



Pearson LCCI Level 3 Certificate in Principles and Practices of Management (VRQ) (ASE3128)

Specification

First teaching from October 2001

Issue 2

Edexcel, BTEC and LCCI qualifications

Edexcel, BTEC and LCCI qualifications are awarded by Pearson, the UK's largest awarding body offering academic and vocational qualifications that are globally recognised and benchmarked. For further information, please visit our qualifications website at qualifications.pearson.com. Alternatively, you can get in touch with us using the details on our contact us page at qualifications.pearson.com/contactus

About Pearson

Pearson is the world's leading learning company, with 35,000 employees in more than 70 countries working to help people of all ages to make measurable progress in their lives through learning. We put the learner at the centre of everything we do, because wherever learning flourishes, so do people. Find out more about how we can help you and your learners at qualifications.pearson.com

This specification is Issue 2. We will inform centres of any changes to this issue. The latest issue can be found on our website qualifications.pearson.com

References to third party material made in this specification are made in good faith. Pearson does not endorse, approve or accept responsibility for the content of materials, which may be subject to change, or any opinions expressed therein. (Material may include textbooks, journals, magazines and other publications and websites.)

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

ISBN 978 1 446 94306 9

All the material in this publication is copyright
© Pearson Education Limited 2017

Introduction

LCCI qualifications

LCCI qualifications are widely regarded by employers to prepare learners for key functions of modern international business. The qualifications are recognised worldwide by employers, universities and professional bodies.

This qualification is not regulated by any regulatory authority in the UK. It exists on Pearson's self-regulated framework (SRF).

Pearson LCCI offers a wide range of qualifications, which are available at Levels 1 to 4 across the following subject areas:

- English Language
- Marketing and Customer Service
- Business, Administration and IT
- Financial and Quantitative.

This specification is part of the Business, Administration and IT suite of LCCI qualifications.

Please refer to the Pearson qualification website for details of other qualifications in the suite.

Purpose of the specification

This specification sets out:

- the objectives of the qualification
- any other qualification(s) that a student must have completed before taking the qualification
- any prior knowledge and skills that a student is required to have before taking the qualification
- any other requirements that a student must have satisfied before they will be assessed or before the qualification will be awarded
- the knowledge, understanding and skills that will be assessed as part of the qualification
- the method of assessment and any associated requirements relating to it
- the criteria against which a student's level of attainment will be measured (such as assessment criteria).

Qualification aims

The aims of the Pearson LCCI Level 3 Certificate in Principles and Practices of Management (VRQ) are to enable students to develop:

- a knowledge and understanding of the principles, purposes, processes and practices of management
- the ability to relate and apply this knowledge
- an understanding of the practice of management within roles and organisations.

This qualification is intended for students who are beginning or have recently started a career in management.

Successful students who also obtain a pass in Business and Industrial Administration Level 3 and **one** other from a pool of options in *one series of examinations* **or** with the required single subjects gained *On Demand within three calendar months of the first examination date* will be eligible for the award of a Level 3 Group Diploma in Principles and Practice of Management.

Contents

Specification at a glance	1
Knowledge, skills and understanding	5
Content	5
Assessment	11
Assessment summary	11
Aims of assessment	14
Entry and assessment information	15
Student entry	15
Combinations of entry	15
Age	15
Resitting the qualification	15
Access arrangements, reasonable adjustments and special consideration	16
Equality Act 2010 and Pearson equality policy	17
Malpractice	18
Language of assessment	19
Other information	21
Guided Learning Hours (GLH)	21
Student recruitment	21
Prior learning and other requirements	21
Progression	22
Codes	22
Support, training and resources	23

Specification at a glance

The Pearson LCCI Level 3 Certificate in Principles and Practices of Management (VRQ) consists of one externally-examined paper.

Pearson LCCI Level 3 Certificate in Principles and Practices of Management (VRQ)	
<ul style="list-style-type: none"> Externally assessed. 	100% of the total qualification
<p>Overview of content</p> <ol style="list-style-type: none"> Management development Management functions Management structure Managing people Managing performance Managing communication Managing change 	
<p>Overview of assessment</p> <ul style="list-style-type: none"> One written, externally-set and marked paper, contributing 100% of the overall grade of the qualification The examination will be 3 hours. Candidates should attempt 4 questions All questions are worth 25 marks each The first part of each question will normally test knowledge and understanding of syllabus content and the second part the ability to apply or evaluate it. An overall allocation of 25 marks per question allows candidates to address question topics at a depth appropriate to a Level 3 examination. Word processed answer scripts are allowed. The examination will consist of 100 marks Students will be graded Pass/Merit/Distinction. A result of Fail will be recorded where students do not achieve the required marks for a Pass <p>Coverage of Syllabus Topics in Examinations</p> <p>There will be 8 questions on the examination paper, 1 from each syllabus topic. In addition there will be one question from any of the 7 syllabus topics.</p>	

Pearson LCCI Level 3 Certificate in Principles and Practices of Management (VRQ)

Answer Formats

Some questions may require the use of a communication format appropriate to the practice of management, which might include:

- memorandum
- checklists
- summaries
- reports
- notes

If requested to answer in the form of a report, candidates will need to structure their report with headings and sub-headings. The report should have at least 3 sections: an introduction, a main section and a conclusion or recommendations. The introduction should indicate the purpose of the report and for whom the report is intended. The main section should use a concise essay style or bullet points. The report needs to finish with a conclusion which should include candidate recommendations.

Mark Allocation

A positive marking approach is used. Marks will be awarded for the use of appropriate formats which might include reports, memoranda, checklists and illustrative examples, summaries etc. Marks are not deducted for spelling, grammar or punctuation.

The overall marks awarded for the use of appropriate formats will not normally exceed 10% of the total marks.

Candidate Performance Measurement

Pass 50%, Merit 60%, Distinction 75%

Recommended Reading List and Support Material

Reading List

Essential Reading

G A Cole — Management Theory and Practice (DP Publications)

ISBN-10: 185805 1665

R C Appleby — Modern Business Administration (Pitman) ISBN-10: 0273 60282 9

Further Reading

R Stewart — *Effective Management for Marketing* (BPP Publications)

ISBN-10: 075174 0705

L J Mullins — *Management and Organisational Behaviour* (Pitman)

ISBN-10: 0273 61598 X

D Lock (Ed) — *Gower Handbook of Management* (Gower) ISBN-10: 0566 07477 X

Pearson LCCI Level 3 Certificate in Principles and Practices of Management (VRQ)

C B Handy — *Understanding Organisations* (OUP) ISBN-10: 0195 087321

T Hannagan — *Management - Concepts and Practices* (Pitman)
ISBN-10: 0273 631039

Support Material

Model answers and past question papers will be made available on the qualification page of the Pearson website (qualifications.pearson.com/lcci)

Knowledge, skills and understanding

Content

The following content must be covered to prepare students for the final assessment of this qualification.

1 Management development

Subject content	Students should:
1.1 Management development	a) Understand management as a process of achieving objectives through the functions of planning, organising, coordinating, directing and controlling
	b) Understand Mintzberg's interpersonal, informational and decisional roles, and the importance of time management
	c) Relate technical, human and conceptual skills to the work and contribution of management
	d) Distinguish the hierarchical levels of management, the role, time horizons and importance of each
	e) Explain the value of studying the development of management ideas and key contributions of significant academics and practitioners, including: <ul style="list-style-type: none">• scientific management and the work of F W Taylor• administrative management and Fayol• Max Weber's ideal bureaucracy• The Hawthorne Studies• McGregor's Theory X and Y• Ouchi's Theory Z• systems and contingency approaches

2 Management functions

Skills	Students should:
2.1 Management functions	a) Understand the planning, organising, coordinating, directing and controlling functions of management and relate them to the main business functions of Finance, Marketing, Operations and Human Resources
	b) Define organisational culture and its constraints on management action. Understand the external environment and relationships with primary stakeholders such as customers, suppliers and distributors
	c) Explain the major factors in the external environment and relate the purpose of SWOT and PEST analysis to the planning process
	d) Draft outline mission and policy statements and recognise the role of objectives, including social responsibility
	e) Define Management by Objectives (MBO) and its application to planning and motivation of employees
	f) Apply the overall planning and control process and understand the relationship between ends, means, results and feedback
	g) Define strategy and outline the steps in the strategic process
	h) Understand the management needs of the small but growing organisation
	i) Distinguish between strategic and operational decisions and outline the steps in the decision-making process
	j) Identify the advantages and disadvantages of group decisions

3 Management structure

Skills	Students should:
3.1 Management structure	a) Understand organisation as a process for grouping and structuring tasks, allocating roles and responsibilities, to implement plans and achieve objectives
	b) Explain the concept and scope of organisation structure. Define and apply the principles of scalar chain of command, unity of command/direction and span of control
	c) Represent organisational relationships on hierarchical and matrix organisational charts
	d) Identify the basic types of organisation structure (i.e. line, line and staff, functional, divisional and matrix) and the advantages and disadvantages of each
	e) Describe the concepts of authority, power, responsibility, delegation and accountability
	f) Contrast the advantages and disadvantages of centralisation and decentralisation in given management situations

4 Managing people

Skills	Students should:
4.1 Managing people	a) Distinguish between management and leadership
	b) Identify and outline the managerial leadership roles and styles associated with Likert, Blake and Mouton, Tannenbaum and Schmidt
	c) Compare trait, style and situational approaches to understanding the nature of leadership and the contribution of Fiedler to contingency theory
	d) Apply knowledge to the leadership and management of teams/groups
	e) Understand the theories of motivation associated with Maslow, Herzberg and Vroom
	f) Assess the role of appraisal and the benefits of performance review to the individual and the organisation
	g) Distinguish between formal and informal groups and describe the main characteristics of informal groups
	h) Assess the concepts of job rotation, job enlargement, job enrichment and empowerment to the achievement of job satisfaction
	i) Define human resource planning and explain the main stages

5 Managing performance

Skills	Students should:
5.1 Managing performance	a) Understand financial and performance objectives and the main methods of control
	b) Explain targets and the target-setting process
	c) Identify a range of financial and non-financial indicators against which an organisation's performance may be measured
	d) Understand the control elements of planning requirements, setting standards, monitoring, comparison and corrective action
	e) Define the terms budget and budgetary control and the sequence of steps involved in the preparation of a master budget
	f) Distinguish between capital and operating budgets
	g) Explain the purpose of budgetary controls and their relation to financial planning
	h) Understand other areas of control: key performance ratios, the total quality management (TQM) concept and the purposes and steps involved in benchmarking

6 Managing communication

Skills	Students should:
6.1 Managing communication	a) Understand the importance of communication in the effective fulfilment of management functions
	b) Present a model of the stages in the communication process. Identify barriers (filtering, perception, 'noise', language, culture) to effective communication
	c) Recommend strategies to overcome communication barriers, e.g. feedback, active listening, simplified language
	d) Describe the nature and significance of information networks for the manager. Recognise the characteristics of informal communication
	e) Recognise the developing role of information technology in administration, operations, marketing and finance
	f) Define the term <i>information system</i> and outline current applications: transactions processing, office automation, executive information, decision support and management information systems
	g) Describe some current applications of office automation: electronic mail, video conferencing, voice processing computer

7 Managing change

Skills	Students should:
7.1 Managing change	a) Discuss the skills relevant to managing change and the contribution of Handy to an understanding of the change process
	b) Explain why people are likely to resist change
	c) Assess techniques for reducing resistance to change: education, communication, involvement, negotiation, change agents
	d) Recommend how management should approach the implementation of cultural change
	e) Analyse current issues and challenges to management

Assessment

Assessment summary

Pearson LCCI Level 3 Certificate in Principles and Practice of Management

Number of series: OD until 31-Dec-2017

Availability: Last assessment 31-Dec-2017

Overview of content

- 1 Management development
- 2 Management functions
- 3 Management structure
- 4 Managing people
- 5 Managing performance
- 6 Managing communication
- 7 Managing change

Overview of assessment

- One written, externally-set and marked paper, contributing 100% of the overall grade of the qualification
- The examination will be 3 hours.
- Candidates should attempt 4 questions
- All questions are worth 25 marks each
- The first part of each question will normally test knowledge and understanding of syllabus content and the second part the ability to apply or evaluate it.
- An overall allocation of 25 marks per question allows candidates to address question topics at a depth appropriate to a Level 3 examination.
- Word processed answer scripts are allowed.
- The examination will consist of 100 marks
- Students will be graded Pass/Merit/Distinction. A result of Fail will be recorded where students do not achieve the required marks for a Pass

Coverage of Syllabus Topics in Examinations

- There will be 8 questions on the examination paper, 1 from each syllabus topic. In addition there will be one question from any of the 7 syllabus topics.

Pearson LCCI Level 3 Certificate in Principles and Practices of Management (VRQ)

Answer Formats

Some questions may require the use of a communication format appropriate to the practice of management, which might include:

- memorandum
- checklists
- summaries
- reports
- notes

If requested to answer in the form of a report, candidates will need to structure their report with headings and sub-headings. The report should have at least 3 sections: an introduction, a main section and a conclusion or recommendations. The introduction should indicate the purpose of the report and for whom the report is intended. The main section should use a concise essay style or bullet points. The report needs to finish with a conclusion which should include candidate recommendations.

Mark Allocation

A positive marking approach is used. Marks will be awarded for the use of appropriate formats which might include reports, memoranda, checklists and illustrative examples, summaries etc. Marks are not deducted for spelling, grammar or punctuation.

The overall marks awarded for the use of appropriate formats will not normally exceed 10% of the total marks.

Candidate Performance Measurement

Pass 50%, Merit 60%, Distinction 75%

Recommended Reading List and Support Material

Reading List

Essential Reading

G A Cole — Management Theory and Practice (DP Publications)

ISBN-10: 185805 1665

R C Appleby — Modern Business Administration (Pitman) ISBN-10: 0273 60282 9

Further Reading

R Stewart — *Effective Management for Marketing* (BPP Publications)

ISBN-10: 075174 0705

L J Mullins — *Management and Organisational Behaviour* (Pitman)

ISBN-10: 0273 61598 X

D Lock (Ed) — *Gower Handbook of Management* (Gower) ISBN-10: 0566 07477 X

Pearson LCCI Level 3 Certificate in Principles and Practices of Management (VRQ)

C B Handy — *Understanding Organisations* (OUP) ISBN-10: 0195 087321

T Hannagan — *Management - Concepts and Practices* (Pitman)
ISBN-10: 0273 631039

Support Material

Model answers and past question papers will be made available on the qualification page of the Pearson website (qualifications.pearson.com/lcci)

Aims of assessment

The examination will assess the candidate's ability to:

- exhibit knowledge and understanding of the key elements of management
- apply this knowledge and understanding to general and specific situations and contexts
- supply relevant examples and applications of the practice of management.

Entry and assessment information

Please see the *Pearson Information Manual* and the *Pearson LCCI examination regulations*, available from our website: qualifications.pearson.com/lcci

Student entry

Details on how to enter students for the examination for this qualification can be found on our website: qualifications.pearson.com/lcci

Combinations of entry

There are no forbidden combinations of entry for this qualification.

Age

The qualification is intended for learners aged 16 and above.

Resitting the qualification

Students can resit the examination for Pearson LCCI Level 3 Certificate in Principles and Practice of Management (VRQ).

It is strongly advised that candidates do not register to undertake a resit until they have received the results from their previous examination.

Access arrangements, reasonable adjustments and special consideration

Access arrangements

Access arrangements are agreed before an assessment. They allow students with special educational needs, disabilities or temporary injuries to:

- access the assessment
- show what they know and can do without changing the demands of the assessment.

The intention behind an access arrangement is to meet the particular needs of an individual student without affecting the integrity of the assessment. Access arrangements are the principal way in which awarding bodies comply with the Equality Act 2010 to make 'reasonable adjustments'.

Access arrangements should always be processed at the start of the course. Students will then know what is available and have the access arrangement(s) in place for assessment.

Reasonable adjustments

The Equality Act 2010 requires an awarding organisation to make reasonable adjustments where a person with a disability would be at a substantial disadvantage in undertaking an assessment. The awarding organisation is required to take reasonable steps to overcome that disadvantage.

A reasonable adjustment for a particular person may be unique to that individual and therefore might not be in the list of available access arrangements.

Whether an adjustment will be considered reasonable will depend on a number of factors, which will include the:

- needs of the student with the disability
- effectiveness of the adjustment
- cost of the adjustment; and
- likely impact of the adjustment on the student with the disability and other students.

An adjustment will not be approved if it involves unreasonable costs to the awarding organisation, timeframes or affects the security or integrity of the assessment. This is because the adjustment is not 'reasonable'.

Special consideration

Special consideration is a post-examination adjustment to a student's mark or grade to reflect temporary injury, illness or other indisposition at the time of the examination/assessment, which has had, or is reasonably likely to have had, a material effect on a candidate's ability to take an assessment or demonstrate their level of attainment in an assessment.

Further information

Please see our website or email internationalenquiries@pearson.com for further information on how to apply for access arrangements and special consideration.

For further information about access arrangements, reasonable adjustments and special consideration please refer to the Joint Council for Qualifications (JCQ) website: www.jcq.org.uk/examination-system/access-arrangements-and-special-consideration

Equality Act 2010 and Pearson equality policy

Equality and fairness are central to our work. Our equality policy requires all students to have equal opportunity to access our qualifications and assessments, and our qualifications to be awarded in a way that is fair to every student.

We are committed to making sure that:

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

You can find details on how to make adjustments for students with protected characteristics in the policy document *Access Arrangements, Reasonable Adjustments and Special Considerations*, which is on our website, qualifications.pearson.com/en/support/support-topics/exams/special-requirements.html

Malpractice

Cases of alleged, suspected or confirmed malpractice must be dealt with in accordance with the latest Joint Council for Qualifications (JCQ) *General and Vocational Qualifications Suspected Malpractice in Examinations and Assessments Policies and Procedures*, available on the JCQ website: www.jcq.org.uk

Pearson cares greatly about the integrity of its qualifications and is aware that incidents of malpractice threaten that integrity, adversely affect learners and undermine public confidence in the delivery and awarding of qualifications. For this reason, Pearson takes malpractice incidents extremely seriously and investigates all allegations it receives as fully as possible. Where malpractice is proven Pearson will impose appropriate penalties and/or sanctions on those found to be responsible, which can include debarment from delivery of Pearson qualifications (for staff) and disqualification (for learners).

Candidate malpractice

Candidate malpractice refers to any act by a candidate that compromises or seeks to compromise the process of assessment or which undermines the integrity of the qualifications or the validity of results/certificates.

Candidate malpractice in examinations must be reported to Pearson using a *JCQ M1 Form* (available at www.jcq.org.uk/exams-office/malpractice). The form can be emailed to pqsmalpractice@pearson.com or posted to Investigations Team, Pearson, 190 High Holborn, London, WC1V 7BH. Please provide as much information and supporting documentation as possible. The final decision regarding appropriate sanctions lies with Pearson.

Failure to report malpractice constitutes staff or centre malpractice.

Staff/centre malpractice

Staff and centre malpractice includes both deliberate malpractice and maladministration of Pearson qualifications. As with candidate malpractice, staff and centre malpractice is any act that compromises or seeks to compromise the process of assessment or which undermines the integrity of the qualifications or the validity of results/certificates.

All cases of alleged or suspected staff malpractice and maladministration must be reported immediately, before any investigation is undertaken by the centre, to Pearson on a *JCQ M2(a) Form* (available at: www.jcq.org.uk/exams-office/malpractice). The form, supporting documentation and as much information as possible can be emailed to pqsmalpractice@pearson.com or posted to Investigations Team, Pearson, 190 High Holborn, London, WC1V 7BH. The final decision regarding appropriate sanctions lies with Pearson.

Failure to report malpractice itself constitutes malpractice. More detailed guidance on malpractice can be found on our website at <http://qualifications.pearson.com/en/support/support-topics/exams/examination-guidance/malpractice-and-plagiarism.html> and in the latest version of the JCQ *General and Vocational Qualifications Suspected Malpractice in Examinations and Assessments Policies and Procedures*, available at: www.jcq.org.uk/exams-office/malpractice

Language of assessment

Assessment of this specification will be in English only. Assessment materials will be published in English only and all work submitted for examination must be in English only.

Other information

Guided Learning Hours (GLH)

Guided Learning Hours: the number of teacher-led contact hours required to support student achievement for a qualification.

For the Pearson LCCI Level 3 Certificate in Principles and Practice of Management we recommend 120–140 GLH.

Centres should ensure students have additional time for self-study and preparation for the final examination, which is in addition to the GLH stated above.

Student recruitment

Pearson follows the JCQ policy concerning recruitment to our qualifications in that:

- they must be available to anyone who is capable of reaching the required standard
- they must be free from barriers that restrict access and progression
- equal opportunities exist for all students.

Prior learning and other requirements

There are no formal entry requirements for this qualification.

Students may be studying in a local language but the assessment will be in English. Pearson recommends students have a standard of Business English equivalent to LCCI IQ English for Business Level 2. However, their knowledge of specialist Business terminology should be equivalent to Level 3 in terms of vocabulary. This will support access to the assessment materials and students will be able to communicate responses effectively.

Progression

Successful students who also obtain a pass in Business and Industrial Administration Level 3 and **one** other from a pool of options in *one series of examinations* **or** with the required single subjects gained *On Demand within three calendar months of the first examination date* will be eligible for the award of a Level 3 Group Diploma in Principles and Practice of Management.

Using appropriate internal processes, centres must ensure they choose the most appropriate qualification level for their students' needs.

Codes

The subject code for Pearson LCCI Level 3 Certificate in Principles and Practice of Management (VRQ) is: ASE3128. The subject code is used by centres to enter students for a qualification.

Support, training and resources

Training

Pearson offers support and training to teachers on standard of delivery and preparing students to meet the assessment requirements.

Specifications, sample assessment materials and teacher support materials

The Pearson LCCI Level 3 Certificate in Principles and Practice of Management (VRQ) sample assessment materials can be downloaded from our website.

To find a list of all the support documents available please visit our website:
qualifications.pearson.com

July 2017

For more information on Pearson and LCCI qualifications please
visit our website: <http://qualifications.pearson.com/en/qualifications/lcci.html>

Pearson Education Limited. Registered in England and Wales No. 872828
Registered Office: 80 Strand, London WC2R 0RL.
VAT Reg No GB 278 537121