps which organisations use for recruitment and selection activities. The process of selecting candidates needs to be well organised. Structured, planned recruitment and selection procedures appropriate to appointments are central to success in ensuring the right staff are appointed. Organisations need also to ensure that the processes and procedures involved in recruitment and selection, in addition to meeting organisational needs, are lawful and comply with internal policies.

Consideration is then given to the means by which organisations identify that they have a staffing requirement that has to be filled. Labour is expensive and organisations have to manage the cost of what they do. Initially the task is to identify that there is a shortfall in staffing by carrying out job analyses which will establish the skills, expertise and labour capacity required if work is to be done successfully. A business case will present the financial argument for employing extra people. Organisations with effective recruitment and selection processes and practices in place are more likely to make good staffing appointments. In competitive labour markets this is a major advantage that well-organised businesses will have over their competitors. Therefore the selection and recruitment processes need to be kept under review and modified should improvements be identified.

By considering the topics of recruitment and selection, learners will understand how having staff of the right calibre contributes to the achievement of organisational purposes.

Method of assessment

This unit can be assessed only through a portfolio of evidence (internal assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Understand how to recruit staff	1.1	explain the stages in the recruitment process for identified vacancies
	1.2	analyse the ways in which staff can be selected to fill identified vacancies
	1.3	discuss the legal and regulatory requirements that govern the recruitment process
2 Be able to plan for human resource requirements	2.1	assess human resource requirements
	2.2	identify the gap between current and required human resource requirements
	2.3	plan for the recruitment of staff to fulfil human resource requirements
3 Be able to review the recruitment process	3.1	evaluate the effectiveness of the recruitment process
	3.2	propose improvements to the recruitment process

Unit content

1 **Understand how to recruit staff**

Recruitment and selection: recruitment policies and procedures; aims and objectives of the recruitment and selection process; job analysis techniques; job description; person specification

Recruitment methods: internal and external advertising; interviews; assessment centres; tests; application packs; confidential discussions; methods of application; application documentation; supporting documentation of achievement; references

Selection process: preparing for interview; selection criteria for shortlisting; candidate application packs and information; candidate presentations; candidate competence evidence; demonstrations; skills and knowledge tests/exercises; recommendations; communication skills for interviewer; assessment centres; use of specialists in the interview process; ethical issues; declaration of interest by interviewers; gender and ethnic balance on panels; advantages and disadvantages of selection techniques

Post-selection process: reference checking; medical questionnaires; criminal records; Criminal Records Bureau (CRB) checks; specific employment checks eg Independent Safeguarding Authority (ISA), the Financial Services Authority (FSA) register; employment offer; contractual terms and conditions; signing employment contracts; advising unsuccessful applicants; letters of appointment; communicating decisions to others in the organisation

Employment legislation: relating to pay, discrimination, equality, employment rights and responsibilities, contractual terms and conditions and data protection (the most up-to-date legislation must be used)

2 **Be able to plan for human resource requirements**

Human resource planning: definition; adjusting staff levels to match organisational need for staff; labour cost control; identifying capital for labour substitution; identifying low labour cost opportunities; planning horizons (short-, medium-, long-term); internal planning factors eg labour requirements, skill requirements, workforce profiles; external planning factors eg demand for labour, government policy, labour market competition; changing nature of work; impact of technology; training requirements; upskilling; job analysis; job design; demonstrating a staffing shortage exists; identification of the need for additional staff; identification of the need for additional skills; identification of the need for additional experience; business case for staff eg costs, benefits; succession planning

Recruitment planning: reason for vacancy; decision to recruit; internal recruitment; external sources of recruitment; benefits of internal recruitment; benefits of external recruitment; cost and time considerations of external sourcing; advertising

3 **Be able to review the recruitment process**

Activities to review: job analysis; job design; recruitment; selection; pre-interview activities; interviews; selection techniques; testing techniques; post-interview activities; success of appointments; reasons for review eg costs, benefits, resource use, efficiencies, inefficiencies, selection of unsuitable candidates

Monitoring, review and evaluation: gathering data; recording results; reporting systems; achievement of new staff against benchmarks and targets; changes to the human resources dimension of business performance; employee satisfaction; measuring the cost effectiveness of recruitment and selection activities; proposing improvements

Essential guidance for tutors

Delivery

All the learning outcomes in this unit can be delivered flexibly. Formal tutor input could identify some of the theoretical material, but learners can work individually and in groups researching and gathering information about recruitment and selection of staff. Research, investigation, case studies, business simulations (applying for jobs and participating in the selection process), video/DVD clips of recruitment activities, role play and discussions all offer different approaches to learning about recruitment and selection. Using an organisation's own human resources manager or an appropriate guest speaker can provide practical insight into current recruitment and selection activities. Up-to-date materials are available on the internet and material is available from both government agencies and private providers on topics such as recruitment, interviewing and selecting employees.

No previous knowledge of recruitment and selection is assumed and learners can use experiences from any work situations that have involved applying for jobs and/or identifying extra staff required in an area in which the learner has worked.

Learners will be introduced to the methods that are used for recruitment and selection beginning with job analyses and the identification of staffing gaps. An ordered approach to filling the vacancies requires the preparation of job descriptions, person specifications, advertising vacancies and supplying information to potential candidates. Once candidates have expressed an interest and applied for jobs then the selection process is initiated. Consideration will be given to a range of selection techniques and the reasons why they are used. One of the most common methods in use is the interview, which provides a chance for face-to-face interaction between potential employer and employee. Learners need to understand that the recruitment and selection process is governed by a range of legal and regulatory requirements that must be observed for reasons of both law and equity.

Learners will be introduced to the practicalities of human resource planning. Staffing requirements can change for a number of reasons. More staff may be needed, fewer staff may be needed or different staff may be needed. This happens because there are internal changes within organisations stemming from changes to operational practices that arise from new and different ways of working. For example, by moving contact centres abroad some organisations need fewer staff at home. Other organisations may want to establish a contact centre at home that necessitates a different skill set in the staff employed. External changes also have an impact on human resource planning within organisations. An increase in demand for a service or a product will require organisations to take on more staff to handle the extra volume of work. Learners need to appreciate that it is likely that a costed case for adjusting staffing levels will be required as organisations need to control their costs and labour is a major cost. The effectiveness of recruitment and selection activities needs to be kept under review to ensure that these activities provide organisations with an efficient and effective workforce.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments
Tutor input – techniques used for recruitment and selection
Activity – learners examine and prepare recruitment and selection documentation
Tutor-led discussion – planning and conducting interviews
Role-play activity – conducting interviews
Assignment 1: Recruiting Staff
Tutor support and feedback
Tutor input – human resource planning
Small-group activity – learners consider the factors that shape human resource planning in given situations
Assignment 2: Planning for Human Resources
Tutor support and feedback
Tutor input and discussion – techniques used to review the effectiveness of recruitment and selection activities
Assignment 3: Reviewing Recruitment
Tutor support and feedback
Review of unit and programme of assignments

Assessment

For AC1.1, learners need to show that they understand the mechanics of the recruitment process by explaining the stages in that process.

For AC1.2, learners need to analyse the different ways in which staff can be selected to fill identified vacancies, recognising the need to match vacancies to candidates. A methodical approach will aim to match vacancies with applicants by looking at what jobs require and aligning the applications with the requirements of the jobs.

For AC1.3, learners need to discuss the legal and regulatory requirements that govern the recruitment process. The current legal and regulatory requirements which exist and must be complied with during recruitment and selection activities must be applied to meet the requirements of this criterion. For AC 1.1, 1.2 and 1.3, a case study or research into recruitment and selection processes that the learner has been involved in or knows about can be used. There needs to be explanatory detail to illustrate the reasons for adopting systematic approaches to the recruitment and selection of staff.

For AC2.1, learners need to show how planning to recruit and select staff is carried out methodically by assessing the human resource requirements for a team in an organisation.

For AC2.2, learners need to identify the gap between current and required human resource requirements for a team in an organisation and then plan for the recruitment of staff to fill identified gaps (AC2.3). Recognition needs to be given to immediate as well as longer-term considerations when formulating the plan and these considerations need to be included in the plan. Any plan must be realistic in identifying the factors that exist at any time when it comes to making the case for staffing and any plan has to be supported by a costed business case. For AC 2.1, 2.2 and 2.3, the evidence needs to be a structured plan in a format that might be taken to, and tabled at, a human resource planning meeting with a manager.

For AC3.1, learners need to evaluate the effectiveness of the recruitment process in an organisation and propose improvements (AC3.2). For AC 3.1 and 3.2, evidence can be in the form of a report that results from the evaluation of the effectiveness of the recruitment and selection process that can be used in a discussion with a manager.

It is possible to assess work orally, with learners explaining and describing things to the assessor in discussion or in group work or in a presentation. If oral assessments are used then the work must be directly attributable to the learner, and hard copies of the learner's presentation slides/notes, or discussion notes/prompts made available in addition to a detailed assessor statement. The assessor must provide a signed statement that includes detail of the evidence presented that is aligned to the criteria. The evidence must support achievement of the criteria. If there is sufficient evidence from the oral work or from observations to make an assessment decision then the assessment decision should be shown.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2, 1.3	Recruiting Staff	The learner works as an assistant in the human resources department of an organisation and has to produce a guide for managers outlining the stages in the selection process that need to be followed when recruiting additional staff.	A guide for managers
AC 2.1, 2.2, 2.3	Planning for Human Resources	The learner is a manager in an organisation who has to identify additional staff and make the case for recruiting them.	Plan
AC 3.1, 3.2	Reviewing Recruitment	The learner is a manager in an organisation who has encountered problems with the selection of suitable staff via the organisation's recruitment and selection process.	Report to the head of the human resources department

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Newell Brown J and Swain A – *The Professional Recruiter's Handbook: Delivering Excellence in Recruitment Practice* (Kogan Page, 2009) ISBN 0749453966

Wood R and Payne T – *Competency-based Recruitment and Selection: A Practical Guide* (John Wiley and Sons 1998) ISBN 0471974730

Yeung R – *Successful Interviewing and Recruitment* (Kogan Page, 2008) ISBN 0749451645

Journals/newspapers

Management Today (Haymarket Business Media)

People Management (Chartered Institute of Personnel and Development)

Professional Manager (Chartered Management Institute)

The Economist (The Economist Newspaper Ltd) has articles on human resource-related topics from time to time

The Times (Times Newspapers Ltd) has a specialist section on human resource-related topics that it publishes once a week

Websites

http://humanresources.about.com/od/ recruitingandstaffing/u/employ_people. htm	*Everything You Need to Know About Employing People* by Susan M Heathfield
www.acas.org.uk	The Advisory, Conciliation and Arbitration Service – a publicly funded agency that provides advice, conciliation and arbitration services for industrial relations, offering a range of leaflets and booklets that can be downloaded free of charge
www.bized.co.uk/learn/business/index. htm	Biz/ed – learning materials and case studies on human resource matters
www.businesslink.gov.uk	Business Link – employment and skills section on matters that organisations need to consider, including recruitment and an outline of employment law issues
www.cipd.co.uk	The Chartered Institute of Personnel and Development
www.thetimes100.co.uk/theory/theory- -human-resources-planning--417.php	Human resources planning case study from *The Times 100*

Unit 5: Appraising and Developing Staff

Unit code: Y/602/0445

QCF Level 3: BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with the knowledge and understanding related to the processes and issues involved in appraising and developing staff.

Unit introduction

This unit will provide learners with knowledge of appraisals systems and their application in the workplace. It will provide a clear understanding of the purpose of appraisals and show that successful appraisals are built on solid pre-meeting preparation from both parties.

Learners will have the opportunity to research the different interview techniques that can be employed in the appraisal process and should be encouraged to bring their own experiences to the discussions. Learners may not have experienced or be familiar with 360-degree feedback. However, if learners have had experience in the workplace they will be familiar with some form of measurement of work performance, although these methods may be straightforward and uncomplicated. Learners will need to be aware of the pitfalls in measuring work performance if they are involved in this function in their own organisations.

The importance of setting realistic objectives will need to be clearly understood and learners will need to be aware that setting objectives is not an end in itself. Different levels of support may need to be provided if the objectives are to be met, particularly where there is resistance to change. Setting objectives also provides managers and supervisors with opportunities to identify ongoing personal and professional development opportunities. These can often then be linked to the learning styles of individuals and the methods of learning that the organisation adopts in order to develop the knowledge and skills of individuals in the organisation.

Method of assessment

This unit can be assessed through either a portfolio of evidence (internal assessment) or a multiple-choice (MCQ) test (external assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Understand the importance of conducting staff appraisals	1.1	describe the purpose of appraisals as a tool to develop staff
	1.2	describe the value of pre-meeting preparation for appraisals
	1.3	compare the value of different interview techniques in appraisal interviews
2 Understand how to evaluate work performance	2.1	compare methods of measuring work performance
	2.2	describe common pitfalls with evaluating work performance
	2.3	analyse the merits of providing 360 degree feedback
3 Know how to provide learning and development objectives for staff	3.1	describe the links between learning styles and methods of learning
	3.2	outline methods of setting learning and development objectives
	3.3	describe methods of overcoming resistance to change

Unit content

This content has been written in an expanded format to facilitate both multiple-choice (MCQ) testing and portfolio assessment. Learners presenting work for portfolio assessment are not expected to evidence all of the content. Learners who opt for MCQ assessment could be tested on any part of this content

1 **Understand the importance of conducting staff appraisals**

Purpose of appraisal: to rectify a 'performance gap', to depersonalise issues and focus on behaviour and results, to ensure equitable treatment of staff, to align organisational goals to results, to benchmark the status of improvement, to support improvements in organisational effectiveness, to provide an ongoing process rather than a snapshot of performance, to pilot or test the operation of a new performance management system, to support succession planning in an organisation, as a tool to develop staff, to review past and present performance, identifying strengths and weaknesses, to provide constructive feedback to the individual regarding how their performance is seen, to assess future promotion prospects and potential, to identify good performance, to praise staff for good performance, to plan for career development, to support professional development of staff, to assess and develop individual abilities, as an aid to identifying skills needs, to identify training needs, to discuss and identify methods of providing appropriate training (in-house training, mentoring, external training, e-learning, distance learning, college courses, skills centres), to establish and agree development opportunities within the context of ongoing performance management systems, to provide an objective basis on which to base decisions about training and promotion, to motivate employees, to provide an opportunity for career counselling, to clarify, for the individual, organisational expectations, to provide an opportunity for the individual to raise questions and concerns, to set objectives for the next period, to help achieve organisational and personal objectives in a planned way

Pre-interview preparation (appraiser): accommodation, arrange protected time and privacy, setting an agenda, agree the agenda before the interview, check all appraisal documentation, the job description and performance standards, identify relevant and sensitive issues, anticipate areas that the appraisee will raise and focus on, goals set from previous appraisal, work rules and procedures, documentation notes, any feedback or letters from customers/coworkers, the previous performance appraisal, current disciplinary memos, prepare some questions

Pre-interview preparation (appraisee): job description, list of current duties and responsibilities, list of additional duties and responsibilities, previous performance appraisal, goals set from previous performance appraisal, prepare to answer questions on how far the goals have been met, provide evidence of goals being met (training certificates, attendance records, qualifications achieved); have relevant facts and figures prepared, collate the necessary documentary evidence to support your assertions (emails, memos, letters, press releases, newspaper articles, testimonials, conferences, seminars and training courses attended); identification of own skills or training needs, anticipate areas that the appraiser will raise and focus on, prepare some questions

Interview techniques: develop an interview strategy through the agreed agenda, ensure the appraisee understands the process of appraisal, interpreting written reports, impact of non-verbal communication, importance of positive body language (eye contact, posture); encouraging open dialogue, pacing the interview, keeping to a relevant discussion, ensuring the conversation is two way, keeping the interview employee-centred, focus on the evidence, focus on specifics, the importance of remaining objective, the importance of not being judgemental, active listening, questioning techniques, types of questions (open, closed, multiple, leading, recall, probing); giving positive and negative feedback, gaining understanding and agreement, agreeing the joint conclusions, summarising the outcomes, confirming the outcomes, developing an agreed action plan, time management, post-appraisal follow-up, legal issues – discrimination relating to sex, race, disability, sexual orientation, religion

2   Understand how to evaluate work performance

Methods of measuring work performance: performance indicators (quality, quantity, timeliness, cost effectiveness, absenteeism); creativity, adherence to policy, personal appearance; different methods of performance rating such as rating scale, target setting (defining objectives, work-related objectives related to results to be achieved, personal objectives taking the form of developmental objectives for the individual); objectives need to be defined and agreed and targets set, task analysis, job analysis, performance standards to set non-time-based targets which are set out in quantitative terms (speed of response, meeting defined standards accurately), comparison of performance with objectives, critical incidents, narrative report, Behaviour Anchoring Rating Scales (BARS); Management by Objectives (MBO), methods of measuring performance should be transparent and applied fairly across the organisation, mix of inputs and outputs of performance (input – potential to develop, output – achievement against agreed standards), links to performance-related pay, competence-based pay, team-based pay, contribution-related pay

Common pitfalls with evaluating performance: halo and horns effect – the tendency to rate a person high on all performance factors or low on all of them because of a global impression one has of the person, cognitive bias, prejudices, recollections, prior knowledge, lack of objectivity, subjective bias, unconscious judgements; central tendency (avoidance of extreme ratings when there are no complaints, poorly defined performance standards or a fear of being challenged by giving high or low ratings); lenience tendency (member in a weak team gets a low rating, past record informs current rating, recent record masks overall performance, appraiser is a perfectionist and rates lower than they deserve); factors impacting on performance, learning curve, time issues, not collecting sufficient data, inaccurate data, lack of any meaningful feedback, direct experience dominates abstract information

360-degree feedback: merits (as a tool for personal development, setting self-development goals); the worker is central to the evaluation process, challenges perceptions, improves motivation, improved feedback from more sources about skills, performance and working relationships; the importance of ensuring that feedback is given only by those trained to give it, use of feedback questionnaires to gather information, rating scales and comments on performance; possible downsides (insufficient information, concentrate on negatives and weaknesses, the importance of confidentiality, mistrust if open and upward communication is absent in the organisation); design process downfalls (poorly structured questionnaires, slack confidentiality)

3   **Know how to provide learning and development objectives for staff**

Learning styles and methods of learning: models of learning including David Kolb's experiential learning model – concrete experience, abstract conceptualisation, reflective observation, active experimentation, converger, diverger, assimilator, accommodator; Honey and Mumford model – experiences, having, reviewing, concluding and planning the next steps, activist, reflector, theorist, pragmatist; Anthony Gregorc's model-concrete and abstract perceptual qualities and random and sequential ordering abilities; learning styles (visual, auditory, reading/writing preference learners, kinaesthetic/tactile); methods of learning, use of delegation, coaching, job rotation, job shadowing, project work, training courses, computer-based training, e-learning, blended learning, distance learning, coaching and mentoring, work shadowing, workplace training sessions, demonstration; learning style inventory, Vark's learning style test, Jackson's learning styles profiler, NLP meta programs-based iWAM learning-style questionnaire

Objective setting: use of SMART (specific, measurable, achievable, realistic, time-based) objectives; types of objectives (process, impact, outcome, personal); handling of soft-skill developmental objectives; setting standards (quality, quantity, timelines, resource implications, manner of performance); ways of identifying performance (specific targets, observation, job related, behavioural); importance of setting objectives for individuals, importance of setting team objectives, the link between individual, team and organisational objectives: agreeing objectives; set objectives jointly, agree a manageable number of objectives, ask individuals to suggest action plans; benefits of setting objectives – improves motivation, increases empowerment, provides clarity, provides focus, improves decision making, encourages the prioritising of activities, provides direction, encourages responsibility, allows personal growth, encourages an achievement culture, encourages trust

Providing support: resistance to change and methods of overcoming resistance; change models such as Kurt Lewin's force field analysis, driving and restraining forces; six phases of personal or professional change – anticipation, confrontation, realisation, depression, acceptance, enlightenment; factors to consider (communication skills, listening skills, involvement, change champions, remove uncertainty and threat, emphasise personal gain or loss avoided, generate enthusiasm); training; development plan and support for implementation of plan; one-to-one meeting skills, processes for briefing staff on learning opportunities, model/checklist – TRUST ME (tasks, resources, understanding, standards, timeframe, monitoring, evaluation), importance of defining desired outcomes, resources, benefits, responsibilities, timescales, SMART objectives, determination of critical review points, coaching models such as goal theory – agreement, feedback, the model is demanding on individuals; coaching models that centre on the person and provide support and are less demanding on individuals; conduct of one-to-one review meetings, engage people in dialogue, enable and facilitate involvement, create short-term wins, listen carefully, actively seek out people's reactions, involve others, giving feedback skills, review of learning, dealing with critical incidents

Essential guidance for tutors

Delivery

This unit introduces learners to the processes involved in appraising and developing staff. It is likely that learners will have had some experience of being appraised in the workplace. This experience may be limited but it will be a valuable vehicle for discussion and will support tutor input, case studies and role play in the delivery of the learning outcomes of the unit.

For learning outcome 1, it is likely that at least some learners will have had some form of appraisal in the workplace and it should be possible to draw on these experiences. A useful starting point could be to ask learners their views on what is the purpose of appraisals in the workplace. In the discussions, learners should be encouraged to identify any examples of how their own development has been progressed through their appraisals. They should also be encouraged to discuss and compare their experiences with particular reference to any pre-meeting preparation they had undertaken. The tutor could then pick up the points from the discussion and use these as the basis for developing their input on the pre-meeting preparation that the appraiser should undertake. Tutor input will be required on different interview techniques. It is useful to follow this up with small role-play exercises with one learner playing the appraiser and another the appraisee. This will provide learners with the experience of developing their interviewing skills.

For learning outcome 2, learners will look at methods of measuring performance at work. Their experiences in the workplace could be a useful starting point to develop a discussion. This could draw out examples of different methods that are used to measure performance in the organisations where the learners are employed. It is unlikely that all learners will have experienced 360-degree feedback in their workplace. Tutor input will be required to outline the way in which this method of evaluating performance at work is implemented. The debate concerning the merits of 360-degree feedback could be drawn out through a small case study. Learners can look at the possible benefits of this method of measuring performance at work and compare these with the potential downsides. This could then be used to develop learners' knowledge of other common pitfalls associated with evaluating performance at work.

For learning outcome 3, tutor input will be required to introduce learners to the concept of learning styles. A useful starting point is to draw on the experiences of learners and tease out from the discussion the types of learning styles that suit each learner. A case study on providing learning opportunities for an employee in the workplace is a good way to continue to develop the delivery of this learning outcome. The case study should provide learners with opportunities to apply their knowledge of the methods of setting performance objectives. The case study could also build in opportunities for learners to explore issues of providing support for the employee who is resistant to taking up the learning opportunities that are being offered.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with either portfolio (internal assessment) or multiple-choice (MCQ) tests (external assessment).

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit
Tutor input and discussion – the purpose of appraisals
Tutor input – pre-meeting preparation Role-play exercises
Tutor input and discussion – appraisal interview techniques Role-play exercises
Assignment 1: Appraisal Techniques*
Tutor input and discussion – methods of measuring workplace performance
Tutor input and discussion – the merits of providing 360 degree feedback
Small-group activity – case study on the common pitfalls associated with evaluating work performance
Assignment 2: Measuring Performance in the Workplace*
Tutor input and discussion – learning styles and methods of learning
Tutor input and discussion – methods of setting performance objectives
Tutor input and discussion – ways of providing support with resistance to change
Assignment 3: Setting Performance Objectives and Providing Support*
Review of unit and multiple choice (onscreen) tests OR review of unit and programme of assignments (portfolio assessment)

*Suggested assignment titles for portfolio assessment only

Assessment

This unit can be assessed through either portfolio (internal assessment) or an onscreen multiple-choice (MCQ) test (external assessment). The following information on assessment relates to assessment by portfolio. Edexcel publishes separate guidance and information on MCQ testing.

For AC1.1, learners need to describe the purpose of appraisals as a tool to develop staff. They will need to show that they understand the processes involved in operating an appraisal system and focus on the development of staff in their description.

For AC1.2, learners need to describe the value of pre-meeting preparation for appraisals. They need to recognise that both the appraiser and the appraisee will need to prepare for the appraisal meeting and describe the documentation that needs to be prepared prior to the meeting and any other tasks that need to be completed, such as preparing questions or compiling lists of additional duties taken on since the last appraisal.

For AC1.3, learners need to compare the value of different interview techniques in appraisal interviews, such as the importance of body language and questioning techniques.

For AC2.1, learners need to compare methods of measuring work performance. They should look at commonly used methods and where possible, include the methods used in their own workplace. The information produced should be sufficiently detailed and more than just a list.

For AC2.2, learners need to describe common pitfalls associated with evaluating work performance. They will be expected to know that methods of measuring work performance are not always perfect in their application and link theories, such as the halo and horns effect, to practical examples in the workplace.

For AC2.3, learners need to analyse the merits of providing 360 degree feedback. They need to demonstrate their understanding of how the system of 360 degree feedback is structured and implemented in the workplace and analyse the merits of the process for the appraiser, the appraisee and the organisation.

For AC3.1, learners need to describe the links between learning styles and methods of learning. They need to give examples of learning styles and describe their characteristics and show that people have different and preferred methods of learning.

For AC3.2, learners need to outline methods of setting learning and development objectives. They will need to show that in an appraisal, objectives are set and agreed for the appraisee and that the methods of setting the objectives may vary and depend on the nature of the objective. If a case study is used, the methods described need to be appropriate to the information provided.

For AC3.3, learners need to describe methods of overcoming resistance to change. They need to show that resistance to change can occur in any organisation, and look at the reasons why resistance to change might occur and ways of overcoming resistance. Learners need to focus on ways of providing support in a situation where there is resistance to change in an organisation.

Programme of suggested assignments

The table shows a programme of suggested assignments. This information on suggested assignments relates to assessment by portfolio only. Edexcel publishes separate guidance and information on MCQ testing. This programme is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2, 1.3	Appraisal Techniques	Preparing a leaflet on appraisal techniques.	Leaflet
AC 2.1, 2.2, 2.3	Measuring Performance in the Workplace	Introducing methods to measure workplace performance.	Presentation
AC 3.1, 3.2, 3.3	Setting Performance Objectives and Providing Support	Setting objectives and discussing ways of overcoming resistance to change, including ways of providing support.	Report

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Arthur D – *The First Time Manager's Guide to Performance Appraisals* (AMACOM, 2008) ISBN 0814474403

Borrill C and Fletcher C – *Appraisal and Performance Management* (Wiley Blackwell, 2003) ISBN 1405109041

Falcone P and Sachs R – *Productive Performance Appraisals, 2nd Edition* (AMACOM, 2007) ISBN 0814474225

Fletcher C – *Appraisal, Feedback and Development: Making Performance Review Work, 4th Edition* (Routledge, 2007) ISBN 0415446910

Furtwengler D – *10 Minute Guide to Performance Appraisals* (Macmillan, 2000) ISBN 0028639677

Gillen T – *The Performance Management Activity Pack* (AMACOM, 2006) ISBN 0814474365

Harvard Business School Press – *Performance Appraisal: Pocket Mentor* (Harvard Business School Press, 2009) ISBN 1422128830

Havard B – *Performance Appraisals* (Kogan Page, 2000) ISBN 0749433191

Johnson B and Williams K – *Introducing Management: A Development Guide, 2nd Edition* (Butterworth-Heinemann, 2003) ISBN 0750659203

Lloyd K – *Performance Appraisals and Phrases for Dummies* (John Wiley and Sons, 2009) ISBN 0470498722

Naisby A – *Appraisal and Performance Management* (Spiro Press, 2002) ISBN 1904298117

Journals

Management Today (Haymarket Business Media)

People Management (Chartered Institute of Personnel and Development)

Professional Manager (Chartered Management Institute)

Websites

www.acas.org.uk	The Advisory, Conciliation and Arbitration Service – a publicly funded agency that provides advice, conciliation and arbitration services for industrial relations, offering a range of leaflets and booklets that can be downloaded free of charge
www.businessballs.com	Offers a range of free resources with a useful section on managing change and providing support
www.cipd.co.uk	Chartered Institute of Personnel and Development
www.managementhelp.org	Overview and checklist on conducting appraisals
www.managers.org.uk	Chartered Management Institute – searchable database which members can use to access journal articles and other publications
www.shrm.org	Society for Human Resources Management
www.theworkfoundation.com	Formerly the Industrial Society – library resources for members, a range of books for purchase and some free reports

Unit 6: Supporting Organisational Change Initiatives

Unit code:	**H/602/0450**
QCF Level 4:	**BTEC Specialist**
Credit value:	**3**
Guided learning hours: 30	

Unit aim

This unit provides the learner with the knowledge and understanding relating to organisational change and the methods that can be used to support and implement change.

Unit introduction

The modern world in which we live is constantly changing. Change is, therefore, inevitable to a greater or lesser extent in any organisation. Sometimes it may be imposed because of legislation or prompted by increased information, knowledge and faster communications in the organisation's environment; on other occasions it may spring from the need to maintain and improve standards or to have an edge on the competition or in some cases just to keep up with the competition. Changes can be strategic, structural and technological or may be designed to alter the attitudes and/or behaviours of people.

Whatever the reason, supporting organisational change initiatives is about ensuring effective management of the change and enabling it to happen. It should be a structured approach to help individuals, teams and stakeholders to move from a current state to a new one.

To be effective, change needs to be managed and planned. People are naturally resistant to change. This needs to be anticipated and strategies put into place to overcome it.

This unit is about understanding, planning and managing change within organisations. Learners will find out that organisational objectives and stakeholders' expectations create the need for managers to be skilled in handling change and that the ability to anticipate change and support teams in the process of change is an essential skill for managers.

Method of assessment

This unit can be assessed only through a portfolio of evidence (internal assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Understand how to implement organisational change	1.1	describe how to plan for change
	1.2	explain models of change
	1.3	analyse methods for implementing change
2 Understand the need for organisational change	2.1	describe organisational objectives
	2.2	compare proposed changes to organisational objectives
	2.3	evaluate resistance to change
	2.4	explain how to communicate reasons for change
3 Be able to plan for organisational change	3.1	identify SMART objectives
	3.2	plan actions for organisational change
	3.3	establish processes for monitoring plans for organisational change
	3.4	evaluate resources available to support plans for organisational change

Unit content

1 **Understand how to implement organisational change**

Implementation: SMART (specific, measurable, achievable, realistic, time-based) aims and objectives launch strategy*;* action plan; timescales, communication strategy; stakeholder engagement, strategies to overcome conflict; communication strategies; education; networking; participation; negotiation; building alliances; creating positive attitudes; getting feedback

Identification of resources: physical; human; financial; time

Monitoring: processes for monitoring; team review; stakeholder feedback; comparison to objectives

2 **Understand the need for organisational change**

Stakeholders: identifying stakeholders – stakeholder analysis; supporting factors – business plans and objectives; senior management; change policy and funding; resources; external requirements; customer needs

Review suitability of organisational objectives: review organisational vision; mission and business objectives through team meetings; SWOT (strengths, weaknesses, opportunities and threats) analysis; stakeholder consultation; reviewing changes affecting objectives; thought shower/buzz group changes

Preparing for changes to organisational objectives: advising senior management of changes needed; identifying resource position

Resistance: reasons for resistance eg loss of control, face, identity, skill, competence; uncertainty; strategies for overcoming resistance – rationale, communications; consultation

Communicating reasons for change: identification of stakeholders who need to be informed; appropriate communications for different stakeholder groups; formal and informal communication; ensuring communication takes account of resistance factors

3 **Be able to plan for organisational change**

Understanding change: type of change eg structural, technological scale of change; change strategies and models; climate needed for change

Methods of planning: SMART aims and objectives action plan; timescale; agreeing roles in planning; ensuring resources; soft and hard outcome measures; consultation feedback systems, methods for modification; keeping all aware; final feasibility review; final evaluation before implementation

Obtaining appropriate approvals for the plan: senior management; peer managers; human resource management; appropriate legal requirements; trade unions; relevant stakeholders

Essential guidance for tutors

Delivery

This unit assumes that the change is known and focuses on how to understand, plan for and overcome any resistance. However, it is important that learners understand why change occurs.

For learning outcome 1, learners need to understand the impact of change. The tutor could use real case studies on changes that have happened in major, well-known organisations. In groups, learners could discuss changes that have happened in their personal lives, how they differ in scale and why they occurred. They could follow this with discussions about their working lives and identify types of change that have happened there. These could include plans that have not gone smoothly as well as those that have. Each can be used as examples of models of change.

Learning outcome 2 could be handled in a very practical way. Again objectives can be provided for well-known organisations. The tutor could suggest changes to those organisations and learners could analyse how the objectives would have to change.

Again learners could be encouraged to review changes that have happened to them in their personal lives and in their working lives, this time ones where they have felt some resistance or confusion. This will be a good basis for input from the tutor on resistance to change in organisations.

In covering communication, the tutor could emphasise the importance of anticipating resistance and ensuring communications cover this. Learners could individually analyse either in class or at home the effectiveness of communication they have received during change and how well it worked. Learners could then present this to a small group; the group could then identify good and bad features and report back to the full group. The tutor could summarise this and fill in any gaps in the analysis.

For learning outcome 3, learners will need to be able to implement change. Case studies showing how change has been implemented in well-known organisations could be used to enhance learning. Learners could also share experiences of personal and work changes they have implemented and write an analysis on how well these changes went and what they could do to improve the implementation process. Learners could be guided to cover the objectives, the implementation of actions, how resources were identified and how they monitored the change (if at all).

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments
Tutor-led discussion – introduction to change   Thought shower/buzz group – the causes of change
Tutor input with case study examples – planning for change and setting objectives for change, use of case studies to support the input   Case study activity – producing SMART objectives
Tutor-led discussion – who needs to approve and support change   **Assignment 1: Planning for Change**
Tutor input with examples – organisational objectives
Small-group activity – learners are given the objectives of different organisations and review them using a range of techniques, including SWOT and thought shower/buzz group   **Assignment 2: Organisational Objectives for Change**
Tutor-led discussion – barriers to change
Tutor input – dealing with conflict that may arise from change
Tutor-led discussion – involving stakeholders (external and internal) in change
Tutor-led discussion – using communication effectively to ensure understanding of change and to help overcome resistance
Tutor input – effective monitoring of change   **Assignment 3: Implementing Organisational Change**
Review of unit and programme of assignments

Assessment

For this unit, learners need to draw evidence from a combination of sources. The workplace would be an ideal source but only if it has been carefully checked that the assessment criteria can be covered.

For AC1.1, learners need to demonstrate their understanding of the factors that need to be taken into account when preparing for change by describing how to plan for change.

For AC1.2, learners need to explain at least two models for change.

For AC1.3, learners need to analyse methods for implementing change, demonstrating an understanding of the importance of a proper review of available options and having a clear (SMART) direction in any plan for implementing change.

For AC 1.1, 1.2 and 1.3, it is recommended that a case study is used to ensure that learners can meet the criteria.

For AC2.1, learners need to describe the objectives of an organisation, clearly showing that they understand their purpose. This needs to be followed by a comparison of proposed changes to organisational objectives (AC2.2) and evaluating resistance to change in the organisation (AC2.3). Finally, learners need to explain how the organisation can communicate the reasons for change (AC2.4), suggesting at least three different methods of communicating, depending on the stakeholder.

For AC 2.1, 2.2, 2.3 and 2.4, it is recommended that a case study is used as the scale of change would need to be quite large to have an impact on the objectives of an organisation. If a case study is not used, an assignment that covers the assessment criteria for learning outcomes 2 and 3 could be used.

For AC3.1, learners need to identify SMART objectives and plan for organisational change (AC3.2). Once they have created their plan, they need to establish processes for monitoring the plan (AC3.3) and evaluate the resources available to support the plan (AC3.4).

For AC 3.1, 3.2 and 3.3, discussion between the tutor and learner should take place early in the delivery of the unit to ensure that the learner can select a change which will give them the opportunity to meet the assessment criteria. This does not have to be a major change to meet the criteria.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2, 1.3	Planning for Change	Case study.	Report
AC 2.1, 2.2	Organisational Objectives for Change	Case study.	Report
AC 2.3, 2.4, 3.1, 3.2, 3.3, 3.3	Implementing Organisational Change	Case study/workplace issue.	Report

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Burnes B – *Managing Change, 5th Edition* (Financial Times/Prentice Hall, 2009) ISBN 0273711741

Johnson S – *Who Moved My Cheese?: An Amazing Way to Deal with Change in Your Work and in Your Life* (Vermilion, 1999) ISBN 0091816971

Harvard Business School Press – *Harvard Business Review on Culture and Change* (Harvard Business School Press, 2002) ISBN 1578518369

Newton R – *Managing Change Step by Step: All You Need to Build a Plan and Make it Happen* (Prentice Hall, 2007) ISBN 0273711776

Quinn R E – *Building the Bridge as You Walk on it: A Guide for Leading Change* (Jossey Bass, 2004) ISBN 078797112X

Quinn R E – *Deep Change: Discovering the Leader Within* (Jossey Bass, 1996) ISBN 0787902446

Rickards T and Moger S – *Handbook for Creative Team Leaders* (Gower Publishing, 1999) ISBN 0566080516

Smith D K – *Taking Charge of Change: 10 Principles for Managing People and Performance* (Perseus Books, 1996) ISBN 0201484080

Journals/magazines

British Journal of Management (John Wiley and Sons)

Journal of Change Management (Routledge)

Journal of Management Studies (John Wiley and Sons)

Management Today (Haymarket Business Media)

Websites

www.business.com	Business search engine
www.cipd.co.uk	Chartered Institute of Personnel and Development
www.i-l-m.com	Institute of Leadership and Management
www.managers.org.uk	Chartered Management Institute

Unit 7: Principles of Budgets and Financial Information

Unit code: A/602/0454

QCF Level 3: BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with the knowledge, understanding and skills related to managing budgets and the role of financial information in decision making.

Unit introduction

In today's world where there are many changing influences on a business, it is important for any organisation to be able to plan its future income and expenditure effectively and to be able to change those plans if needed.

It is also important to have a workforce which appreciates and values the importance of firm financial control. Although most first-line managers will not be expected to deal with financial issues in any depth, any organisation would find it an advantage if they could help the workforce to understand the importance of controlling and monitoring costs.

This unit is designed to give learners an understanding of the need for financial information, its purpose and limitations in an organisation, particularly in relation to planning and financial forecasting. It looks at the purpose and value of budgets, their development and how they support management action. This will include learning about budgetary techniques and how these are used in the development of budgets.

Learners will examine how costs are classified, particularly direct and indirect costs, and how these are used in break-even analysis and how the analysis of costs can be used in making pricing decisions to determine competitiveness as well as profit. Learners will develop an understanding that appropriate pricing of an organisation's products or services will contribute to its future profitability.

Method of assessment

This unit can be assessed only through a portfolio of evidence (internal assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Know the importance of financial information	1.1	identify the need for financial information
	1.2	outline the purpose of financial information
	1.3	describe the limitations of financial information
2 Be able to develop budgets	2.1	explain budgetary techniques
	2.2	analyse existing budgets
	2.3	develop a new budget
3 Understand how costs are used in making pricing decisions	3.1	explain how direct and indirect costs are used to determine prices
	3.2	explain the purpose of break-even analysis
	3.3	analyse costs and break-even analysis to determine pricing decisions

Unit content

1 **Know the importance of financial information**

Need for financial information: measurement; planning; forecasting; reporting to stakeholders; statutory requirements; control; viability; profitability

Uses of information: main internal and external users of information; need for financial information to plan, control and make financial decisions; budgeting – purpose; planning; communicating; monitoring

Limitations: relevance; historic; non-financial factors; concepts and conventions

2 **Be able to develop budgets**

Budgetary techniques: preparing and revising budgets (changes to costs and selling prices); use of budgets for short-term monitoring; calculation of variances; control methods

Preparation of budgets: types – master, sales, purchase, cash, production (materials, labour and overheads), departmental, historical, zero-sum; fixed, rolling and flexible budgets; calculation of variance; variance analysis target budgets; annual planning cycle – authenticating, implementing; budget lines

Analyse budgets: analysing variances into adverse and favourable; explaining variances; suggesting remedial action; comparing types of budgets for different situations eg zero, fixed, historical

3 **Understand how costs are used in making pricing decisions**

Determining costs: historical costing; absorption costing; marginal costing; direct, indirect; fixed, semi-fixed and variable costs; the principle of contribution; controllable and non-controllable costs; costing processes

Purpose planning: what if; management information; decision making; visualise, simplicity; pricing

Break-even analysis: value and usage; calculation; graphical interpretation; contribution; break-even formula; budgeted activity and sales activity; limitations and assumptions; areas of profit and loss; anticipated sales; total costs line; setting price and volumes; margin of safety

Pricing: cost plus; discounting; marginal; competitive/market pricing; relevance of profitability targets

Essential guidance for tutors

Delivery

In this unit, once learners have mastered the crucial theoretical concepts, there needs to be plenty of opportunities for learners to practise financial techniques and develop their skills of analysis and financial decision making. This is important as many learners find the study of anything related to finance challenging because it isn't usually part of their day-to-day work. Most learners will not be accountants and, wherever possible, delivery needs to be in the context of the role of budgets and financial information in planning and decision making in organisations.

For learning outcome 1, tutor input needs to cover the scope, purpose and limitations of financial information. Where learners may find it difficult to access live examples from their own workplace, they could relate to their own needs for financial information. When discussing the uses of financial information, learners need to focus on why financial information is important in the preparation of budgets.

For learning outcome 2, learners will need to build up their skills by having plenty of practice in compiling budgets in and out of the classroom. However, before they can apply budgetary techniques effectively, learners need to thoroughly understand the purpose and range of budgets.

For learning outcome 3, the time spent by the tutor on the theory contained in this learning outcome should be minimised with practice of the types of costing maximised. It is important that learners see costs in terms of the price-setting process. Attention should be paid to the different impact on pricing of marginal and absorption costing and when one or the other, or indeed both, should be used.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments
Tutor input – financial information: types, scope and limitations
Tutor-led discussion – uses of financial information
Assignment 1: How Useful Is Financial Information to an Organisation?
Tutor input – how financial information informs the planning and forecasting process
Tutor input – types and purposes of budgets Case study exercises
Assignment 2: Preparing and Analysing Budgets
Tutor input – types of costs Case study exercises
Tutor input – absorption and marginal costing Case study exercises
Tutor input – contribution and break even analysis Case study exercises
Tutor input – pricing decisions and 'what if' scenarios Case study exercises
Assignment 3: Using Break-even Analysis to Make Pricing Decisions
Review of unit and programme of assignments

Assessment

It may be difficult for learners to use evidence from their own workplaces to meet the outcomes of this unit. If this is the case, this unit can be assessed using case studies. If case study-based assignments are used, it is recommended that these are completed in the classroom under controlled conditions. To meet the assessment criteria, learners must show that they can apply their knowledge and demonstrate that they understand that financial information on its own can never give the full picture.

For AC1.1, learners need to identify the need for financial information. This should go beyond listing financial information and learners should be able to show how the need for financial information is useful in a given situation.

For AC1.2, learners need to outline the purpose of financial information, including a rationale for its purpose and when it is appropriate to use it.

For AC1.3, learners need to describe the limitations of financial information. The description needs to be in context, ie relate to actual information and not produce an abstract of limitation.

For AC2.1, learners need to explain budgetary techniques and how they help to ensure that a budget is as accurate a forecast as possible.

For AC2.2, learners need to analyse budgets that have already been prepared and demonstrate that they know the difference between, and the impact of, favourable and adverse variances on the business. Any recommendations must be realistic and take into account the degree of variance and the consequent impact on profitability. Learners must also be able to comment on whether another type of budget would be more appropriate, eg zero versus historical.

For AC2.3, learners need to develop a new master budget and a set of subsidiary budgets in the proper format and with a minimum of errors.

For AC3.1, learners need to show that they can differentiate between direct and indirect costs and then explain how they are used to determine prices.

For AC3.2, learners need to explain the purpose of break-even analysis, using a range of information that can be gained from graphical presentation, eg margin of safety, contribution and how they are useful to an organisation.

For AC3.3, learners need to analyse costs and break-even analysis to determine price decisions. Learners should be able to explain how a combination of sources will help give pricing guidance and that it is only guidance and that other factors should be taken into account, eg competition and profitability targets.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2, 1.3	How Useful is Financial Information to an Organisation?	Case study/workplace scenario.	Report
AC 2.1, 2.2, 2.3	Preparing and Analysing Budgets	A case study where the learner has to compile budgets form given data.	Report
AC 3.1, 3.2, 3.3	Using Break-even Analysis to Make Pricing Decision	Case study/workplace scenario.	Report

Essential resources

Access to appropriate financial information is essential in order for learners to be able to meet the learning outcomes of this unit.

Indicative resource materials

Textbooks

Dyson J R – *Accounting for Non-Accounting Students, 8th Edition* (Prentice Hall, 2010) ISBN 0273722972

Fitzgerald R – *You Don't Need an Accountant* (Blackhall Publishing, 1999) ISBN 1901657817

Irwin D – *Financial Control for Non-Financial Managers* (Financial Times/Prentice Hall, 1995) ISBN 0273619721

Robinson S – *A Handbook of Financial Management* (Financial Times/Prentice Hall, 1994) ISBN 0273603388

Walker J – *Accounting in a Nutshell: Finance for the Non-Specialist* (CIMA Publishing, 2001) ISBN 1859714951

Journals/magazines

Accountancy (CCH)

Accountancy Age (Incisive Financial Publishing Limited)

Accounting Technician (Ten Alps Publishing)

PQ Magazine (PQ & NQ Magazines)

Websites

www.aat.org.uk	Association of Accounting Technicians
www.accountancyage.com	Accountancy news and information
www.accountingweb.co.uk	Accounting news, information and case studies
www.bbc.co.uk/news/business	The business pages of the BBC website
www.bized.co.uk	Learning materials and case studies
www.bizhelp24.com	Help and support for businesses
www.businesslink.gov.uk	Business guidance for organisations, including accounting

Unit 8: Principles of Project Management

Unit code: L/602/0457

QCF Level 4:   BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with the knowledge, understanding and skills required to manage projects to successful completion on time and within budget.

Unit introduction

Learners will know that projects are used to manage change in organisations. Some projects, such as moving to a new office, can be on a small scale and run over a short period of time. At the other end of the spectrum projects such as building a new railway line can be on a large scale and run over a long period of time.

Learners will gain an understanding of the processes which are used to manage projects, employing a range of methods, tools and techniques of project management. Learners may manage a project and will recognise that successful project management requires a number of elements. The project has to be planned, which necessitates learners identifying the purpose of the project and scheduling the work. Then the project will be carried out. Resources and responsibilities need to be agreed and allocated so that work on the project can take place. Project management involves ensuring that the project runs to plan, is kept on schedule and within budget. Therefore projects need to be monitored and controlled so that they are successfully concluded.

By considering the issues involved in project management learners will comprehend how projects can be managed effectively, irrespective of their complexity, by using suitable project management techniques.

Method of assessment

This unit can be assessed only through a portfolio of evidence (internal assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Understand how to plan projects	1.1	describe the responsibilities attached to the role of a project manager
	1.2	discuss how to agree the terms of reference for projects
	1.3	explain how to plan projects using appropriate techniques
2 Be able to implement projects	2.1	identify the resources required for projects
	2.2	allocate responsibilities to members of project teams
	2.3	implement projects using appropriate techniques
3 Understand how to manage projects to conclusion	3.1	explain how to monitor projects by using agreed performance criteria
	3.2	explain how to review project progress against project plans
	3.3	explain how to keep projects on track
	3.4	explain how to evaluate projects at their conclusion

Unit content

1 Understand how to plan projects

Project manager: role of the project manager (management of change, understanding of project management system elements and interdependencies, project environment, impact of external influences on project); identification of project phases; the nature of work in the life cycles of projects; managing project teams

Terms of reference: project terms of reference; project definition; project objectives (scope, time, cost, SMART (specific, measurable, achievable, realistic and time-based) objectives); project feasibility; agreeing project terms of reference with stakeholders; cost-benefit analysis; risk assessment; identification of stakeholder needs (customer, client, beneficiary, workforce, contractors, suppliers, other managers, outside agencies, project team members, local communities)

Techniques: project organisation; scheduling; work breakdown structure (WBS), product breakdown structure (PBS); project execution strategy; organisation breakdown structure (OBS); scheduling (Gantt charts, critical path analysis (CPA), flow diagrams, network diagrams, business process models); milestones; reporting

2 Be able to implement projects

Resources: time; finance; personnel (organisation charts, task responsibility matrix); physical resources; information resources; software tools (eg Microsoft Project, Open Plan); estimating; budgeting

Implementation: organise the project operation; plan workflows; set objectives; gain staff commitment; allocation of responsibilities; control; coordination; monitoring; project administration; use of the project management tools; dealing with operational problems (slack, lead times, fast tracking, crashing the critical path); uncertainty; risk

3 Understand how to manage projects to conclusion

Monitoring, review and evaluation: information and reporting systems; information collection; recording methods; achievement against milestones, benchmarks and targets; tracking the project; impact of change (internal, external, expected, unexpected); taking corrective action; variance analysis; cost control; earned value management (EVM); progress meetings; progress reporting; project evaluation methods; team performance evaluation; project handover procedures; project evaluation eg compare outturn with plans, compare quality of delivered project against agreed quality standards, explain variations between outcomes and plans

Essential guidance for tutors

Delivery

All the learning outcomes in this unit can be delivered flexibly. Formal tutor input could identify some of the theoretical material, but learners can work individually and in groups to research and gather information about the development and implementation of e-strategies. Case studies, research, investigations and discussions all offer approaches to learning about project management. Learners can undertake a real project to appreciate the issues involved in project management, although this will involve limited application of project management techniques. A project can also help generate assessment evidence. Using appropriate guest speakers or visiting a project will provide an opportunity to hear, see and understand some of the practical matters that have to be dealt with during the management of projects.

No previous knowledge of project management is assumed and learners can refer to experiences from employment or group work or from reviewing case studies to identify examples of managing projects that require planning and coordination of tasks to bring a project to a conclusion.

The unit can be introduced by explaining about the nature of projects and the complexity and interdependence of the activities that have to be managed. An individual could manage a project and in so doing will have a range of responsibilities to discharge and will have access to a variety of techniques and tools to plan, run and review the project to ensure it is completed successfully. Learners need to understand that projects do not happen in a vacuum and that not only will the nature of the project change as it is being developed but so too will the environmental background against which the project unfolds. A variety of project planning tools, both paper based and software based, are available to plan projects and learners are required to have a working knowledge of the main techniques and should understand how to use them in planning a real project, confident in the knowledge that they provide a helpful means of setting up a project in a way that allows it to be managed effectively.

Consideration can then be given to implementing a project. For this, learners could be involved in working on a real project so they need to be able to deal with the practicalities of running a project. This learning lends itself to group work and team-based activity. Either a work project or a case study-based project can be used. The emphasis in the teaching will be on learners doing practical work but being guided and supervised by tutors. Learners should understand how to deal with the problems of project slippage, risk and deviations from the plan, and be able to identify and respond to these matters.

Learners need to understand that projects have to be monitored, reviewed and evaluated both as they go along and once they are concluded by looking at how information is gathered about project operations and then comparing them with the project plans. An understanding of the control mechanisms available is required, together with how to get projects back on track. Sometimes there are changes to the project and these too need to be managed and sanctioned. Once projects are complete, consideration will be given to how the success of the project can finally be judged.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way of planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments
Tutor input – project management and the role of the project manager
Small-group activity – research and discussion on project planning techniques
Assignment: Project Management (covering all assessment criteria)
Learners work on their projects Tutor support and feedback
Continuing practical work and group work on project management. Learners run and control a project
Evaluation of the completed project
Completing the project and all the associated documentation together with a project review
Tutor support and feedback
Review of unit and assignment activities

Assessment

For AC1.1, learners need to describe the responsibilities of project managers and the techniques available to the project manager for project planning.

For AC1.2, learners need to discuss how the terms of reference for a project are agreed in order to establish the parameters which govern the project.

For AC1.3, learners need to explain the techniques and tools that are used in the planning of projects as these techniques will later provide both a framework for managing a project and a basis for making judgements about the project. It is helpful if learners demonstrate their understanding by providing examples of planning techniques and how they are used. For AC 1.1, 1.2 and 1.3 assessment can be carried out by using a case study or a real project which requires consideration of the role of project managers, the terms of reference for projects and the project planning methods that are available for use. An integrated assignment can be used for this unit, with the work carried out in stages. For learning outcome 1, work would be submitted in a written format or through a presentation made with slides, notes and a question-and-answer session showing that the requirements of project planning are understood. Alternatively, a standalone assignment can be used for AC 1.1, 1.2 and 1.3.

For AC 2.1 and 2.2, learners need to demonstrate their capacity to administer, run and control a project, so there needs to be identification of the resources required for projects and allocation of responsibilities to members of the project team.

For AC2.3, learners need to implement their project using appropriate techniques. This is a practical activity that needs to be structured and for which sufficient time needs to be allocated. For AC 2.1, 2.2 and 2.3, assessment can be carried out by using a case study or a real project. The integrated assignment started for learning outcome 1 can continue to be used. Alternatively, a standalone assignment can be used for AC 2.1, 2.2 and 2.3.

For AC 3.1 and 3.2, learners need to explain how to monitor projects by using agreed performance criteria and review project progress against project plans. Examples should be given of the monitoring mechanisms used to collect information that can be used to review progress against plans.

For AC3.3, learners need to explain how to keep projects on track together with the importance of doing so.

For AC3.4, learners need to explain how to evaluate a project once it has been concluded by using suitable performance indicators and drawing any conclusions that might be used in other future project management activities. The integrated assignment started for learning outcomes 1 and 2 can continue to be used. Alternatively, a standalone assignment can be used for AC 3.1, 3.2, 3.3 and 3.4.

It is possible to assess work orally, with learners explaining and describing things to the assessor in discussion or in group work or in a presentation. If oral assessments are used then the work must be directly attributable to the learner, and hard copies of the learner's presentation slides/notes, or discussion notes/prompts made available in addition to a detailed assessor statement. The assessor must provide a signed statement that includes detail of the evidence presented that is aligned to the criteria. The evidence must support achievement of the criteria. If there is sufficient evidence from the oral work or from observations to make an assessment decision then the assessment decision should be shown.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
All assessment criteria	Project Management	The learner works as project manager and is required to plan and implement a small project.	Project plan, a record of the implementation of the project and an account of how the project was managed to a successful conclusion.
An alternative approach			
AC 1.1, 1.2, 1.3	Project Planning	The learner works as project manager and is required to plan and implement a small project.	Project brief
AC 2.1, 2.2, 2.3	The Project Plan	The learner works as project manager and is required to plan and implement a small project.	Project plan
AC 3.1, 3.2, 3.3, 3.4	Tracking a Project	The learner works as project manager and is required to identify how to manage a project in order to keep it on course.	Report

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Meredith J R and Mantel Jnr S J – *Outlines & Highlights for Project Management*: *A Managerial Approach* (Academic Internet Publishers Incorporated, 2009) ISBN 1428877584

Milosevic D Z – *Project Management ToolBox: Tools and Techniques for the Practicing Project Manager* (John Wiley and Sons, 2003) ISBN 0471208221

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 0273710974

Journals

Management Today (Haymarket Business Media)

People Management (Chartered Institute of Personnel and Development)

Professional Manager (Chartered Management Institute)

Websites

www.jiscinfonet.ac.uk/infokits/project-management/index_html	A collection of materials on project management from JISC, the educational advisory service for post-compulsory education
www.managementhelp.org	Free management library with links to a variety of management topics

Unit 9: Developing Working Relationships with Team Members

Unit code: D/602/0401

QCF Level 2: BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with the knowledge and understanding to develop productive working relationships within teams to ensure a clear focus to achieve their objectives.

Unit introduction

Work is mostly carried out by teams in organisations. A successful team is made up of team members who have developed effective working relationships. Fostering effective working relationships is one of the responsibilities of the team leader. A team leader is instrumental in ensuring that individuals and teams do the work that is required of them and learners will identify the characteristics of productive working relationships between a team leader and the team members as well as within the team itself. Completing the work that is required of them ensures that the team is supporting the achievement of organisational goals.

Productive working relationships may happen accidentally, but there are techniques that can be used to develop working relationships between team leaders and their teams, as well as between members of the team. Teams will not appreciate a team leader who takes all the credit for a team's achievements and a team cannot be made up of individuals who all want to do the same task. The team leader has a responsibility to lead the team by example by setting high standards and behaving professionally in all circumstances. Communication between the team leader and the team, and between individual team members, is a central feature of developing and maintaining productive working relationships. From time to time, difficulties will arise within teams in respect of the work that has to be done. Therefore, a key work skill for the team leader is to adopt a positive approach when dealing with team members to ensure that ways are found to resolve the work-related difficulties that can arise within teams.

By considering how team leaders can develop working relationships with team members, learners will gain an insight into how team leaders can develop and maintain the productive work of the teams they lead.

Method of assessment

This unit can be assessed through either a portfolio of evidence (internal assessment) or a multiple-choice (MCQ) test (external assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria
1 Know the characteristics of productive working relationships between a team leader and team members	1.1 describe the features of productive working relationships 1.2 identify the benefits of productive working relationships
2 Know how to develop working relationships with team members	2.1 describe how to behave in a professional way when working with team members 2.2 describe how to successfully communicate knowledge and information to team members 2.3 select the most appropriate methods for communication 2.4 select the most appropriate techniques for communication
3 Understand how to maintain working relationships with team members	3.1 describe the importance of adopting a positive approach when dealing with team members 3.2 compare ways of resolving work-related difficulties that arise with teams

Unit content

This content has been written in an expanded format to facilitate both multiple-choice (MCQ) testing and portfolio assessment. Learners presenting work for portfolio assessment are not expected to evidence all of the content. Learners who opt for MCQ assessment could be tested on any part of this content

1 **Know the characteristics of productive working relationships between a team leader and team members**

Features of productive working relationships: identification of team roles (Belbin); need for a range of complementary skills and attributes within teams; developmental stages for teams (Leigh and Maynard's starting, sorting, stabilising, succeeding, stopping model; Honey's chaotic, formal, skilful model; Tuckman's forming, storming, norming, performing model); team leader's role in facilitating team development at each stage; allocation of responsibilities to team members; clear lines of communication; openness in handling knowledge and information; sharing information; fairness in the treatment of others; involvement of team members; valuing the contributions of team members; respecting opinions of others; supporting the team and its members; prioritising work; obtaining feedback on own performance; obtaining feedback on team members' performance; sharing feedback on performance; networking; managing information; empathising with others; leading by example; accepting responsibility; taking account of the requirements of others (priorities, expectations, authority); acting decisively; fulfilling agreements made with colleagues; technical competencies (knowledge of job, knowledge of work systems, knowledge of work processes); social competencies (open, fair, amenable, approachable, courteous, polite, enthusiastic, energetic approach to work); conceptual skills (seeing the bigger picture); synergy within a team; adjusting roles within the team to provide experience to individual team members; avoidance of reliance on individual team members; flexibility in carrying out work; multi-skilled team members; pro-activity in handling tasks; enjoyment of work

Benefits: shared commitment to objectives; range of skills and expertise; sharing ideas; coordination of activities; mutual support; meeting individual objectives; meeting team objectives; meeting organisational goals; accurate work; timely work; mutual support; improved productivity; improved output; improved customer service; awareness of the activities of others in the team; ability to deal with any operational difficulties that arise; shared sources of information; shared understanding of business activities and processes; shared decision making; consistency in working practices; consistent messages communicated to customers (internal, external); consistent messages communicated to stakeholders; positive orientation to change

2   Know how to develop working relationships with team members

Behaviour: set targets that support organisational goals; identify resources required; schedule work; allocate work; use team members' strengths; offer new challenges to team members; delegate work; ensure balanced workloads; agree work methods; set timescales; identify milestones for work to be completed; identify benchmarks for quality standard of work; team building; balancing needs of the team, the task and individuals; offering support to team members; seeking support when problems arise that require managerial action; maintaining the flow of work in the team; openness; receptivity to ideas; fairness in dealing with others; understanding differences (personal, professional, social, cultural); interpersonal skills for dealing with difficulties (listening, empathising, questioning, bargaining, retreating, de-emphasising); reviewing the work of the team; taking corrective action where required; valuing the work of team members; courtesy; clarity; even-handedness; skills for meetings (planning, organisation, conduct, securing agreement, recording decisions, informing team, informing interested parties); skills for one-to-one meetings (approachable, amenable, open, honest, fair, considerate, securing agreement, recording decisions, informing team, informing interested parties); skills in dealing with line managers and other departments; assessing own work; seeking team views on own performance; recognising own limitations; recognising when additional support is required; seeking additional support; learning from the team; providing regular feedback; phrasing feedback constructively

Communication: purpose (keep people informed, sustain effective working relationships, provide auditable record of actions and decisions, provide a reference point for actions; methods (formal, informal); importance of communications (getting to know the team, building relationships, creating an effective team, facilitating flows of information, keeping everyone informed); advantages of communication methods (speed, clarity, auditability, authenticity); communication techniques (verbal: conversation, team meetings, briefings, one-to-one discussion, telephone, voice mail, videoconference; non-verbal: reports, memoranda, email, letters, reports; surveys, questionnaires, appraisals, texting, social networking for business purposes, web-based techniques); advantages of communication techniques (speed, immediacy, accuracy, intelligibility, clarity, detail, precision, distribution, auditability); listening to the views of others; exchange information with team members to make sure understanding is shared and all parties can work effectively; checking messages for meaning (echo checking, confirmation, amplification; clarification); message characteristics (brevity, clarity, intelligibility, legibility); preserving meaning; omissions; distortions; trusted sources; trusted recipients; status of parties (senior, junior, peers, internal, external); networks (formal, informal); user groups; adapting communication to suit the needs of the recipients; encouraging contributions from others

3 **Understand how to maintain working relationships with team members**

Positive approach: team leader as a behavioural role model; work knowledge (own job, others' jobs; other teams; work practices, work procedures); resolve difficulties such as conflicts of interest and disagreements with team members and colleagues in ways that minimise damage to the work being carried out; adopt collaborative and consultative styles of working with team members; adapt leadership style as circumstances dictate; advise team members promptly of difficulties; identify when agreements cannot be fulfilled; identify when targets cannot be met; act in a transparent manner; use interpersonal skills; use group process skills; decisiveness; setting clear objectives using specific, measurable, achievable, realistic, time-based (SMART) targets to identify desired outcomes; encouraging team members to take the lead; praising the work of the team and individuals in the team; seeking contributions from team members; encouraging ideas; framing criticisms as suggestions for improving work

Resolving difficulties: causes of difficulties (misunderstanding, disagreement, slippage, internal problems, external problems); early intervention to identify difficulty; intervention to prevent the situation from getting out of control; avoiding attitudes becoming entrenched; communicate to build rapport; talking the situation through; negotiation; agree alternative courses of action; identifying difficult behaviour; managing difficult behaviour; keeping calm; maintain rapport; avoid becoming embroiled in difficulties; avoid unproductive activities (apportioning blame, shouting matches); challenge inappropriate behaviour; act assertively; summarising; proposing; confronting unacceptable behaviours; clarity; de-personalisation; rule enforcement; recognition of limit of own capacities and responsibilities; referral to others (line manager, counselling service)

Essential guidance for tutors

Delivery

All the learning outcomes in this unit lend themselves to flexible delivery. Formal tutor input could identify some of the theoretical material, but learners can work individually and in groups researching and gathering information about the development of working relationships within teams. Case studies, simulations, team activities, role play and video recordings all offer approaches to learning that show how to develop working relationships within teams and between team leaders and team members. Up-to-date materials are available on the web and material is available from both government agencies and private providers on topics such as personal skills, communication techniques and handling problems in team settings.

No previous knowledge of how to develop working relationships with team members is assumed and learners can refer to experiences from employment or group work, or from reviewing case studies where good and bad working relationships within teams have been identified. Social and sporting activities in which learners may be involved could also illustrate some of the same ideas.

The unit can be introduced by identifying both the features and benefits of having productive working relationships. This has to be set against the background of ensuring such relationships contribute directly and indirectly to overarching organisational goals. The members of a sales team may get on well with each other, but if they are not selling anything then the value of having good relationships is lost to the organisation.

Learners need to appreciate that team leaders should behave in a professional way when working with team members. Team leaders are role models for the team and should understand the work that is required of the team. They need to be fair in their treatment of team members in order to ensure that team members do not feel their roles and responsibilities are diminished in any way. Showing favouritism will create antagonism within the team, so actions should be clear and principled. Consideration must be given to understanding how to communicate knowledge and information successfully to team members to facilitate and support the work of the team. This involves selecting and using the most appropriate methods for communication.

Learners need to recognise the importance of team leaders adopting a positive approach when dealing with team members. Team leaders need to act in a supportive way to ensure that difficulties are faced and the actions proposed to deal with the situation will lead to positive outcomes. The team is then primed to adopt a proactive stance in dealing with difficulties and does not succumb to negative perceptions about any difficulties that may occur. The interpersonal skills of the team leader contribute to fostering positive approaches. There will inevitably be differences in identifying the best approach to resolving difficulties, so learners will need to appreciate that there are various approaches team leaders can use to solve problems.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with either portfolio (internal assessment) or multiple-choice (MCQ) tests (external assessment).

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments
Tutor presentation – the characteristics of productive working relationships
Practical work, research and discussion – the benefits that accrue from having productive working relationships in different work settings
Group activity – identifying the characteristics and benefits of having productive working relationships
Assignment 1: Productive Working Relationships*
Tutor support and feedback
Tutor presentation – how to develop working relationships in team environments
Practical work that considers the professional behaviour of team leaders and successful communication within team environments
Assignment 2: Communicating with Your Team*
Tutor support and feedback
Tutor presentation and group discussion – the need for team leaders to adopt a positive approach in working with their teams
Practical and case study work – the resolution of difficulties in team environments
Assignment 3: Solving Problems with the Team*
Tutor support and feedback
Review of unit and onscreen multiple-choice tests OR review of unit and programme of assignments (portfolio assessment)

Suggested assignment titles for portfolio assessment only

Assessment

This unit can be assessed through either portfolio (internal assessment) or an onscreen multiple-choice (MCQ) test (external assessment). The following information on assessment relates to assessment by portfolio. Edexcel publishes separate guidance and information on MCQ testing.

For AC1.1, learners need to describe the features of productive working relationships using examples from different work contexts to illustrate the points made. Learners can draw on any personal experiences which have arisen from working in groups.

For AC1.2, learners will need to use examples of productive working relationships to identify the benefits that arise from having such relationships. For AC 1.1 and 1.2, a case study or research into teamworking situations learners have been involved in or know about can be used. There needs to be explanatory detail to illustrate the benefits that accrue from having productive relationships.

For AC2.1, learners need to describe the professional behaviour required of a team leader when working with team members. Examples can be drawn from personal experiences or from situations that have been looked at in case studies.

For AC2.2, learners need to describe how to successfully communicate knowledge and information to team members to ensure that they understand and can act on it.

For AC2.3 and 2.4, learners need to select the most appropriate methods and techniques for communicating with team members. They need to consider the communication methods and techniques that promote the development of good working relationships within teams. This will require details of which methods and techniques can be used, why they are used and a description of why they are chosen for particular situations. For AC 2.1, 2.2, 2.3 and 2.4, a range of annotated illustrative techniques can be used to show how working relationships with team members are developed.

For AC3.1, learners need to describe the importance of adopting a positive approach when dealing with team members. They should illustrate the importance and advantages of team leaders being positive in dealing with teams and show how this not only fosters good working relationships, but also helps work productivity.

For AC3.2, learners need to compare ways of resolving work-related difficulties that arise with teams. They should consider the types of work difficulties that arise within teams and compare the alternative approaches that are available to team leaders when dealing with, and resolving, difficulties. For AC 3.1 and 3.2, learners need to use practical examples to illustrate how working relationships are maintained even though problems arise in team working.

It is possible to assess work orally, with learners explaining and describing things to the assessor in discussion or in group work or in a presentation. If oral assessments are used then the work must be directly attributable to the learner, and hard copies of the learner's presentation slides/notes or discussion notes/prompts made available in addition to a detailed assessor statement. The assessor must provide a signed statement that includes detail of the evidence presented that is aligned to the criteria. The evidence must support achievement of the criteria. If there is sufficient evidence from the oral work or from observations to make an assessment decision then the assessment decision should be shown.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2	Productive Working Relationships	The learner works as a successful team leader in the sales department of an organisation and has been asked to talk to team leaders elsewhere in the organisation about why their team is so productive.	Presentation
AC 2.1, 2.2, 2.3, 2.4	Communicating with Your Team	The learner is a team member in an organisation and the team has identified that poor communication is a problem that is hampering its work. A thought shower/buzz group session is to take place to try to identify ways of making communication more effective within the team and to feed the information back to the team leader.	Report with an annotated spidergram
AC 3.1, 3.2	Solving Problems with the Team	The learner has been asked to write an article for an organisation's in-house magazine on how team leaders can promote and maintain working relationships with their teams.	Finished article illustrated with some practical examples

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Elearn – *Positive Working Relationships* (Pergamon Flexible Learning, 2005) ISBN 0750666781

Elearn – *Leading Teams* (Pergamon Flexible Learning, 2008) ISBN 0080554814

Johnson C and Keddy J – *Managing Conflict at Work: Understanding and Resolving Conflict for Productive Working Relationships* (Kogan Page, 2010) ISBN 0749459522

Leigh A and Maynard M – *Leading Your Team* (Nicholas Brealey Publishing, 2002) ISBN 1857883047

Leigh A and Maynard M – *Perfect Leader* (Random House Business, 2003) ISBN 1844131475

Owen J – *How to Lead, 2nd Edition* (Prentice Hall, 2009) ISBN 027372150X

Journals/magazines

Management Today (Haymarket Business Publications)

People Management (Chartered Institute of Personnel and Development)

Professional Manager (Chartered Management Institute)

Websites

http://openlearn.open.ac.uk	Open learning material relating to communication and teams
www.champsonline.org	Open learning material relating to communication and teams
www.cipd.co.uk	The Chartered Institute of Personnel and Development
www.humanresources.about.com/od/ managementandleadership/u/manage_ people.htm	A series of useful articles on human resource management, including a number dealing with teamworking

Unit 10: Health and Safety Risk Assessment in Your Team

Unit code: J/602/0411

QCF Level 3: BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with an understanding of the need for risk assessment in the workplace and the skills to be able to carry out a valid risk assessment to ensure the health and safety of a team.

Unit introduction

In any organisation, it is important to understand that non-compliance with organisational procedures and legal requirements can have serious implications. This is particularly true in relation to health and safety legislation and risks in the workplace, as non-compliance can lead to personal injury as well as impacting on the success of the organisation. An organisation therefore needs to have robust procedures, policies and working practices in place to ensure compliance with legal and organisational requirements.

Everyone in the workplace should play a role in ensuring health and safety and it is part of the role of a team leader/manager to ensure that those for whom they are responsible understand this. Effectively assessing and minimising risk in the workplace is a vital tool in ensuring a safe and healthy working environment. Team leaders/managers have a key role in this, particularly in identifying risks to members of their team.

This unit introduces learners to the requirements of health and safety in the workplace. Learners will develop knowledge of health and safety legislation and examine both employer and employee requirements. The unit will focus on the place that effective risk assessment has in ensuring a healthy and safe environment.

Learners will identify and recommend improvements to workplace health and safety practices through undertaking a risk assessment and evaluating the outcomes.

Method of assessment

This unit can be assessed only through a portfolio of evidence (internal assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Understand the need for risk assessment in health and safety in the workplace	1.1	explain why health and safety legislation impacts on organisations
	1.2	explain why risks need to be identified to ensure health and safety
2 Be able to assess risks to your team	2.1	complete a health and safety risk assessment for a team
	2.2	evaluate the outcomes of a health and safety risk assessment
	2.3	identify ways of minimising health and safety risks to a team
3 Understand ways in which the risk assessment process could be improved	3.1	analyse the success of risk assessment in a given situation
	3.2	discuss ways in which risk assessment processes can be improved

Unit content

1 **Understand the need for risk assessment in health and safety in the workplace**

Background of health and safety legislation: statutory duties of employers and employees relating to health, safety and welfare; historical development of health and safety law eg Factories Act 1995, Offices, Shops and Railway Premises Act 1963, Health and Safety at Work Act 1974, Control of Substances Hazardous to Health Regulations (COSHH); EU directives eg Working Time Directive 2003; the role of the Health and Safety Executive

Impact of health and safety legislation on organisations: workplace policies; job roles; reporting procedures; harmful work practices; organising own working environment to ensure compliance

Need to identify risk: assessing risk to ensure health and safety of staff; consequences of not addressing identified risks; controlling risks

2 **Be able to assess risks to your team**

Hazards: definition; difference between hazards and risks; types eg noise, activities requiring eye protection, potential for falling objects, sharp edges and trailing leads, hazardous materials, inappropriate waste disposal, noise and atmospheric pollution; identification and prevention

Completing risk assessments: rationale; format; frequency of completion; content; good practice; five steps to risk assessment from the Health and Safety Executive (identify the hazards, decide who might be harmed and how, evaluate the risks and decide on precaution, record your findings and implement them, review your assessment and update if necessary); identifying specific and common health, safety and security risks in the workplace; industry best practice (Health and Safety Executive)

Monitoring risk: levels of risk; types; training and staff development; departmental representatives; awareness raising across team; benchmarking; safety devices; procedures for recording and reporting accidents; organisational and legislative requirements; review of records and action planning

3 **Understand ways in which the risk assessment process could be improved**

Evaluating risk assessments: features of good and bad risk assessments; comparing risk assessment processes in different organisations; checking currency of assessment; evaluating adherence to the five steps of risk assessment from the Health and Safety Executive

Essential guidance for tutors

Delivery

This unit requires a clear understanding and knowledge of the legislation that surrounds health and safety and the rationale for risk assessment and needs to be delivered in as practical a way as possible to ensure that learners understand the place of health and safety, and particularly risk assessment, in the workplace. Learners need to be able to confidently complete a risk assessment according to organisational procedures and then reflect on and evaluate their findings.

Case studies and video/DVD examples of good and bad practice are good sources of learning material for health and safety matters. Use of live risk assessments from the workplace would be beneficial to give learners the opportunity to develop their own understanding through examining health and safety practices in other organisations.

For learning outcome 1, the tutor needs to ensure that learners understand key legislation, its development and the impact of legislation on the responsibilities of employers and employees. Learners could then discuss and share their own experiences. The tutor could lead with examples of the impact of legislation (for example on job roles and organisational policies) and then learners can work in groups sharing their experiences of policies and practices in their own workplaces.

For learning outcome 2, learners need to understand the range and types of hazard and that a risk is the chance, high or low, that somebody could be harmed by the hazard. The tutor could provide examples of hazards in various work environments, utilising video/DVD and case study material and the internet. This would naturally lead to a group discussion on hazards and risks in learners' own workplaces and learners could then prepare a short presentation on their own workplace to share with the rest of the group.

The tutor could then lead on risk assessment procedures, basing the input around the Health and Safety Executive's recommended five steps to risk assessment. Each stage could be delivered in an interactive way to encourage learners to share their experiences with others.

For learning outcome 3, it would be useful for learners to complete a couple of risk assessments from case studies so that they are able to discuss their findings with other learners in the group. This discussion can stimulate thinking on how to evaluate risk assessment and good practice in minimising risks. The tutor could then summarise the feedback. This will give a sound foundation for learners when evaluating a risk assessment completed for their own workplace.

Access to real workplace environments would be highly beneficial as well as access to video/DVD and case study examples of poor practice and breaches of health and safety in the workplace.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments
Tutor input – key features of health and safety legislation
Small-group activity – learners research practical examples of legislation and the impact of legislation on the workplace and then feed back to the whole group
Tutor-led discussion with video/DVD and case study examples – hazards and risks
Activity – learners review how health and safety legislation affects their own workplace and the consequences of not carrying out an adequate risk assessment
Assignment 1: Rationale for Risk Assessment
Tutor input – risk assessment procedures
Small-group discussion – learners compare risk assessment procedures from their own workplaces
Assignment 2: Evaluating Risk Assessment in the Workplace
Tutor-led discussion – good and bad practice
Tutor-led discussion – improving the risk assessment process
Assignment 3: Improving the Risk Assessment Process
Review of unit and programme of assignments

Assessment

Assessment for this unit should be evidenced, wherever possible, through the learner's own workplace. Early discussion needs to take place between the tutor and the learner on the suitability of their workplace for collecting evidence. Where the workplace is not suitable, the tutor will need to help the learner find another workplace. In exceptional cases, the use of a simulated work environment could be used.

For AC1.1, learners need to explain why health and safety legislation impacts on organisations, using real workplace examples to illustrate their answer. Learners need to demonstrate their understanding of the role of legislation in ensuring health and safety and how it applies to the workplace. This will involve explaining job roles, procedures, structures, working practices and policies in relation to how they meet legislation, as well as the rights and responsibilities of employers and employees.

For AC1.2, learners need to explain why risks need to be identified to ensure health and safety in the workplace. Learners do not have to identify risks in their own workplace at this stage but show that they understand the importance of identifying risk in the workplace, particularly in relation to compliance with legislation.

For AC2.1, learners need to demonstrate that they can follow workplace procedures and successfully complete a health and safety risk assessment for a team that covers all five of the Health and Safety Executive's five stages of risk assessment.

For AC 2.2 and 2.3, learners need to evaluate the outcomes of the health and safety risk assessment they completed in AC2.1 and identify ways of minimising health and safety risks to the team. They need to realistically quantify the risks identified and their recommendations for minimising risks should be practical and directly related to the level of risk.

For AC3.1, learners need to analyse the success of a risk assessment in a given situation. This can be based on the risk assessment activity carried out for learning outcome 2.

For AC3.2, learners need to discuss ways in which the risk assessment process can be improved.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2	Rationale for Risk Assessment	The learner examines the impact of legislation and risk on the workplace.	Report
AC 2.1, 2.2, 2.3	Evaluating Risk Assessment in the Workplace	The learner completes a health and safety risk assessment for a team and evaluates the outcomes.	Report and portfolio of evidence
AC 3.1, 3.2	Improving the Risk Assessment Process	The learner considers how to improve the risk assessment process.	Presentation

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Boyle T – *Health and Safety: Risk Management* (IOSH Services Ltd, 2008) ISBN 0901357413

Health and Safety Executive – *Successful Health and Safety Management* (HSE Books, 1997) ISBN 0717612767

Health and Safety Executive – *Essentials of Health and Safety at Work* (HSE Books, 1994) ISBN 071760716X

Health and Safety Executive – *5 Steps to Risk Assessment: Case Studies* (HSE Books, 1998) ISBN 0717615804

St John Holt A and Allen J – *Principles of Health and Safety at Work* (IOSH Services Ltd, 2009) ISBN 090135743X

Stranks J – *Health and Safety at Work: An Essential Guide for Managers* (Kogan Page, 2010) ISBN 0749461195

Websites

www.businesslink.gov.uk	Health and safety advice for businesses
www.hse.gov.uk	Health and Safety Executive
www.hse.gov.uk/pubns/books/ newsletter.htm	Health and Safety Executive newsletter
www.tuc.org.uk	Trades Union Congress

Unit 11: Coaching Skills in Team Leading and Management

Unit code: K/602/0403

QCF Level 3: BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with the knowledge and skills that team leaders and managers can use when supporting team members in identifying, developing and implementing new ideas.

Unit introduction

Coaching is the art of improving the performance of others. It is often a key part of the team leader's job description, and all successful team leaders use coaching to promote continuous development of high-performing teams, to address shortcomings in performance or to assist with the challenges posed by change.

In this unit, learners will have the opportunity to investigate the fundamental models and skills used when coaching team members as a team leader or manager. This unit combines a mixture of theory, good practice models and application to case study or role-play situations.

Learners will study key underlying learning theories. This creates a platform to investigate models of good practice for both a coaching plan and an individual coaching session. Learners can then consider some different methods of coaching and how and when to use the methods.

Next, learners will examine coaching skills such as active listening and using questioning and learn how to apply them in coaching situations.

Finally, learners will investigate the factors which encourage or discourage innovation in a work team and also how certain processes can be used to form a framework within which team members are encouraged to generate ideas and are supported through their implementation.

Method of assessment

This unit can be assessed only through a portfolio of evidence (internal assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Know key learning theories	1.1	outline learning theories
	1.2	describe how theories apply in given situations
2 Be able to develop a coaching plan	1.1	identify stages in a model of a coaching plan
	1.2	identify stages in a model of a coaching session plan
	1.3	describe coaching methods
	1.4	develop a coaching plan
3 Be able to use coaching skills to develop team members	3.1	identify coaching skills used to develop team members
	3.2	apply coaching skills to develop team members
4 Understand how to support team members to implement ideas	4.1	analyse factors which affect generation of ideas within a team
	4.2	describe processes that support team members to implement ideas

Unit content

1 Know key learning theories

Key learning principles: learning cycle (David Kolb); importance of learner activity and reflection; awareness raising of the challenge of learning a new skill as expressed by the learning matrix stages; unconscious incompetence, conscious incompetence, conscious competence and unconscious competence; resourceful and non-resourceful states and their effect on the capacity to learn (Hare and Reynolds); impact of involving a range of senses in learning; role of practice and repetition in learning; the importance of preparing for, consolidating and reinforcing learning

Applying theory to a coaching situation: different types of learning styles (Honey and Mumford)

2 Be able to develop a coaching plan

Coaching plan: model for structuring a plan (GROW model – goal, reality, options, way forward); analysis of existing situation; exploration of options; action, learning implementation and feedback

Coaching session plan: model of plan for individual coaching sessions with objectives; learning; consolidation of learning; review of learning; further action planning; preparation of suitable learning environment

Coaching methods: range of methods to assist learning eg activities, role play, mnemonics, use of mind maps, use of metaphors; methods of overcoming difficulties eg mistrust, reluctance, dependency

3 Be able to use coaching skills to develop team members

Coaching skills: one-to-one meeting skills; use of language eg descriptors of Hare and Reynolds' resourceful and less resourceful states; use of clear and logical structures for giving instructions or information; active listening skills; their importance; verbal and non-verbal active listening behaviours; EARS model (empathise, acknowledge, reflect and summarise); use of questioning (purposes, value), types of questions eg Hare and Reynolds

Giving feedback: use and importance of feedback; planning and giving feedback; feedback to reinforce positive behaviours; structuring feedback; reviewing progress and evaluating learning

4 Understand how to support team members to implement ideas

Factors affecting generation of ideas: Anderson and West's four-factor theory of group climate for encouraging innovation

Processes that support team members to implement ideas: encouragement eg identify, record, assess benefits and risks of new ideas, create business/project proposal; providing resources; identifying potential barriers eg resistance to change, initial costs, risk averse attitude; monitoring implementation of ideas; communicate progress of implementation; reviewing outcomes

Essential guidance for tutors

Delivery

This unit includes theory, its application to real situations and the development of practical skills, so a range of teaching and learning methods would be appropriate. As the range of activities may include role play, group work and the delivery of coaching sessions, it is important to negotiate clear ground rules to ensure that the activities are conducted in a way that is constructive for all learners. If learners are to be asked to give feedback to one another then they should be taught how to do this, following good practice guidelines, as part of an induction process. Care should be taken to ensure that any coaching sessions stay within the bounds of coaching for a specific work-related skill and that all activities comply with child protection and health and safety regulations. Learners should receive guidance on how to approach their assignment and on gathering evidence for the assessment criteria.

For learning outcome 1, learners could, as an exercise, be asked to learn something new and then reflect on the process. This could lead to a discussion of the learning matrix stages, and also of the challenges facing learners who are learning to carry out unfamiliar tasks. Learners could explore the other theories through a combination of reflection on their own experiences as learners and a series of group discussions.

For learning outcome 2, learners could be introduced to the GROW model and then discuss how the plan could be used as a basis on which to develop the individual coaching sessions. When studying how to develop a coaching session plan it would be beneficial for learners to watch videos or observe role play of well-structured and poorly structured coaching sessions. The learning about the different coaching methods lends itself to a series of practical activities with reflection and discussion on the usefulness of each one in different situations.

For learning outcome 3, learners could analyse examples of good practice for each of the coaching skills listed in the unit content before going on to practise the skills in role-play exercises. The basic skills for giving feedback may already have been taught as part of setting the ground rules for the unit. Learners could reflect on feedback both as a giver and a receiver and then practise their techniques in role-play situations.

Learning outcome 4, introduces the topic of encouraging innovation. It would be helpful to provide some background information on why innovation is so important. Learners could draw on their experiences of working in teams to reflect on times when ideas flowed easily and discuss what may have helped team members to be innovative. Resistance to innovation and change could be explored through a case study. This would then lead into a discussion of the methods used by first line managers to support team members who introduce new ideas.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments
Tutor input – the learning cycle
Activity – learners complete individual worksheets in which they detail the stages of recent learning onto a learning cycle diagram Small-group activity – learners discuss whether they prefer some learning stages over others
Tutor input – the learning matrix stages Small-group discussion
Tutor uses resources involving senses such as touch, smell, hearing, sight to explain something and then contrasts this with just reading aloud from a book. The group then discuss the relative impact on the memory of the different methods
Small-group discussion – how to use the theories covered so far within the coaching at work role
Learners view a good initial coaching session and then identify the elements of the coaching plan Tutor input – the GROW model
Tutor input – how to plan a coaching session
Assignment 1: Analysis of an Initial Coaching Session
Tutor input – coaching methods Role-play activities
Tutor input – further explanations of coaching skills Role-play activities
Assignment 2: Practical Coaching
Tutor input – innovation Learners discuss occasions when they were able to be innovative and what caused that to happen
Tutor input – the processes that can be used to encourage innovative behaviour of team members, supported by video/DVD clips
Assignment 3: Encouraging Innovation
Review of unit and programme of assignments

Assessment

This unit can be assessed through a portfolio of evidence using assignments or other assessment instruments designed by the centre.

Evidence that learners have met the criteria can be collected through written assignments, or through oral work. If learners meet any criteria through oral work then this should be recorded on a Learner Observation Record which shows in sufficient detail why each criterion has been met. This should be supported by other evidence such as learners' notes or visual aids.

For AC1.1, learners need to correctly outline at least two learning theories.

For AC1.2, learners need to describe how at least two learning theories apply to two different situations.

For AC2.1, learners need to identify four separate stages in a model of a coaching plan. This needs to include showing some understanding of each stage by identifying the stage from a role play or case study.

For AC2.2, learners need to identify at least four separate stages in a model of a coaching session plan, demonstrating an understanding of the types of activities that could make up each stage.

For AC2.3, learners need to describe at least four different coaching methods.

For AC2.4, learners need to develop a coaching plan that uses all the stages of a model such as GROW.

For AC3.1, learners need to identify at least three coaching skills used to develop team members, including feedback.

For AC3.2, learners need to apply coaching skills to develop team members in real situations if this is appropriate and ethical, or, if not, in a role-play situation. There should be a total of at least three coaching skills plus feedback applied to at least two different situations.

For AC4.1, learners need to fully analyse four factors that affect the generation of ideas within a team.

For AC4.2, learners need to describe five processes that support team members to implement ideas.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2, 2.1	Analysis of an Initial Coaching Session	The learner views a recording of an initial coaching session and reads the records made by the coach to identify the learning theories that have been used. They explain how they have been applied in the coaching plan, and identify the stages in the coaching plan that have been used.	Report
AC 2.2, 2.3, 2.4, 3.1, 3.2	Practical Coaching	The learner plans a coaching session, conducts two role-play sessions using coaching methods and skills and produces reflective accounts explaining how they demonstrated their skills and methods. Their reflective account also explains how they would apply the methods in different situations.	Coaching session plan, role play and reflective account
AC 4.1, 4.2	Encouraging Innovation	The learner produces a presentation about the factors that support innovation in the workplace and explains how they could support innovation within a specific workplace.	Presentation

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Cope M – *The Secrets of Success in Coaching: 12 Ways to Excel as a Coach* (Pearson Education, 2010) ISBN 027373184X

Starr J – *Brilliant Coaching* (Pearson Education, 2008) ISBN 0273717359

Websites

http://en.wikipedia.org	Articles on coaching
www.bps.org.uk	British Psychological Society – links to articles on coaching
www.businessballs.com	Offers a wide range of free resources including some on learning and team development
www.cipd.co.uk	Chartered Institute of Personnel and Development
www.nwlink.com/~donclark/perform/ coach.html	The Performance Juxtaposition Site – free resources on leadership and management development

Unit 12: Environmental and Ethical Issues in Management

Unit code:	**Y/602/0459**
QCF Level 3:	**BTEC Specialist**
Credit value:	**3**
Guided learning hours: 30	

Unit aim

This unit provides the learner with the skills and understanding relating to environmental and ethical policies of organisations and an understanding of how the adverse impacts of work activities on the environment can be reduced through appropriate management activities.

Unit introduction

In this unit, learners will investigate environmental legislation and its growing impact on all business organisations. They will then examine the criminal and civil sanctions for non-compliance with legal requirements relating to environmental issues and also the wider repercussions for an organisation in terms of its reputation.

Learners also study the issues that are typically included in ethical policies and why it is beneficial for organisations to have ethical policies which echo the values of their main stakeholders.

Next, learners find out about a range of tools and data that can be used to evaluate the impact of work activities on the environment and this then develops into a consideration of ways to improve both the use of resources and the disposal of waste. They then find out how to monitor compliance of a part of an organisation with ethical policies and make recommendations to improve compliance.

The unit is a mixture of knowledge of environmental and ethical issues and the practical application of methods used by the non-specialist manager to play their part in improving environmental performance and to monitor compliance with ethical policy commitments.

Method of assessment

This unit can be assessed only through a portfolio of evidence (internal assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Understand why organisations implement environmental and ethical policies	1.1	describe the legal requirements which limit the environmental impact of an organisation
	1.2	explain an organisation's ethical policies
	1.3	explain the impact of non-compliance with legal requirements
2 Be able to evaluate the impact of work activities on the environment	2.1	evaluate the impact of work activities on the environment
3 Know about management activities used to improve environmental performance	3.1	describe ways of improving use of resources in a workplace
	3.2	describe ways of improving waste disposal and pollution in a workplace
4 Be able to monitor operational compliance with ethical policies	4.1	monitor the extent to which a selected area of an organisation complies with ethical policies
	4.2	recommend appropriate actions to improve compliance with an organisation's ethical policies

Unit content

1 **Understand why organisations implement environmental and ethical policies**

Environmental legislation: Clean Air Act 1993, Eco-design for Energy-using Products 2007, Environment Act 1995, Environmental Damage and Liability Regulations 2009, Environmental Permitting (England and Wales) Regulations 2007, Environmental Protection Act 1990, Environmental Civil Sanctions (England) Order 2010, Producer Responsibility Obligations (Packaging Waste) Regulations 2007, The Waste Electrical and Electronic Equipment Regulations 2006, main provision of each piece of legislation.

Typical areas covered by ethical policies and legislation: human rights (dealing in indiscriminate weapons, freedom of speech, right to express beliefs); ecological impact (global warming, destruction of habitats, pollution controls); International Labour Organization (ILO) conventions (child labour, working conditions, adequate rates of pay, freedom of association with trade unions); animal welfare (product testing, cruel exploitation)

Reasons organisations have ethical and environmental policies: preferred by stakeholders (customers, investors, owners, employees, local and national community), enhances brand image, enables premium pricing, reduces risk of adverse publicity, wins contracts with ethical organisations, enables planned introduction of changes ahead of being required by legislation

Non-compliance with legal requirements: criminal penalties (fines, imprisonment); civil sanctions (monetary penalty, restoration notice, compliance notice, stop notice, enforcement undertaking); polluter pays principle under Environmental Damage and Liability Regulations 2009; damage to reputation; discontinuity in provision of goods or services

2 **Be able to evaluate the impact of work activities on the environment**

Impact of work activities: air emissions; emissions into water eg via drainage systems; risk of contamination of land; waste management; raw materials and natural resources; planning control conditions; visual impact; noise; energy management; emergency impacts

Increased use of resources: impact on global warming; loss of habitats; increased waste

Waste disposal: contamination from landfill; air pollution from incineration; water pollution from drainage seepage; use of resources for transporting waste; longevity of non-degrading waste

Evaluating impact: analysis of suppliers' data, pollution testing, waste measurement, recycling measurement

Purchasing goods: measurement of goods and materials; use of suppliers' information eg sustainable sources for materials, distance travelled (eg food miles), appliance energy ratings, fuel consumption data for vehicles and equipment, conformity with environmental/sustainability standards, use of recycled materials, end-of-life recycling arrangements

Energy use: analysis of energy consumption; smart metering; carbon footprint measurement; energy-performance certificates for buildings

Waste: recycling facilities; conformity with recycling policies; quantities of recycled materials, non-recycled waste, hazardous waste; arrangements for managing hazardous waste products

3 **Know about management activities used to improve environmental performance**

Improvements that can be made to reduce use of resources: reduction in materials or packaging used, re-use of materials, avoidance of scrap or waste, use of electronic communication instead of paper

Reduction in energy consumption: use more efficient buildings, equipment and vehicles; switching off unnecessary lighting, computers, equipment, air conditioning, heating; consolidation of working hours; home working; use of teleconferencing, or longer more infrequent meetings

Improvements to waste and pollution: review recycling rates, waste disposal arrangements

Methods of creating environmentally friendly culture: raise profile of environmentally friendly policies and initiatives eg through discussion, good practice, innovation, communication of good practice through organisation's newsletters, website

4 **Be able to monitor operational compliance with ethical policies**

Monitoring methods: identify applicable ethical policy statements; how compliance is measured; sample of work to be investigated; check actions against policy statements; check actions against organisational policies; report on practices; review findings; make recommendations

Improvement: identify areas and causes of non-compliance; discuss with parties involved; ensure policy requirements understood; agree action plan to remedy causes of non-compliance; set date for monitoring effectiveness of improvements

Essential guidance for tutors

Delivery

This unit includes a study of the legislative framework, the pressures on organisations to develop and implement both environmental and ethical policies and the practical aspects of implementing and monitoring these policies. The interests of learners could best be fostered by using a range of learning methods and including practical activities based on learners' own places of work or other organisations with which the school, college or training provider has links.

For learning outcome 1, delivery of the section on environmental legislation could take place shortly after learning outcome 2, which looks at the impact of work activities on the environment. The tutor could present the main provisions of each piece of listed legislation and then use questions based on simple case studies to consolidate learning. Alternatively, learners could investigate the main provisions of each piece of legislation and list the impact of each on a selected organisation, including the impact of non-compliance. Ethical policies could be explored through investigating well-publicised failures of different organisations' ethical policies. Learners could also investigate how some organisations succeed in using their ethical policies to enhance their brand image, for example the Cooperative Bank. Small groups of learners could each investigate these failures and successes and report their findings back to the main group.

For learning outcome 2, it is recommended that learners apply their knowledge from the learning outcome content to one or more real organisations. A visit to an organisation where learners are shown how the impacts of their work activities are measured and what changes have been made to reduce the various impacts would be most valuable, but it may also be possible to use video material, case studies, visits from experts in this field, internet research and the learners' experiences from their workplaces.

Some aspects of learning outcome 3 focus on the team leader's role in reducing the use of resources, implementing policies and procedures which reduce the use of resources and ensuring that environmental policies are properly implemented with regard to waste and pollution. This would ideally be based on the learners' own job roles or upon organisations with which they are familiar. If this is not possible, it could be based upon the centre.

For learning outcome 4, learners may find it interesting to see or hear about how an organisation monitors its practice or its suppliers' practices against its ethical policies and standards. Learners could also examine an ethical policy for their own organisation or that of the school, college or training provider and carry out a monitoring exercise.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments
Small-group activity – learners find out about a different environmental law and its impact on an organisation that is known to them and then give a presentation to the main group
Small-group activity – learners evaluate the impact of organisations on the environment
Assignment 1 – Part 1: Environmental Issues
Learners visit an organisation which has been innovative in reducing the impact of its activities on the environment. If this is not possible, a case study-based activity can be used
Thought shower/buzz group activity – learners research the impact of work activities on the environment and present their findings to the main group
Assignment 1 – Part 2: Making Improvements
Activity – learners examine a series of newspaper articles based on the failure of organisations' ethical policies
Group discussion – identifying what should be covered by ethical policies and the benefits of ethical policies for organisations
Small-group activity – learners examine an ethical policy for an organisation and discuss how compliance could be monitored
Small-group activity – learners conduct an investigation into compliance with ethical policies for a section of an organisation and make recommendations for improvements if applicable (centre could be used as host organisation)
Assignment 2: Ethical Policies
Review of unit and programme of assignments

Assessment

A range of methods can be used for collecting evidence for this unit, including assignments leading to written reports, or oral presentations. Ideally, learners could base their work on their own work roles or on work placements. Where this is not possible, learners could base their work on any organisation for which it is possible to access the required information about its policies and operations. It may be possible to base the assessments on a case study, but this would need to be sufficiently detailed to enable learners to achieve the criteria at level 3. It is possible to assess work orally, with learners explaining and describing things to the assessor in discussion or in group work or in a presentation. If oral assessments are used then the work must be directly attributable to the learner. Evidence may be scenario-based using an appropriate case study. The assessor must provide a signed statement that includes detail of the evidence presented that is aligned to the criteria. The evidence must support achievement of the criteria. If there is sufficient evidence from the oral work, or from observations, to make an assessment decision then the assessment decision should be shown.

For AC1.1, learners need to describe four different legal requirements and their impact on a selected organisation. For some organisations and requirements, learners may need to consider limitations on hypothetical expansion plans rather than on everyday existing operations.

For AC1.2, learners need to explain an organisation's ethical policies. This needs to cover at least five issues drawn from at least two of the sub-sections of the unit content, namely human rights, ecological impact, international labour conventions and animal rights. The reasons why each issue has been included should be explained.

For AC1.3, learners need to explain the impact of non-compliance with legal requirements, including criminal and civil sanctions as well as the repercussions for the organisation.

For AC2.1, learners need to evaluate the impact of work activities on the environment. They should take one actual or planned operation, for example sending out letters to 1000 customers about holding a conference in New York. They need to use at least two methods of evaluating each of the aspects of purchasing goods, energy waste and waste, as well as identifying any major environmental impacts of the proposed or actual operation.

For AC3.1, learners need to describe ways of improving use of resources in the workplace. They need to consider methods of reducing use of materials and energy and describe changes that could be made to improve use of resources in a specific work area. Full descriptions of three ideas are sufficient.

For AC3.2, learners need to describe at least two ways of improving waste disposal and pollution in a workplace.

For AC4.1, learners need to monitor the extent to which a selected area of an organisation complies with ethical policies. They should use or determine at least four measures of compliance with ethical policy commitments applicable to a part of an organisation, select samples or statistics to check compliance, carry out checks and report results, drawing conclusions as to the level of compliance with policy commitments.

For AC4.2, learners need to use the information obtained in AC4.1 to recommend at least three actions to improve compliance with an organisation's ethical policies. If this is not possible, it is acceptable for learners to suggest more ambitious targets for the ethical policy instead.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.3, 2.1	Part 1: Environmental Issues	The learner investigates the legal requirements for a specific organisation and evaluates the impact of an area of work on the environment.	Presentation
AC 1.3, 3.1, 3.2	Part 2: Making Improvements (continuing from previous assignment)	The learner makes suggestions about improving the use of resources and waste disposal.	Report or 'staff suggestion box' style evidence
AC 1.2, 4.1, 4.2	Ethical Policies	The learner investigates an organisation's ethical policies and conducts an ethical audit.	Report

Essential resources

Learners will need access to organisational ethical policies, and also to sufficient data to enable them to monitor compliance of activities with policies. They will also need sufficient information to enable them to evaluate the environmental impact of work activities.

Indicative resource materials

Textbooks

Cascio J, Woodside G and Mitchell P – *ISO 14000 Guide: The New International Environmental Management Standards* (McGraw-Hill Professional, 2005) ISBN 0070116253

Webley S – *Developing a Code of Business Ethics: A Guide to Best Practice* (Institute of Business Ethics, 2003) ISBN 095395174X

Journal/magazine

MRW (Materials Recycling Week) (Emap)

Websites

www.businesslink.gov.uk	Advice on environmental responsibilities and opportunities
www.carbontrust.co.uk	Specialist support and advice for organisations endeavouring to cut their carbon emissions
www.ciwm.co.uk	The Chartered Institution of Wastes Management
www.ibe.org.uk	Institute of Business Ethics
www.netregs.gov.uk	Government website providing free environmental advice and guidance for small and medium-sized businesses
www.nqa.co.uk	Training organisation owned by Electrical Safety Council – up-to-date information on aspects of environmental legislation and environmental management systems
www.realizingrights.org	Realizing Rights – an international ethical globalisation initiative founded by Mary Robinson and supported by Jimmy Carter and Desmond Tutu

Unit 13: Managing Physical Resources

Unit code: Y/602/0462

QCF Level 3: BTEC Specialist

Credit value: 3

Guided learning hours: 30

Unit aim

This unit provides the learner with the knowledge and understanding of organisational approaches to managing physical resources and procuring supplies, including initiating a purchase, selecting suppliers, contracting and evaluating supplier performance.

Unit introduction

An important part of managing resources is the use of physical resources in organisations together with the function of purchasing in order to drive cost savings and to avoid risks to the business.

In this unit, learners will first consider organisational policies regarding use of physical resources and purchasing procedures, budgeting and preferred supplier systems. Included in this will be a study of the reasons why these controls are so important in reducing costs and risks for an organisation. Next, learners will look at the different methods for deciding when to replenish stocks and how much to order, together with the factors that need to be taken into account when deciding which method to use. They will consider the importance of using sustainable resources.

Learners will then find out how to agree the specification for an item of equipment. Included in this will be the consideration of wider issues such as ethical and e-procurement policies as well as the longer-term impacts of a potential purchase such as maintenance costs and future costs of related consumable items. This theme will be continued and learners will find out how to develop a business case for a proposed purchase. After this, learners will find out how to identify potential suppliers using a range of sources of information. Next, they will learn about what is found in a typical standard form contract, how to explain the points in the contract and how to agree contractual terms. They will then have the opportunity to learn how to evaluate a potential supplier and thereby minimise the risks of dealing with a new supplier. Finally, learners will examine the methods of evaluating existing suppliers and why they provide an important opportunity to identify problems and inform future purchasing decisions.

Method of assessment

This unit can be assessed only through a portfolio of evidence (internal assessment).

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria	
1 Understand organisational policies regarding use of physical resources	1.1	describe how organisations control purchasing practice
	1.2	explain different approaches to reordering supplies
	1.3	explain the importance of using sustainable resources
2 Understand how to obtain agreement for purchase of physical resources	2.1	describe how to agree the specification of an item of equipment within an organisation
	2.2	explain the business case for an item of equipment
3 Understand how to obtain specified physical resource requirements	3.1	explain the importance of sourcing physical resources ethically
	3.2	explain how to agree contractual terms with suppliers
4 Know how to evaluate suppliers	4.1	identify potential suppliers
	4.2	describe how to evaluate suppliers

Unit content

1 Understand organisational policies regarding use of physical resources

Control of purchasing practice: purchasing procedures (specifying who is authorised to approve purchases, requisition form, purchase order, quotation or estimate, delivery note); invoice paper-based or e-procurement; budgets (plans for future expenditure, each purchase is coded so that it is allocated to correct budget heading, budget holder gives permission for expenditure against budget); preferred suppliers (suppliers with whom the organisation has negotiated satisfactory terms, suppliers for whom permission has been given by the organisation for their use)

Reasons organisations control purchasing: risk of running out of essential materials; costs of holding stocks (storage accommodation, insurance, handling, maintaining records, financing, opportunity costs); risk of holding stocks (obsolescence, spoilage, loss), costs of uncontrolled purchasing (unfavourable terms, lack of consideration of whole lifetime costs, future maintenance issues, lack of standardisation, loss of discounts, uneconomic ordering quantities, greater administrative costs from multiple purchases, poor negotiation positions, risk of commitment to unfavourable contracts); to ensure suppliers' adherence to ethical and environmental policies; to enable supplier monitoring; to develop supply chain in accordance with organisation's strategic plan

Reordering approaches: stock replenishment (FOT – fixed order time, VOT – variable order time, FOQ – fixed order quantity, VOQ – variable order quantity, ROP – periodic review with order up to predetermined maximum stock level, ROL – continuous review with purchases of fixed quantity triggered by stock level reaching predetermined minimum level); JIT (just in time, minimal or no stocks, close liaison with supplier)

Factors affecting method used: volume used; whether demand is predictable; value of items; whether supply is reliable; lead time; importance of providing continuous service to customers; cost of purchasing process; costs of holding stocks

Importance of using sustainable resources: conserves natural resources; concerns that fossil fuels will run out; lower environmental impacts from sustainable resources; improved reputation with stakeholders (customers, investors, local and wider community, pressure groups, employees), benefits the reputation of the organisation; beneficial to brand image

2 **Understand how to obtain agreement for purchase of physical resources**

Specification: defining user needs (forecast of needs over lifetime of equipment, range of functions, ease of use, durability under proposed usage conditions, potential for adaptability, scalability, after-sales service, training/helpline for users, availability of related consumables, price); defining organisational requirements (compatibility with existing equipment, space and accommodation limitations, maintenance requirements, conformity with organisational procurement, information technology and ethical policies, conformity with any relevant incoming changes to industry standards, preferred supplier status, capacity of supplier to provide equipment and after-sales services, payment terms, availability of leasing option)

Equipment: office (computers, printers, photocopiers, data-storage equipment, shredders, data projectors, laminators, display equipment); specialist equipment dependent on sector in which organisation operates

Agreement: need to agree requirements with user(s); budget holder; technical support and procurement functions

Business case for purchasing items of equipment: clear outline of item; functions; initial costs (purchase, training, installation, adapting other systems, accommodation) and lifetime costs (maintenance, related consumables), explanation of how item helps to meet objectives in organisational business plan; calculation of savings in costs and increased productivity; impact on quality of work done; additional potential benefits such as adaptability; scalability; main options for supplier/model; advantages and disadvantages of each option; recommendations

3 **Understand how to obtain specified physical resource requirements**

Ethical sourcing of physical resources: ensures welfare of workforce at every stage of resource development; strong selling and marketing point; can attract investors and motivate staff; may save future upheaval by acting now

Contractual terms: standard form contract with details of goods and services included; payment terms; delivery details; period and nature of after-sales service, ownership; which party is at risk at different points; any penalty clauses for late delivery or failure to provide after-sales service; supplier evaluation systems; dispute resolution; intellectual property rights

Agreeing contractual terms: preparation (identify essential terms for own organisation, identify how important order is to supplier, identify whether other satisfactory supplies are readily available, determine extra services or discounts that would be of value to own organisation); clarify terms with contractor, negotiate best possible terms for own organisation; seek agreement with users, technical and legal staff before agreeing to vary contractual terms in accordance with supplier's requests

4 **Know how to evaluate suppliers**

Identify potential suppliers: identify business needs and match with suitable supplier; methods (supplier databases, trade magazines, trade exhibitions, sales representatives, preferred supplier listings, the internet)

Evaluating potential suppliers: use of organisational questionnaire; supplier information; quality marks – ISO 9000; reputation; other customers; samples; visit to premises; evaluation of financial data supplied; bank or other references; need for evaluation processes to be proportional to the importance of the purchase

Evaluating existing suppliers: use of pre-set key performance indicators (KPIs); reliability of supply; lead time between ordering and delivery; accuracy of deliveries; quality of goods received; quality of after-sales services; ease and accuracy of administrative processes; responsiveness when handling queries about purchases; responsiveness to emergencies or other extras requested

Reasons to evaluate: pre-purchase evaluation (avoid risk of unreliable supply chain, ensure after-sales services are likely to be available, avoid risk of dealing with a financially unstable organisation)

Reasons to evaluate existing suppliers: to enable informed review of contracts at end of period; to give suppliers feedback and thus improve their ability to meet organisational needs; to enable remedial action to be taken if supplier does not perform satisfactorily; to enable the organisation to review standard form contract or methods of awarding contracts in future

Essential guidance for tutors

Delivery

Delivery may be more interesting to learners if it is based on the practical application of the content of this unit to procurement decisions made by organisations or by one organisation with which learners are familiar. This could be done through using the centre's procurement function, by using learners' work placements or places of work or through developing links with one or more local business organisations.

Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way in planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignment
Tutor input – introduction to a typical paper-based procurement procedure
Small-group activity – learners act as suppliers to each other and design and complete purchasing documents for some supplies
Learners view an e-procurement system
Group discussion – the advantages of e-procurement over a paper-based system
Thought shower/buzz group activity – learners examine a job description showing what a procurement professional does and discuss what could happen if there are poor controls over purchasing in an organisation
Learners visit the stockroom of an organisation to see how decisions are made about when and how much to reorder
Small-group activity – learners produce a poster promoting the use of sustainable resources in the workplace based on their own internet research
Assignment 1 – Part 1: Purchasing Practices and Replenishing Stock
Activity – learners research fair trade on the internet in preparation for discussion on the importance to business and the wider community of sourcing physical resources ethically
Tutor input – processes for agreeing the specification and putting together the business case for an item of equipment, based upon a case study or real-life example
Assignment 1 – Part 2: Obtaining Equipment

Topic and suggested assignments/activities and/assessment
Practical activity – learners find five potential suppliers for a given item, using a range of resources such as supplier databases, trade magazines, preferred supplier listings and the internet
Activity – learners examine a standard form contract with support from the tutor who supplies explanations. Learners answer a series of questions on the need for the terms of the contract
Role-play activity – agreeing the terms of a contract
Tutor input – the principles of evaluating both potential and existing suppliers
Practical exercise – using data on potential suppliers for a purchase and data on evaluating an existing supplier
Assignment 2: Evaluating Suppliers
Review of unit and programme of assignments

Assessment

A range of methods can be used for collecting evidence for this unit, including assignments leading to written reports, or oral presentations. Ideally, learners could base their work on their own work roles or on work placements. Where this is not possible, learners could base their work on any organisation for which it is possible to access the required information about its methods of managing physical resources. It may be possible to base the assessments on a case study, but this would need to be sufficiently detailed to enable learners to achieve the criteria at level 3. It is possible to assess work orally, with learners explaining and describing things to the assessor in discussion or in group work or in a presentation. If oral assessments are used then the work must be directly attributable to the learner. Evidence may be scenario-based using an appropriate case study. The assessor must provide a signed statement that includes detail of the evidence presented that is aligned to the criteria. The evidence must support achievement of the criteria. If there is sufficient evidence from the oral work, or from observations, to make an assessment decision then the assessment decision should be shown.

For AC1.1, learners need to describe how organisations control purchasing practice. They should look at the process for raising an order in an organisation and include at least three processes that ensure that the organisation retains control over purchasing decisions.

For AC1.2, learners need to describe two different approaches to reordering supplies that are used in an organisation and explain the reasoning behind the use of different approaches.

For AC1.3, learners need to explain the importance of using sustainable resources. This should include at least three reasons why it is beneficial to the organisation.

For AC2.1, learners need to describe a process for agreeing the specification of an item of equipment within an organisation. This process should include a description of at least four aspects of each of user needs and organisational requirements and it should include consideration of at least two issues which are medium to long term, such as maintenance and future needs.

For AC2.2, learners need to explain the business case for a specified resource, which includes all items listed in the unit content.

For AC3.1, learners need to explain the importance of sourcing physical resources ethically. Their explanation should include why it is important to both the business and the wider community.

For AC3.2, learners need to describe how they would prepare for a discussion on agreeing contractual terms for a purchase, how they would explain each of the main sections to suppliers, and what they would do if the supplier asked for changes to be made to the standard form contract.

For AC4.1, learners need to identify at least five potential suppliers for a specified item. This should include the sources and at least one reason for including each supplier on the list.

For AC4.2, learners need to describe how to evaluate both potential and existing suppliers. These descriptions should include at least four different types of data that would be used to evaluate each of the potential and existing suppliers. Learners should also describe how they would use each piece of data to evaluate the supplier.

Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Assessment criteria covered	Assignment title	Scenario	Assessment method
AC 1.1, 1.2, 1.3	Part 1: Purchasing Practices and Replenishing Stock	The learner is employed in a purchasing function and is helping to induct new employees.	Presentation
AC 2.1, 2.2, 3.1, 3.2	Part 2: Obtaining Equipment	The learner is employed in a purchasing function and is helping to induct new employees.	Guidance leaflet
AC 4.1, 4.2	Evaluating Suppliers	The learner works for an organisation that does not systematically evaluate suppliers and are asked to prepare a report on whether supplier evaluation should be adopted.	Report

Essential resources

There are no essential resources required for this unit.

Indicative resource materials

Textbooks

Barrat C and Whitehead M – *Buying for Business: Insights in Purchasing and Supply Management* (John Wiley and Sons, 2004) ISBN 0470092467

Emmett S – *Supply Chain Management in 90 Minutes* (Management Books 2000, 2004) ISBN 1852524766

Websites

www.cips.org	The Chartered Institute of Purchasing and Supply
www.fairtrade.org.uk	The Fairtrade Foundation – an independent non-profit organisation that licenses use of the Fairtrade Mark on products in the UK in accordance with internationally agreed Fairtrade standards
www.supplymanagement.com	Purchasing and supply news, law, analysis and resources

Further information

For further information please call Customer Services on 0844 576 0026 (calls may be recorded for training purposes) or visit our website (www.edexcel.com).

Useful publications

Related information and publications include:

- *Guidance for Centres Offering Edexcel/BTEC QCF Accredited Programmes* (Edexcel, distributed to centres annually)

- Functional skills publications – specifications, tutor support materials and question papers

- *Regulatory arrangements for the Qualification and Credit Framework* (published by Ofqual) August 2008

- the current Edexcel publications catalogue and update catalogue.

Edexcel publications concerning the Quality Assurance System and the internal and external verification of vocationally related programmes can be found on the Edexcel website and in the Edexcel publications catalogue.

NB: Some of our publications are priced. There is also a charge for postage and packing. Please check the cost when you order.

How to obtain National Occupational Standards for Management and Leadership

The Council for Administration
6 Graphite Square
Vauxhall Walk
London
SE11 5EE

Telephone: 020 7091 9620
Email: info@cfa.uk.com
Website: www.cfa.uk.com

Professional development and training

Edexcel supports UK and international customers with training related to BTEC qualifications. This support is available through a choice of training options offered in our published training directory or through customised training at your centre.

The support we offer focuses on a range of issues including:

- planning for the delivery of a new programme

- planning for assessment and grading

- developing effective assignments

- building your team and teamwork skills

- developing student-centred learning and teaching approaches

- building functional skills into your programme

- building in effective and efficient quality assurance systems.

The national programme of training we offer can be viewed on our website (www.edexcel.com/training). You can request customised training through the website or by contacting one of our advisers in the Training from Edexcel team via Customer Services to discuss your training needs.

Our customer service numbers are:

BTEC and NVQ   0844 576 0026

GCSE   0844 576 0027

GCE   0844 576 0025

The Diploma   0844 576 0028

DiDA and other qualifications   0844 576 0031

Calls may be recorded for training purposes.

The training we provide:

- is active – ideas are developed and applied

- is designed to be supportive and thought provoking

- builds on best practice.

Our training is underpinned by the LLUK standards for those preparing to teach and for those seeking evidence for their continuing professional development.

Annexe A

The Edexcel/BTEC qualification framework for the management and leadership sector

Progression opportunities within the framework.

Level	General qualifications	Diplomas	BTEC vocationally-related qualifications	BTEC specialist qualification/ professional	NVQ/competence
8					
7				BTEC Award/Certificate/ Diploma/Extended Diploma in Strategic Management and Leadership (QCF)	NVQ Diploma in Management (QCF)
6					
5			BTEC HND Diploma in Business (Management)	BTEC Award/ Certificate/Diploma in Management and Leadership (QCF)	NVQ Diploma in Management (QCF)
4			BTEC HNC Diploma in Business		Level 4 NVQ Certificate/ Diploma in Business and Administration (QCF)

Level	General qualifications	Diplomas	BTEC vocationally-related qualifications	BTEC specialist qualification/ professional	NVQ/competence
3	GCE Applied Business GCE Business	Principal Learning in Business, Administration and Finance	BTEC Certificate/ Subsidiary Diploma/ Diploma/ Extended Diploma in Business (QCF)	BTEC Award/Certificate in Management (QCF)	Level 3 NVQ Certificate/ Diploma in Business and Administration (QCF) NVQ Certificate in Management (QCF)
2	GCSE Business GCSE Applied Business	Principal Learning in Business, Administration and Finance	BTEC Certificate/ Extended Certificate and Diploma in Business (QCF)	BTEC Award/Certificate in Team Leading (QCF)	Level 2 NVQ Award/ Certificate and Diploma in Business and Administration (QCF) NVQ Certificate in Team Leading (QCF)
1		Principal Learning in Business, Administration and Finance			Level 1 NVQ Award/ Certificate in Business and Administration (QCF)
Entry					

Annexe B

Wider curriculum mapping

Study of the Edexcel BTEC Level 3 qualifications gives learners opportunities to develop an understanding of spiritual, moral, ethical, social and cultural issues as well as an awareness of citizenship, environmental issues, European developments, health and safety considerations and equal opportunities issues.

Spiritual, moral, ethical, social and cultural issues

Throughout the delivery of these qualifications learners will have the opportunity to actively participate in different kinds of decision making. They will have to consider fair and unfair situations and explore how to resolve conflict. Working in small groups they will learn how to respect and value others' beliefs, backgrounds and traditions.

Citizenship

Learners undertaking these qualifications will have the opportunity to develop their understanding of citizenship issues.

Environmental issues

Developing a responsible attitude towards the care of the environment is an integral part of this qualification. Learners are encouraged to minimise waste and discuss controversial issues.

European developments

Much of the content of the qualification applies throughout Europe, even though the delivery is in a UK context.

Health and safety considerations

Health and safety is embedded within many of the units in this qualification. Learners will consider their own health and safety at work, how to identify risks and hazards and how to minimise those risks.

Equal opportunities issues

There will be opportunities throughout this qualification to explore different kinds of rights and how these affect both individuals and communities, for example learners will consider their rights at work and the rights of employers and how these rights affect the work community.

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in Management – Issue 2 – February 2011 © Edexcel Limited 2011

Annexe C

National Occupational Standards/mapping with NVQs

The grid below maps the knowledge covered in the Edexcel BTEC Level 3 Specialist qualifications in Management against the underpinning knowledge of the Level 3 NVQ in Management.

KEY

# indicates partial coverage of the NVQ unit

a blank space indicates no coverage of the underpinning knowledge

Units	1	2	3	4	5	6	7	8	9	10	11	12	13
Level 3 NVQ in Management													
Mandatory units													
A2 Manage own professional development within an organisation		#											
B5 Set objectives and provide support for team members					#								
D5 Plan, allocate and monitor work of a team									#				
Optional units (choose minimum 11 credits)													
Develop, maintain and review personal networks		#							#				
Provide leadership and direction for own area of responsibility									#				
Ensure compliance with legal, regulatory, ethical and social requirements												#	

Units	1	2	3	4	5	6	7	8	9	10	11	12	13
Manage risk in own area of responsibility										#			
Review risk management processes in own area of responsibility										#			
Manage or support equality of opportunity, diversity and inclusion in own area of responsibility				#	#								
Support team members in identifying, developing and implementing new ideas					#				#				
Implement change in own area of responsibility						#							
Develop working relationships with colleagues and stakeholders									#				
Recruit staff in own area of responsibility				#									
Develop working relationships with colleagues									#				
Plan, allocate and monitor work in own area of responsibility	#							#					#
Support learning and development within own area of responsibility					#								
Address performance problems affecting team members					#								
Build, support and manage a team									#				
Manage conflict in a team	#								#				
Lead and manage meetings													
Participate in meetings													

Units	1	2	3	4	5	6	7	8	9	10	11	12	13
Support individuals to develop and take responsibility for their performance					#								
Know how to follow disciplinary procedures				#	#								
Managing grievance procedures				#	#								
Support the management of redundancies in own area of responsibility													
Develop and implement a risk assessment plan in own area of responsibility										#			
Manage physical resources													#
Manage the environmental impact of work activities												#	
Make effective decisions													
Manage knowledge in own area of responsibility		#	#										
Communicate information and knowledge	#	#	#										
Procure supplies													
Manage a tendering process													
Plan and manage a project								#					
Develop and implement marketing plans													
Analyse the market in which your organisation operates													
Manage the achievement of customer satisfaction			#										
Prepare for and support quality audits													

Units	1	2	3	4	5	6	7	8	9	10	11	12	13
Manage customer service in own area of responsibility			#										
Manage or support equality of opportunity, diversity and inclusion in own area of responsibility												#	

Annexe D

Mapping to Level 2 Functional Skills

✓ = opportunities within the unit for development of the functional skill

Level 2	Unit number												
	1	2	3	4	5	6	7	8	9	10	11	12	13
English – Speaking and Listening													
Make a range of contributions to discussions and make effective presentations in a wide range of contexts	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
English – Reading													
Compare, select, read and understand texts and use them to gather information, ideas, arguments and opinions	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
English – Writing													
Write documents, including extended writing pieces, communicating information, ideas and opinions, effectively and persuasively	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Mathematics – learners can:													
Understand routine and non-routine problems in a wide range of familiar and unfamiliar contexts and situations							✓	✓					
Identify the situation or problem and the mathematical methods needed to tackle it							✓	✓					

Level 2	Unit number												
	1	2	3	4	5	6	7	8	9	10	11	12	13
Mathematics – learners can:													
Select and apply a range of skills to find solutions								✓					
Use appropriate checking procedures and evaluate their effectiveness at each stage							✓	✓		✓			
Interpret and communicate solutions to practical problems in familiar and unfamiliar routine contexts and situations							✓	✓		✓			
Draw conclusions and provide mathematical justifications							✓						
ICT – use ICT systems													
Select, interact with and use ICT systems independently for a complex task to meet a variety of needs	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Use ICT to effectively plan work and evaluate the effectiveness of the ICT system they have used	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Manage information storage to enable efficient retrieval	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Follow and understand the need for safety and security practices										✓		✓	
Troubleshoot										✓			
ICT – find and select information													
Select and use a variety of sources of information independently for a complex task	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Access, search for, select and use ICT-based information and evaluate its fitness for purpose	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

ICT – develop, present and communicate information	1	2	3	4	5	6	7	8	9	10	11	12	13
Enter, develop and format information independently to suit its meaning and purpose including:													
– text and tables	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
– images													
– numbers													
– records													
Bring together information to suit content and purpose	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Present information in ways that are fit for purpose and audience	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Evaluate the selection and use of ICT tools and facilities used to present information	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Select and use ICT to communicate and exchange information safely, responsibly and effectively including storage of messages and contact lists	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

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Annexe E

Unit mapping overview

BTEC Level 3 Short Course in Management legacy (specification end date 31/07/2010)/new QCF versions of the BTEC Level 3 Specialist qualifications in Management (specification start date 01/08/2010) – the Level 3 BTEC Award in Management, Level 3 BTEC Certificate in Management.

Old units ＼ New units	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11	Unit 12	Unit 13	Unit 14	Unit 15
Unit 1		P	P			P									P
Unit 2	X														
Unit 3							X								
Unit 4								F							
Unit 5									F						
Unit 6											F				
Unit 7												X			
Unit 8														X	
Unit 9			P												
Unit 10					P										
Unit 11											P				
Unit 12		P											P		
Unit 13		P													

KEY

P – Partial mapping (some topics from the old unit appear in the new unit)

F – Full mapping (topics in old unit match new unit exactly or almost exactly)

X – Full mapping + new (all the topics from the old unit appear in the new unit, but new unit also contains new topic(s))

Annexe F

Glossary of Accreditation Terminology

The following information about these qualifications can also be found on the Edexcel website.

Accreditation start/end date	The first/last dates that Edexcel can register learners for a qualification.
Certification end date	The last date on which a certificate may be issued by Edexcel.
Credit value	All units have a credit value. The minimum credit value that may be determined for a unit is one, and credits can only be awarded in whole numbers. Learners will be awarded credits for the successful completion of whole units.
Guided Learning Hours (GLH)	Guided learning hours are defined as all the times when a tutor, trainer or facilitator is present to give specific guidance towards the learning aim being studied on a programme. This definition includes lectures, tutorials and supervised study in, for example, open learning centres and learning workshops. It also includes time spent by staff assessing learners' achievements. It does not include time spent by staff in day-to-day marking of assignments or homework where the learner is not present.
Learning Aims Database	Link to the Learning Aims Database, which features detailed funding information by specific learning aim reference.
Learning Aim Reference	Unique reference number given to the qualification by the funding authorities on accreditation.
Level	The level at which the qualification is positioned in the Qualifications and Credit Framework (QCF).
Performance tables	These qualifications are listed on the Department for Education (DfE) website School and College Achievement and Attainment Tables (SCAAT) as performance indicators for schools and colleges.
Qualifications Accreditation Number (QAN)	Unique reference number given to the qualification by the regulatory authorities on accreditation.
Register of Regulated Qualifications	Link to the entry on the Register of Regulated Qualifications for a particular qualification. This database features detailed accreditation information for the particular qualification.
Section 96	Section 96 is a section of the Learning and Skills Act 2000. This shows for which age ranges the qualification is publicly funded for under-19 learners.

Section 97	Section 97 is a section of the Learning and Skills Act 2000. This shows whether the qualification is publicly funded for learners aged 19 and over.
Title	The accredited title of the qualification.
UCAS points	These qualifications are listed on the Universities and Colleges Admissions Service (UCAS) tariff for those wishing to progress to higher education.

Annexe G

BTEC Specialist and Professional qualifications

BTEC qualifications on the NQF	Level	BTEC Specialist and Professional qualifications on the QCF	BTEC qualification suites on the QCF
BTEC Level 7 Advanced Professional Qualifications BTEC Advanced Professional Award, Certificate and Diploma	**7**	**BTEC Level 7 Professional Qualifications** BTEC Level 7 Award, Certificate, Extended Certificate and Diploma	
BTEC Level 6 Professional Qualifications BTEC Professional Award, Certificate and Diploma	**6**	**BTEC Level 6 Professional Qualifications** BTEC Level 6 Award, Certificate, Extended Certificate and Diploma	
BTEC Level 5 Professional Qualifications BTEC Professional Award, Certificate and Diploma	**5**	**BTEC Level 5 Professional Qualifications** BTEC Level 5 Award, Certificate, Extended Certificate and Diploma	**BTEC Level 5 Higher Nationals** BTEC Level 5 HND Diploma
BTEC Level 4 Professional Qualifications BTEC Professional Award, Certificate and Diploma	**4**	**BTEC Level 4 Professional Qualifications** BTEC Level 4 Award, Certificate, Extended Certificate and Diploma	**BTEC Level 4 Higher Nationals** BTEC Level 4 HNC Diploma
BTEC Level 3 Qualifications BTEC Award, Certificate, Extended Certificate and Diploma	**3**	**BTEC Level 3 Specialist Qualifications** BTEC Level 3 Award, Certificate, Extended Certificate and Diploma	**BTEC Level 3 Nationals** BTEC Level 3 Certificate, Subsidiary Diploma, Diploma and Extended Diploma

BTEC qualifications on the NQF	Level	BTEC Specialist and Professional qualifications on the QCF	BTEC qualification suites on the QCF
BTEC Level 2 Qualifications BTEC Award, Certificate, Extended Certificate and Diploma	**2**	**BTEC Level 2 Specialist Qualifications** BTEC Level 2 Award, Certificate, Extended Certificate and Diploma	**BTEC Level 2 Firsts** BTEC Level 2 Certificate, Extended Certificate and Diploma
BTEC Level 1 Qualifications BTEC Award, Certificate, Extended Certificate and Diploma	**1**	**BTEC Level 1 Specialist Qualifications** BTEC Level 1 Award, Certificate, Extended Certificate and Diploma	**BTEC Level 1 Qualifications** BTEC Level 1 Award, Certificate and Diploma (vocational component of Foundation Learning)
	E	**BTEC Entry Level Specialist Qualifications** BTEC Entry Level Award, Certificate, Extended Certificate and Diploma	**BTEC Entry Level Qualifications (E3)** BTEC Entry Level 3 Award, Certificate and Diploma (vocational component of Foundation Learning)

NQF = National Qualifications Framework

QCF = Qualifications and Credit Framework

For most qualifications on the **NQF**, the accreditation end date is normally 31 August 2010 or 31 December 2010.

For qualifications on the **QCF**, the accreditation start date is usually 1 September 2010 or 1 January 2011.

QCF qualification sizes	
Award	1-12 credits
Certificate	13-36 credits
Diploma	37+ credits

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