

# **Pearson BTEC Level 3 Diploma in Management**

## **Specification**

Combined (Competence and Knowledge) qualification

First registration September 2014

Issue 4

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

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This specification is Issue 4. Key changes are listed in the summary table on the next page. We will inform centres of any changes to this issue. The latest issue can be found on the Pearson website: [qualifications.pearson.com](http://qualifications.pearson.com)

This qualification was previously known as:

Pearson BTEC Level 3 Diploma in Management (QCF)

The QN remains the same.

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## Summary of Pearson BTEC Level 3 Diploma in Management specification Issue 4 changes

Summary of changes made between previous Issue 3 and this current Issue 4	Page number
Unit 4 AC3.2 correction of AC heading	69
Unit 4 AC4.5 correction of error in amplification for management accounts to cover financial and non-financial accounting data related to key business processes and activities (product sales and distribution, stock, debtors, creditors, purchase and sale of fixed assets, employee records, customer transactions); prepared on a frequency to match the business needs; forward-looking and predictive. Removed 'Cash Flow; Statement of Financial Position/Balance Sheet; Income Statement/Profit and Loss Account'.  Change under management accounts uses, to 'uses historical data' instead of 'provides historical data'. Addition of 'assists business planning and strategy development'.	73
Unit 41 AC3.2 assessment criterion corrected	296
Updated 'Contact us' pages details	331

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

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



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# Purpose of this specification

This specification sets out:

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

# 1 Introducing Pearson BTEC Combined (Competence and Knowledge) qualifications

## What are Combined (Competence and Knowledge) qualifications?

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A Combined (Competence and Knowledge) qualification is a work-based qualification that combines competence and technical knowledge to give learners the practical competencies, technical skills and sector-related knowledge they need to be able to carry out a job effectively.

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

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

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

### Total Qualification Time (TQT)

For all regulated qualifications, we specify a total number of hours that learners are expected to undertake in order to complete and show achievement for the qualification – this is the Total Qualification Time (TQT). The TQT value indicates the size of a qualification.

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

As well as guided learning, there may be other required learning that is directed by tutors or assessors. This includes, for example, private study, preparation for assessment and undertaking assessment when not under supervision, such as preparatory reading, revision and independent research.

As well as TQT and GLH, qualifications can also have a credit value – equal to one tenth of TQT, rounded to the nearest whole number.

TQT and credit values are assigned after consultation with users of the qualifications.

BTEC Combined (Competence and Knowledge) qualifications are available in the following sizes:

- Award – a qualification with a TQT value of 120 or less (equivalent to a range of 1–12 credits)
- Certificate – a qualification with a TQT value in the range of 121–369 (equivalent to a range of 13–36 credits)
- Diploma – a qualification with a TQT value of 370 or more (equivalent to 37 credits and above)

## 2 Qualification summary and key information

Qualification title	Pearson BTEC Level 3 Diploma in Management
Qualification Number (QN)	601/3396/X
Regulation start date	29/05/2014
Operational start date	01/09/2014
Approved age ranges	16-18 19+ Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please refer to the assessment requirements/strategy.
Credit value	55
Assessment available	Portfolio of Evidence (internal assessment) <b>and</b> Pearson-devised assessment (onscreen testing)
Total Qualification Time (TQT)	550
Guided learning hours	286
Grading information	The qualification and units are graded pass/fail.
Entry requirements	No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification. However, it is likely that learners at this level will have some prior experience in a supervisory or team leader role, or experience deputising in a managerial role to allow them to complete the qualification, although this is not a formal requirement.  Centres must also follow the <i>Pearson Access and Recruitment</i> policy (see <i>Section 7, Access and Recruitment</i> ).
Funding	Details on funding approval will be available in the future on the Learning Aims Reference Service (LARS) database, which replaces the Learning Aim Reference Application (LARA). In the interim, the LARS Lite database is available to check funding approval.  Alternatively, the Skills Funding Agency's simplified funding catalogues can be used to check funding approval.  Further information and guidance is available on the website: <a href="http://www.gov.uk">www.gov.uk</a>

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

## 3 Qualification rationale

### Qualification objectives

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The Pearson BTEC Level 3 Diploma in Management is for learners who work in, or who want to work in management roles such as Section Manager, First Line Manager, Assistant Manager, Trainee Manager, Senior Supervisor and Junior Non-Commissioned Officer.

It gives learners the opportunity to:

- develop and demonstrate technical and wider sector-related knowledge to underpin competence in the job roles stated above. This includes principles of equality, diversity and inclusion, the principles of leadership and management and the principles of people management.
- develop and demonstrate a range of technical skills and behaviours that support competence in the job roles stated above. This includes managing personal and professional development, supporting equality, diversity and inclusion in the workplace and managing team and individual's performance.
- have existing skills recognised
- achieve a nationally-recognised Level 3 qualification
- develop their own personal growth and engagement in learning through the development of personal, learning and thinking skills (PLTS).

### Relationship with previous qualifications

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This qualification is a direct replacement for the Pearson Edexcel Level 3 NVQ Certificate in Management (QCF), which has expired, and the Pearson BTEC Level 3 Certificate in Management (QCF), which has expired.

### Apprenticeships

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Skills CFA include the Pearson BTEC Level 3 Diploma in Management as the competencies component for the Advanced Apprenticeship in Management.

### Progression opportunities

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Learners who achieve the Pearson BTEC Level 3 Diploma in Management can progress to the Higher Apprenticeship in Management, which consists of the following qualifications: Pearson Edexcel Level 4 NVQ Diploma in Management and Pearson BTEC Level 4 Diploma in Management and Leadership. With further development, learners can also progress into job roles requiring a more complex set of skills, such as Manager, Head of Function, and Area Manager.

## **Industry support and recognition**

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

## **Relationship with National Occupational Standards**

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

## 4 Qualification structure

### Pearson BTEC Level 3 Diploma in Management

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

Minimum number of credits that must be achieved	55
Minimum number of credits that must be achieved at level 3 or above	48
Number of mandatory credits that must be achieved from Group A	31
Minimum number of optional credits that must be achieved from Group B	17
Remaining number of optional credits that can be achieved from Group B or Group C	7
A maximum of 7 credits can come from Group C	

Unit	Unit reference number	Group A - Mandatory units	Level	Credit	Guided learning hours
1	A/506/1821	Manage Team Performance	3	4	21
2	R/506/1937	Principles of People Management	3	6	34
3	D/506/1942	Principles of Business	3	10	74
4	F/506/2596	Principles of Leadership and Management	3	8	50
5	T/506/2952	Manage Personal and Professional Development	3	3	12
Unit	Unit reference number	Group B - Optional units	Level	Credit	Guided learning hours
6	T/506/1820	Promote Equality, Diversity and Inclusion in the Workplace	3	3	15
7	J/506/1921	Manage Individuals' Performance	3	4	20
8	L/506/1922	Manage Individuals' Development in the Workplace	3	3	10
9	Y/506/1924	Chair and Lead Meetings	3	3	10
10	K/506/1927	Manage Conflict within a Team	3	5	25
11	M/506/1928	Procure Products and/or Services	3	5	35
12	T/506/1929	Implement Change	3	5	28



Unit	Unit reference number	Group B - Optional units continued	Level	Credit	Guided learning hours
13	K/506/1930	Implement and Maintain Business Continuity Plans and Processes	3	4	25
14	M/506/1931	Collaborate with Other Departments	3	3	14
15	A/506/1933	Support Remote or Virtual Teams	3	4	18
16	F/506/1934	Participate in a Project <b>Barred combination with unit R/506/1999</b>	3	3	19
17	J/506/1949	Develop and Maintain Professional Networks	4	3	15
18	Y/506/1955	Develop and Implement an Operational Plan	4	5	24
19	M/506/1962	Encourage Learning and Development	4	3	16
20	A/506/1981	Discipline and Grievance Management	4	3	26
21	F/506/1982	Develop Working Relationships with Stakeholders	4	4	20
22	K/506/1989	Manage Physical Resources	4	4	26
23	K/506/1992	Prepare for and Support Quality Audits	4	3	17
24	T/506/1944	Conduct Quality Audits	4	3	21
25	A/506/1995	Manage a Budget	4	4	26
26	R/506/1999	Manage a Project <b>Barred combination with unit F/506/1934</b>	4	7	38
27	L/506/2004	Manage Business Risk	4	6	27
28	A/506/2032	Manage Knowledge in an Organisation	4	5	34
29	M/506/2044	Manage Redundancy and Redeployment	4	6	39
30	J/506/2292	Encourage Innovation	3	4	14
31	J/506/2907	Manage the Impact of Work Activities on the Environment	4	4	30
32	R/506/2909	Recruitment, Selection and Induction Practice	4	6	33

Unit	Unit reference number	Group C - Optional units	Level	Credit	Guided learning hours
33	M/506/1895	Buddy a Colleague to Develop their Skills	2	3	19
34	D/506/1911	Contribute to the Improvement of Business Performance	3	6	33
35	H/506/1912	Negotiate in a Business Environment	3	4	18
36	K/506/1913	Develop a Presentation	3	3	11
37	M/506/1914	Deliver a Presentation	3	3	17
38	A/506/1916	Contribute to the Development and Implementation of an Information System	3	6	21
39	K/506/2169	Resolve Customers' Problems	3	4	19
40	R/506/2151	Resolve Customers' Complaints	3	4	22
41	D/506/2170	Gather, Analyse and Interpret Customer Feedback	3	5	24
42	L/506/1905	Employee Rights and Responsibilities	2	2	16
43	T/505/4673	Health and Safety Procedures in the Workplace	2	2	16
44	M/506/1959	Manage Events	4	6	49
45	F/506/2176	Review the Quality of Customer Service	4	4	20

## 5 Programme delivery

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

Whichever mode of delivery is used, centres must make sure that learners have access to specified resources and to the sector specialists delivering and assessing the units. Centres must adhere to the Pearson policies that apply to the different modes of delivery, in particular the policy *Collaborative Arrangements for the Delivery of Vocational Qualifications* on our website at [qualifications.pearson.com](http://qualifications.pearson.com)

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

### Elements of good practice

#### Learner recruitment, preparation and support

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

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

## Training and assessment delivery

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Good practice in relation to training and assessment delivery includes:

- offering flexible delivery and assessment to meet the needs of the employer and learner, through the use of a range of approaches, for example virtual learning environments (VLEs), online lectures, video, printable online resources, virtual visits, webcams for distance training, e-portfolios
- balancing on-the-job and off-the-job training to meet the knowledge and competence requirements of the programme:
  - off-the-job: the nature of Combined (Competence and Knowledge) qualifications means that the development of technical- and sector-related knowledge is integral to learners achieving them. As a result, learners need to have sufficient time away from the work environment to focus on developing their technical and industry knowledge, and transferable and practical skills related to their job role. Tutors need to use a range of teaching and learning methods to deliver this training effectively, for example demonstration, observation and imitation, practising ('trial and error'), feedback on performance from experts and peers, reflective practice, real-world problem solving, enquiry-based learning, simulation and role play, peer learning, virtual environments, questioning, discussions
  - on-the-job: planning opportunities with the employer for the development and practising of skills on the job. The on-the-job element of the programme offers opportunities for assessment and plays an important role in developing the learner's routine expertise, resourcefulness, craftspersonship and business-like attitude. It is important that there is intentional structuring of practice and guidance to supplement the learning and development provided through engagement in everyday work activities. Teaching and learning methods, such as coaching, mentoring, shadowing, reflective practice, collaboration and consultation, could be used in this structured on-the-job learning
- integrating the delivery and assessment of Personal, Learning and Thinking Skills (PLTS) and Employment Rights and Responsibilities (ERR) if the programme is being delivered as a part of an Apprenticeship. It is important that learners understand the relevance of these skills in the workplace and are aware of when and how they will be developing them (see *Annexe B* for mapping of PLTS to the units in this specification)
- developing a holistic approach to assessment by matching evidence to different assessment criteria, learning outcomes and units as appropriate, thereby reducing the assessment burden on learners and assessors. It is good practice to draw up an assessment plan that aligns the units with the learning process and the acquisition of knowledge and skills, and which indicates how and when the units will be assessed. In producing the plan, the assessor should work closely with the learner to identify any activities that relate to more than one unit or learning outcome and to agree the best way to collect a single piece of evidence that meets the assessment requirements sufficiently. The assessment guidance given in the units identifies opportunities to assess units holistically, helping centres to develop assessment plans
- discussing and agreeing with the learner and employer suitable times, dates and work areas where assessment will take place. Learners and employers should be given regular and relevant feedback on performance and progress.

## Employer engagement

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Good practice in relation to employer engagement includes:

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

## Delivery guidance for Pearson BTEC Level 3 Diploma in Management

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The following delivery guidance is not intended to be prescriptive. Those delivering the programme of learning can adapt the guidance to meet the needs of learners, employers and the specific context.

Competence units should be delivered in the workplace as best practice. This should involve tutors/trainers agreeing with learners a structured programme of activities to ensure that the necessary competencies are developed in an effective and coherent way.

In mandatory units 'Manage Team Performance' and 'Manage Personal and Professional Development' there are techniques that have to be established and practiced. Coaching can be used to develop and improve communication skills and management techniques. For example, for the unit 'Manage Team Performance', learners could be attached to, work with and shadow different managers and their teams, to observe and discuss how they manage communications within their team and deal with any situations which are problematic, how they allocate work and how it is quality assured in different situations and how they provide support to their team members. Learners could be allocated work so that they can develop and practice their team management skills and receive feedback from supervisors and team members on which they can reflect. Such attachments could also enable learners to identify issues that are relevant to their own personal performance and development to support unit 'Manage Personal and Professional development'. Job rotation can offer the opportunity to see aspects of management from different perspectives, providing the learner with the opportunity to develop team management skills and could extend the opportunities for personal and professional development to support the units 'Manage Team Performance' and 'Manage Personal and Professional Development'.

When learners are using learning journals and reflective accounts to show their understanding they could be given guidance on how these might be best structured to support their demonstration of competence by ensuring that relevant ideas and corroborating evidence are identified and recorded. For self-directed learning, in a unit such as 'Manage Personal and Professional Development', a mentor could guide and help the learner to explore ideas by giving support and facilitating progress in meeting both the unit and qualification requirements.

Knowledge units and knowledge learning outcomes in competence units with a theoretical basis could be delivered through off the job training. Learning time away from the work environment can help learners to broaden their understanding of ideas and concepts, to make links between theory and practice, to reflect on the relevance of the concepts learned and to consolidate their learning. Classes, tutorials and seminars can all be used to teach the knowledge components of the units. For particular knowledge outcomes in competence units then a microteaching session could provide the necessary focused input for the topic. For example in the unit 'Principles of Business', learning outcome 4 could be delivered as a session including budgetary techniques and control together with practical activities and exercises showing how theory applies in practice. Wherever possible, the knowledge learning outcomes and competence outcomes should mutually reinforce learning of the subject matter.

Learning resources for the knowledge units 'Principles of People Management', 'Principles of Business' and 'Principles of Leadership and Management' consisting of explanatory materials, case studies and problems could be developed and made available to learners in study packs and/or in a computer based learning environment. Investigations into leadership styles in different organisations, role plays around decision making, team building and dynamics in the units 'Principles of Leadership and Management' and 'Principles of People Management', discussion and de-briefings all offer involving approaches to learning about managing teams and leadership and management and could be considered by learners working together in small groups with tutor support. Practical exercises could enable learners to practice particular skills specified in the financial outcomes and assessment criteria of 'Principles of Business'. Formative assessments are a useful learning tool and in the mandatory units can help learners to identify gaps in their knowledge and any additional learning that may be required. Learners can listen to and view podcasts and broadcasts about practical issues in respect of leadership, management and business from various online sources. Using presentations from managers and supervisors could provide insights into the ideas, theories and concepts in the mandatory units and provide an understanding of their relevance to organisational operations. Approaches such as this help to show how ideas, theories and concepts are related to work competencies, which in their turn can be developed.

Feedback from tutors and managers about learning could be aligned to learning outcomes and assessment criteria. This would confirm learning, provide direction for the learner and identify additional learning activities as well as being motivating. The feedback would contribute directly to the work needed for the unit 'Manage Personal and Professional Development' in identifying personal and professional development requirements and informing the associated development planning.

Qualification delivery can be enhanced by co-ordinating and integrating unit delivery. Mandatory units such as 'Manage Team Performance' have affinities and links with optional units such as 'Manage Conflict within a Team' and 'Support Remote or Virtual Teams'. Components of understanding employers' expectations and employees' rights and obligations could also be built into the learning for the units 'Manage Team Performance' and 'Principles of People Management', which both explore the idea of development to achieve goals and career progression. Learning outcome 1 from the unit 'Employee Rights and Responsibilities' (ERR): *Understand the role of organisations and industries* can be considered alongside the learning for 'Principles of Business' so ensuring some integrated coverage of ERR. Similarly 'Personal Learning and Thinking Skills' (PTLS) could be developed alongside the learning for units such as 'Manage Personal and Professional Development' which covers many of the same skills, such as planning personal goals and reviewing progress. It can benefit learners for delivery of learning outcomes or assessment criteria from different units that cover the same themes and skills, to be delivered holistically, to ensure coherence.

## 6 Centre resource requirements

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

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



## 7 Access and recruitment

Our policy on access to our qualifications is that:

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

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

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

### **Prior knowledge, skills and understanding**

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No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification, however it is likely that learners at this level will have some prior experience in a supervisory or team leader role, or experience deputising in a managerial role to allow them to complete the qualification, although this is not a formal requirement.

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

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

We are committed to making sure that:

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

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

## 8 Assessment

This qualification contains both knowledge and competence units, assessed through a combination of internal and external assessment.

All competence units are internally assessed. Knowledge units can be assessed through internal or external assessment. The type of unit, whether knowledge or competence, is stated in the unit information section at the start of each unit. Information on the methods and requirements for both internal and external assessment is given later in this section.

To achieve a pass for the full qualification, the learner must achieve all the units in the stated qualification structure.

### Language of assessment

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External assessments for units in this qualification will be available in English.

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

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

Further information on the use of language in qualifications is available in our policy document *Use of languages in qualifications policy*.

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

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

### Competence units – internal assessment

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

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

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

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

It is important that the evidence provided to meet the assessment criteria for each unit is:

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

Learners can provide evidence of occupational competence from:

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

Further guidance is available in our policy document *Recognition of Prior Learning Policy and Process*, available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com)

- a combination of the above.

## Assessment Strategy

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

## Types of evidence

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

In line with the Assessment Strategy, evidence for the competence units can take a variety of forms as indicated below:

- direct observation of the learner's performance by their assessor (O)
- outcomes from oral or written questioning (Q&A)
- products of the learner's work (P)
- personal statements and/or reflective accounts (RA)
- outcomes from simulation (S) – units 10, 20 and 29 only
- professional discussion (PD)
- authentic statements/witness testimony (WT)
- expert witness testimony (EWT)
- evidence of Recognition of Prior Learning (RPL).

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

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

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

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

Further guidance on the requirements for centre quality assurance and internal verification processes is available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com)

## Knowledge units – external and internal assessment

The following knowledge units in this qualification can be externally assessed through an onscreen test or internally assessed through a Portfolio of Evidence. Centres have the option to choose the method of assessment that is most suitable for their learners and context.

Unit 2: Principles of People Management

Unit 3: Principles of Business

Unit 4: Principles of Leadership and Management

Learners can achieve units through a combination of Portfolio of Evidence and onscreen tests but a single unit must use one or the other form of assessment.

### External assessment

Pearson sets and marks the externally assessed onscreen tests. These tests must be taken by the learner under examination conditions.

The table below gives information about the onscreen tests available for this qualification.

Unit 2: Principles of People Management	
Length of assessment	The external assessment will be 1 hour
Number of marks	50
Assessment availability	On demand
First assessment availability	October 2014

Unit 3: Principles of Business	
Length of assessment	The external assessment will be 45 minutes
Number of marks	30
Assessment availability	On demand
First assessment availability	October 2014

Unit 4: Principles of Leadership and Management	
Length of assessment	The external assessment will be 1 hour
Number of marks	50
Assessment availability	On demand
First assessment availability	October 2014

The onscreen tests assess all the learning outcomes in the identified units to meet the standard specified by the related assessment criteria. All the amplification in each unit is mandatory for the tests. The test writer will use the *Unit amplification* section in the unit as a guide when writing questions. Centres need to make sure that learners are:

- fully prepared to sit the onscreen tests
- entered for the tests at appropriate times, with due regard for resit opportunities as necessary.

All centres offering onscreen assessment must comply with the Joint Council for Qualifications (JCQ) document *Instructions for the Conduct of Examinations (ICE)*. The current version of this document is available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com)

## Internal assessment

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Internal assessment of the knowledge units is through an internally and externally quality assured Portfolio of Evidence. All assessments created by centres for the development of portfolio evidence must be fit for purpose and based on the unit assessment criteria. To pass each internally assessed knowledge unit the learner must:

- achieve **all** the specified learning outcomes
- meet the standard determined by the assessment criteria by providing sufficient and valid evidence
- prove that the evidence is their own.

Assessment tasks and activities must enable learners to produce valid, sufficient, authentic and appropriate evidence that relates directly to the learning outcomes and assessment criteria in the context of the *Unit amplification*. When devising the assessments, centres need to look closely at the verb used for each assessment criterion to ensure that learners can provide evidence with sufficient breadth and depth to meet the requirements.

Centres need to produce assessment briefs for learners to show what evidence is required. Assessment briefs should indicate clearly which assessment criteria are being targeted. Centres are encouraged to create strong links between the assessment of the knowledge units and the competence units to reinforce the relationship between knowledge and understanding and the job-related competencies.

Unless otherwise indicated in the *Unit assessment guidance* for each unit, the centre can decide the form of assessment evidence (for example presentations, projects, tests, extended writing) as long as the methods chosen allow learners to produce valid, sufficient and reliable evidence of meeting the assessment criteria.

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

## Appeals

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

Centres must document all learners' appeals and their resolutions. There is more information on the appeals process in our policy document *Enquiries and Appeals about Pearson Vocational Qualifications*, available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com)

## Dealing with malpractice

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

## Reasonable adjustments to assessment

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Centres are able to make adjustments to assessments to take account of the needs of individual learners in line with the guidance given in the document *Pearson supplementary guidance for reasonable adjustment and special consideration in vocational internally assessed units*, available on our website. In most instances, adjustments can be achieved by following the guidance, for example allowing the use of assistive technology, adjusting the format of the evidence. We can advise you if you are uncertain as to whether an adjustment is fair and reasonable. Any reasonable adjustment must reflect the normal learning or working practice of a learner in a centre or working within the occupational area.

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

## Special consideration

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Centres must operate special consideration in line with the guidance given in our document *Supplementary guidance for reasonable adjustment and special consideration in vocational internally assessed units*. Special consideration may not be applicable in instances where:

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

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

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

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



## 9 Centre recognition and approval

### Centre recognition

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

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

Guidance on seeking approval to deliver BTEC vocational qualifications is available at [qualifications.pearson.com](http://qualifications.pearson.com).

### Approvals agreement

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

## 10 Quality assurance of centres

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

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

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

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

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

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

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

# 11 Unit format

Each unit has the following sections.

## Unit title

This is the formal title of the unit that will appear on the learners certificate.

## Unit reference number

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

## Level

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

## Credit value

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

## Guided learning hours

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

## Unit summary

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

## Learning outcomes

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

## Assessment criteria

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

## Unit amplification

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

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

### Relationship between amplification and assessment criteria

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

### Amplification structure

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

### Legislation

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

## Information for tutors

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

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

# Unit 1: Manage Team Performance

**Unit reference number:** A/506/1821

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 21

**Unit type:** Competence

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## Unit summary

In this unit, you will look at how to manage team performance through benchmarking that includes setting and maintaining standards and other quality management techniques. When used properly, benchmarking can be a great way to improve the performance of a team, and so help the business to stay competitive.

Having a carefully designed process to ensure high performance and quality of work is the key to getting the most out of teams. You will learn how to manage the work of a team and assess its performance to ensure the optimum outcome. You will also learn about the importance of communication within a team, and how to manage communications to ensure that everyone understands the purpose of the team and its goals.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the management of team performance	<p>1.1 Explain the use of benchmarks in managing performance</p> <p>1.2 Explain a range of quality management techniques to manage team performance</p> <p>1.3 Describe constraints on the ability to amend priorities and plans</p>

Learning outcomes	Assessment criteria
<p>2 Be able to allocate and assure the quality of work</p>	<p>2.1 Identify the strengths, competences and expertise of team members</p> <p>2.2 Allocate work on the basis of the strengths, competences and expertise of team members</p> <p>2.3 Identify areas for improvement in team members' performance outputs and standards</p> <p>2.4 Amend priorities and plans to take account of changing circumstances</p> <p>2.5 Recommend changes to systems and processes to improve the quality of work</p>
<p>3 Be able to manage communications within a team</p>	<p>3.1 Explain to team members the lines of communication and authority levels</p> <p>3.2 Communicate individual and team objectives, responsibilities and priorities</p> <p>3.3 Use communication methods that are appropriate to the topics, audience and timescales</p> <p>3.4 Provide support to team members when they need it</p> <p>3.5 Agree with team members a process for providing feedback on work progress and any issues arising</p> <p>3.6 Review the effectiveness of team communications and make improvements</p>

### **AC1.1: Explain the use of benchmarks in managing performance**

- *Benchmarks:* definition (performance measurement standards); based on an organisation's own experience, industry practice or regulatory requirements
- *Benchmarking:* definition; types, e.g. internal, external, strategic, performance, process
- *Using benchmarking in performance management:* e.g. maintain team performance in line with industry and/or organisational standards; identify areas for targeted improvement activities, e.g. training needs; set standards for reward systems, e.g. performance-related pay; evaluate the effectiveness of workforce performance initiatives

### **AC1.2: Explain a range of quality management techniques to manage team performance**

- *Team performance management:* purpose, e.g. establishing performance goals; identifying any gap between current and desired performance; planning, implementing and monitoring changes to improve
- *Techniques:* performance objectives, e.g. strategic and operational; performance review meetings, e.g. one-to-one meetings, appraisal meetings; 360 degree feedback; personal development plans (PDPs); reward systems, e.g. performance-related pay, bonus payments, team-based pay

### **AC1.3: Describe constraints on the ability to amend priorities and plans**

- *Constraints:* e.g. resource availability in other functional areas; regulatory, industry or organisational requirements; deliverables and timescales agreed with internal and/or external customers; existing workload and competence of team members

## Information for tutors

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### Suggested resources

#### Books

Jones S, Schilling D – *Measuring Team Performance* (Jossey-Bass, 2000)  
ISBN 9780787945695

Muller-Camen M, Croucher R, Leigh S – *Human Resource Management: A Case Study Approach* (CIPD, 2008) ISBN 9781843981657

#### Websites

[www.cipd.co.uk](http://www.cipd.co.uk) – the Chartered Institute of Personnel and Development (CIPD), offers a range of guidance on HR, learning and development and employment law issues, for example a Performance Management factsheet. Membership is required for full access

[www.managers.org.uk](http://www.managers.org.uk) – the Chartered Institute of Management, offers practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials

[www.mindtools.com](http://www.mindtools.com) – resources on many business and management topics, including team management

### Assessment

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

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

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

#### Unit assessment requirements

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

#### Unit assessment guidance

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



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

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of direct observation, review of the learner's work products, witness testimony and professional discussion or reflective account. Wherever possible, and with the appropriate permissions, the learner could be observed in team/departmental meetings, one-to-one meetings, appraisal meetings and other relevant contexts.

Evidence from any direct observation of the learner should be supported by a professional discussion around the learner's performance and work products to provide further evidence for the assessment criteria. The learner's work products could include minutes from team meetings, team work plans, team rotas/allocations, anonymised personal development plans and any relevant communications to team members or colleagues (for example email to team members detailing the lines of communication and authority). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could explain how they determined the strengths, competences and expertise of team members, how they used this information in allocating/planning the team's work and the decision making and rationale for any work plans in terms of priorities, critical activities and resource availability (AC2.1 and AC2.2). The professional discussion could also cover the reasons for the choice of communication methods used and the criteria used to assess the effectiveness of team communications, and how they relate to the improvements made (AC3.3 and AC3.6). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from team members and the line manager could also be used to confirm evidence for a number of assessment criteria (AC2.5, AC3.4 and AC3.5), as well as confirm that the learner has consistently met the requirements over a period of time.

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion or reflective account for learning outcome 2, giving the learner the opportunity to link and apply their knowledge to the workplace activities. For example, the learner could comment on how they have used benchmarks in managing the team performance; where the learner has not used these they could explain how these may be used in the future to better manage their team's performance. This would link AC1.1 to AC2.3. In a similar manner, if appropriate, the learner could be asked to describe any constraints they faced in amending work plans to meet changing circumstances and how they dealt with these constraints; if the learner did not face any actual constraints they could describe possible constraints relative to their context and how they would have dealt with them (AC1.3 linked to AC2.4).

The learner's responses or statements to meet the requirements of AC1.1 to 1.3 must be in sufficient depth and breadth to meet the level of demand relative to the operative verbs. For example, for AC1.2, the learner would need to explain at least two techniques and show clearly how they have used them, or could use them, to manage their team's performance.

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

## **Unit 2: Principles of People Management**

**Unit reference number:** R/506/1937

**Level:** 3

**Credit value:** 6

**Guided learning hours:** 34

**Unit type:** Knowledge

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### **Unit summary**

This unit is designed to give new and aspiring junior managers the skills and understanding needed to deal with management responsibilities with confidence. This unit focuses on the principles of people management.

A manager's most important, and most difficult, job is to manage people. You must lead, motivate, inspire, and encourage them. In this unit, you will develop your knowledge of how to deal with an important resource – staff. The modern workplace has a diverse range of people within it, and all members of staff must feel they have equality of opportunity within the organisation and feel they are included. Ensuring this happens is an increasingly important role. You will look at the theory of team development and gain an understanding of how to successfully build and manage workplace teams. You will gain an understanding of how an effective performance management system works. Training and development is another area of importance to managers who want to improve and retain their staff and you will gain an understanding of setting targets and reviewing achievements. Finally, you will consider types of reward systems, and the concept of 'total reward'.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of workforce management	<ul style="list-style-type: none"><li>1.1 Explain the relationship between Human Resources (HR) functions and other business functions</li><li>1.2 Explain the purpose and process of workforce planning</li><li>1.3 Explain how employment law affects an organisation's HR and business policies and practices</li><li>1.4 Evaluate the implications for an organisation of utilising different types of employment contracts</li><li>1.5 Evaluate the implications for an individual of different types of employment contracts</li></ul>
2 Understand equality of opportunity, diversity and inclusion	<ul style="list-style-type: none"><li>2.1 Explain an organisation's responsibilities and liabilities under equality legislation</li><li>2.2 Explain the benefits that effective equality of opportunity, diversity and inclusion policies bring to individuals and organisations</li><li>2.3 Explain the language and behaviour that support commitments to equality of opportunity, diversity and inclusion</li><li>2.4 Explain how to measure diversity within an organisation</li></ul>

Learning outcomes	Assessment criteria
<p>3 Understand team building and dynamics</p>	<p>3.1 Explain the difference between a group and a team</p> <p>3.2 Outline the characteristics of an effective team</p> <p>3.3 Explain the techniques of building a team</p> <p>3.4 Explain techniques to motivate team members</p> <p>3.5 Explain the importance of communicating targets and objectives to a team</p> <p>3.6 Examine theories of team development</p> <p>3.7 Explain common causes of conflict within a team</p> <p>3.8 Explain techniques to manage conflict within a team</p>
<p>4 Understand performance management</p>	<p>4.1 Identify the characteristics of an effective performance management system</p> <p>4.2 Explain the uses of specific, measurable, achievable, realistic and time-bound (SMART) objectives and priorities</p> <p>4.3 Describe best practice in conducting appraisals</p> <p>4.4 Explain the factors to be taken into account when managing people's wellbeing and performance</p> <p>4.5 Explain the importance of following disciplinary and grievance processes</p>

Learning outcomes	Assessment criteria
<p>5 Understand training and development</p>	<p>5.1 Explain the benefits of employee development</p> <p>5.2 Explain the advantages and limitations of different types of training and development methods</p> <p>5.3 Explain the role of targets, objectives and feedback in employee development</p> <p>5.4 Explain how personal development plans support the training and development of individuals</p> <p>5.5 Explain how to make use of planned and unplanned learning opportunities to meet individuals' preferred learning styles</p> <p>5.6 Explain how to support individuals' learning and development</p>
<p>6 Understand reward and recognition</p>	<p>6.1 Describe the components of 'total reward'</p> <p>6.2 Analyse the relationship between motivation and reward</p> <p>6.3 Explain different types of pay structures</p> <p>6.4 Explain the risks involved in the management of reward schemes</p>

## Unit amplification

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**This content has been written in an expanded format to facilitate both onscreen testing and portfolio assessment. Learners presenting work for portfolio assessment are not expected to evidence all of the amplification. Learners who are to be assessed by the onscreen test could be tested on any aspect of the amplification.**

### **AC1.1: Explain the relationship between Human Resources (HR) functions and other business functions**

- *Human Resources (HR) functions:* recruitment and selection; training and development; employee relations (dispute settlement, grievance redressal, industrial relations); compensation and benefits; compliance with employment laws and regulation; workplace safety; managing performance appraisal review process; maintaining staff personal records
- *Other business functions:* research and development; production and quality; distribution/logistics; sales; marketing; IT; buying/purchasing; finance; administration; audit
- *Relationships:* supporting and advisory relationship; providing guidance, information and advice on employment issues; facilitating the recruitment of employees with the right skills and experience; supporting the achievement of functional objectives and targets; supporting the smooth running of functional activities through implementing organisational policies and procedures; maintaining good management worker relations; help to retain and motivate employees

### **AC1.2: Explain the purpose and process of workforce planning**

- *Workforce planning process:* identifying and addressing the gaps between the current and future human resource needs; based on organisational strategy:
  - o *workforce planning activities:* skills audit job analysis; job design; multi-skilling; talent management; succession planning; career planning; labour supply and demand forecasting
- *Purpose:* ensure a workforce that can deliver short and long-term organisational objectives; make informed staffing decisions in line with strategic and operational goals; enable an organisation to maintain and develop its workforce

### **AC1.3: Explain how employment law affects an organisation's HR and business policies and practices**

- *Employment legislation:*
  - o *National Minimum Wage Act 1998:* governs workers' (over 16 years old) legal right to receive a minimum hourly rate
  - o *Working Time Regulations 1998:* governs weekly working time, daily and weekly rest periods and employees' entitlements to paid leave

- o *Equality Act 2010*: details the nine personal characteristics protected by law and the behaviour considered as unlawful
- o *Employment Rights Act 1996*: outlines statutory employment rights of workers and employees; employment contract; unfair dismissal; redundancy provisions; dismissal notice period; protection of wages; time off work for public duties
- o *Flexible Working Regulations 2014*: covers employees' rights to flexible working arrangements; responsibility of employers to consider request for flexible working
- o *Health and Safety at Work Act 1974*: covers work-related health and safety; employers responsibility for the health and safety of their employees
- o *Impact on an organisation's policies and procedures*: transparent process for recruitment and selection; HR policies that comply with legal requirements (pay, terms of employment contract, working hours, employee entitlements); written disciplinary and grievance procedures; mechanisms for informing workers of their legal responsibilities and rights (employee handbook, intranet); organising training for line managers; providing facilities to support flexible working; clear policy on equality and diversity that is shared with all staff (bullying, harassment); leave policy; health and safety policy and related procedures

**AC1.4: Evaluate the implications for an organisation of utilising different types of employment contracts**

- *Contract of employment*: agreement between employer and employee; outlines terms and conditions of employment; verbal or in writing; forms basis of the employment relationship
- *Implications of different types of employment contract*:
  - o *full time*: set amount of working hours and terms and conditions; minimum hours set by the employer, usually 35 hours or more per week; covered by employment laws; permanent employment; attracts high-calibre workers; greater employee loyalty and commitment; better staff retention; higher associated employment costs; more difficult to terminate
  - o *part time*: work fewer number of hours than full time; covered by employment laws; human resource flexibility to meet periods of high demand; helps to retain valued employees; additional administration and induction costs; potential lack of continuity in work activities; potential communication problems
  - o *fixed term contracts*: last for only a certain length of time; set in advance and end when a specific task is completed or when a specific event takes place; useful to cover set projects or periods of time; allows employment of people with special skills to meet particular needs; can be expensive to terminate if they do not contain notice arrangements; limit on how long an employee can be on a fixed term contract

- o *zero hours contracts*: usually for 'piece work' or 'on call' work; employees called to work when needed; employees are not obligated to work when asked; more cost-effective for ad-hoc tasks; human resource flexibility; cheaper alternative to agency fees; employer responsibility for employee health and safety
- o *agency staff*: classed as workers rather than employees; supplied through an employment agency; contract with the employment agency not the organisation; reduced administration with recruitment and termination of contracts; flexibility to increase or decrease work force at short notice; agency responsibility for compliance with working time regulations; potentially expensive option
- o *contractors*: self-employed; not generally covered by employment legislation; access to particular technical skills or knowledge not readily available; useful for project-type work; comparatively more expensive; organisation responsible for health and safety

**AC1.5: Evaluate the implications for an individual of different types of employment contracts**

- *full-time contracts* – access to full range of employment benefits (staff discounts, health insurance, company cars); job and financial security; access to greater career and personal development opportunities; better integration with colleagues; job satisfaction; difficult to move to new employment
- *part-time contracts* – greater employment flexibility; same employment rights as full-time permanent staff; greater control of working life; better work life balance
- *fixed-term contracts* – same employment rights as full-time permanent staff; offers flexibility in commitment to work; often higher rates of pay; rights to permanent employee status if the contract is renewed over a number of years
- *zero-hours contracts* – entitled to the same basic terms of employment; access to employment experience and skills; more open to abuse than other types of contracts; no guaranteed level of regular earnings; difficulty in managing work life balance
- *working for an agency* – same rights to pay and most benefits after working for a period of 12 weeks; entitled to the same basic terms and conditions as direct employees; greater employment flexibility
- *contractor* – not entitled to the same rights as employees; can command a higher rate of pay due to the specialist nature of work; employment flexibility

**AC2.1: Explain an organisation's responsibilities and liabilities under equality legislation**

- *Equality legislation*: Equality Act 2010
  - o *nine protected characteristics* – age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion and belief; sex; sexual orientation



- o unlawful behaviour – direct discrimination; indirect discrimination; harassment; victimisation
- *Responsibilities*: inform all staff of the legal requirements for equality and diversity; make regular checks that employees are adhering to the policy; provide staff training on equality and diversity; make reasonable adjustments to remove barriers for people with disabilities; investigate and take necessary actions regarding discrimination and harassment complaints
- *Liabilities*: employer legally responsible for employee and agent acts of discrimination, harassment and victimisation; legal responsibility not dependent on awareness or approval of the unlawful action; no legal responsibility for unlawful actions if reasonable preventative actions were taken

**AC2.2: Explain the benefits that effective equality of opportunity, diversity and inclusion policies bring to individuals and organisations**

- *Equality of opportunity in the workplace*: ensuring that employment, pay, or promotion is offered equally to all, without discrimination as to race, colour, age, gender, national origin, religion, or mental or physical disability
- *Diversity*: respecting and valuing all types of difference in individuals; creating a culture and work practices that respect and value differences
- *Inclusion*: positively striving to meet the needs of different people; taking deliberate action to create environments where everyone feels respected and able to achieve their full potential
- *Benefits to organisations*: employee retention; positively enhance brand reputation; employees become more engaged and productive; increases creativity, innovation and competitiveness; comprehensive understanding of the needs of staff; improves employee morale and motivation
- *Benefits to individuals*: improved job satisfaction; reassurance that there is no workplace discrimination; access to facilities and tools to meet particular needs; better working relationships among staff; accommodating work environment

**AC2.3: Explain the language and behaviour that support commitments to equality of opportunity, diversity and inclusion**

- *Supportive language and behaviour*: has a clear equality policy and action plan that is monitored and reviewed regularly; incorporates diversity and inclusion in the wider organisational strategy; senior management supportive of inclusive strategies; uses positive, non-discriminatory language and images in communications; provides appropriate training for staff; benchmarking against organisations with good practice

**AC2.4: Explain how to measure diversity within an organisation**

- *Quantitative measures:* workforce profiling to show percentages and trends relating to gender, race, disability, age, sexual orientation, gender identity, religion and belief
- *Qualitative measures:* individual employee satisfaction surveys; employee groups; customer feedback; organisational cultural analysis

**AC3.1: Explain the difference between a group and a team**

- *Group:* a collection of individuals who coordinate their individual efforts; work independently of each other; not necessarily working towards a specific goal
- *Team:* a group of people organised to work together interdependently and cooperatively to achieve shared goals; common team purpose; joint accountability; mutual trust and respect; combine team talents to achieve purpose

**AC3.2: Outline the characteristics of an effective team**

- *Characteristics:* sense of purpose; prioritisation of team goals; members have clear roles; clear lines of authority and decision making; conflict dealt with openly; personal traits appreciated and utilised; group norms set for working together; success shared and celebrated; trained and skilled members; good interpersonal relationships; all have opportunity to contribute

**AC3.3: Explain the techniques of building a team**

- *Determine team membership and roles:* team members have the required skills (technical and role-based skills); establish leadership and clear lines of authority
- *Clarify purpose and set clear goals:* team members working towards a common goal; communicate and agree goals
- *Give support and access to resources:* fair and equal access to resources; provide support to team members when needed
- *Foster good work ethics and mutual respect:* encourage team to deal with challenges without complaining; lead by example; deal with interpersonal conflicts swiftly; encourage members to support each other
- *Be proactive with feedback:* help to keep team performance on track; consistent feedback, not just when there are problems (formal and informal)
- *Acknowledge and reward:* recognition for good performance; reward in line with organisational policy and individual preference; be genuine
- *Celebrate success:* reflect on accomplishments and lessons learned; success as a part of team culture; the team focuses on success and expects it

#### **AC3.4: Explain techniques to motivate team members**

- *Providing work that is meaningful and challenging:* clarify value and contribution of work to organisational goals; matching scope of work to individual's capabilities and strengths; delegation
- *Showing respect for the team and its members:* creating a working environment that promotes respect of team members' values and beliefs
- *Competitive remuneration packages:* competitive pay and fringe benefits; job satisfaction
- *Engaging members in decision making:* collaborative decision making; giving responsibility for tasks
- *Access to training and development opportunities:* improved employee confidence; employees more engaged in the working environment; job satisfaction
- *Appraising and rewarding the team as a whole and individually:* providing regular positive and supportive feedback; acknowledging and recognising team success

#### **AC3.5: Explain the importance of communicating targets and objectives to a team**

- *Importance:* creates a shared vision; helps work to proceed smoothly and efficiently; enhances cooperation among team members; encourages feedback; promotes openness and trust between management and staff; supports fairness and transparency in performance management

#### **AC3.6: Examine theories of team development**

- *Belbin's nine team roles:* identification of people's behavioural strengths and weaknesses in the workplace to provide a balanced team; contributions and allowable weaknesses of each role:
  - o *plants* – source of original ideas, suggestions and proposals; usually unconventional; forgetful
  - o *resource investigators* – bring ideas and information to the team; team's salesperson, diplomat, liaison officer and explorer; forgetful
  - o *monitor-evaluators* – logical and impartial; objective; overly critical and slow moving
  - o *coordinators* – clarify group objectives; establish priorities; promote decision making; potential over delegation
  - o *implementers* – turn decisions and strategies into defined and manageable tasks; efficient; disciplined; perfectionist; inflexible
  - o *completer-finishers* – conscientious; attention to detail; deliver on time; reluctance to delegate; inclined to worry
  - o *team workers* – cooperative; diplomatic; indecisive
  - o *shapers* – provide focus to the team effort; drive to overcome obstacles; may be argumentative

- o *specialists* – have in-depth knowledge of a key area; narrowly focused
- *Honey's five team roles:* based on Belbin's nine team roles:
  - o *leader* – ensures that the team has clear objectives; makes sure everyone is involved and committed
  - o *challenger* – questions effectiveness and presses for improvement and results
  - o *doer* – committed to action; carries out practical tasks
  - o *thinker* – ideas generator; solves problems; weighs up and improves ideas from others
  - o *supporter* – eases tension; maintains team harmony
- *Tuckman's four stages of team development:* the link between the relationships in the group and the focus on the task
  - o *Forming* – no shared understanding of tasks and objectives; little care for others views or values; roles not yet developed
  - o *Storming* – team becomes more inward looking; more concern for the values, views and problems of others in the team; competition
  - o *Norming* – confidence and trust; greater valuing of people; clarification of purpose; establishing objectives
  - o *Performing* – includes flexibility; leadership decided by situations, not protocol; basic principles and social aspects of the organisation's decisions are considered

#### **AC3.7: Explain common causes of conflict within a team**

- *Bell and Hart's eight causes of conflict:* conflicting resources; conflicting work style; conflicting perceptions; conflicting goals; conflicting pressures; conflicting roles; different personal values; unpredictable policies
- *Non-Compliance with Rules and Policies:* personal non-compliance or disregard for company policy by colleagues (discriminatory behaviour, unacceptable language, poor attendance and timekeeping)
- *Misunderstandings:* poor communications leading to misunderstandings
- *Competition/rivalry:* competition instead of collaboration; results in anti-productive behaviour

#### **AC3.8: Explain techniques to manage conflict within a team**

- *Non-intervention:* the team manages the conflict themselves; allowing the conflict to run its course
- *Intervention:* deal with situation quickly; protect employees; remove disruptive employees; resolution; follow-up
- *Facilitation:* one-to-one and group discussions; clarify positions and facts with individuals

- *Use of official processes:* formal disciplinary procedures; explain processes to employees concerned; investigate conflict situation; escalate issues to senior management
- *Negotiation:* seek and agree a solution with team members; concessions from all parties

**AC4.1: Identify the characteristics of an effective performance management system**

- *Characteristics:* clearly defined organisational goals (SMART); provides valid, reliable and consistent data; standardised process with well-defined performance standards; focus on job-related behaviour and performance; mutual trust and cooperation; competence of people managing the process; economical and efficient process; feedback and participation of employees

**AC4.2: Explain the uses of specific, measurable, achievable, realistic and time-bound (SMART) objectives and priorities**

- *SMART objectives:* specifying objectives in specific, measurable, achievable, realistic, time-bound terms
- *Priorities:* business objectives ranked as business critical; ranking based on the level of impact on achieving strategic goals; shared with stakeholders
- *Uses:* creates a sense of shared purpose among employees; aligns employees personal goals with organisational strategy and vision; provides clear direction on expected outcomes; quantifies organisational progress and performance; provides focus for operational planning and decision making; challenges and motivates employees; supports individual performance reviews; enables feedback and learning; enables the organisation to be proactive in strategy implementation

**AC4.3: Describe best practice in conducting appraisals**

- *Appraisals:* on-going process of evaluating employee performance; objective process
- *Best practice:* agreement on performance expectations; properly planned by both parties; clarity about the purpose and process of the appraisal; focused on performance and improvement; facilitate regular relevant job feedback; clearly links performance to compensation; evaluate performance and deliver incentives in a fair and consistent manner; provide appropriate learning and development opportunities

**AC4.4: Explain the factors to be taken into account when managing people's wellbeing and performance**

- *Non-work factors:* finance, family and relationships; lifestyle
- *Individual factors:* personal resilience; ability to cope; personal behaviours and attributes; experiences; attitudes; personality; physical and mental health

- *Work environment factors:* work demands; level of control; level of support; role clarity; working relationships; degree of organisational change
- *Work performance:* productivity; engagement and motivation; error rate; absences

**AC4.5: Explain the importance of following disciplinary and grievance processes**

- *Disciplinary process:* procedure to deal with employee misconduct or unsatisfactory performance
- *Grievance procedure:* framework for the quick and effective resolution of workplace issues
- *Importance of following disciplinary and grievance processes:*
  - o *ensures reasonable standard of behaviour on both sides*
  - o *reduces the likelihood of breach of contract claims*
  - o *adherence to the processes is considered in an employment tribunal case*
  - o *impact on the amount awarded by an employment tribunal (between 0 and 25 per cent) ; ACAS code*

**AC5.1: Explain the benefits of employee development**

- *Benefits:*
  - o *Improves productivity and efficiency:* increased output; improved levels of customer service
  - o *Stimulates growth of employee thinking and personal attitudes:* improves employee problem solving capabilities; prepares employees for promotion
  - o *Engages and motivates the workforce:* greater job satisfaction; higher motivation; better morale; less absenteeism
  - o *Builds employee loyalty:* employee satisfaction; employee retention: reduced recruitment and training costs
  - o *Attracts new recruits:* positive reputation; attracts talented people

**AC5.2: Explain the advantages and limitations of different types of training and development methods**

- *Formal:* course, workshop or training session; led by someone other than the learner; mostly off the job; external to the employer organisation
  - o *Advantages:* learner can focus and commit to the learning; uses a variety of learning methods; set structure with goals and learning objectives; formal recognition on completion; trainers with expertise and recent experience; learner feels motivated and valued

- o *Limitations:* may be away from the workplace; potential negative impact on productivity; skills learned are less likely to be job specific; cost implications for the organisation or learner
- *Informal:* casual, incidental and naturally occurring; often on the job
  - o *Advantages:* takes place alongside colleagues; trained with in-house methods; cost effective; skills learned are often job specific; relationships are formed between the learners and trainers in the workplace
  - o *Limitations:* often has no specified training goals or formal recognition; no formal structure or time frame; in house trainer may not have the appropriate level of expertise

**AC5.3: Explain the role of targets, objectives and feedback in employee development**

- *Role of targets and objectives:* links learning and growth to skills needed in work; outline the expectations to be accomplished; gives dates for review and achievement; connects employee's performance and organisational goals
- *Role of Feedback:* highlights where and why performance was not in line with expectations; explores how performance may be improved; positive way of improving future performance; provides positive reinforcement

**AC5.4: Explain how personal development plans support the training and development of individuals**

- *Personal development plan (PDP):* a tool that identifies areas for further development; encourages lifelong learning
- *How PDPs support training and development:* specifically targets the training/development needs of the individual; provides a structured framework for skills development; helps to identify suitable learning opportunities to meet particular learning needs; encourages self-directed development

**AC5.5: Explain how to make use of planned and unplanned learning opportunities to meet individuals' preferred learning styles**

- *Learning styles:* ways in which individuals prefer to learn
- *VARK learning model:*
  - o *Visual learners:* learn through seeing
  - o *Auditory learners:* learn through listening
  - o *Reading writing learners:* learning by processing text
  - o *Kinaesthetic learners:* learning by doing
- *How to make use of planned and unplanned learning opportunities:* working with individuals to identify and prioritise learning needs; helping individuals to identify their personal learning style(s); providing support in researching learning activities to meet learning needs; match learning needs and styles to formal courses; identify unplanned experiential activities in the working environment to meet individual learning needs; evaluate effectiveness of learning opportunities



#### **AC5.6: Explain how to support individuals' learning and development**

- *Supporting learning and development:* create appropriate learning opportunities; remove barriers to learning in the workplace; provide constructive feedback; use of personal development plans; mentorship and coaching; encourage sharing of learning and ideas; engage individuals in identifying their own learning activities

#### **AC6.1: Describe the components of 'total reward'**

- *Total reward:* a strategy that brings together both intrinsic and extrinsic rewards; tools that may be used to attract, motivate and retain employees
- *Components:*
  - o *Compensation:* monetary reward (salary and wages); employee profit sharing and restricted stock schemes
  - o *Benefits:* healthcare and welfare plans (medical, dental, life insurance)
  - o *Work-Life balance:* workplace flexibility; paid and unpaid time off; health and wellbeing support; community involvement
  - o *Performance recognition:* system of recognition; performance reviews, service awards and employee of the month awards
  - o *Developmental and career opportunities:* learning opportunities; on the job training; coaching and mentoring; advancement opportunities such as internships and apprenticeships

#### **AC6.2: Analyse the relationship between motivation and reward**

- *Maslow Hierarchy of Needs Theory* – employees motivated by satisfied needs; needs organised in a hierarchy (physiological, safety, love and belonging, self-esteem, self-actualisation); lower-order needs satisfied before higher order needs
- *Relationship based on Maslow's Hierarchy of Needs Theory:*
  - o junior and lower paid staff motivated by higher monetary rewards
  - o monetary reward becomes relatively less important as employees earn more
  - o needs higher up in the hierarchy become more important as lower level needs are fulfilled; intrinsic rewards (non-financial) become more effective
- *Herzberg's Two Factors Theory:* job satisfaction and job dissatisfaction act independently of each other; motivator factors affect job satisfaction; hygiene factors affect job dissatisfaction; both sets of factors must be addressed to motivate staff;
  - o motivator factors – recognition and status; opportunity for promotion; greater responsibility; stimulating work; sense of achievement
  - o hygiene factors – good working conditions; job security; relationship with manager and colleagues; wages, salaries and fringe benefits



- *Relationship based on Herzberg's Two Factors Theory:*
  - o financial reward – only a temporary motivator; employees will quickly become demotivated
  - o achievement, recognition for achievement, the work itself, responsibility and growth or advancement are more effective motivators

#### **AC6.3: Explain different types of pay structures**

- *Types of pay structures:*
  - o *narrow-graded pay structures:* large number of grades with jobs of broadly equivalent worth slotted into each of the grades; progression through service increments
  - o *broad-graded pay structures:* fewer grades; greater scope for individual employees to progress along a pay grade
  - o *broadbanding:* small number of pay bands; greater pay flexibility than traditional graded structures
  - o *pay spines:* similar to narrow-graded pay structures; long grading structures based on a series of incremental points; allows for service-related pay progression
  - o *career families, career grade structures:* emphasis on career paths and career progression

#### **AC6.4: Explain the risks involved in the management of reward schemes**

- *Extrinsic rewards:* direct financial payments; indirect financial payments; benefits; incentive programmes; working conditions
- *Intrinsic rewards:* recognition; empowerment; role development; personal fulfilment; sense of contribution
- *Strategic risk:* the misalignment of reward strategy to the organisation's goals; inability to attract and retain the right employees; generates adverse publicity; conflicts with other HR policies and activities
- *Behavioural risk:* the misalignment of reward strategy to employee needs and behaviours; does not engage or motivate employees; rewards inappropriate or unproductive organisational activity and behaviour; creates division among employees
- *Financial risk:* poor value for money; results in reduced profitability; organisation not able to meet reward payments
- *Operational risk:* poor implementation; inefficiency or inaccuracy of system; inaccuracy of benchmark data; failure of reward systems and reward processes

## Information for tutors

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### Suggested resources

#### Books

Muller-Camen, M., Croucher, R., Leigh, S., – *Human Resource Management: A Case Study Approach* (CIPD, 2008) ISBN 9781843981657

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – the Advisory, Conciliation and Arbitration Service offers free advice on employment topics and a variety of case studies

[www.cipd.co.uk](http://www.cipd.co.uk) – the Chartered Institute of Personnel and Development (CIPD) has a range of guidance on HR, learning and development and employment law issues. Membership is required for full access

[www.gov.uk](http://www.gov.uk) – the government services and information website where specific Human Resource Management guidance can be found and guidance on the Equality Act 2010

[www.mindtools.com](http://www.mindtools.com) – the Mind Tools website offers free online skills training on topics such as team management

[www.worldatwork.org](http://www.worldatwork.org) – WorldatWork® is an American website that provides a free online resource centre to cover frameworks such as total rewards. Membership is required for full access to journals and publications

### Assessment

This unit can be assessed internally through a Portfolio of Evidence, or it can be assessed externally through an onscreen test. More information about each method of assessment is given below. This should be read in conjunction with *Section 8 Assessment*.

#### External assessment

External assessment is through an onscreen test. Pearson will set and mark this test. The test lasts for 60 minutes and is worth 50 marks. The assessment is available on demand.

The test assesses all of the learning outcomes and uses each individual assessment criterion and the associated *Unit amplification* as a base for the questions.

#### Internal assessment

Internal assessment is through an internally and externally quality assured Portfolio of Evidence. To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meets the assessment criteria, centres should follow the *Unit assessment guidance* given below.

There are no sector-related assessment requirements for this unit.

## Unit assessment guidance

Due to the nature of the individual learning outcomes and the size of the unit, different types of assessment are needed to produce sufficient and appropriate evidence to demonstrate achievement of the learning outcomes. The following are the required assessment methods for this unit.

Learning outcomes 2, 4, and 5 can either be assessed by a structured written assessment or professional discussion. If written assessment is used, it should allow the learners to contextualise and relate the concepts to their own working environment and work experiences. The written assessment can take the form of a single project or a series of linked or separate tasks, and learners can provide evidence in different formats such as reports, presentation slides, workbooks, directed assignments and reflective accounts, as long as they allow the learner to present the evidence required to meet the assessment criteria. If professional discussion is used then this should be integrated, as far as possible, with the assessment of work-based competencies in related competence units. For example, learning outcome 2 could be holistically assessed with the competence unit titled '*Promote Equality, Diversity and Inclusion in the Workplace*'. The professional discussion must be recorded and supported by a signed witness statement from the assessor and the learner's notes or visual aids. The assessor must ensure that the signed statement includes sufficient detail to support the assessment decisions for the learning outcomes and the related assessment criteria.

Learning outcomes 1, 3 and 6 must only be assessed by structured written assessment to allow the learners to demonstrate the depth and breadth of evidence required to meet the assessment criteria. This could be one single project assignment or a series of linked or separate tasks. While the learning outcomes mainly require the learner to demonstrate generic and theoretical knowledge and understanding, there are still opportunities for learners to relate this to their working environment and working experiences and this should be utilised in the design of the assessment. Evidence could be presented in a range of formats similar to those stated above. The use of a reflective account would be appropriate for the assessment of learning outcome 3 if the learner has applied the theories and principles indicated in the related unit amplification to their work practices. If used, the reflective account must cover the learning outcomes content and meet the level of demand of the related assessment criteria.

## **Unit 3: Principles of Business**

**Unit reference number: D/506/1942**

**Level: 3**

**Credit value: 10**

**Guided learning hours: 74**

**Unit type: Knowledge**

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### **Unit summary**

Having commercial awareness and an understanding of business operations is essential in helping organisations to achieve their objectives. Being able to manage budgets and finances, and having an understanding of sales and marketing functions are important factors in sustaining financial viability that contributes to the innovation process and growth of a business.

In this unit, you will learn about the structure and legal obligations of companies, how business markets operate and how they shape the behaviour of business activity.

This unit gives you an opportunity to consider the importance of innovation in meeting business objectives. You will consider the benefits, risks and implications of innovation to a business. You will explore the different models of business innovation and how they can be used to plan and support new ways of working or to develop new products and services.

You will go on to gain an understanding of financial terminology and financial management to improve your business skills. You will consider the importance of financial viability. Knowing how budgets are used and managed will help you to understand the consequences of poor financial management.

Finally, you will explore the principles of marketing and the main types of market research used to make marketing decisions. You will gain an understanding of the relationship between sales and marketing in business and consider how they work together to achieve a common goal.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand business markets	<ul style="list-style-type: none"><li>1.1 Explain the characteristics of different business markets</li><li>1.2 Explain the nature of interactions between businesses within a market</li><li>1.3 Explain how an organisation's goals may be shaped by the market in which it operates</li><li>1.4 Describe the legal obligations of a business</li></ul>
2 Understand business innovation and growth	<ul style="list-style-type: none"><li>2.1 Define business innovation</li><li>2.2 Explain the uses of models of business innovation</li><li>2.3 Identify sources of support and guidance for business innovation</li><li>2.4 Explain the process of product or service development</li><li>2.5 Explain the benefits, risks and implications associated with innovation</li></ul>
3 Understand financial management	<ul style="list-style-type: none"><li>3.1 Explain the importance of financial viability for an organisation</li><li>3.2 Explain the consequences of poor financial management</li><li>3.3 Explain different financial terminology</li></ul>
4 Understand business budgeting	<ul style="list-style-type: none"><li>4.1 Explain the uses of a budget</li><li>4.2 Explain how to manage a budget</li></ul>
5 Understand sales and marketing	<ul style="list-style-type: none"><li>5.1 Explain the principles of marketing</li><li>5.2 Explain a sales process</li><li>5.3 Explain the features and uses of market research</li><li>5.4 Explain the value of a brand to an organisation</li><li>5.5 Explain the relationship between sales and marketing</li></ul>

## Unit amplification

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### **AC1.1: Explain the characteristics of different business markets**

- *Different business markets:* perfect competition, imperfect competition
- *Perfect competition (no participants are large enough to have the market power to set the price of an identical product):* large number of buyers and sellers, no barriers to entry or exit, perfect information, zero transaction costs, rational buyers, no externalities
- *Imperfect competition (a market structure showing some but not all features of competitive markets):* incorporates monopolies (when a specific organisation is the only supplier of a particular commodity); monopolistic competition (many businesses sell products that are differentiated from one another, product differentiation); oligopoly (a market that is dominated by a small number of sellers); monopsony (a market in which only one buyer interfaces with many sellers, the buyer dictates terms to its suppliers)

### **AC1.2: Explain the nature of interactions between businesses within a market**

*In a perfect competition market*

- *Interactions:* many consumers buy a standardised product from many small businesses, no one seller sets the price, sellers and consumers accept the going price

*Interactions in an imperfect competition market*

- *Monopolies:* all consumers will purchase a specific product from one business, the business: will set the price for that product
- *Monopolistic competition:* consumers will purchase differentiated products that are similar but not identical from different businesses, businesses will compete to sell their product, demand for the product will affect the price
- *Oligopoly:* consumers buy from a small number of large businesses, high interdependence between the businesses, businesses must take into consideration the reaction of the market to their actions
- *Monopsony:* consumer has the power to dictate price to the business selling, one large consumer interacting with many smaller businesses

**AC1.3: Explain how an organisation's goals may be shaped by the market in which it operates**

*Organisations operating under a market of perfect competition*

- *Primary organisational goals:* profit maximisation, profitability, sales (value, volume), service level, customer satisfaction
- *Additional organisational goals:* growth, achieving a state of imperfect competition (increasing market share, influencing consumer choice, influencing product price, expanding product range)

*Organisations operating under a market of imperfect competition*

- *Primary organisational goals:* profit maximisation, profitability, sales (value, volume), growth, internationalisation, market share, market power, satisfying stakeholders, return on capital employed (ROCE), service level, customer satisfaction, corporate responsibility; ethical issues, welfare
- *Additional organisational goals:* achieving a state of monopoly, i.e. when a specific organisation is the only supplier of a particular commodity, to join a state of oligopoly, i.e. a market that is dominated by a small number of sellers

*Organisations operating under both perfect and imperfect competition markets*

- *Market factors affecting an organisation's goals:* demand, supply, costs, revenues, price determination, profit, output determination, elasticity, inelasticity, equilibrium

**AC1.4: Describe the legal obligations of a business**

- *Legal obligations of a business:* legal structure (sole trader, limited company, business partnership, social enterprise) and compliance with associated statutory requirements; responsibilities for insurance, liability, national insurance; intellectual property; employment law (covering pay, tax, national minimum wage, holidays, time off, sickness, maternity/paternity leave, pensions, rights at work, redundancies, dismissals, disciplinaries, contracts, working hours); consumer protection (covering credit and store cards, faulty goods, counterfeit goods, poor service, problems with contracts, rogue traders); requirement to report financial performance to Companies House

**AC2.1: Define business innovation**

- *Business innovation:* creative process, product or service development, new ways of increasing business efficiency or improving profitability, successfully exploiting a new idea, adding value to products, services or markets to differentiate the business from the competitors

## **AC2.2: Explain the uses of models of business innovation**

### *Uses of models of business innovations*

- *Industry model innovation:* moving into new industries or creating new industries
- *Revenue model innovation:* generating revenue through offering re-configuration (product/service/value mix) and pricing models
- *Enterprise model innovation:* changing extended enterprise and networks with employees, suppliers, customers and others, including capability/asset configuration

## **AC2.3: Identify sources of support and guidance for business innovation**

### *Sources of support and guidance for business innovation*

- *Internal sources:* market research (primary, secondary), customer focus groups, workshops, senior management teams, boards of directors, internal stakeholders
- *External sources:* local enterprise partnerships, Business Networking groups (BNI, Chambers of Commerce), websites, industry, government (policy, guidance, funding), trade bodies, Intellectual Property Office, trade events, external stakeholders

## **AC2.4: Explain the process of product or service development**

### *Eight stage process for new product development*

- *Idea generation:* SWOT analysis, market research, customer feedback, analysis of competitor offer, brainstorming new product ideas
- *Idea screening:* eliminating unsound concepts, target market (size, growth), competitive pressures, market trends, product/service profitability
- *Concept development and testing:* intellectual property issues, product/service features, product/service benefits, consumer reaction to product/service concept, production cost-effectiveness, production costs, product/service feasibility, prospective customer liaison
- *Business analysis:* estimating likely selling price, estimating sales volume, estimating profitability and break-even point, potential return on investment
- *Beta testing and market testing:* production of physical prototype or mock-up, testing the product, testing the packaging design, conduct customer focus groups, introduce product/service at trade shows, pilot study, distribution channels
- *Technical implementation:* estimation of resources required, finalise quality management system, resource estimation, operational management plan, publish technical communications (data sheets, specifications), finalise supplier agreements, finalise logistics plan, resource plan publication, contingency planning



- *Commercialisation:* product/service launch activities, promotional material creation and publication, advertising activities, distribution pipeline, critical path analysis
- *Review of market performance and product pricing:* customer reaction, impact of the product on existing portfolio, value analysis (internal, external) competition response analysis, analysis of value segments (price, value, demand), review of production costs, forecast of unit volumes, revenue and profit, review of after-sales service

**AC2.5: Explain the benefits, risks and implications associated with innovation**

- *Benefits associated with innovation:* improvements to products, improvements to processes, improvements to services, organisational growth, development of new markets, offering unique selling points, opening niche markets, improved reputation, improved brand recognition, smarter working practices, improve customer experience
- *Risks associated with innovation:* failing to meet operational requirements (quality, cost, scheduling, service, resource), failing to meet commercial requirements (insufficient sales, decline in customer base), failing to achieve a return on investment, organisational culture (resistance to change, unsupportive systems and processes, insufficient support from leadership and management)
- *Implications associated with innovation:* corporate strategy, stakeholder collaboration (internal/external), corporate social responsibility, attitude to change, employee skills and training, customer perception

**AC3.1: Explain the importance of financial viability for an organisation**

- *Financial viability:* ability of an organisation to achieve its operating objectives, and fulfil its mission or goals over a long-term period
- *Importance of financial viability:* maintain operations, provide adequate resources (staffing, equipment, plant and machinery, working capital, facilities, administration), determine solvency, determine profitability, inform planning, investment and corrective action, cashflow

**AC3.2: Explain the consequences of poor financial management**

- *Financial management:* financial planning (analysing, budgeting, resource allocation, assets), financial control (monitoring of income and expenditure), financial decision making (safeguarding, reporting and review)
- *Consequences of poor financial management:* variance against the budget and business plan, wastage, cashflow problems, insolvency, legal implications, reputation and sales affected, theft, insolvency, cessation of business operations

### **AC3.3: Explain different financial terminology**

- *Financial terminology:* income, expenditure, transaction, cashflow, accounts, gross profit, net profit, capital, debtors, creditors, turnover, profit and loss account, balance sheet, fixed costs, variable costs, break-even point, tax, VAT, assets, depreciation, investments, accruals, stock, liabilities, shares

### **AC4.1: Explain the uses of a budget**

- *Budget:* financial plan; types (master, capital, sales, production, cashflow, marketing)
- *Uses:* to control income and expenditure; to establish numerical priorities and targets; to provide direction and co-ordination; to assign responsibilities; to improve efficiency; to monitor performance; to inform management decisions; to plan future activities; supporting innovation; funding training

### **AC4.2: Explain how to manage a budget**

- *How to manage a budget:* identifying priorities and timescales; negotiating and agreeing financial resources; accurate recording of income and expenditure; monitoring income and expenditure against planned activity; taking corrective actions if budgets are not met; investigate unaccounted variances; updating budgets; dealing with unforeseen internal and external situations and changes; negotiating revisions to budget; reporting and communicating changes

### **AC5.1: Explain the principles of marketing**

- *Marketing:* a process that identifies and anticipates customer needs and satisfies those needs profitably

*Principles of marketing (marketing mix: the 7 Ps)*

- *Product:* features and appearance of goods and services
- *Price:* how much customers pay for products
- *Place:* point where products are made available to customers
- *Promotion:* how customers are informed about products
- *People:* those responsible for all aspects of marketing
- *Physical presence:* how customers view the product, service, staff, organisation, brand
- *Process:* how products and services are delivered to customers

### **AC5.2: Explain a sales process**

*Sales process*

- *Prospecting for sales:* identify target market, identifying possible leads, networking, initial contact, business to business referrals; social media
- *The approach:* sales calls, mailings, e-shots, qualifying leads, arranging the sales meeting; establish rapport and trust

- *Establish customer needs:* identifying needs and requirements, questioning, listening, gaining understanding
- *The presentation:* meeting the established customer needs, explanation, demonstration, establishing the benefits of the product/service
- *Overcome objections:* negotiating, fine-tuning
- *The close:* deal, agreement, next steps
- *Follow-up:* after-sales contact, relationship management

#### **AC5.3: Explain the features and uses of market research**

- *Features:* qualitative, quantitative; primary and secondary research; customer surveys, questionnaires, comment cards, word of mouth recommendations
- *Uses:* to measure customer behaviour, buying patterns, preferences and sales trends, success of product development, brand awareness/reputation, changes in markets, emergence of new markets; consider PESTLE (political, economic, social, technological, legal, environmental factors), competitor activities, test ideas

#### **AC5.4: Explain the value of a brand to an organisation**

- *Brand:* name, logo, image, design, symbol, key product identifiers, brand language, perceived quality, unique selling point
- *Value of a brand:* brand equity, consumer perception, consumer recognition of brand, consumer relationships, consumer loyalty, differentiation from competitors, trust; market share, profit margins, prestige, competitive advantage

#### **AC5.5: Explain the relationship between sales and marketing**

- *Positive relationships between sales and marketing:* information sharing, joint planning, alignment, common goals, trust and respect between functions and activities, open communication to achieve common agendas, consultation on important topics, teamwork, shared Client Relationship Management functions
- *Positive effects of the sales and marketing relationship on the overall business:* improved knowledge of the consumer need, feedback from sales team on marketing campaigns to inform and improve future efforts, increased sales, increased customer satisfaction, improved product development, increased business innovation
- *Potential areas of conflict between sales and marketing:* cultural (differing mind-sets leading to misunderstanding), economic (profit margin vs. ease of sale), informational (communication, physical separation), organisational (responsibility, decision making)
- *Negative effects of the sales and marketing relationship on the overall business:* lack of communication, information not shared, distrust and misunderstanding, conflicting goals, constrained product development, constrained business innovation

## Information for tutors

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### Suggested resources

#### Books

Brassington, F. and Pettitt, S. – *Essentials of Marketing*, 3rd Edition, (Pearson, 2012) ISBN 9780273727644

Dyson J R – *Accounting for Non-Accounting Students*, 8th Edition (FT/Prentice Hall, 2010) ISBN 9780273722977

Jobber D and Ellis-Chadwick F – *Principles and Practice of Marketing*, 7th Edition (McGraw-Hill Education, 2013) ISBN 9780077140007

Marsh C – *Financial Management for Non-Financial Managers (Strategic Success)*, (Kogan Page, 2012) ISBN 9780749464677

Shim A, Shim J and Siegel J – *Budgeting Basics and Beyond*, 4th Edition (John Wiley and Sons, 2012) ISBN 9781118096277

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – The Advisory, Conciliation and Arbitration Service (ACAS) website, which provides advice on industrial relations and employment issues

[www.accountingweb.co.uk](http://www.accountingweb.co.uk) – website that is the UK's largest community for accountants, providing accounting news, information and case studies

[www.bbc.co.uk/business](http://www.bbc.co.uk/business) – the BBC's business website, providing the latest business news and useful articles

[www.businessballs.com](http://www.businessballs.com) – the business skills website provides free information including skills for personal and professional development

[www.gov.uk](http://www.gov.uk) – the Government services and information website, which provides tools and guidance for businesses

[www.youtube.com](http://www.youtube.com) – the YouTube website, a community site for videos, including videos on the topic of business

### Assessment

This unit can be assessed internally through a Portfolio of Evidence, or it can be assessed externally through an onscreen, multiple choice test. More information about each method of assessment is given below. This should be read in conjunction with *Section 8 Assessment*.

#### External assessment

External assessment is through an onscreen test. Pearson will set and mark this test. The test lasts for 45 minutes and is worth 30 marks. The assessment is available on demand.

The test assesses all of the learning outcomes and uses each individual assessment criterion and the associated *Unit amplification* as a base for the questions.

## Internal assessment

Internal assessment is through an internally and externally quality assured Portfolio of Evidence. To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meets the assessment criteria, centres should follow the *Unit assessment guidance* given below.

There are no sector-related assessment requirements for this unit.

### Unit assessment guidance

The following is the required assessment method for this unit.

All learning outcomes must only be assessed by structured written assessment to allow the learner to demonstrate the depth and breadth of evidence required to meet the assessment criteria. This could be one single project or a series of linked or separate tasks. While the learning outcomes mainly require the learner to demonstrate knowledge and understanding of general business concepts and principles, there are some opportunities for learners to relate this to their working environment and working experiences and this should be utilised in the design of the assessment. Evidence could be presented in a range of formats such as reports, presentation slides, workbooks and directed assignments, as long as they allow the learner to present the evidence required to meet the assessment criteria.

# **Unit 4:**

## **Principles of Leadership and Management**

**Unit reference number:** F/506/2596

**Level:** 3

**Credit value:** 8

**Guided learning hours:** 50

**Unit type:** Knowledge

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### **Unit summary**

This unit is designed to give new and aspiring junior managers the skills and understanding needed to deal with management responsibilities with confidence. This unit focuses on the role, functions and processes of management. It provides the knowledge and understanding of methods used to provide direction to a team and how performance measurement works in a business situation.

In this unit, you will develop your knowledge of the decision making process, looking at how managers get and use information to make effective decisions and find solutions to problems. You will look at the difference between leadership and management and consider the need for differing leadership styles in different situations. The management role includes functions and processes that are vital to the success of a business and by studying management theory you will be able to apply this to the role. All businesses have objectives and reaching these is of utmost importance. This makes understanding how performance measures are set and monitored a vital management tool.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of effective decision making	<ul style="list-style-type: none"><li>1.1 Explain the importance of defining the objectives, scope and success criteria of the decisions to be taken</li><li>1.2 Assess the importance of analysing the potential impact of decision making</li><li>1.3 Explain the importance of obtaining sufficient valid information to enable effective decision making</li><li>1.4 Explain the importance of aligning decisions with business objectives, values and policies</li><li>1.5 Explain how to validate information used in the decision making process</li><li>1.6 Explain how to address issues that hamper the achievement of targets and quality standards</li></ul>
2 Understand leadership styles and models	<ul style="list-style-type: none"><li>2.1 Explain the difference in the influence of managers and leaders on their teams</li><li>2.2 Evaluate the suitability and impact of different leadership styles in different contexts</li><li>2.3 Analyse theories and models of motivation and their application in the workplace</li></ul>

Learning outcomes	Assessment criteria
<p>3 Understand the role, functions and processes of management</p>	<p>3.1 Analyse a manager's responsibilities for planning, coordinating and controlling work</p> <p>3.2 Explain how managers ensure that team objectives are met</p> <p>3.3 Explain how a manager's role contributes to the achievement of an organisation's vision, mission and objectives</p> <p>3.4 Analyse theories and models of management</p> <p>3.5 Explain how the application of management theories guide a manager's actions</p> <p>3.6 Explain the operational constraints imposed by budgets</p>
<p>4 Understand performance measurement</p>	<p>4.1 Explain the relationship between business objectives and performance measures</p> <p>4.2 Explain the features of a performance measurement system</p> <p>4.3 Explain how to set key performance indicators (KPIs)</p> <p>4.4 Explain the tools, processes and timetable for monitoring and reporting on business performance</p> <p>4.5 Explain the use of management accounts and management information systems in performance management</p> <p>4.6 Explain the distinction between outcomes and outputs</p>



## Unit amplification

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**This content has been written in an expanded format to facilitate both onscreen testing and portfolio assessment. Learners presenting work for portfolio assessment are not expected to evidence all of the amplification. Learners who are to be assessed by the onscreen test could be tested on any aspect of the amplification.**

### **AC1.1: Explain the importance of defining the objectives, scope and success criteria of the decisions to be taken**

- *Objectives:* statements of specific outcomes to be achieved; must be SMART – specific (detailed, focused and well defined), measurable (quantifiable targets), achievable, realistic (necessary resources available), time-bound
  - o *importance:* provides focus for the decision making process; foundation for rational decision making; basis for identifying the success criteria; provides clarity for decision makers; improves effectiveness of decisions taken; reference point for final decisions
- *Scope:* level of decisions – strategic, tactical or operational/administrative; who makes the decision – individual, group or organisational
  - o *importance:* decisions are taken by the right people; ensures that appropriate objectives and success criteria are identified; more efficient and effective decision making process; decision making is supported by the appropriate level of data
- *Success criteria:* measures used to determine best possible option; relevant and important factors to measure the performance of different options
  - o *importance:* links the objectives to the final decision; identifies how each option performs in relation to the objectives; ensures that decisions meet the identified objectives

### **AC1.2: Assess the importance of analysing the potential impact of decision making**

- *Analysing the potential impact of decisions:* decision matrix using the relevant rated criteria - cost/benefit; cost effectiveness; efficiency; risk probability; feasibility; capability; return on investment; ethics, social responsibility and sustainability; consequences
  - o *importance:* identifies the best possible option to meet objectives; helps to identify and mitigate potential risks of decisions; supports planning to address problems arising from decision making; decision making process is unbiased and objective

**AC1.3: Explain the importance of obtaining sufficient valid information to enable effective decision making**

- *Valid information: accurate; accessible; reliable; timely; fit for purpose; relevant*
  - o *importance: decisions are made based on all relevant factors; decisions made are more appropriate to the situations; reduces the risks and negative impact of decisions*

**AC1.4: Explain the importance of aligning decisions with business objectives, values and policies**

- *Business objectives: statements of specific outcomes that are to be achieved; performance targets*
- *Business values: core principles; standards; behavioural norms in conducting the organisation's business*
- *The importance of aligning decisions: supports the development of a defined organisational image and culture; ensures consistency with the business strategy; ensures achievement of business objectives; avoids conflict between departments; employees better understand their contribution to business performance; staff engagement and motivation*

**AC1.5: Explain how to validate information used in the decision making process**

- *Confirm accuracy: triangulation (comparison of information from different sources); lack of grammatical errors and misspellings; evidence provided to support information; sources stated; comprehensive information*
- *Check relevance: purpose of information; intended audience; date published*
- *Check credibility of source: trustworthy source; evidence of quality control (peer review, organisational support, multiple levels of approval); author credentials (education, experience, reputation, job title); author motives*
- *Test reasonableness: fairness; objectivity; balanced; no conflict of interest*

**AC1.6: Explain how to address issues that hamper the achievement of targets and quality standards**

- *Issues: staff lacking the right skills and competencies; limited physical resources; poor performance management; lack of communication of targets and standards; unmotivated staff; ineffective leadership; unrealistic targets; lack of quality processes and procedures*
- *Addressing issues: cause and effect analysis; team and one-to-one meetings to agree targets; problem solving groups; effective resource planning and allocation; use of problem solving techniques; staff training and development; 360 degree appraisals; implementing quality management systems; objective and rational target setting*

**AC2.1 Explain the difference in the influence of managers and leaders on their teams**

- *Managers:* direct staff in completing tasks; lead through formal authority; focus on control, structure and systems; accepts boundaries; communicate information; react to change; exercise power over people
- *Leaders:* lead people by example; inspire people to convert challenges into opportunities; enables problem solving; provides vision; innovate through developing people; persuade people to make changes; inspires trust; develop power with people

**AC2.2 Evaluate the suitability and impact of different leadership styles in different contexts**

- *Leadership styles:*
  - o *Autocratic:* direct supervision of staff; decision making mainly by leader; minimal consultation (top down, one way communication); minimal delegation; power lies with the leader; McGregor Theory X approach
    - *impact* – quick decision making; potential for increased productivity and quality; reduced inefficiencies; staff demoralisation; possible environment of fear and mistrust; high absenteeism and staff turnover; stifles creativity
  - o *Paternalistic:* parent-child relationship; minimal delegation; decision making by leader; concern for staff welfare and needs (positive working conditions and fringe benefits); staff follows the direction of the leader
    - *impact* – employee trust and loyalty; employee retention; positive relationship between staff and management; employee motivation; restricts creativity and individualism; staff completely dependent on leader (little staff empowerment)
  - o *Democratic:* shared power and decision making; emphasis on delegation and consultation; open discussion and debate (two way communications); final decision by the leader
    - *impact* – high job satisfaction and morale; high productivity; encourages creativity and innovation; staff personal and professional development; slow decision making process; decisions based on compromise; potential communication failures and incomplete projects
  - o *Laissez-faire:* power and decision making given to staff; high level of delegation; high degree of autonomy; leader provides guidance and support
    - *impact* – high job satisfaction and morale; staff empowerment; poor role definition for managers; potential for low productivity

- o *Contextual factors*: type of setting (formal, informal); experience and technical expertise of staff; local and organisational culture (formality of working relationships, staff empowerment); type of organisation (size, structure); pressures (time, cost, resource availability, level of risk); staff motivation and initiative; nature of the business and industry (products, services, creativity, innovation, technologically driven, professionalism); impact of trade unions and staff associations; availability of experts

### **AC2.3 Analyse theories and models of motivation and their application in the workplace**

- *Theories and models of motivation*:
  - o *Maslow Hierarchy of Needs Theory* – employees motivated by satisfied needs; needs organised in a hierarchy (physiological, safety, love and belonging, self-esteem, self –actualisation); lower order needs satisfied before higher order needs; criticisms (no consideration to the impact of culture on motivation, hierarchy levels are not so well-defined in practice, some levels of the hierarchy do not exist for some people)
    - physiological – basic needs (food, water, sleep, air)
    - safety – financial security (job, property); physical security; personal security (family, health)
    - love and belonging – friendship; family; social interactions
    - self-esteem – respect and recognition from others; confidence; achievement; status
    - self-actualisation – opportunities for innovation and creativity; personal growth and fulfilment; learning and developing
  - o *Herzberg Two Factor Theory*: job satisfaction and job dissatisfaction act independently of each other; motivator factors affect job satisfaction; hygiene factors affect job dissatisfaction; both sets of factors must be addressed to motivate staff; comparison to Maslow’s Hierarchy of needs (employees motivated by needs being satisfied, only higher level needs acts as motivators)
    - motivator factors – recognition and status; opportunity for promotion; greater responsibility; stimulating work; sense of achievement
    - hygiene factors – good working conditions; job security; relationship with manager and colleagues; wages, salaries and fringe benefits
  - o *Mayo’s Human Relations Theory*: Hawthorne effect; staff can be better motivated by social needs; managers taking more interest in staff; treating workers in a caring and humane manner will motivate them; relates to paternalistic leadership

- o *Frederick Taylor's Scientific Management theory*: people are motivated by money; people respond individually not as a group; pay should be linked to the amount produced (piece rates); people dislike work and so need close supervision
- o *Application of theories in the workplace*: democratic leadership; provision of social activities; competitive remuneration packages (pay, fringe benefits, contract); emphasis on learning and personal development; use of groups and teamwork; personalised incentives schemes; open communications; effective performance management; job enlargement; job rotation; job enrichment; delegation; recognition and reward systems

**AC3.1: Analyse a manager's responsibilities for planning, coordinating and controlling work**

- *Planning*: types of planning (strategic, tactical, operational); environmental analysis (SWOT, PEST); stakeholder engagement; decision making; forecasting; setting SMART objectives and targets
- *Coordinating*: identifying tasks and activities; resource planning (people, physical, financial); staffing (recruitment and selection, training, development) organising and allocating resources; assigning roles and responsibilities; establishing lines of communication
- *Controlling work*: management by objective (MBO); establishing performance standards (benchmarking); implementing performance management systems (frequency; timing; performance measures); measuring individual and organisational performance; comparison of actual performance with expected standards and goals (management by exception, MBE); corrective or preventative actions

**AC3.2 Explain how managers ensure that team objectives are met**

- *Ensure that team objectives are met*: leading and inspiring; providing direction, guidance and necessary resources; effective team communications; performance development reviews (one-to-one meetings, 360 degree appraisals); meeting training and development needs (personal development plans); action planning; setting milestones

**AC3.3: Explain how a manager's role contributes to the achievement of an organisation's vision, mission and objectives**

- *Contribution of manager's role*: operational and tactical planning to support strategy and achieve organisational objectives; ensuring sufficient resources to meet planned activity levels; managing individual and organisational performance to meet targets (coaching, mentoring, performance measures, staff development and training); managing change to avoid unintended negative outcomes; developing appropriate organisational culture and values to support strategy; managing budgets; developing operational procedures and policies to support operational activities

### **AC3.4 Analyse theories and models of management**

- *Frederick Taylor – Scientific Management theory*: aimed at improving economic efficiency through labour productivity
  - o *principles*: time and motion study; scientifically train, teach and develop employees; rigid rules and procedures for carrying out work; standardised fair level of performance; premium pay for higher performance; detailed instructions and close supervision of workers
- *Henri Fayol – Administrative Management theory*: productivity improvements from 'top down' (managers to staff)
  - o *six functions of management*: forecasting; planning; organising; commanding; coordinating; controlling
  - o *principles of management*: division of labour (specialisation); authority and responsibility; discipline (warnings, demotions, dismissal); unity of command; unity of direction; remuneration (financial and non-financial); centralisation; scalar chain of command; order; initiative; equity; esprit de corps (team spirit, unity); general interest instead of individual interest
- *Max Weber – Bureaucratic Theory of management*: bureaucracy as the most efficient form of organisation (management by rules)
  - o *principles*: well-defined formal hierarchical structure; defined work methods; types of power (traditional, charismatic, legal/bureaucratic); interpersonal relationships based on positions
- *Limitations and criticisms of theories*: mechanical approach; narrow application to only quantitative measures; dehumanisation of workers; no recognition of informal groups and team work; unsuitable for rapidly changing environments; no focus on human relations; wastage of time and effort through rules; inflexible

### **AC3.5 Explain how the application of management theories guide a manager's actions**

- Fayol's functions of management are recognised as the core activities of modern managers; re-engineering and redesigning production processes to improve efficiencies; use of output-based remuneration systems (commissions, performance-related pay, quotas); assembly line production; maintaining open lines of communication; involving staff in decision making; providing social activities for staff; organising staff in teams; implementing official procedures and policies; use of formal organisational structures; clear lines of authority and responsibility

### **AC3.6 Explain the operational constraints imposed by budgets**

- *Constraints:* restrictions that prevent an organization from maximising its performance and reaching its goals
- *Operational constraints:*
  - o *staffing:* reduction in staff or inability to increase staff numbers; limited access to external expertise; lack of training and development opportunities; staff attrition; staff capacity (no overtime); demotivated staff
  - o *production:* lack of investment in machinery and technology; inability to implement an effective quality assurance systems; inadequate supply of parts and raw materials; inability to meet new orders due to limited capacity; under-utilisation of machinery and equipment

### **AC4.1 Explain the relationship between business objectives and performance measures**

- *Business Objectives:* statements of specific outcomes to be achieved; aligned to the business vision and mission; shape the business strategy
- *Performance Measures:* quantitative or qualitative ways to define and describe performance; quantifiable indicator of performance; aligned to goals and objectives; manage and monitor progress towards achieving objectives

### **AC4.2 Explain the features of a performance measurement system**

- *Performance Measurement System (PMS):* a set of performance measures used to quantify efficiency and effectiveness of actions; provides information to identify the best strategies for meeting organisation goals and objectives; aligns management processes with strategic objectives
- *Features of a PMS:*
  - o *results oriented:* focuses primarily on outcomes and outputs; linked to organisational goals and objectives
  - o *selective:* concentrates on the most important performance measures relevant to the organisation; balance of financial and non-financial performance measures
  - o *useful:* provides information of value to the organisation and its decision makers
  - o *accessible:* provides periodic information about results; has supporting infrastructure for collecting, recording and analysing data
  - o *reliable:* provided accurate, consistent information over time

#### **AC4.3 Explain how to set key performance indicators (KPIs)**

- *Key Performance Indicators*: performance measures identified by the organisation as critical success factors in achieving its mission and objectives; relating to aspects of business that can be controlled
- *Setting KPIs*: establishing organisational goals and objectives; map business processes; establish roles, responsibilities and key success factors; consult with relevant stakeholders; use historical data to identify performance trends; set KPIs most critical for business success; set target and review date

#### **AC4.4 Explain the tools, processes and timetable for monitoring and reporting on business performance**

- *Business performance*: outcomes in relation to goals; accomplishment of tasks measured against standards; actual vs planned
- *Tools and processes*:
  - o *planning and budgeting*: monitor spending against goals
  - o *KPIs*: linked to objectives; critical success factors
  - o *Balance Scorecard*: four perspectives: financial, customer, internal processes, learning and growth;
  - o *Benchmarking*: comparison with external best practice; better understanding of the performance context
  - o *Performance dashboards*: overview of performance areas; use of visuals, graphs, traffic light and text; answer specific business performance questions
  - o *Customer Relationship Management (CRM)*: manage relationship and interaction with customers; use of technology and software applications
  - o Performance appraisals; assess job performance of individuals; 360 degree review
- *Timetable*: depends on nature of activities; weekly reports; monthly reports; combined timeframes



#### **AC4.5 Explain the use of management accounts and management information systems in performance management**

- *Management accounts*: financial and non-financial accounting data related to key business processes and activities (product sales and distribution, stock, debtors, creditors, purchase and sale of fixed assets, employee records, customer transactions); prepared on a frequency to match the business needs; forward-looking and predictive
  - o *uses*: supports decision making; helps to identify risks and consequences of actions; uses historical data to inform target setting; provides information used in performance dashboards; assists business planning and strategy development
- *Management Information Systems (MIS)*: computerised information-processing systems designed to support and improve the quality and efficiency of business operations and human decision making; systems that turn raw data into information for management levels
  - o *uses*: store and manage performance data; provides information to support performance evaluation; tracks progress

#### **AC4.6 Explain the distinction between outcomes and outputs**

- *Outcomes*: changes to be achieved; hard outcomes (more observable, measurable); soft outcomes (less tangible; subjective)
- *Outputs*: result of activity; services and/or products offered; facilities provided; linked to objectives

## Information for tutors

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### Suggested resources

#### Books

Brent, M. and Dent, E. – *The Leader's Guide to Managing People* (Pearson Education Limited, 2013) ISBN 978-0273779452

Nelson, B. and Economy, P. – *Managing for Dummies* (John Wiley & Sons, 3<sup>rd</sup> edition, July 2010) ISBN 978-0470618134

#### Websites

[www.bized.co.uk](http://www.bized.co.uk) – Biz/ed is a free online service for students, teachers and lecturers of business and provides information and resources on the topic of Human Resource Management

[www.bookboon.com](http://www.bookboon.com) – The Bookboon website offers free eBooks and textbooks for download on a range of subjects, including Human Resource Management

[www.businessballs.com](http://www.businessballs.com) – The Business Balls website offers free learning and development resources relating to topics such as management and leadership and leadership theories

[www.management.about.com](http://www.management.about.com) – About.com offers free online information on business topics such as Key Performance Indicators

[www.mindtools.com](http://www.mindtools.com) – The Mind Tools website offers free online skills training on topics such as management and leadership

### Assessment

This unit can be assessed internally through a Portfolio of Evidence or it can be assessed externally through an onscreen test. More information about each method of assessment is given below. This should be read in conjunction with *Section 8 Assessment*.

#### External assessment

External assessment is through an onscreen test. Pearson will set and mark this test. The test lasts for 60 minutes and is worth 50 marks. The assessment is available on demand.

The test assesses all of the learning outcomes and uses each individual assessment criterion and the associated *Unit amplification* as a base for the questions.

#### Internal assessment

Internal assessment is through an internally and externally quality assured Portfolio of Evidence. To pass this unit the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meets the assessment criteria, centres should follow the *Unit assessment guidance* given below.

There are no sector-related assessment requirements for this unit.

## Unit assessment guidance

Due to the nature of the individual learning outcomes and the size of the unit, different types of assessment are needed to produce sufficient and appropriate evidence to demonstrate achievement of the learning outcomes. The following are the required assessment methods for this unit.

Learning outcome 1 can either be assessed by a structured written assessment or professional discussion. If written assessment is used, it should allow the learners to contextualise and relate the concepts to their own working environment and work experiences. For example, learners could relate and apply the principles of decision-making to a project they have managed or to any other form of planning undertaken in their work activities. Learners can provide evidence in different formats such as presentation slides, workbooks, reports, directed assignments and reflective accounts, as long as they allow the learner to present the evidence required to meet the assessment criteria. If professional discussion is used then this should be integrated, as far as possible, with the assessment of work-based competencies in related competence units. For example, the learning outcome could be holistically assessed with competence units such as '*Manage a Project*' or '*Procure Products and Services*', where the learner would be making decisions to support the business operations. The professional discussion must be recorded and supported by a signed witness statement from the assessor and the learner's notes or visual aids. The assessor must ensure that the signed statement includes sufficient detail to support the assessment decisions for the learning outcomes and the related assessment criteria.

Learning outcomes 2, 3 and 4 must only be assessed by structured written assessment to allow the learners to demonstrate the depth and breadth of evidence required to meet the assessment criteria. This could be one single project assignment or a series of linked or separate tasks. While the learning outcomes mostly require the learner to demonstrate generic and theoretical knowledge and understanding, there are still opportunities for learners to relate this to their working environment and working experiences and this should be utilised in the design of the assessment. Evidence could be presented in a range of formats similar to those stated above. The use of a reflective account would be appropriate for the assessment of learning outcomes 2 and 3 if the learner has applied the theories and principles indicated in the related unit amplification to their work practices. If used, the reflective account must cover the learning outcomes content and meet the level of demand of the related assessment criteria.

# **Unit 5:**

## **Manage Personal and Professional Development**

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

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 12

**Unit type:** Competence

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### **Unit summary**

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

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

## Learning outcomes and assessment criteria

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

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

## Information for tutors

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### Suggested resources

#### Books

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

#### Websites

[www.businessballs.com](http://www.businessballs.com) – free resources and advice on personal development planning

[www.cipd.co.uk](http://www.cipd.co.uk) – the Chartered Institute of Personnel and Development (CIPD), web page dedicated to continuing professional development (CPD) plus materials and factsheets. Membership is required for full access to the site

### Assessment

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

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

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

#### Unit assessment requirements

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

#### Unit assessment guidance

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

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

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

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

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

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

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

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

## **Unit 6: Promote Equality, Diversity and Inclusion in the Workplace**

**Unit reference number:** T/506/1820

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 15

**Unit type:** Competence

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### **Unit summary**

As the working population of the UK changes, it becomes more important that businesses promote equality, diversity and inclusion in their workplaces.

In this unit, you will look at the differing aspects of equality, diversity and inclusion, the law that protects employees from discrimination and harassment and the effects of this legislation on the organisational policies and practices. You will gain an understanding not only of the differences between equality, diversity and inclusion but also how they impact on the organisation as a whole, and, as the workforce diversifies to include older workers and an increasing number of people from differing cultures, backgrounds and ethnic minorities how everyone in the workplace must contribute to its promotion. You will understand the importance in today's workplace of being an employee that behaves in a way that supports inclusion, and will be able to support equality, diversity and inclusion in the business, ensuring both legal and moral duties are covered.



## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the organisational aspects of equality, diversity and inclusion in the workplace	<ul style="list-style-type: none"><li>1.1 Explain the difference between equality, diversity and inclusion</li><li>1.2 Explain the impact of equality, diversity and inclusion across aspects of organisational policy</li><li>1.3 Explain the potential consequences of breaches of equality legislation</li><li>1.4 Describe nominated responsibilities within an organisation for equality, diversity and inclusion</li></ul>
2 Understand the personal aspects of equality, diversity and inclusion in the workplace	<ul style="list-style-type: none"><li>2.1 Explain the different forms of discrimination and harassment</li><li>2.2 Describe the characteristics of behaviour that supports equality, diversity and inclusion in the workplace</li><li>2.3 Explain the importance of displaying behaviour that supports equality, diversity and inclusion in the workplace</li></ul>
3 Be able to support equality, diversity and inclusion in the workplace	<ul style="list-style-type: none"><li>3.1 Ensure colleagues are aware of their responsibilities for equality, diversity and inclusion in the workplace</li><li>3.2 Identify potential issues relating to equality, diversity and inclusion in the workplace</li><li>3.3 Adhere to organisational policies and procedures, and legal and ethical requirements when supporting equality, diversity and inclusion in the workplace</li></ul>

**AC1.1: Explain the difference between equality, diversity and inclusion**

- *Equality*: definition (equality of opportunity in employment, pay, promotion)
- *Diversity*: definition (valuing individual differences, including: life styles, cultures, ethnicity, religion, gender)
- *Inclusion*: definition (taking actions; creating environments of respect and acceptance)

**AC1.2: Explain the impact of equality, diversity and inclusion across aspects of organisational policy**

- *Impact*: Human Resources policies, e.g. recruitment and promotion, working practices (flexible working), disciplinary and grievance, discrimination and harassment, pay and reward; service provision and customer service policies; procurement and sales policies

**AC1.3: Explain the potential consequences of breaches of equality legislation**

- *Legislation*: the Equality Act 2010 (9 protected characteristics); discrimination
- *Consequences*: e.g. disputes, involvement of trade unions, involvement of ACAS (the Advisory, Conciliation and Arbitration Service), employment tribunals, legal action, financial penalties, damage to reputation of organisation

**AC1.4: Describe nominated responsibilities within an organisation for equality, diversity and inclusion**

- *Nominated responsibilities*: specific person dependant on organisational structure; responsibilities, e.g. formulating, monitoring, evaluating and reviewing policies, creating a culture that supports equality and diversity, implementing Codes of Practice

**AC2.1: Explain the different forms of discrimination and harassment**

- *Discrimination*: definition; forms of discrimination including direct, indirect, harassment, victimisation, associative, perceptive; Equality Act 2010 (9 protected characteristics)

**AC2.2: Describe the characteristics of behaviour that supports equality, diversity and inclusion in the workplace**

- *Characteristics of personal behaviour:* appropriate communications, e.g. using styles appropriate to different people and situations, non-discriminatory language; allowing others to express their views; being tolerant and open-minded; showing respect for the background, values, beliefs and custom of colleagues; integrity, fairness and consistency in decision-making

**AC2.3: Explain the importance of displaying behaviour that supports equality, diversity and inclusion in the workplace**

- *Importance:* e.g. promotes a culture of inclusion and respect, improves team working, increases productivity, removes barriers to recruitment and progression, attracts and retains staff with different talents and competencies

## Information for tutors

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### Suggested resources

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – ACAS guidance on the Equality Act 2010

[www.equalityhumanrights.com](http://www.equalityhumanrights.com) – The Equality and Human Rights Commission (HER) published guidance for employers on the Equality Act of 2010

[www.gov.uk](http://www.gov.uk) – government services and information website which provides guidance on the Equality Act 2010

[www.legislation.gov.uk](http://www.legislation.gov.uk) – this website is managed by the National Archives on behalf of HM Government. Original and revised editions of legislation can be found to include the Equality Act

#### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following unit: *Principles of People Management*.

The main sources of evidence to meet learning outcome 3 are a review of the learner's work products, professional discussion and witness testimony. The learner's work products could include evidence of communications to colleagues regarding their responsibilities for equality, diversity and inclusion, for example, sent emails, presentation slides etc. (AC3.1). Work products could also include documents detailing the potential issues relating to equality, diversity and inclusion in the workplace; this may be the learner's review notes, a formal report, email or presentation slides (AC3.2). These work products should be reviewed by the assessor to confirm that they meet the requirements of the assessment criteria and could be used to support the professional discussion to evidence the learner's underpinning knowledge and understanding. For example, the learner could explain the different responsibilities for equality, diversity and inclusion in the workplace (AC3.1) and how they ensured that they acted within the organisations policy and procedures and the legal and ethical requirements when supporting equality, diversity and inclusion in their workplace (AC3.3). Witness testimony from colleagues or line manager could also be used to provide supporting evidence for these assessment criteria.

Evidence to confirm the achievement of learning outcomes 1 and 2 could be integrated into the professional discussion for learning outcome 3, providing the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, the learner could be asked to explain how they used their understanding of AC1.2 and AC2.2 to identify the potential issues in their workplace (AC3.2). The learner's responses to meet the assessment criteria in learning outcomes 1 and 2 must be at a sufficient depth and breadth to meet the level of demand of the operative verbs. For example, the learner's response on explaining the impact of equality, diversity and inclusion across organisational policy (AC1.2) should go beyond just identifying the different areas that has been affected but should also include reasons why these particular areas are affected and examples of the impact in practice.

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

# **Unit 7: Manage Individuals' Performance**

**Unit reference number:** J/506/1921

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 20

**Unit type:** Competence

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## **Unit summary**

This unit covers the concept of managing individuals that are underperforming.

In this unit, you will learn how to manage underperformance in the workplace. When issues concerning underperformance are not addressed and managed, both appropriately and sensitively, it can lead to unhealthy and unproductive outcomes that may affect the entire workplace.

You will look at how establishing effective performance management systems can have significant benefits for the business and how this can lead to happier, more motivated and better performing employees. You will learn how to manage individuals' performances in the workplace to maintain morale and use best practice to ensure that all staff are performing at their best.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the management of underperformance in the workplace	<ul style="list-style-type: none"><li>1.1 Explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance</li><li>1.2 Explain how to identify causes of underperformance</li><li>1.3 Explain the purpose of making individuals aware of their underperformance clearly but sensitively</li><li>1.4 Explain how to address issues that hamper individuals' performance</li><li>1.5 Explain how to agree a course of action to address underperformance</li></ul>
2 Be able to manage individuals' performance in the workplace	<ul style="list-style-type: none"><li>2.1 Agree with team members specific, measurable, achievable, realistic and time-bound (SMART) objectives that align to organisational objectives</li><li>2.2 Delegate responsibility to individuals on the basis of their expertise, competence, skills, knowledge, and development needs</li><li>2.3 Apply motivation techniques to maintain morale</li><li>2.4 Provide information, resources and on-going mentoring to help individuals meet their targets, objectives and quality standards</li><li>2.5 Monitor individuals' progress towards objectives in accordance with agreed plans</li><li>2.6 Recognise individuals' achievement of targets and quality standards</li><li>2.7 Adhere to organisational policies and procedures, and legal and ethical requirements when managing individuals' performance in the workplace</li></ul>

**AC1.1: Explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance**

- *Disciplinary policy*: definition; policy content e.g. timekeeping, absence, health and safety, use of organisational facilities and equipment; Equality Act (2010); policy access
- *Disciplinary procedure*: purpose, e.g. deals with discipline issues and underperformance; ensures rules and standards are maintained; format, i.e. *ACAS Code of Practice on Disciplinary and Grievance Procedures*; mediation
- *Grievances*: definition; causes e.g. bullying and harassment, discrimination, new working practices, organisational change
- *Grievance procedure*: definition; purpose; format i.e. *ACAS Code of Practice on Disciplinary and Grievance Procedures*

**AC1.2: Explain how to identify causes of underperformance**

- *Underperformance*: types e.g. failure to perform the duties of the job role; failure to perform to the required standard; poor productivity; disruptive or negative behaviour; high rate of absence
- *Causes*: e.g. employee lack of clarity of expectations; lack of knowledge/skills; goals/standards/policies and consequences unclear; interpersonal differences; poor personal motivation; inappropriate or insufficient training; low morale in the workplace

**AC1.3: Explain the purpose of making individuals aware of their underperformance clearly but sensitively**

- *Purpose*: e.g. highlights where and why performance was not in line with expectations; explores how performance may be improved; positive way of improving future performance; provides positive reinforcement
- *Handling underperformance sensitively*: e.g. use communication styles based on people and situations; understanding individuals' needs, feelings and motivations; taking account of cultural differences; individuals treated with respect

**AC1.4: Explain how to address issues that hamper individuals' performance**

- *Addressing issues*: clear systems in place to identify problems; assessing the gravity of problems; support and coaching; mentoring; constructive feedback; use of disciplinary procedures



**AC1.5: Explain how to agree a course of action to address underperformance**

- *Addressing underperformance*: possible interventions/actions, e.g. enhance ability (resupply, retrain, refit, reassign, release); improve motivation (performance goals, performance feedback, Performance Improvement Plan)
- *Agreeing course of action*: methods, e.g. meeting with employee and union representative/person of their choice; open discussion with employee; joint solution devised; plan of action drawn up; follow-up meeting; agreeing SMART objectives; progress reviews

## Information for tutors

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### Suggested resources

#### Books

Armstrong M and Baron A – *Managing Performance: Performance Management in Action (Developing Practice)*, 2nd edition (Chartered Institute of Personnel and Development, 2004) ISBN 9781843981015

Hutchinson S – *Performance Management: Theory and Practice* (Chartered Institute of Personnel and Development, 2013) ISBN 9781843983057

Lloyd K – *Performance Appraisals and Phrases For Dummies* (John Wiley & Sons, 2009) ISBN 9780470498729

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – ACAS, provides free advice on workplace-related issues. These recommended publications can be found on the website:

- How to manage performance (advisory booklet)
- ACAS Code of Practice on Disciplinary and Grievance Procedures
- Discipline and Grievances at Work – The ACAS Guide

[www.cipd.co.uk](http://www.cipd.co.uk) – the Chartered Institute of Personnel and Development has a variety of free factsheets available on their website on performance management. A recommended publication is *Performance Management: an overview*

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following units:

*Manage Individual Development in the Workplace* and *Principles of People Management* (learning outcome 5).

Evidence to demonstrate achievement of learning outcome 2 is likely to come from a combination of direct observation, review of the learner's work products, witness testimony and professional discussion or reflective account. Where possible, and with the appropriate permissions, the learner could be observed in team/departmental meetings, one-to-one meetings, interim performance reviews, appraisal meetings and other relevant contexts.

Evidence from any direct observation of the learner should be supported by a professional discussion around the learner's performance and work products, to provide further evidence for the assessment criteria. The learner's work products could include minutes from team meetings, anonymised personal development plans, performance reviews, performance plans, appraisal reports and one-to-one meeting notes, and relevant communications to colleagues (for example an email giving advice on a work issue/problem). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could explain the rationale for delegating particular tasks to specific individuals, the basis for the agreed SMART objectives and the rationale for their choice of motivation techniques and recognition of achievement (AC2.1, AC2.2, AC2.3 and AC2.6). The discussion could also cover the organisational, ethical and legal requirements associated with performance management (AC2.7). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational, legal and ethical requirements (AC2.1 and AC2.7).

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion or reflective account for learning outcome 2, giving the learner the opportunity to link and apply their knowledge to the workplace activities. For example, the relationship between disciplinary and grievance procedures and performance management could be explored. The learner's responses or statements to meet the requirements of AC1.1 to 1.5 must be in sufficient depth and breadth to meet the level of demand expected from an explanation. For example, the learner's response on grievance and disciplinary procedures (AC1.5) should go beyond just a statement of the steps/stages and should include reasoning around the relevance of the steps/stages in relation to the purpose of the procedures.

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

# **Unit 8: Manage Individuals' Development in the Workplace**

**Unit reference number:** L/506/1922

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 10

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## **Unit summary**

This unit looks at how an individuals' development is managed in the workplace

Performance appraisals form an integral part of the development of staff and in this unit, you will learn about performance reviews and appraisals. You will develop the necessary skills to prepare for, carry out and feedback on individual performance reviews and appraisal in a professional manner.

Appraisals give the interviewer and the interviewee the opportunity to discuss any training needed to help the individual and the business meet their needs. Training costs the business money but is a necessary tool that enables both the individual and the business to benefit. You will learn to look at the programmes and policies of the business and assess the advantages and disadvantages each provides. You will also learn to make judgements on and suggest improvements to training that would benefit all involved.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Be able to carry out performance appraisals</p>	<p>1.1 Explain the purpose of performance reviews and appraisals</p> <p>1.2 Explain techniques to prepare for and carry out appraisals</p> <p>1.3 Provide a private environment in which to carry out appraisals</p> <p>1.4 Carry out performance reviews and appraisals in accordance with organisational policies and procedures</p> <p>1.5 Provide clear, specific and evidence-based feedback sensitively</p> <p>1.6 Agree future actions that are consistent with appraisal findings and identified development needs</p>
<p>2 Be able to support the learning and development of individual team members</p>	<p>2.1 Describe training techniques that can be applied in the workplace</p> <p>2.2 Analyse the advantages and disadvantages of learning and development interventions and methods</p> <p>2.3 Explain organisational learning and development policies and resource availability</p> <p>2.4 Review individuals' learning and development needs at regular intervals</p> <p>2.5 Suggest learning and development opportunities and interventions that are likely to meet individual and business needs</p>

## Information for tutors

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### Suggested resources

#### Books

Baron A and Armstrong M – *Managing Performance: Performance Management in Action (Developing Practice)*, 2nd Edition (Chartered Institute of Personnel and Development, 2004) ISBN 9781843981015

Lloyd K – *Performance Appraisals and Phrases For Dummies* (John Wiley & Sons, 2009) ISBN 9780470498729

Hutchinson S – *Performance Management: Theory and Practice* (Chartered Institute of Personnel and Development, 2013) ISBN 9781843983057

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – the ACAs website provides a free advisory booklet on performance management – How to manage performance.

[www.cipd.co.uk](http://www.cipd.co.uk) – The Chartered Institute of Personnel and Development have a variety of free factsheets available on issues such as performance appraisal

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following units: *Manage Individuals' Performance, Encourage Learning and Development and Principles of People Management (learning outcome 4)*.

The main sources of evidence to meet learning outcomes 1 and 2 are a review of the learner's work products, direct observation, witness testimony and reflective account.

For learning outcome 1, the learner could be observed in performance review and appraisal meetings - the appropriate permission should be sought before these meetings are observed. This observation can provide evidence for AC1.4, AC1.5 and AC1.6. The learner's work products such as anonymised performance development plans and performance development review notes can be used to support the observation evidence for AC1.4 and AC1.6. These work products should be reviewed by the assessor to evaluate the validity of the evidence. The reflective account should be used to address AC1.1 and AC1.2 as well as provide evidence to corroborate the competence of the learner. For example, the learner could comment on their performance in conducting appraisal and review meetings, explain the techniques they used to prepare for, and conduct meetings (e.g. communication and feedback techniques), and discuss the rationale for the agreed learning objectives and learning activities from observed meetings and reviewed development plans (AC1.2, AC1.5 and AC1.6). The learner could also comment on how they have ensured compliance with organisational policies and procedures in carrying out performance reviews (AC1.4); alternatively witness testimony from colleagues and/or line manager could be used to provide evidence for these assessment criteria as well as others.

For learning outcome 2, work products could include development plans that have been reviewed and updated by the learner (AC2.4 and AC2.5). These should be reviewed by the assessor and could be used as a reference in the reflective account. The reflective account should meet the requirements of AC2.1, AC2.2 and AC2.3 and should be contextualised to the learner's work activities. For example, the learner's analysis of the advantages and disadvantages of learning and development interventions could be used to justify the learning and development activities they suggested for AC2.5. Witness testimony could also be used to provide supporting evidence for AC2.4 and AC2.5. The learner's responses or statements to meet the requirements of AC2.1 to 2.3 must be in sufficient depth and breadth to meet the level of demand of the operative verbs.

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

## **Unit 9: Chair and Lead Meetings**

**Unit reference number:** Y/506/1924

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 10

**Unit type:** Competence

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### **Unit summary**

Every business will have meetings to give staff the opportunity to come together to determine business goals, plans for achieving goals and who will do what and when.

In this unit, you will learn how to prepare to lead meetings to ensure that the meeting is effective. The better prepared you are the better the results you can expect. You will be able to chair a meeting ensuring everyone's involvement and that it has a focus that allows it to have the desired outcome. You will also be able to deal with those matters that arise after the meeting to ensure that the documentation is accurate and distributed to the correct people, and be able to reflect on the meeting to suggest how it could be done better in the future.



## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Be able to prepare to lead meetings	<ul style="list-style-type: none"><li>1.1 Identify the type, purpose, objectives, and background to a meeting</li><li>1.2 Identify those individuals expected, and those required to attend a meeting</li><li>1.3 Prepare for any formal procedures that apply to a meeting</li><li>1.4 Describe ways of minimising likely problems in a meeting</li><li>1.5 Take action to ensure that meeting documentation is prepared correctly and distributed to the agreed people within the agreed timescale</li></ul>
2 Be able to chair and lead meetings	<ul style="list-style-type: none"><li>2.1 Follow business conventions in the conduct of a meeting</li><li>2.2 Facilitate meetings so that everyone is involved and the optimum possible consensus is achieved</li><li>2.3 Manage the agenda within the timescale of the meeting</li><li>2.4 Summarise the agreed actions, allocated responsibilities, timescales and any future arrangements</li></ul>
3 Be able to deal with post-meeting matters	<ul style="list-style-type: none"><li>3.1 Take action to ensure that accurate records of a meeting are produced and distributed in the agreed format and timescale</li><li>3.2 Take action to ensure that post-meeting actions are completed</li><li>3.3 Evaluate the effectiveness of a meeting and identify points for future improvement</li></ul>

## Information for tutors

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### Suggested resources

#### Books

Gutmann, J. – *Taking Minutes of Meetings (Creating Success)* (Kogan Page, 2013) ISBN 9780749467241

Hood, J.H. – *The How to Book of Meetings: A Complete Guide For Every Business* (WordCraft Global Pty Ltd, 2013) ISBN 9780987557520

#### Websites

[www.businessballs.com](http://www.businessballs.com) – includes learning and planning resources on running meetings, workshops and presentations

[www.managers.org.uk](http://www.managers.org.uk) – the Chartered Institute of Management, offers practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials

[www.ksl-training.co.uk](http://www.ksl-training.co.uk) – KSL Training offers a range of free training resources, including resources for chairing and managing a meeting

[www.youtube.com](http://www.youtube.com) – range of videos providing advice on chairing meetings (use the search function to find appropriate videos)

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following units: *Developing Working Relationships with Stakeholders* and *Negotiate in a Business Environment*.

To achieve this unit, the learner must chair and lead meetings to achieve specific objectives, which may be to solve problems, take decisions, consult with people or to exchange information and knowledge. The meetings may be face to face or conducted remotely using appropriate technology. The meetings must have some element of formality to allow the learner to fully achieve the learning outcomes.

The main source of evidence to meet learning outcome 1 is a review of the learner's work products supported by professional discussion and witness testimony. The learner's work products could include meeting planning notes, notices of meeting, agendas and relevant communications (for example emails) sent to meeting attendees prior to the meeting (AC1.3 and AC1.5). These work products could be used as the basis for a professional discussion with the learner to meet the knowledge requirement of AC1.4, as well to evidence the learner's knowledge and understanding underpinning their performance. For example, within the professional discussion the learner could explain how they identified the purpose, background, objectives and attendees for the meetings they have chaired (AC1.1 and AC1.2). They could also explain any formal meeting procedures that they had to prepare for, and how they prepared for these. Some of the assessment criteria, for example, AC1.3 and AC1.5, may require witness testimony from the line manager or colleagues.

For learning outcome 2, the main source of evidence would come from direct observation of the learner chairing and leading meetings. This evidence should be supported by a review of the learner's work products (for example action lists, minutes) and professional discussion around the learner's chairing style and the strategies they used to manage the agenda and facilitate involvement. For AC2.1, business conventions in relation to meetings could include the organisation's procedures and policies for meetings or generally accepted practice for conducting business meetings. Witness testimony from colleagues or the line manager would be useful to confirm competence over a period of time.

Evidence for learning outcome 3 would likely come from a combination of observation, review of work products and professional discussion. The learner's work products could include minutes from the meetings chaired, notes/reports on the effectiveness of the meetings and action lists. In the professional discussion, the learner could explain the criteria they used to evaluate the effectiveness of the meetings and how the identified points for improvement will help them to develop their chairing skills in the future.

The use of a reflective account is a suitable alternative to professional discussion throughout the assessment of this unit.

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

## **Unit 10: Manage Conflict within a Team**

**Unit reference number:** K/506/1927

**Level:** 3

**Credit value:** 5

**Guided learning hours:** 25

**Unit type:** Competence

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### **Unit summary**

This unit focuses on the principles of conflict management and looks at how conflict can be reduced and dealt with in a team setting.

In this unit, you will gain an understanding of the principles of conflict management. Teams come in many forms and exist for many purposes and, if properly managed, can contribute to improved organisational performance. Unfortunately, not all teams succeed as conflict can appear in many situations and this is especially true of the team situation. You will gain an understanding of how this potential for conflict can be reduced. Conflict threatens group goals in organisations and so it is therefore, of utmost importance that you can deal with and resolve conflict. You will learn how to assess the seriousness of conflict and its potential impact knowing that unresolved conflict costs organisations millions of pounds every year and come to a conclusion that allows you to effectively deal with conflict.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of conflict management	<ul style="list-style-type: none"><li>1.1 Evaluate the suitability of different methods of conflict management in different situations</li><li>1.2 Describe the personal skills needed to deal with conflict between other people</li><li>1.3 Analyse the potential consequences of unresolved conflict within a team</li><li>1.4 Explain the role of external arbitration and conciliation in conflict resolution</li></ul>
2 Be able to reduce the potential for conflict within a team	<ul style="list-style-type: none"><li>2.1 Communicate to team members their roles, responsibilities, objectives and expected standards of behaviour</li><li>2.2 Explain to team members the constraints under which other colleagues work</li><li>2.3 Review systems, processes, situations and structures that are likely to give rise to conflict in line with organisational procedures</li><li>2.4 Take action to minimise the potential for conflict within the limits of their own authority</li><li>2.5 Explain how team members' personalities and cultural backgrounds may give rise to conflict</li></ul>

Learning outcomes	Assessment criteria
<p>3 Be able to deal with conflict within a team</p>	<p>3.1 Assess the seriousness of conflict and its potential impact</p> <p>3.2 Treat everyone involved with impartiality and sensitivity</p> <p>3.3 Decide a course of action that offers optimum benefits</p> <p>3.4 Explain the importance of engaging team members' support for the agreed actions</p> <p>3.5 Communicate the actions to be taken to those who may be affected by it</p> <p>3.6 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with conflict within a team</p>

**AC1.1: Evaluate the suitability of different methods of conflict management in different situations**

- *Conflict*: definition; conflict situations, e.g. substantive, affective, procedural
- *Methods of conflict management*: e.g. prevention, non-intervention, participative resolution, active resolution
- *Suitability based on context*: e.g. serious conflict, manageable conflict, trivial conflict

**AC1.2: Describe the personal skills needed to deal with conflict between other people**

- *Personal skills*: e.g. professionalism, problem solving, effective communication, mediation, giving feedback

**AC1.3: Analyse the potential consequences of unresolved conflict within a team**

- *Potential consequences*: e.g. impact on morale; decreased productivity; stress and anxiety of staff; increase in absenteeism; increase in grievances; increased employee turnover resulting in increase of recruitment and training costs; damaged organisation reputation

**AC1.4: Explain the role of external arbitration and conciliation in conflict resolution**

- *Conciliation*: purpose, e.g. resolution of workplace disputes after mediation; principles, e.g. uses an independent impartial third party, parties involved retain power to decide on the outcome, parties must volunteer to use the process
- *Role of conciliation*: e.g. avoid permanent breakdown in working relationship, improve communications, provide technical assistance, interpret and discuss the issues in dispute, explore potential solutions
- *Arbitration*: purpose, e.g. resolution of collective disputes; principles, e.g. voluntary process, decision-making power is given to arbitrator
- *Role of arbitration*: e.g. deals with cases where conciliation has not succeeded, private alternative to attending a public court of law, imposes an independent and impartial decision that is binding on both sides
- *External arbitrators and conciliators*: independent and impartial third parties; private/commercial services; ACAS

## Information for tutors

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### Suggested resources

#### Books

Muller-Camen, M., Croucher, R., Leigh, S. – *Human Resource Management: A Case Study Approach* (CIPD, 2008) ISBN 9781843981657

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – the ACAS website provides free advice on many workplace related issues. A recommended publication is Advisory booklet - Managing conflict at work

[www.belbin.com](http://www.belbin.com) – information from Belbin Associates on Belbin's team roles

[www.cipd.co.uk](http://www.cipd.co.uk) – the Chartered Institute of Personnel and Development (CIPD) has a range of guidance on a range of HR, learning and development and employment law issues. A recommended publication is Guide booklet: Managing conflict at work

[www.managers.org.uk](http://www.managers.org.uk) – Chartered Institute of Management, provides practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials

#### Other

*Management Today*, Haymarket Media Group Ltd. – this journal has many articles on management topics.

*The Economist*, The Economist Newspaper Ltd. – this journal has a business section and articles that included specialist features and articles on management topics.

### Assessment

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

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

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

#### Unit assessment requirements

Simulation is allowed for this unit and so the unit may be assessed either under real workplace conditions or in a Realistic Work Environment (RWE). Please refer to the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*, for further guidance on the use of simulation and RWE.



## Unit assessment guidance

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

While simulation is allowed for this unit, evidence from the learner's performance in the workplace should be used as far as possible. As it is expected that the learner should act to minimise the potential for conflict in their teams as an on-going part of their management role, the evidence for learning outcome 2 should come from their performance in the workplace. Evidence to demonstrate achievement is most likely to come from a combination of examination of the learner's work products, witness testimony and professional discussion or reflective account. Learner work products could include relevant communications to team members and other colleagues (e.g. emails), minutes of team meetings where related issues were discussed, review reports on related systems, processes, situations or procedures and records detailing the actions taken to minimise conflict situations. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance as well as the achievement of AC2.5. Within the professional discussion, the learner could explain how they went about identifying and reviewing the systems, processes, situations or procedures that could potentially cause conflict, the outcomes of the review and how these relate to the actions taken to minimise the potential for conflict (AC2.3 and AC2.4). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and line manager should also be used to confirm that the learner has consistently met the requirements over a period.

For learning outcome 3, evidence to confirm competence can either come from the learner's performance in the workplace, where the work context allows this, or from simulation. Where simulation is used, it must be a structured exercise involving a specific task that reproduces real-life situations and that will allow the learner to meet the requirements of AC 3.1 to AC3.6. Assessors must be confident that the simulation replicates the workplace to such an extent that the learner will be able to fully transfer their occupational competence to the workplace and real situations. The simulation exercise should be agreed with the learner beforehand. Evidence to demonstrate achievement is most likely to come from a combination of examination of the learner's work products and professional discussion or reflective account. Work products could include communications to relevant team members, anonymised records of meetings and other formal records of the conflict resolution process. Where the evidence is from performance in the workplace, all efforts must be made to maintain confidentiality of the individuals involved. Professional discussion should be used to meet the requirements of AC3.4 and to evidence the knowledge and understanding underpinning the learner's performance. The professional discussion or reflective account could focus on the process used to assess the seriousness and potential impact of the conflicts and how the outcome of this affected the course of action taken to resolve the conflict (AC3.1 and AC3.3). Witness testimony may also be used to confirm competence, as appropriate.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm the achievement would best come from a reflective account. If reflective accounts are used for learning outcomes 2 and 3, then it would be best to integrate the assessment of this learning outcome, therefore providing the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, the learner could comment on the method(s) of conflict management that they used, explaining their suitability relevant to the context and discussing the other methods of conflict resolution and the different situations in which they could use them in the future (AC1.1). The learner's reflective account to meet the requirements for AC1.1 – 1.4 must be at a sufficient depth and breadth to meet the level of demand of the operative command verbs.

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

# **Unit 11: Procure Products and/or Services**

**Unit reference number:** M/506/1928

**Level:** 3

**Credit value:** 5

**Guided learning hours:** 35

**Unit type:** Competence

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## **Unit summary**

This unit focuses on procurement requirements, selection of suppliers and the ability to purchase goods and services.

In this unit, you will learn about procurement, which is far more than simply buying goods or services. An organisation cannot deliver its goals without procuring goods and services from suppliers outside the organisation and the amounts of money involved can be very large with many organisations spending more with suppliers than they do on employing their workforce.

You will firstly learn how to identify procurement requirements, a part of the initial preparation process and seen within organisations as having considerable strategic importance. You will then learn how to select appropriate suppliers, taking into consideration their track record and their and your own ethical stance. You will lastly be able to make the formal arrangements to buy the required products and/or services within the guidelines set out by your organisation, deal with any problems arising and agree end receipt of goods and approval of payment.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<b>1</b> Be able to identify procurement requirements	<b>1.1</b> Explain current and likely future procurement requirements <b>1.2</b> Decide whether the purchase of products and/or services offers the organisation best value <b>1.3</b> Evaluate ethical and sustainability considerations relating to procurement <b>1.4</b> Justify the decision to buy products and/or services with evidence of an analysis of risk, costs and benefits
<b>2</b> Be able to select suppliers	<b>2.1</b> Explain the factors to be taken into account in selecting suppliers <b>2.2</b> Explain organisational procurement policies, procedures and standards <b>2.3</b> Explain the effect of supplier choice on the supply chain <b>2.4</b> Use appropriate media to publicise procurement requirements <b>2.5</b> Confirm the capability and track record of suppliers and their products and/or services <b>2.6</b> Select suppliers that meet the procurement specification
<b>3</b> Be able to buy products and/or services	<b>3.1</b> Explain the action to be taken in the event of problems arising <b>3.2</b> Agree contract terms that are mutually acceptable within their own scope of authority <b>3.3</b> Record agreements made, stating the specification, contract terms and any post-contract requirements <b>3.4</b> Adhere to organisational policies and procedures, legal and ethical requirements

## Information for tutors

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### Suggested resources

#### Books

Baily P, et al – *Procurement, Principles and Management*, 10th Edition  
(FT Prentice Hall, 2008) ISBN 9780273713791

#### Websites

[www.cips.org](http://www.cips.org) – the Chartered Institute of Purchasing & Supply (CIPS) promotes best practice in the procurement and supply profession. It provides a wide range of services. Membership is required for full access

#### Other

Supply Management, Redactive Media Group – a magazine for procurement and supply chain professionals globally. Published monthly on behalf of the Chartered Institute of Purchasing & Supply, the publication features the latest news, views and analysis for those working in the procurement profession.

### Assessment

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

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

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

#### Unit assessment requirements

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

#### Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following unit: *Principles of Leadership and Management (learning outcome 1)*.

Evidence to demonstrate achievement of learning outcome 1 is likely to come from a combination of a review of the learner's work products, witness testimony and a reflective account by the learner. The learner's work products could include minutes/notes from relevant meetings with colleagues or procurement or legal specialists, draft product/service specifications or documented risk analysis or cost benefit analysis (AC1.2 and to AC1.4). These work products should be reviewed by the assessor and could be used to support the reflective account, which will provide further evidence of the learner's competence as well as evidence to meet the requirements of AC1.1 and AC1.3. In the reflective account, the learner could use the outcomes of their risk or cost benefit analysis to justify their decisions to the buy products and/or services and could comment on the usefulness of these analyses in making the buying decision (AC1.4). In order to satisfy the requirements for AC1.3, the learner should evaluate the ethical and sustainability considerations in relation to the products/services to be procured and in the context of their organisation's ethical requirements. Witness testimony from colleagues and the line manager could also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Evidence to demonstrate the achievement of learning outcomes 2 and 3 is likely to come from a combination of a review of the learner's work products, professional discussion and witness testimony. For learning outcome 2, work products could include a short list of suppliers, evidence of the publicised procurement requirements (e.g. advertisement) and the findings/notes from the review of the capability and track record of suppliers and their products and/or services (AC2.4, AC2.5 and AC2.6). The professional discussion should provide the evidence satisfy the requirements of AC2.1, AC2.2 and AC2.3; the learner's explanations for these assessment criteria should be in the context of their particular organisational requirements and should be of a sufficient breadth and depth to meet the requirements of an explanation. To provide further evidence to support achievement of AC2.4 to AC2.6, the professional discussion could also cover the rationale for the choice of media, the collection and use of information to confirm the capability and track record of suppliers and the criteria used in the selection of suppliers. Witness testimony could also provide evidence to satisfy the requirements of AC2.4, AC2.5 and AC2.6.

For learning outcome 3, work products could include minutes/notes from meetings with suppliers and contracts with suppliers, if not commercially sensitive (AC3.2 and AC3.3). The professional discussion could be used to support the evidence from these products by focusing on the basis for the agreed terms of contract and how the learner ensured compliance with organisational policies and procedures and ethical and legal requirements. It should also include an explanation of the actions taken to deal with any problems experienced, or how they would deal with potential problems in the future, if none were actually experienced (AC3.1). Witness testimony could also support the learner's ability to adhere to policies (AC3.4).

The use of a reflective account is a suitable alternative to professional discussion in the assessment of learning outcomes 2 and 3; this would allow the learner to provide a reflective account on their performance and learning of the unit as a whole.

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

## **Unit 12: Implement Change**

**Unit reference number:** T/506/1929

**Level:** 3

**Credit value:** 5

**Guided learning hours:** 28

**Unit type:** Competence

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### **Unit summary**

This unit is designed to give you the skills and understanding needed to deal with change with confidence as understanding change management is a vital management tool. Change in organisations is continuous and many companies feel the need to continually 'reinvent' their business model.

This unit focuses on the principles of change management and the implementation of change that could be major restructuring such as an acquisition or a divestment, downsizing or offshoring or a smaller scale internal reorganisation. In this unit you will gain an understanding of the principles of change management, which is essential as businesses go through, on average, three major changes every two years. You will become equipped to plan for change, which is vital, as if organisational change is not handled well it can lead to increasing numbers of staff experiencing stress and conflict at work. You will be able to manage the implementation of a change plan, providing support to those who need it, and using feedback from stakeholders you will be able to evaluate the effectiveness of the implementation of change plans and report back on your findings.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the principles of change management</p>	<p>1.1 Explain the importance of effective leadership when implementing change</p> <p>1.2 Explain the role of internal and external stakeholders in the management of change</p> <p>1.3 Evaluate the suitability of change management models for different contexts</p> <p>1.4 Explain how to assess the business risks associated with change</p> <p>1.5 Assess the need for contingency planning when implementing change</p> <p>1.6 Assess the need for crisis management when implementing change</p> <p>1.7 Explain the different types of barriers to change and how to deal with these</p> <p>1.8 Explain how to evaluate change management projects</p>
<p>2 Be able to plan the implementation of change</p>	<p>2.1 Explain the need for change</p> <p>2.2 Explain the potential consequences of not implementing change</p> <p>2.3 Explain the roles and responsibilities of a change management project team</p> <p>2.4 Develop a plan that includes specific, measurable, achievable, realistic and time-bound (SMART) objectives and resources</p> <p>2.5 Brief team members on their roles and responsibilities and the objectives of the change</p> <p>2.6 Gain acceptance to the need for change from team members and other stakeholders</p>



Learning outcomes	Assessment criteria
<p>3 Be able to manage the implementation of a change plan</p>	<p>3.1 Explain organisational escalation processes for reporting problems</p> <p>3.2 Analyse the advantages and disadvantages of monitoring techniques</p> <p>3.3 Implement the plan within the agreed timescale</p> <p>3.4 Provide support to team members and other stakeholders according to identified needs</p> <p>3.5 Monitor the progress of the implementation against the plan</p> <p>3.6 Manage problems in accordance with contingency plans</p>
<p>4 Be able to evaluate the effectiveness of the implementation of change plans</p>	<p>4.1 Assess the suitability of techniques used to analyse the effectiveness of change</p> <p>4.2 Collate valid feedback and information from stakeholders</p> <p>4.3 Analyse feedback and information against agreed criteria</p> <p>4.4 Identify areas for future improvement</p> <p>4.5 Communicate the lessons learned with those who may benefit</p>

**AC1.1: Explain the importance of effective leadership when implementing change**

- *Change:* step change; incremental change
- *Importance of effective leadership:* provides a positive and professional environment to ensure success; establishes direction and drives processes forward; engages and empowers employees to reduce absenteeism; ensures timely completion of tasks to budget and meeting quality required

**AC1.2: Explain the role of internal and external stakeholders in the management of change**

- *Internal stakeholders:* individual staff; teams, project managers; managers; directors
- *External stakeholders:* customer groups; media, politicians, pressure groups, partners; suppliers; other interested parties
- *Commitment/support required by both internal and external stakeholders:*
  - o High; active and visible support is crucial to successful implementation of the change
  - o Medium: stakeholders support is in important
  - o Low: implementation can be successful without the support of the stakeholder
- *Roles of stakeholders:* Responsible, Accountable, Consulted, Informed (RACI)

### **AC1.3: Evaluate the suitability of change management models for different contexts**

- *Change management*: coordination of a structured period of transition from situation A to situation B in order to achieve long lasting change within an organisation
- *Different contexts*: planned change; unplanned change
- *Change Management Models*:
  - o Lewin's 3 Stage Change Model: looks at the human aspects and factors for and against change; sees change as a process not an event; establishing stability can be difficult if next change is imminent
  - o Kotter's 8 Steps to change: holistic approach to planned change; focus is on buy in employees as the focus for success; clear steps; can lead to employee frustration if needs not taken into consideration; top-down model; fits well with classical hierarchies
  - o Kubler-Ross 5 Stage Model: captures individuals reaction to change; model assumes worse reaction to change; difficult to identify the transition between changes; difficult to apply to a group
  - o ADKAR Model: more modern model; encapsulates the business and individual dimensions of change; provides a clear management checklist; misses out on role of leadership to provide direction
  - o Bridge's Transitional Model: clarifies the physiological effect of change; not an independent change management model, used alongside other models

### **AC1.4: Explain how to assess the business risks associated with change**

- *Risk assessment*: to reduce risk and/or identify contingency option associated with selected risks:
  - o Description of risk; probability (high, medium, low); action required to stop risk occurring; identifying person(s) responsible for actions; development of actions to inform contingency plan
- *Business risks*:
  - o Active and passive resistance to change from employees: reluctance to accept new procedures; memories of failed change initiatives; lack of faith in process; personal preference; lack of knowledge; fear of losing jobs
  - o Ineffective leadership: lack of experience in managing change; lack of appropriate training; lack of focus
  - o Disruption to the operation of the business: severity of the disruption; timescales; financial impacts
  - o Enforcing change: change forced through rather than seen as needed; lack of understanding as to why the change is needed
- *Assessing risks*: is speed of adoption appropriate; is the business meeting change objectives; will completion of change project be timely; is the business being disrupted; will change project be on budget; will returns from change be lower than anticipated

**AC1.5: Assess the need for contingency planning when implementing change**

- *Contingency planning*: proactive planning for both predictable events and events outside the range of normal operations of a business that might adversely affect its ability to operate: plans that can be brought forward and quickly put into action; plans that identify the critical activities, resources, and procedures needed to carry out operations during prolonged interruptions to normal operations
- *Contingency planning is used to*:
  - o identify potential risks and their impacts
  - o categorize and prioritise risks
  - o assess and document possible remedies
  - o identify how to detect and assess damage that activates a plan
  - o plan the recovery and restoration of temporary operations and recovery from damage
  - o plan the reconstitution of systems and normal operations
  - o reduce the need to manage by crisis

**AC1.6: Assess the need for crisis management when implementing change**

- *Crisis management*: the skills and techniques required to assess, understand and cope with a crisis situation
- *Need for crisis management*: provides a systematic method to manage and lessen the impact of a crisis; organises the resources to develop a plan before the onset of a crisis; plans for the seamless continuation of business; identifies vulnerabilities; gives the ability to anticipate, identify and respond to a crisis such as:
  - o lack of trust from customers leading to withdrawal of business
  - o failure to meet stakeholders expectations
  - o significant failure of processes
  - o discontented employees
  - o workforce demotivation
  - o withdrawal of labour

**AC1.7: Explain the different types of barriers to change and how to deal with these**

- *Barriers to change:* structural inertia; culture of an organisation resisting the power structure; managers threatened by process of change; Technical, Political, Cultural (TPC) resistance from employees; lack of understanding about why change is needed; failure of previous change initiatives; poor change management
- *Dealing with barriers to change:*
  - o informing and educating through:
    - large scale meetings such as conferences and lectures
    - small scale meetings such as interactive workshops and training courses
  - o encouraging managers to think strategically and look ahead at opportunities and threats
  - o providing clear vision and leadership
  - o using Opinion Leaders to influence and inspire
  - o creating a change climate that engages people to become involved and to contribute to change
  - o establishing clear processes to generate ideas and suggestions

**AC1.8: Explain how to evaluate change management projects**

- *Comparing plans with outcomes; focus groups; interviews; surveys; informal feedback; reviews; observation to find if project:*
  - o *met objectives:* reduction of expenses; better efficiency; increase in revenue; greater market share; reduction of waste; increased productivity; regulations met
  - o *stayed on or ahead of schedule:* delays minimised; milestones met
  - o *stayed on budget:* no budget overruns
  - o *became accepted by staff:* staff involved; new ways of working adopted
  - o *had overall effectiveness:* calculation of the overall return on change; through KPIs; was productivity raised; was the quality of work maintained; was the project worthwhile; could the investment made have been better utilised

## Information for tutors

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### Suggested resources

#### Books

Beech, N., MacIntosh, R., – *Managing Change: Enquiry and Action* (Cambridge University Press, 2012) ISBN 9780521184854

Kotter, J.P., - *Leading Change* (Harvard Business Review Press, 2012) ISBN 9781422186435

#### Websites

[www.cipd.co.uk](http://www.cipd.co.uk) – the CIPD website provides factsheets to cover topics such as change management. Membership is required for full access to resources

[www.managers.org.uk](http://www.managers.org.uk) – the Chartered Management Institute is a professional body that provides professional support and advice. Membership is required for full access

### Assessment

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

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

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

#### Unit assessment requirements

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

#### Unit assessment guidance

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

To achieve this unit, learners must show their understanding of and evidence of implementing change.

The main sources of evidence to meet learning outcome 2, learning outcome 3 and learning outcome 4 are a review of learners' work products, and witness statements supported by professional discussion.

For learning outcome 2 learners' work products could include their notes that identify the need for change, the potential consequences of not implementing change (AC2.1 and AC2.3) plus research into project teams for change management and their findings (AC2.3). A plan for change with SMART objectives could be used (AC 2.4). A witness statement could be used to support the learner's briefing of team members or a work product such as an email or a memo sent to the team (AC2.5). These work products should be used as the basis for a professional discussion with the learner to meet the requirements of learning outcome 2 as well to evidence the learner's competence. For example, within the professional discussion the learner could explain the process they used to gain acceptance to the need for change from team members and other stakeholders (AC2.6).

For learning outcome 3 a combination of a review of work products and witness testimony could be used e.g. correspondence or notes of discussion or a witness statement to evidence the implementation of the plan within the agreed timescale and the support provided to team members and other stakeholders (AC3.3 and AC3.4). Witness testimony could also be used as supporting evidence that the learner has managed problems in accordance with contingency plans (AC3.6). These should be used as the basis for a professional discussion with the learner to meet the requirements of learning outcome 3 as well to evidence the learner's competence. For example, within the professional discussion the learner could explain the process used by the business to escalate problems (AC3.1).

For learning outcome 4 learner work products could include their feedback and information from stakeholders on change plans (AC4.2) plus research into areas for future improvement (AC4.4). A plan for change with SMART objectives could be used (AC 2.4). A witness statement could be used to support the learner's communication with team members and/or stakeholders, or a work product such as an email or a memo sent by the learner (AC4.5). These work products should be used as the basis for a professional discussion with the learner to meet the requirements of LO4 as well to evidence the learner's competence. For example, within the professional discussion the learner could explain the process they used to research the suitability of techniques used to analyse the effectiveness of change and the information gathered on change plans (AC4.1 and AC 4.3).

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion or reflective account for learning outcome 2, learning outcome 3 and learning outcome 4, providing the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, the relationship between planning, managing and evaluating change.

Learner responses or statements to meet the requirements for AC1.1 to AC1.8 must be at a sufficient depth and breadth to meet the level of demand expected from explanation, evaluation and assessment. For example, the learner's response about the role of stakeholders (1.2) and the risks associated with change (AC1.4) should go beyond just statements but should include reasoning around why understanding the stakeholder role and carrying out a risk assessment would be important to the business.

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

# **Unit 13: Implement and Maintain Business Continuity Plans and Processes**

**Unit reference number:** K/506/1930

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 25

**Unit type:** Competence

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## **Unit summary**

This unit is designed to give new and aspiring first line managers the skills and understanding needed to prepare and monitor business continuity plans (BCPs).

In this unit you will learn how BCPs are an integral part of systems and processes for organisations and are developed for each critical part of the organisation to ensure that they maintain or restore critical services, systems such as IT and telecommunications, business processes and the supporting infrastructure of the organisation. The process begins with planning to prevent risk from potential disaster large or small, and you will learn how to plan and subsequently implement these plans. Plans must be monitored and reviewed regularly to ensure their fitness for purpose, and you will learn how to proactively manage the BCP process through validating and testing plans, and updating them in light of your findings.



## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Be able to plan for the implementation of business continuity plans and processes</p>	<p>1.1 Describe the components of a business continuity plan</p> <p>1.2 Explain the uses of a business continuity plan</p> <p>1.3 Explain the features of different business continuity planning models</p> <p>1.4 Explain the potential consequences of inadequate business continuity plans and processes</p> <p>1.5 Confirm the required aim, scope and objectives of business continuity plans</p> <p>1.6 Engage stakeholders in developing business continuity plans and processes</p> <p>1.7 Identify business-critical products and/or services and the activities and resources that support them</p>
<p>2 Be able to implement business continuity plans and processes</p>	<p>2.1 Develop a framework for business continuity management</p> <p>2.2 Recommend resources that are proportionate to the potential impact of business disruption</p> <p>2.3 Communicate the importance and requirements of business continuity plans and processes to stakeholders</p> <p>2.4 Meet their own objectives within the plan</p>
<p>3 Be able to maintain the fitness for purpose of on-going business continuity plans and processes</p>	<p>3.1 Provide training for staff who may be affected</p> <p>3.2 Validate and test the strength of business continuity plans and processes</p> <p>3.3 Update plans and processes in the light of feedback from business continuity exercises and other sources of information</p>

## Information for tutors

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### Suggested resources

#### Books

The Cabinet Office – *Business Continuity for Dummies* (Wiley & Sons, 2012)  
ISBN 9781118326831

Hotchkiss, S., – *Business Continuity Management: In Practice* (BCS, 2010)  
ISBN 9781906124724

#### Websites

[www.disasterrecovery.org](http://www.disasterrecovery.org) – DisasterRecovery.org are an independent organisation that provides guidance and information disaster recovery and business continuity planning. Some free templates are provided on the site

[www.gov.uk](http://www.gov.uk) – HM Government have published a Business Continuity Management Toolkit: 'How prepared are you?'

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

To achieve this unit, learners must be showing their ability to implement and maintain business continuity plans and processes. The main sources of evidence to meet learning outcome 1, learning outcome 2 and learning outcome 3 are a review of learners work products supported by professional discussion.

For learning outcome 1 learner work products could include evidence of active research such as their research notes and findings on business continuity plans (AC1.1 to AC1.5) and correspondence with the business stakeholders (AC1.6). These work products should be used as the basis for a professional discussion with the learner to meet the requirements of learning outcome 1, as well to evidence the learner's competence. For example, within the professional discussion the learner could explain the process they used to identify business-critical products (AC1.7).

For learning outcome 2 the main source of evidence would again come from a review of learner work products e.g. the plan framework, their recommendations and emails or letters sent (AC2.1 AC2.2 and AC2.3). This evidence should be supported by a professional discussion around the potential consequences of inadequate business continuity plans and processes (AC1.4) Witness testimony could also provide support to show that they have met their own objectives within the plan (AC2.4).

Evidence for learning outcome 3 would likely come from a combination of a review of work products and professional discussion plus witness testimony. Witness statements could be used to show that they have provided training for staff (AC3.1). Learner work products could include the original and new plans show the learner's updates (AC3.3). Within the professional discussion the learner could explain how they validated and tested the strength of business continuity plans and processes (AC3.2).

The use of a reflective account is a suitable alternative to professional discussion throughout the assessment of this unit.

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

## **Unit 14:** **Collaborate with Other Departments**

**Unit reference number:** **M/506/1931**

**Level:** **3**

**Credit value:** **3**

**Guided learning hours:** **14**

**Unit type:** **Competence**

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### **Unit summary**

An organisation cannot overlook the importance of collaboration and communication between departments. Business innovation and improvement requires collaboration amongst a variety of departments.

In this unit, you will learn how to collaborate with other departments. Work completed by one department with total disregard of the importance of that work to others and to the organisation as a whole is a thing of the past. Collaboration is important, especially as organisations become more widespread and complex. The unit will also equip you with the ability to identify opportunities for collaboration between variety of departments, from research and development to production to marketing to customer service, and the ability to collaborate with departments, all to better the work and achieve the desired outcomes of the organisation.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to collaborate with other departments	<ul style="list-style-type: none"><li>1.1 Explain the need for collaborating with other departments</li><li>1.2 Explain the nature of the interaction between their own team and other departments</li><li>1.3 Explain the features of effective collaboration</li><li>1.4 Explain the potential implications of ineffective collaboration with other departments</li><li>1.5 Explain the factors relating to knowledge management that should be considered when collaborating with other departments</li></ul>
2 Be able to identify opportunities for collaboration with other departments	<ul style="list-style-type: none"><li>2.1 Analyse the advantages and disadvantages of collaborating with other departments</li><li>2.2 Identify with which departments collaborative relationships should be built</li><li>2.3 Identify the scope for and limitations of possible collaboration</li></ul>
3 Be able to collaborate with other departments	<ul style="list-style-type: none"><li>3.1 Agree Service Level Agreements (SLAs), objectives and priorities of collaborative arrangements</li><li>3.2 Work with other departments in a way that contributes to the achievement of organisational objectives</li></ul>

**AC1.1: Explain the need for collaborating with other departments**

- *Collaboration*: definition i.e. cooperative arrangement in which two or more parties work jointly towards a common goal; techniques, e.g. brainstorming, affinity sorting/affinity diagrams, ranking
- *Need for collaboration*: reasons, e.g. cross-disciplinary skills and insight, innovation, builds trust, communication, stakeholder/team buy-in, greater productivity

**AC1.2: Explain the nature of the interaction between their own team and other departments**

- *The knowledge to meet this AC depends on the learner's own role and the particular organisational context. Learners need to apply the knowledge specific to their organisation to meet this AC.*

**AC1.3: Explain the features of effective collaboration**

- *Features*: e.g. shared goals, respect for all perspectives, empowerment of individuals, open communication, equal access to information, a collective mind set

**AC1.4: Explain the potential implications of ineffective collaboration with other departments**

- *Potential implications of ineffective collaboration*: e.g. conflict between individuals and departments, wasted resources, organisation's competitive ability is weakened, delays, inefficiencies, poor lines of communication

**AC1.5: Explain the factors relating to knowledge management that should be considered when collaborating with other departments**

- *Knowledge management*: i.e. strategies and processes designed to identify, capture, structure, value, leverage, and share an organisation's intellectual assets to enhance its performance and competitiveness
- *Factors to consider*: tacit and explicit knowledge to be managed; availability of IT systems to support the process e.g. intranets, databases; organisational culture, e.g. trust and willingness to share knowledge; suitability of engagement approaches; intellectual property; collaborative technologies to manage knowledge, e.g. groupware

## Information for tutors

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### Suggested resources

#### Books

Taylor S. and Woodhams C – *Studying Human Resource Management* (CIPD, 2012)  
ISBN 9781843983125

#### Websites

[www.forbes.com](http://www.forbes.com) – Forbes, has a useful article on the habits of collaborative organisations by Jacob Morgan titled The 12 Habits of Highly Collaborative Organizations

[www.kmworld.com](http://www.kmworld.com) – KMWorld supplies information on knowledge management. A recommended article is: What is KM? Knowledge Management explained by Michael Koenig. A subscription is required for full access to the site

[www.cipd.co.uk](http://www.cipd.co.uk) – CIPD has a range of factsheets to provide introductory guidance on a range of HR issues. Membership is required for full access

#### Other

*The Economist* – has a good (subscription) archive that includes specialist features and articles on management topics.

*How the workplace can improve collaboration* – Steelcase has a 360 white paper publication on how the workplace can improve collaboration on their website at [www.steelcase.com](http://www.steelcase.com)

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

The main sources of evidence to meet learning outcomes 2 and 3 are a review of the learner's work products, witness testimony and professional discussion.

For learning outcome 2, the learner's work products could include their notes or formal documentation relating to the department(s) with which collaborative relationships should be built, including the scope for and limitations of the potential collaborations (AC2.2 and AC2.3). These work products should be reviewed by the assessor to confirm that they meet the requirements of the specified assessment criteria, and could be used as the basis for the professional discussion with the learner to meet the requirements of AC2.1 as well to evidence the knowledge and understanding underpinning the learner's competence. For example, within the professional discussion the learner could explain the reasons for selecting the specific departments for collaboration in relation to the roles and responsibilities of those departments and the opportunities for synergies (AC2.2 and AC2.3).

For learning outcome 3, a combination of a review of the learner's work products, professional discussion and witness testimony could be used. Examples of work products could include the documented agreed SLAs, priorities and objectives of the collaborative arrangement or meeting notes indicating these (AC3.1). These work products should be reviewed by the assessor to ensure that they meet the requirements of the assessment criterion. The professional discussion could cover the content of SLAs and the process of developing the SLAs with the relevant departments. Witness testimony could also be used to provide evidence of the agreed SLAs as well as provide evidence that the learner can work with other departments in a way that contributes to the achievement of organisational objectives (AC3.2).

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion for learning outcomes 2, providing the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, the learner could be asked to explain the features of effective collaboration (AC1.3) in the context of how they have used them in collaborating and working with other departments (AC3.2). The learner's responses to meet the requirements for AC1.1 – 1.5 must be at a sufficient depth and breadth to meet the level of demand expected from an explanation. For example, the learner's response on the features of effective collaboration (AC1.3) should go beyond just statements but should include reasoning around why these features make the collaboration effective.

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



## **Unit 15:** **Support Remote or Virtual Teams**

**Unit reference number:** A/506/1933

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 18

**Unit type:** Competence

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### **Unit summary**

There has been a growth in remote working due to the increase in flexible working opportunities and improvements in remote technologies. It means that, in today's workplace, more people are working remotely at least some of the time. This unit is designed to give new and aspiring first line managers the skills and understanding needed to support remote or virtual teams. This unit focuses on the support such teams will require to work effectively.

In this unit, you will learn positive ways to address issues associated with remoteness and become equipped with practical tools to support remote teams. You will look at the additional challenges managers face due to the physical distance between themselves and their teams and be able to assess the safety risks and take measures to safeguard the health and welfare of remote teams in order to comply with the law. You will be able to deliver the support required by remote teams to ensure there are not barriers to communication that result in team members failure to adhere to requirements, that data security and confidentiality is addressed and that the teams are complying with the law.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Be able to assess the support needed by remote or virtual teams	<ul style="list-style-type: none"><li>1.1 Identify the resource requirements for providing communication tools and processes for remote or virtual working</li><li>1.2 Specify effective tools and processes that are capable of supporting remote or virtual teams</li><li>1.3 Identify processes and systems that will enable people to connect to information and knowledge remotely and securely</li><li>1.4 Plan how to assure the safety of staff in remote teams</li></ul>
2 Be able to support remote or virtual teams	<ul style="list-style-type: none"><li>2.1 Provide guidelines, training, information and coaching to support remote or virtual teams</li><li>2.2 Identify areas for improvement from monitoring processes and information</li><li>2.3 Facilitate interactive collaboration amongst stakeholders</li><li>2.4 Take action to ensure that team members adhere to regulatory, professional and commercial requirements</li><li>2.5 Take action to ensure that data security and confidentiality issues arising from remote or virtual working are addressed</li><li>2.6 Take action to ensure that records management issues arising from remote or virtual working are addressed</li></ul>

## Information for tutors

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### Suggested resources

#### Books

Fisher K and Fisher M – *Manager's Guide to Virtual Teams (Briefcase Books)* (McGraw-Hill Professional, 2011) ISBN 9780071754934

Harvard Business School Press – *Leading Virtual Teams (Harvard Pocket Mentor Series)* (Harvard Business School Press, 2010) ISBN 9781422128862

Siddons S – *Managing Remote Workers* (CIPD, 2014) ISBN 9781843982371

#### Websites

stet.editorially.com – an article by Mandy Brown titled Making remote teams work, published by the Writers' Journal on Culture & Technology looks at remote work culture from a positive angle

www.cipd.co.uk – the Chartered Institute of Personnel and Development (CIPD), has a useful resource to provide help to managers supporting remote teams titled Helping managers support remote lone workers. Membership is required for full access

www.helpscout.net – Help Scout has a useful article in their Loyalty Blog, on remote teams titled: Why Remote Teams Are the Future (and How to Make Them Work)

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

The main sources of evidence to meet learning outcomes 1 and 2 are a review of the learner's work products, professional discussion or reflective account and witness testimony.

For learning outcome 1, the learner's work products could include their notes or any formal documentation detailing the resource requirement, tools, processes and systems they have identified to support the remote or virtual team (AC1.1 – AC1.3). Work products could also include the plan created to ensure the health and safety of remote staff members (AC1.4). These work products should be reviewed by the assessor to ensure that they meet the requirements of the assessment criteria and could be used as the basis for the professional discussion with the learner to provide evidence of the knowledge and understanding underpinning their competence. For example, within the professional discussion the learner could explain the range of tools and processes available to support remote or virtual teams and how they decided on which ones to use for their identified team and context (AC1.2).

For learning outcome 2, the learner's work products could include relevant emails sent to remote or virtual staff, recordings of online training sessions with virtual or remote staff or any appropriate evidence of the actions taken in relation to the learning outcome. The product evidence should be supported by a professional discussion to corroborate the learner's competence. For example, the professional discussion could focus on the rationale for the particular areas identified for improvement (AC2.2) and the actions taken in relation to AC2.3 – AC2.6. Witness testimony from colleagues and line manager could also be used to provide evidence for many of the assessment criteria across learning outcome 2, for example AC2.1, AC2.3, AC2.4, AC2.5 and AC2.6.

The use of a reflective account is a suitable alternative to professional discussion throughout the assessment of this unit.

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

## Unit 16:

## Participate in a Project

**Unit reference number:** F/506/1934

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 19

**Unit type:** Competence

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### Unit summary

In this unit you will look at project management and the importance of creating a solid project business case that predicts as many of the dangers as possible and plans, organises and controls activities so that a project is completed successfully despite the risks.

You will look at the role of the project manager, creating a project team and the need to use related information to actively monitor progress to keep that team on the right path. You will look at the importance of monitoring the 'project management triangle' to keep the project on track. You will be able to support the delivery of a project in line with a project plan and in accordance with the policies of the business reporting on problems as they occur.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to manage a project	<ul style="list-style-type: none"><li>1.1 Explain the features of a project business case</li><li>1.2 Explain the stages of a project lifecycle</li><li>1.3 Explain the roles of people involved in a project</li><li>1.4 Explain the uses of project-related information</li><li>1.5 Explain the advantages and limitations of different project monitoring techniques</li><li>1.6 Analyse the interrelationship of project scope, schedule, finance, risk, quality and resources</li></ul>
2 Be able to support the delivery of a project	<ul style="list-style-type: none"><li>2.1 Fulfil their role in accordance with a project plan</li><li>2.2 Collect project-related information in accordance with project plans</li><li>2.3 Use appropriate tools to analyse project information</li><li>2.4 Report on information analysis in the agreed format and timescale</li><li>2.5 Draw issues, anomalies and potential problems to the attention of project managers</li><li>2.6 Adhere to organisational policies and procedures, legal and ethical requirements in supporting the delivery of a project</li></ul>

### **AC1.1: Explain the features of a project business case**

- *Business case*: predecessor for any project; visual/written presentation to management to gain approval to proceed with the project; structured and defined document using a template that complies with business rules and processes
- *Features*: describes the problem/issue at hand; reason for project; research to back up findings; how project will be executed to include expenses, timeline; project milestones and items that will be completed (deliverables)

### **AC1.2: Explain the stages of a project lifecycle**

- *Initiation*: defines scope, purpose, objectives, resources, deliverables, timescales and structure of the project
- *Planning*: creation of; project plan, resource plan, financial plan, quality plan, risk plan, acceptance plan
- *Execution*: monitoring and controlling; time management, cost management, quality management, change management, risk management, issue management, acceptance management, communications management
- *Closure and Evaluation*: determines project's overall success; documents lessons learned for future projects

### **AC1.3: Explain the roles of people involved in a project**

- *Project Manager*: role e.g. develops definition of project; ensures that project is delivered on time, on budget and to required quality standard; manages relationships with groups to include all contributors
- *Project sponsor*: role e.g. commissions others to deliver the project; defines project with Project Manager; ensures project is actively reviewed
- *Project Board (optional group)*: oversees progress of project; reacts to strategic problems
- *Senior Consultant*: manages supplier-side input
- *Project Team Members*: staff who actively work on project; varies with type of project; typical roles e.g. provision of functional expertise, identify and map information, train users
- *Project Administrator/Co-ordinator (in larger projects)*: role e.g. maintains project plan; provides administrative support to Project Manager

#### **AC1.4 Explain the uses of project-related information**

- Monitoring project progress; monitoring project team; allowing decisions to be made; suggesting adjustments to plan; steering team in right direction; evaluation of project; lessons learnt to inform future projects

#### **AC1.5 Explain the advantages and limitations of different project monitoring techniques**

- *Monitoring of Project Team*: advantages e.g. provides picture of broader trends, enables effective decision making by capturing detailed task level progress; limitations e.g. reports not always honest, may give no real indication of progress or may give favourable impressions without any substantiating evidence
- *Pulse meetings*: advantages e.g. face to face or virtual meeting where brief status updates are shared, usually only 10 minutes maximum; limitations e.g. separate meetings required to resolve problems raised
- *Milestone monitoring*: advantages e.g. identifies Critical Path activities/other major stages and decision points on project, deadlines are predetermined, plans can be adjusted in light of performance or changing circumstances; limitations e.g. unscheduled changes, unpredicted lack of progress

#### **AC1.6 Analyse the interrelationship of project scope, schedule, finance, risk, quality and resources**

- *Scope (quality)*: clear, specific statement as to what has been agreed to be performed/achieved in a project; lays out functions, features, data, content; clearly expresses the desired final result of a project
- *Schedule*: time required to complete components of a project; time required to carry out each task; duration of the project
- *Resources (cost)*: cost of a project; what and how many/much resources need to be dedicated to project; what needs to be applied or assigned to the project in terms of money and effort in order to make things happen such as resources to include manpower, materials, resources for risk management and assessment and third party resources
- *Triple constraint (the project management triangle)*: project scope/quality, resources/costs/finances and schedule/time as three aspects working together in balance; scope, schedule and cost are fully inter-related; each aspect affects another; aspects can change/fluctuate; any adjustment to any aspect must affect the other; if one is restricted/extended, others will need to be extended/increased; must be continually monitored by Project Manager



## Information for tutors

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### Suggested resources

#### Books

Barker, S., – *Brilliant Project Management: What the Best Project Managers Know, Do and Say (Brilliant Business)* (Pearson, 2012) ISBN 9780273775096

Graham, N., – *Project Management For Dummies* (John Wiley & Sons, 2010) ISBN 9780470711194

#### Assessment

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

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

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

#### Unit assessment requirements

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

This unit is a barred combination with unit R/506/1999 Manage a Project.

## Unit assessment guidance

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

To achieve this unit, learners must show participation in a project.

The main sources of evidence to meet learning outcome 2 are a review of learner work products and witness statements supported by professional discussion.

For learning outcome 2 learner work products could include their notes on the project plan and their associated role (AC2.1 and AC2.2) and the tools used to collect and analyse project information and reports on information (AC2.2, AC2.3 and AC2.4). Witness statements could be used to support the learner's delivery of a project (AC2.2 – AC2.6). These work products should be used as the basis for a professional discussion with the learner to meet the requirements of AC2.1 as well to evidence the learner's competence. For example, within the professional discussion the learner could explain the process they used to ensure they fulfilled their role whilst adhering to organisational policies and procedures (AC2.6).

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion or reflective account for learning outcome 2, providing the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, the relationship between the theory of managing a project and the ability to deliver a project could be explored. Learner responses or statements to meet the requirements for AC1.1 – 1.6 must be at a sufficient depth and breadth to meet the level of demand expected from an explanation and analysis. For example, the learner's response on the features of effective collaboration (AC1.3) should go beyond just statements but should include reasoning around how interrelationship of project scope, schedule, finance, risk, quality and resources can affect a project (AC1.6).

A reflective account can also be used to meet the requirements of the knowledge ACs in learning outcome 1, in particular AC1.6, which requires the learner to analyse the interrelationship of project scope, schedule, finance, risk, quality and resources.

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

## **Unit 17:**

## **Develop and Maintain Professional Networks**

**Unit reference number:** J/506/1949

**Level:** 4

**Credit value:** 3

**Guided learning hours:** 15

**Unit type:** Competence

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### **Unit summary**

In this unit, you will learn how to build and maintain relationships through networking by developing effective communication and interpersonal skills. Networking is about making connections and building mutually beneficial relationships. Social networking is very important in today's business world and you need to be aware of how to use it effectively to develop professional networks as well as understanding the risks this can pose in terms of privacy and confidentiality.

Developing network relationships is an important factor for business success and professional development. People do business with those they know and trust. In this unit, you will be able to establish potential business contacts by using a range of different opportunities to seek and find the people, agencies and organisations that can help cultivate networking for mutual benefit.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of effective networking	<ul style="list-style-type: none"><li>1.1 Describe the interpersonal skills needed for effective networking</li><li>1.2 Explain the basis on which to choose networks to be developed</li><li>1.3 Evaluate the role of shared agendas and conflict management in relationship-building</li><li>1.4 Evaluate the role of the internet in business networking</li><li>1.5 Assess the importance of following up leads and actions</li><li>1.6 Analyse ethical issues relating to networking activities</li></ul>
2 Be able to identify professional networks for development	<ul style="list-style-type: none"><li>2.1 Identify potential networks for professional development from an analysis of their benefits compared with individual needs and aspirations</li><li>2.2 Shortlist networks for development against defined criteria</li><li>2.3 Assess the benefits and limitations of joining and maintaining selected network(s)</li></ul>

Learning outcomes	Assessment criteria
<p>3 Be able to maintain professional networks</p>	<p>3.1 Identify the potential for mutual benefit with network members</p> <p>3.2 Promote their own skills, knowledge and competence to network members</p> <p>3.3 Provide information, services or support to network members where the potential for mutual benefit has been identified</p> <p>3.4 Establish the boundaries of confidentiality</p> <p>3.5 Agree guidelines for the exchange of information and resources</p> <p>3.6 Take action to ensure that participation in networks reflects current and defined future aspirations and needs</p> <p>3.7 Make introductions to people with common or complementary interest to and within networks</p>

**AC1.1: Describe the interpersonal skills needed for effective networking**

- *Networking*: definition, i.e. the exchange of information or services among individuals, groups, or institutions; business networking, i.e. nurturing productive relationships for employment or business; social networking
- *Interpersonal skills*: e.g. communication skills (verbal and non-verbal), creating good first impressions, building rapport, empathy, courtesy, respect, tolerance, personal presentation

**AC1.2: Explain the basis on which to choose networks to be developed**

- *Choosing networks*: reasons e.g. alignment with personal and career goals, industry connections, organisational goals, technological changes in the industry

**AC1.3: Evaluate the role of shared agendas and conflict management in relationship-building**

- *Role of shared agendas*: common purpose, shared commitment, diversity of knowledge and ideas, innovation
- *Cause of conflict*: power struggles, professional differences, barriers to communication, e.g. poor listening skills or sharing of information
- *Role of conflict management*: conflict can lead to new ideas and approaches; strengthens relationships; builds trust ; supports emotional awareness and self-management

**AC1.4: Evaluate the role of the internet in business networking**

- *Global network platforms*: social e.g. Facebook, Twitter; professional, e.g. LinkedIn, Plaxo, Biznik
- *Risks associated with internet networking*: e.g. hacking and posting of threatening online messages, cyber bullying

**AC1.5: Assess the importance of following up leads and actions**

- *Generating leads*: set achievable goals; know your target audience; practice professional pitch; interact and contribute to group discussions; capture contact information
- *Importance*: e.g. to produce results; builds trust, reputation and relationships

**AC1.6: Analyse ethical issues relating to networking activities**

- *Ethical issues*: integrity risk, e.g. posts that violates the organisation's ethical policy; irresponsible advertising and marketing practices; employees' rights to privacy and fairness; duty of care, e.g. maintaining personal and professional boundaries

## Information for tutors

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### Suggested resources

#### Books

Townsend, H. – *FT Guide to Business Networking: How to Use the Power of Online and Offline Networking for Business Success (The FT Guides)* (Financial Times/Prentice Hall, 2011) ISBN 9780273745822

Vermerien, J. – *How to Really Use LinkedIn* (Booksurge Publishing, 2009) ISBN 9781439229637

#### Websites

[www.gov.uk](http://www.gov.uk) – the Government services and information website, where practical business advice on networking can be found

[www.britishchambers.org.uk](http://www.britishchambers.org.uk) – the British Chambers of Commerce website which provides business support and advice on networking

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include network analysis documents, reports shortlisting networks for development, detailing the benefits and limitations of chosen networks and records detailing the outcome of establishing boundaries of confidentiality. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion the learner could discuss the criteria used to shortlist networks for development (AC2.2), the process used to establish boundaries of confidentiality and the process used to agree guidelines for the exchange of information and resources (AC3.4 and AC3.5). Alternatively, a reflective account could be used to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on the basis on which they have chosen networks to be developed, how they have used the internet in their networking activities and any ethical issues which relate to networking activities and how these have affected their activities (AC1.2, AC1.4 and AC1.6). The learner's reflective account must be in sufficient depth and breadth to meet the level of demand of the operative command verbs of AC1.1 to AC1.6.

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



# **Unit 18:**

## **Develop and Implement an Operational Plan**

**Unit reference number:** Y/506/1955

**Level:** 4

**Credit value:** 5

**Guided learning hours:** 24

**Unit type:** Competence

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### **Unit summary**

In this unit, you will learn how to develop and implement operational plans, focusing on the role and responsibilities involved. You will gain an understanding of the principles underpinning operational planning, including the use of risk analysis techniques and the relationship between strategic and operational plans.

You will learn about how planning tools and techniques are used in the process of operational planning and how to set objectives which are SMART when developing operational plans, whilst ensuring consistency with organisational strategy and adherence to your organisation's policies and procedures. You will be able to implement plans that you have developed, ensuring that plan requirements are communicated to all involved and understand how to conduct a cost-benefit analysis in order to evaluate the effectiveness of the plan.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of operational planning	<ul style="list-style-type: none"><li>1.1 Evaluate the use of risk analysis techniques in operational planning</li><li>1.2 Explain the components of an operational plan</li><li>1.3 Analyse the relationship between strategic and operational plans</li><li>1.4 Evaluate the use of planning tools and techniques in the operational planning process</li><li>1.5 Explain how to carry out a cost-benefit analysis</li></ul>
2 Be able to develop an operational plan	<ul style="list-style-type: none"><li>2.1 Identify specific, measurable, achievable, realistic and time-bound (SMART) objectives and key performance indicators (KPIs)</li><li>2.2 Identify evaluation mechanisms appropriate to the plan</li><li>2.3 Take action to ensure that plans are consistent with organisational strategy, objectives, values, policies and procedures</li><li>2.4 Develop proportionate and targeted plans to manage identified risks</li><li>2.5 Take action to ensure that plans complement and maximise synergy with other business areas</li><li>2.6 Adhere to organisational policies and procedures, legal and ethical requirements</li></ul>

Learning outcomes	Assessment criteria
<p>3 Be able to implement an operational plan</p>	<p>3.1 Implement plans within agreed budgets and timescales</p> <p>3.2 Communicate the requirements of the plans to those who will be affected</p> <p>3.3 Revise plans in the light of changing circumstances in accordance with strategic objectives and identified risks</p>
<p>4 Be able to evaluate the effectiveness of an operational plan</p>	<p>4.1 Conduct periodic reviews of the progress and effectiveness of the plans, using information from a range of sources</p> <p>4.2 Report on the effectiveness of operational plans in the appropriate format</p>

### **AC1.1: Evaluate the use of risk analysis techniques in operational planning**

- *Risk management*: definition of risk; types of risks e.g. environmental uncertainty, supply chain, outsourcing, market, task loading; risk management process, i.e. identify hazards, assess hazards, make risk decisions, implement controls, supervise; risk probability
- *Risk analysis*: qualitative techniques, e.g. probability and impact matrix (low, high rating), risk urgency assessment, risk categorisation, expert judgement; quantitative techniques, e.g. schedule risk analysis, sensitivity analysis, severity assessment, modelling and simulation

### **AC1.2: Explain the components of an operational plan**

- *Operational plan*: purpose, e.g. manages the use of resource to achieve the strategic objectives, direct the implementation of strategy, identifies responsibilities and tasks in line with strategic goals and objectives
- *Components of an operation plan*: varies across organisations; examples of components include, strategic goals and SMART objectives, activities and tasks to be completed, roles and responsibilities performance measures, KPIs, capacity requirements (human resources, time, systems, management structure), financial requirements, risk assessment and mitigation strategy

### **AC1.3: Analyse the relationship between strategic and operational plans**

- *Operational plans*: short to medium term planning; five performance objectives, (cost, dependability, flexibility, quality and speed)
- *Strategic plans*: long term planning to focus an organisation's vision and priorities; strategic management responsibility; framework and basis for lower level planning

### **AC1.4: Evaluate the use of planning tools and techniques in the operational planning process**

- *Planning tools and techniques*: budgeting, scheduling, charting (Gaant, Load); analysis (breakeven, PERT), forecasting, capacity planning (demand management, capacity management); scenario planning, contingency planning

### **AC1.5: Explain how to carry out a cost-benefit analysis**

- *Cost-benefit analysis*: definition (appraisal technique); purpose, e.g. assessing costs and benefits to determine the rate of return, evaluate project outcomes; analysis process including, identifying costs (physical and human resources, time) and benefits (tangible and intangible revenues) over project lifetime, allocating monetary value to costs and benefits, comparing value of costs and benefits; breakeven points; payback period

## Information for tutors

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### Suggested resources

#### Books

Jones, P., Robinson, P. – *Operations Management* (OUP, 2012)  
ISBN 9780199593583

Slack, N., Brandon-Jones, A. and Johnston, R. – *Operations Management* (7<sup>th</sup> edition) (Pearson, 2013) ISBN 9780273776208

#### Websites

[www.bis.gov.uk](http://www.bis.gov.uk) – the Department for Business, Innovation and Skills with tools and guidance for running a business

[www.businesscasestudies.co.uk](http://www.businesscasestudies.co.uk) – the business case studies website providing the Times 100 business case studies, including business operations

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

Evidence to achieve this unit should come from the learner's work activities in developing and implementing an operational plan.

Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing of learner work products, witness testimony and professional discussion or reflective account. The learner's work products could include the operational plan produced showing key areas such as the agreed SMART objectives and KPIs, activities and owners, resource allocation and risk mitigation strategies. Product evidence could also include other operational planning documentation, communications with those who will be affected by the operational plan and reports/presentations/communications detailing the outcomes of reviews into the effectiveness of the operational plans. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion the learner could discuss the rationale for the evaluation mechanisms used and the nature of the actions taken to ensure that the operational plan was in line with organisational requirements and maximised synergies with other functional areas (AC2.2, AC2.3 and AC2.5). The learner could also discuss the process for ensuring that plans are implemented within agreed budgets and timescales and the process for revising plans in accordance with strategic objectives and identified risks (AC3.1 and AC3.3). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met organisational requirements and that the operational plan was appropriate and aligned to organisational strategies and priorities, e.g. (AC2.3, AC2.5, AC2.6 and AC3.3).

Due to the overall cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2, 3 and 4 then it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on the usefulness and appropriateness of the risk analysis techniques, planning tools and techniques they have used in their planning (AC1.1 and AC1.4). The learner's reflective account for AC1.1 to AC1.5 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs. For example, to meet AC1.4, the learner needs to explain the planning tools and techniques used in the operational planning process, why certain tools and techniques were suitable, limitations they experience when using certain tools and techniques and how and when they could use different tools and techniques in the future when developing and implementing an operational plan.

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

## **Unit 19:** **Encourage Learning and Development**

**Unit reference number:** M/506/1962

**Level:** 4

**Credit value:** 3

**Guided learning hours:** 16

**Unit type:** Competence

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### **Unit summary**

In this unit, you will learn the principles of learning and development and the importance of this function in the human resources process to support the overall organisational strategy. You will understand that learning is complex and explore the theories of organisational learning and the learning organisation, with a focus on the fact that learning is a continuous process, not a set of discrete training activities.

You will have the opportunity to support individuals in identifying their current and likely future learning and development needs from a range of information sources and provide opportunities for them to apply their learning. As a result of this you will develop your understanding of the relationship between the learning and development function and whole organisational needs.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of learning and development	<ul style="list-style-type: none"><li>1.1 Assess the role of continuous professional development (CPD) in identifying and meeting individuals' learning and development for current and future business needs</li><li>1.2 Analyse the advantages and limitations of different learning and development methods</li><li>1.3 Explain how to identify individuals' learning and development needs</li><li>1.4 Evaluate the role of self-reflection in learning and development</li></ul>
2 Be able to support individuals' learning and development	<ul style="list-style-type: none"><li>2.1 Promote the benefits of learning to people in own area of responsibility</li><li>2.2 Support individuals in identifying their current and likely future learning and development needs from a range of information sources</li><li>2.3 Agree with individuals the learning activities to be undertaken, ensuring they are within agreed budgets and consistent with business needs</li><li>2.4 Summarise agreed learning objectives, learning activities, review mechanisms and success criteria in a personal development plan</li><li>2.5 Create an environment that encourages and promotes learning and development</li><li>2.6 Provide opportunities for individuals to apply their developing competence in the workplace</li></ul>



Learning outcomes	Assessment criteria
<p>3 Be able to evaluate individuals' learning and development</p>	<p>3.1 Analyse information from a range of sources on individuals' performance and development</p> <p>3.2 Evaluate the effectiveness of different learning and development methods</p> <p>3.3 Agree revisions to personal development plans in the light of feedback</p>

**AC1.1: Assess the role of continuous professional development (CPD) in identifying and meeting individuals' learning and development for current and future business needs**

- *Terminology:* Continuing Professional Education (CPE); Continuing Personal and Professional Development (CPPD), e.g. guiding choices, identifying the abilities and skills required for progression
- *Purpose of CPD:* review existing individual knowledge and skills; evaluating personal experiences; identifying need for updating of skills and knowledge e.g. requirements of professional bodies and organisation; employment or contractual requirement
- *Types of learning:* organisational learning, learning organisation; nature of learning; knowledge management; importance, e.g. contribution to achieving organisation's objectives; designed to achieve improvements in corporate, functional, team and individual performance

**AC1.2: Analyse the advantages and limitations of different learning and development methods**

- *Learning and Development (L&D):* progression opportunities e.g. new learning, alternative routes towards new skills; choice of methods, e.g. on job training, off job training, self-directed learning, planned experience, work shadowing, coaching, interactive computer based package, learning, course attendance
- *Factors affecting options available:* acceptability, location, access, internal and external resource availability, cost
- *Indicators:* labour turnover, productivity measures, quality improvements, performance indicators, e.g. sales figures, customer service feedback

**AC1.3: Explain how to identify individuals' learning and development needs**

- *Analysis methods:* e.g. initial assessment, skills matrix, competency assessment, critical incident technique, job learning analysis, assessment centres, appraisal, interviewing questioning and listening, self-assessment, 360° feedback

**AC1.4: Evaluate the role of self-reflection in learning and development**

- *Self-reflection:* theories and concepts of reflective practice, e.g. Honey & Mumford Learning Styles, Murphy's new situation awareness; analysing, evaluating relevance, identifying learning to apply to new experience
- *Methods:* reflective journal, self-assessment, evaluating learning and development activity, skills audit, training needs analysis, appraisal, SWOT analysis (strengths, weaknesses, opportunities, threats), organisation questionnaire on attitudes and practice; opportunities e.g. before or at start of new experience, on-going, 'Eureka' moments, when things go wrong, at end of experience, when required to do so

## Information for tutors

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### Suggested resources

#### Books

Beevers, K., Rea, A. – *Learning and Development Practice (2nd edition)* (Chartered Institute of Personnel and Development, 2013) ISBN 9781843983460

BPP Learning Media – *Business Essentials Human Resource Development and Employee Relations (BPP Learning Media, 2013)* ISBN 9781445368375

Harrison, R. – *Learning and Development (5th edition)* (Chartered Institute of Personnel and Development, 2009) ISBN 9781843982166

#### Websites

[www.cipd.co.uk](http://www.cipd.co.uk) – the Chartered Institute of Personnel and Development website offers resource and information relating to human resource practices and learning and development

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

Evidence to achieve this unit should come from the learner's work activities in a management and leadership role where they have responsibility for the learning and development of their team or direct reports.

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include communications or meeting minutes as a record of promoting the benefits of learning to people within their area of responsibility (AC2.1), appropriately anonymised personal development plans from within their area of responsibility, evidencing where learning objectives, activities, review mechanisms and success criteria have been agreed (AC2.4) and analysis records documenting where the learner has analysed information from a range of sources on individuals' performance and development, again within their area of responsibility (AC3.1). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could comment on the process for supporting individuals in identifying their current and likely future learning and development needs from a range of information sources (AC2.2), different learning and development methods used to support individuals' learning and development, the advantages and limitations of each and how to evaluate how effective they are (AC3.2) and the process for agreeing revisions to individuals' personal development plans following feedback received (AC3.3). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Evidence to confirm achievement of learning outcome 1 would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, then it would be best to integrate assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could assess the role of continuous professional development in terms of how they have used it in the learning and development process for their direct line reports (AC1.1). In a similar manner, the learner could analyse the advantages and the limitations of the learning and development methods they have used and comment on how they could improve on their practice in the future (AC1.2). The learner's reflective account to meet the requirements of AC1.1 to AC1.4 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

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

## **Unit 20:** **Discipline and Grievance Management**

**Unit reference number:** **A/506/1981**

**Level:** **4**

**Credit value:** **3**

**Guided learning hours:** **26**

**Unit type:** **Competence**

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### **Unit summary**

In this unit, you will learn how to manage both a disciplinary and a grievance case. In order to do this you will gain an understanding of the importance of following the ACAS Code of Practice and the difference between a disciplinary case and a grievance case.

You will learn that the disciplinary and grievance procedures are frameworks which provide clear and transparent structures for dealing with difficulties which may arise as part of the working relationship from either the employer's or employee's perspective. Employers must be compliant with current legislation and most will have their own procedures that comply with the ACAS code. You will examine the consequences for the organisation and the employee of poorly managed cases.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles supporting the management of discipline and grievance cases	<ul style="list-style-type: none"><li>1.1 Explain the difference between a discipline case and a grievance case and the implications for their management</li><li>1.2 Explain sources of advice and expertise on discipline and grievance</li><li>1.3 Explain the legal obligations of employers and the rights of employees in relation to discipline and grievance cases</li><li>1.4 Explain organisational procedures for the management of discipline and grievance cases</li><li>1.5 Explain the communication techniques to be used in the management of discipline and grievance cases</li><li>1.6 Explain the types of behaviours that are likely to result in disciplinary proceedings</li><li>1.7 Explain the types of actions that are likely to lead to a grievance</li><li>1.8 Explain how to carry out investigations into discipline and grievance cases</li><li>1.9 Analyse the effect of well managed and poorly managed discipline and grievance cases</li><li>1.10 Explain how the outcomes of discipline and grievance cases can be managed</li></ul>

Learning outcomes	Assessment criteria
<p>2 Be able to manage a disciplinary case</p>	<p>2.1 Inform an individual that they are subject to disciplinary proceedings within agreed timescales</p> <p>2.2 Explain to an individual the reasons why they are subject to disciplinary proceedings</p> <p>2.3 Provide evidence that supports the case for disciplinary proceedings</p> <p>2.4 Develop a case to support an individual who is subject to disciplinary proceedings</p> <p>2.5 Keep detailed and accurate records of agreements, actions and events for disciplinary cases</p> <p>2.6 Adhere to organisational policies and procedures, legal and ethical requirements when managing a disciplinary case</p>
<p>3 Be able to manage a grievance</p>	<p>3.1 Identify the nature of a grievance</p> <p>3.2 Investigate the seriousness and potential implications of a grievance</p> <p>3.3 Adhere to organisational procedures when managing a grievance</p> <p>3.4 Evaluate the effectiveness of how a grievance has been managed</p> <p>3.5 Agree measures to prevent future reoccurrences of grievances</p>

## Unit amplification

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### **AC1.1: Explain the difference between a discipline case and a grievance case and the implications for their management**

- *Discipline*: misconduct or unsatisfactory performance
- *Grievance case*: definition of grievance; causes e.g. bullying and harassment, discrimination, new working practices, organisational change

### **AC1.2: Explain sources of advice and expertise on discipline and grievance**

- *HR Department*: organisational policies and procedures
- *ACAS – Advisory, Conciliation and Arbitration Service*: mediation service, information, advice, training, dealing with employment disputes
- *Government Equalities Office*: develops government strategy and legislation about equality
- *CIPD – Chartered Institute of Personnel and Development*: provides factsheets and guidance
- *Employers Direct*: advice about employment law based on the ACAS Code of Practice
- *Employment tribunals*: decide claims about unfair treatment in the workplace

### **AC1.3: Explain the legal obligations of employers and the rights of employees in relation to discipline and grievance cases**

- *Legislation*: The Employment Act 2008; The Employment Tribunals (Constitution and Rules of Procedure) (Amendment) Regulations 2008;
- *Employer legal obligations*: e.g. follow the ACAS Code of Practice; inform employee of the basis of the problem; provide opportunity for employee to respond before formal decisions; appeals
- *Employee legal rights*: e.g. to be accompanied to a formal disciplinary or grievance meeting

### **AC1.4: Explain organisational procedures for the management of discipline and grievance cases**

- *Disciplinary procedure*: purpose, e.g. deals with discipline issues and underperformance; ensures rules and standards are maintained; format, i.e. *ACAS Code of Practice on Disciplinary and Grievance Procedures*; mediation
- *Grievance procedure*: definition; purpose; format i.e. *ACAS Code of Practice on Disciplinary and Grievance Procedures*



**AC1.5: Explain the communication techniques to be used in the management of discipline and grievance cases**

- *Communication techniques:* e.g. open, consistent and fair communication; formal communication; discuss the issue with the employee; in line with the ACAS Code of Practice

**AC1.6: Explain the types of behaviours that are likely to result in disciplinary proceedings**

- *Conduct:* e.g. timekeeping; health and safety breaches; discrimination or bullying; theft; fraud; unlawful behaviour

**AC1.7: Explain the types of actions that are likely to lead to a grievance**

- Terms and conditions of employment, breaches and changes
- *Workplace treatment:* e.g. discrimination; bullying
- *Working environment:* e.g. equipment; health and safety

**AC1.8: Explain how to carry out investigations into discipline and grievance cases**

- *Acas Code of Practice on Disciplinary and Grievance Procedures*
- *Establish facts:* without delay; informal action e.g. mediation; formal action; prior to disciplinary hearing; investigatory meeting; employee notified in writing; employee case; decision made on disciplinary case

**AC1.9: Analyse the effect of well managed and poorly managed discipline and grievance cases**

- *Well managed:* behaviour improved; problems resolved promptly; fair and consistent; employees clear on expectations;
- *Poorly managed:* unfair dismissal; employee unclear of expectations throughout process; facts not established

**AC1.10: Explain how the outcomes of discipline and grievance cases can be managed**

- Inform employee in writing; allow for appeal; any action disregarded for disciplinary purposes after specified period
- *Grievance case outcomes:* action set out in writing; right to appeal; issues relating to policies, procedures or conduct addressed
- *No action necessary:* e.g. employee unclear of expectations; agree to resolve issue; additional support or counselling
- *First formal action - unsatisfactory performance:* improvement note e.g. problem, required improvement, review date; first written warning; can lead to final written warning/dismissal
- *First formal action – misconduct:* required change in behaviour; can lead to final written warning
- *Final written warning:* misconduct serious; does not justify dismissal; for a specified period; can lead to dismissal
- *Dismissal or sanction:* unsatisfactory performance/misconduct following written warning; disciplinary penalty e.g. disciplinary transfer, demotion, loss of increment; dismissal with or without notice; gross misconduct

## Information for tutors

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### Suggested resources

#### Books

Armstrong, M. – *Armstrong's Handbook of Human Resource Management Practice (12th edition)* (Kogan Page, 2012) ISBN 9780749465506

Bratton, J., Gold, J. – *Human Resource Management: Theory & Practice (5th edition)* (Palgrave Macmillan, 2012) ISBN 9780230580565

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – the ACAS website, providing current ACAS leaflets and publications, advice, training and other employment information

[www.cipd.co.uk](http://www.cipd.co.uk) – the CIPD website, providing information about recruitment, selection and employment practices

[www.employersdirect-uk.org](http://www.employersdirect-uk.org) – the free advice service for employers website, including disciplinary information

[www.peoplemanagement.co.uk](http://www.peoplemanagement.co.uk) – the online magazine of the CIPD, providing the latest HR news, including articles on discipline and grievance management

### Assessment

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

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

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

#### Unit assessment requirements

Simulation is allowed for this unit and so the unit may be assessed either under real workplace conditions or in a Realistic Work Environment (RWE). Please refer to the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A* for further guidance on the use of simulation and RWE.

## Unit assessment guidance

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

Evidence to achieve this unit should come from the learner's work activities in managing disciplinary cases and grievances.

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include appropriately anonymised written communications informing an individual that they are subject to disciplinary proceedings, with evidence that this was done within agreed timescales (AC2.1), supporting documentation for a case to support an individual who is subject to disciplinary proceedings (AC2.4) and copies of records of agreements, actions and events kept by the learner in relation to a disciplinary case (aware of issues of confidentiality) (AC2.5). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the process for investigating the seriousness and potential implications of a grievance (AC3.2), organisational procedures related to the management of a grievance and how these should be adhered to (AC3.3) and the process for evaluating the effectiveness of how a grievance has been managed (AC3.4). Alternatively a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, then the assessment of this learning outcome should be integrated, giving the learner opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on a range of sources of advice and expertise on discipline and grievance which they have used (AC1.2), their organisation's procedures for the management of discipline and grievance cases and how they have applied these when managing a disciplinary or grievance case (AC1.4) and the processes they have used to manage the outcomes of discipline and grievance cases (AC1.10). The learner's reflective account to meet the requirements of AC1.1 to AC1.10 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

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

## **Unit 21:**

# **Develop Working Relationships with Stakeholders**

**Unit reference number:** F/506/1982

**Level:** 4

**Credit value:** 4

**Guided learning hours:** 20

**Unit type:** Competence

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### **Unit summary**

All organisations have stakeholders, both internal and external. Engaging with stakeholders involves establishing good lines of communication and maintaining a constructive relationship with them. This relationship with stakeholders is important to ensure that the organisation responds to their needs and is able to manage any competing priorities. Stakeholder relationships that are unmanaged or mismanaged can result in negative consequences for an organisation.

In this unit, you will learn that stakeholders are individuals or organisations that shape the operation of a business and/or are affected by the actions of the business. You will understand the importance of developing good working relationships with stakeholders and the consequences of poor engagement.

You will also develop the skills needed to plan for stakeholder engagement, such as stakeholder mapping, and the competences needed to develop and maintain productive working relationships with stakeholders.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<b>1</b> Understand working relationships with stakeholders	<b>1.1</b> Analyse stakeholder mapping techniques <b>1.2</b> Explain how influencing skills and techniques can be used to enhance the relationship with stakeholders <b>1.3</b> Explain how expectation management and conflict resolution techniques are applied to stakeholder management <b>1.4</b> Analyse the advantages and limitations of different types of stakeholder consultation <b>1.5</b> Evaluate the risks and potential consequences of inadequate stakeholder consultation
<b>2</b> Be able to determine the scope for collaboration with stakeholders	<b>2.1</b> Identify the stakeholders with whom relationships should be developed <b>2.2</b> Explain the roles, responsibilities, interests and concerns of stakeholders <b>2.3</b> Evaluate business areas that would benefit from collaboration with stakeholders <b>2.4</b> Evaluate the scope for and limitations of collaborating with different types of stakeholder
<b>3</b> Be able to develop productive working relationships with stakeholder	<b>3.1</b> Create a climate of mutual trust and respect by behaving openly and honestly <b>3.2</b> Take account of the advice provided by stakeholders <b>3.3</b> Minimise the potential for friction and conflict amongst stakeholders

Learning outcomes	Assessment criteria
<p>4 Be able to evaluate relationships with stakeholders</p>	<p>4.1 Monitor relationships and developments with stakeholders</p> <p>4.2 Address changes that may have an effect on stakeholder relationships</p> <p>4.3 Recommend improvements based on analyses of the effectiveness of stakeholder relationships</p>

### **AC1.1: Analyse stakeholder mapping techniques**

- *Types of stakeholder:* primary, secondary, key, internal, external, connected
- *Stakeholder mapping:* purpose, e.g. identifies potential conflicts, gaps, contradictions or incompatibilities between stakeholders, supports on-going two-way communication; mapping process, e.g. identifying key stakeholders, defining their concerns and issues, assessing their level of commitment or resistance
- *Mapping techniques:* e.g. basic stakeholder analysis (Bryson 1995), power versus interest grids (Eden and Ackerman 1998), stakeholder-influence diagrams (Eden and Ackerman 1998); features of techniques, e.g. two-by-two matrix, stakeholder interest and power as dimensions; importance of influence relationships; benefits and limitations of techniques; suitability of contexts

### **AC1.2: Explain how influencing skills and techniques can be used to enhance the relationship with stakeholders**

- *Influencing skills:* probing and listening, e.g. reflective questions, active listening; building rapport, e.g. signposting, framing and reframing, pacing; persuading, e.g. mirroring; assertiveness; negotiating (concessions, win-win)
- *Influencing techniques:* e.g. determining outcomes and objectives of the engagement process; setting the scene; understanding needs and values of other party; empathy
- *Impact on stakeholder relationship:* e.g. encourages shift from a transaction basis for business towards relationship basis; recognition of stakeholder needs; encourage support from powerful stakeholders; maintains open lines of communication

### **AC1.3: Explain how expectation management and conflict resolution techniques are applied to stakeholder management**

- *Managing expectations:* process, i.e. setting expectations, articulating risks and issues, communicating progress, monitoring expectations, influencing expectations; skills needed, e.g. influencing skills, communication skills, negotiation skills (concessions and compromises)
- *Conflict-resolution techniques:* different approaches, e.g. avoidance, domination, accommodation, consensus, compromise; facilitation; negotiation
- *Use of expectation management and conflict resolution techniques:* e.g. generating and negotiating solutions; seeking stakeholder input during planning; addressing concerns before they escalate; clarifying and resolving issues in a timely manner



**AC1.4: Analyse the advantages and limitations of different types of stakeholder consultation**

- *Methods of consultation: e.g.* focus groups/workshops; surveys and opinion polls; Web 2.0 tools events/roadshows; individual meetings/interviews; governance
- *Analysis to include:* advantages and limitations; suitability of methods to different types of stakeholder and the purpose of the consultation; clarity where decision-making power lies

**AC1.5: Evaluate the risks and potential consequences of inadequate stakeholder consultation**

- *Risks and potential consequences: e.g.* failure to achieve goals; damage to organisational reputation; lack of stakeholder acceptance; potential negative impact on customer retention and loyalty; negative publicity; conflicting views

## Information for tutors

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### Suggested resources

#### Books

Freeman RE, et al – *Stakeholder Theory: The State of the Art* (Cambridge University Press, 2010) ISBN 9780521137935

Friedman A L and Miles S – *Stakeholders: Theory and Practice* (OUP, 2006) ISBN 9780199269877

#### Websites

[www.bized.co.uk](http://www.bized.co.uk) – business education site with materials on business stakeholders

[www.businesscasestudies.co.uk](http://www.businesscasestudies.co.uk) – The Times 100 has case-study material on stakeholders

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following unit: *Chair and Lead Meetings*

Evidence to achieve this unit should come from the learner's work activities in developing relationships with either internal stakeholders, external stakeholders or a combination of both.

Evidence to demonstrate achievement of learning outcomes 2 and 4 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include stakeholder mapping/analysis documents, stakeholder engagement plan, related communications with colleagues and/or stakeholders and reports or records detailing the outcomes of the analyses of stakeholder relationships. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the criteria used to evaluate the scope and limitations of collaborating with different types of stakeholder and the process of monitoring stakeholder relationships and addressing the changes in these relationships (AC2.4, AC4.1 and AC4.2). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Evidence to demonstrate achievement of learning outcome 3 could come from direct observation of the learner in meetings with stakeholders. Evidence could also come from the learner's work products such as minutes/records of meetings and witness testimony from colleagues or a line manager who were present at the meetings. The evidence from performance can be supported by the assessment of learning outcome 1, as detailed below.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 4 then it would be best to integrate the assessment of this learning outcome, therefore giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on the influencing skills and conflict-resolution techniques they have used in meetings and discussions with stakeholders, explaining how they helped in achieving the desired outcomes and how they could possibly use other techniques in the future (AC1.2 and AC1.3). The learner's reflective account to meet the requirements of AC1.1 to AC1.5 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs. For example, for AC1.1, the learner needs to explain in detail the methodology of the mapping technique used, why it was suitable for the particular context/circumstance, the limitations experienced in using the technique and how, and when they could use other techniques in the future.

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

## Unit 22: Manage Physical Resources

Unit reference number: K/506/1989

**Level:** 4

**Credit value:** 4

**Guided learning hours: 26**

Unit type:	Competence
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## Unit summary

Every organisation will need physical resources to enable them to function and operate efficiently and there will often be occasions when it is necessary to purchase new or updated resources. When considering the purchase of new resources there are several factors that need to be considered such as the cost, potential benefits and the need to follow organisation procedures in the procurement of any purchase.

In this unit, you will learn how to identify the need for physical resources that meet the operational requirements of the organisation. You will learn how to evaluate alternative options for obtaining resources and the impact the new resources will have for the organisation. You will learn the organisational procedures and policies to follow in the procurement of the resource. You will gain an understanding of the factors that need to be taken into account when obtaining physical resources and the importance of using sustainable resources. You will gain an understanding of the importance of ensuring that the resources are managed and used efficiently.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Be able to identify the need for physical resources	1.1 Identify resource requirements from analyses of organisational needs 1.2 Evaluate alternative options for obtaining physical resources 1.3 Evaluate the impact on the organisation of introducing physical resources 1.4 Identify the optimum option that meets operational requirements for physical resources
2 Be able to obtain physical resources	2.1 Develop a business case for physical resources that is supported by evidence, cost estimates, contingency arrangements and an analysis of likely benefits 2.2 Obtain authorisation and financial commitment for the required expenditure 2.3 Negotiate best value from contracts in accordance with organisational standards and procedures 2.4 Adhere to organisational policies and procedures, legal and ethical requirements when obtaining physical resources 2.5 Check that the physical resources received match those ordered
3 Be able to manage the use of physical resources	3.1 Take action to ensure physical resources are used in accordance with manufacturers' instructions 3.2 Evaluate the efficiency of physical resources against agreed criteria 3.3 Recommend improvements to the use of physical resources and associated working practices 3.4 Analyse the benefits of effective equipment in the conservation of energy and the environment

## Information for tutors

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### Suggested resources

#### Books

Barrat C and Whitehead M – *Buying for Business: Insights in Purchasing and Supply Management* (John Wiley and Sons, 2004) ISBN 9780470092460

Chopra S and Meindl P – *Supply Chain Management: Strategy, Planning and Operation, 4th Edition* (Pearson Education, 2009) ISBN 9780136094517

Christopher M – *Logistics and Supply Chain Management, 4th Edition* (Financial Times/Prentice Hall, 2010) ISBN 9780273731122

Emmett S – *Supply Chain Management in 90 Minutes* (Management Books 2000, 2004) ISBN 9781852524760

Institute of Leadership and Management – *Controlling Physical Resources* (ILM Super Series), *4th Edition* (Pergamon, 2002) ISBN 9780750658867

#### Websites

[www.supplymanagement.com](http://www.supplymanagement.com) – the Chartered Institute of Purchasing and Supply website provides up to date information on purchasing and supply news, laws, analysis and resources

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

The evidence to demonstrate achievement of the learning outcomes is likely to come from a combination of learner work products, professional discussion or reflective accounts and witness testimonies.

For learning outcome 1 the learner's work products such as emails or minutes from meetings could be used to evidence where they have identified resource requirements, evaluated the alternative options for obtaining the resources, identified the optimum option and evaluated the impact of purchasing the resource (AC1.1, AC1.2, AC1.3, AC1.4). Alternatively, the evidence could be provided in a professional discussion or a reflective account. The evidence must be in sufficient depth to demonstrate that the learner has satisfied the command verbs of identify and evaluate.

For learning outcome 2 the learner should use the resource need identified in learning outcome 1 to develop a business case for the physical resource. Work products such as emails, minutes from meetings, purchase orders and invoices could provide evidence for AC2.1 and AC2.2. Relevant sections from organisational policies and procedures supported by witness testimony will provide evidence for AC 2.3 and AC2.4. The signed delivery note which highlights that resources have been checked will provide evidence for AC2.5.

The evidence for learning outcome 3 could be generated by witness testimonies from a line manager or colleagues, which shows that actions have been taken to ensure that the resource purchased in learning outcome 2 is used in accordance with the instructions provided by the manufacturer (AC3.1). Work products such as emails or minutes from meetings could provide evidence on the evaluation of the efficiency of the resource and recommendations for improvements to the use of the resource (AC3.2 and AC3.3). Alternatively, the evidence could be provided in a professional discussion or a reflective account. The evidence must be in sufficient depth to satisfy the command verb of evaluate for AC3.2. A reflective account could be used to provide evidence for AC3.4, to demonstrate where the learner has analysed the benefits of effective equipment in the conservation of energy and the environment.

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

# **Unit 23: Prepare for and Support Quality Audits**

**Unit reference number:** K/506/1992

**Level:** 4

**Credit value:** 3

**Guided learning hours:** 17

**Unit type:** Competence

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## **Unit summary**

In this unit, you will learn how to prepare for and support quality audits. In order to do this you will understand the principles underpinning the management of quality in an organisation and how this contributes to meeting organisational objectives. By examining the advantages and limitations of using different quality techniques you will understand the importance of promoting a quality culture and how customer satisfaction drives continuous improvement to meet standards.

This unit will introduce you to the concept of 'Total Quality Management (TQM)' and how this approach depends on the need to embed a quality culture in an organisation. This is important as business success is very dependent upon customer satisfaction and as technology and communications become more powerful, standards are more easily comparable.

You will prepare relevant documentation for work to be audited, identify where improvements could be made to processes, procedures, or standards, and develop a quality improvement plan to address any issues.



## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles underpinning the management of quality	<ul style="list-style-type: none"><li>1.1 Analyse the principles of quality management</li><li>1.2 Analyse the purpose and requirements of a range of quality standards</li><li>1.3 Analyse the advantages and limitations of a range of quality techniques</li><li>1.4 Assess how the management of quality contributes to the achievement of organisational objectives</li></ul>
2 Be able to prepare for quality audits	<ul style="list-style-type: none"><li>2.1 Establish the quality requirements applicable to the work being audited</li><li>2.2 Confirm that documentation is complete</li><li>2.3 Confirm that any previously agreed actions have been implemented</li><li>2.4 Make available information requested in advance by auditors</li></ul>
3 Be able to support quality audits	<ul style="list-style-type: none"><li>3.1 Provide access to information on request within scope of the audit</li><li>3.2 Agree actions and timescales with auditors that will remedy non-conformance or non-compliance</li><li>3.3 Identify instances where business processes, quality standards and/or procedures could be improved</li><li>3.4 Develop a quality improvement plan that addresses the issues raised</li></ul>

### **AC1.1: Analyse the principles of quality management**

- *Quality management Theories:* e.g. W Edwards Deming - PDCA Cycle; Joseph M Juran - quality trilogy; Kaoru Ishikawa – total quality viewpoint, 7 basic tools of quality; Philip B Crosby – 14 steps to quality improvements, Zero Defects, Quality is Free; A V Feigenbaum – total quality control
- *Quality management terminology:* e.g. fitness for purpose, Total Quality Management (TQM), Quality Assurance (QA), continuous improvement (Kaizen), quality indicators, quality measures (financial measures, customer-based measures)
- *ISO9001 8 Principles of quality management:* customer focus, leadership, involvement of people, process approach, system approach to management, continual improvement, factual approach to decision-making, mutually beneficial supplier relationship

### **AC1.2: Analyse the purpose and requirements of a range of quality standards**

- *Quality standards:* e.g. International Standards ISO9000 series, British Standards Institute (BSI) BS5750, Investors in People, CE marking, Royal warrants
- *Analysis to include:* purpose, requirements, application and benefits in business operations

### **AC1.3: Analyse the advantages and limitations of a range of quality techniques**

- *Quality techniques:* e.g. Six Sigma, TQM, Quality Circles, statistical process control, benchmarking

### **AC1.4: Assess how the management of quality contributes to the achievement of organisational objectives**

- *Contribution to achievement of organisational objectives:* by promoting a quality culture, e.g. self-managed teams and quality circles, 'interlocking teams'; product innovation and quality; improved customer relationship; partnerships with suppliers; external auditing
- *Management of quality:* leadership and commitment; action planning on areas for improvement; setting clear organisational objectives; empowering, mentoring, counselling; delegating; responding to feedback

## Information for tutors

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### Suggested resources

#### Books

Bicheno, J., Holweg, M. – *The Lean Toolbox: The Essential Guide to Lean Transformation (4th edition)* (Picsie Books, 2008) ISBN 9780954124458

Hoyle, D. – *ISO 9000 Quality Systems Handbook* (Butterworth-Heinemann, 2009) ISBN 9781856176842

Webber, L., Wallace, M. – *Quality Control for Dummies* (John Wiley & Sons, 2007) ISBN 9780470069097

Slack, N. et al – *Operations Management (7th edition)* (Pearson, 2013) ISBN 9780273776208

#### Websites

[www.efqm.org](http://www.efqm.org) – the European Foundation for Quality Management website which promotes the Excellence Model through forums, training, events and information

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

Evidence to achieve this unit must come from the learner's work activities when preparing for and supporting quality audits.

Evidence to demonstrate learning outcomes 2 and 3 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include the completed audit documentation and any evidence of actions used to confirm document completion and action implementation (AC2.2 and AC2.3). Work products could also include meeting minutes or audit reports detailing what actions and timescales have been agreed and the improvement plan developed to address quality issues (AC3.2 and AC3.4). The assessor should review the work products and use them to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the importance of ensuring that records and documentation are complete (AC2.2 and AC2.3) and the criteria and process used to identify instances where business processes, quality standards and/or procedures could be improved (AC3.3). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time well as to provide supporting evidence for assessment criteria such as AC2.4, AC3.1 and AC3.2.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, it would be best to integrate the assessment of this learning outcome, giving the learner opportunity to link and apply their knowledge to workplace activities. For example the learner could analyse the purpose and requirements of a range of quality standards in the content of how they are used to establish the quality requirements for the work audited. This enables the learner to make the relationship between the requirements of the relevant quality standards and the organisational quality requirements (AC1.1 and AC2.1). The learner's reflective account must be in sufficient depth and breadth to meet the level of demand of the operative verbs within AC1.1 to AC1.4. For example, for AC1.3, the learner needs to explain in depth a range of quality techniques, the advantages and limitations they have found with using these quality techniques and how they would use different techniques to improve on their practice in future quality audits.

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

## **Unit 24: Conduct Quality Audits**

**Unit reference number:** T/506/1994

**Level:** 4

**Credit value:** 3

**Guided learning hours:** 21

**Unit type:** Competence

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### **Unit summary**

In this unit, you will learn how to prepare and conduct quality audits. In order to do this you will understand the importance of quality management in an organisation and how this contributes to meeting organisational objectives. This unit is important as in today's business world customer satisfaction is seen to be fundamental to success and as technology and communications become more powerful everyone can more easily compare standards.

By examining the advantages and limitations of using different quality techniques you will understand how customer satisfaction drives continuous improvement to meet standards, as well as exploring the consequences of not meeting standards on an organisation's reputation. This unit will introduce you to the concept of 'Total Quality Management (TQM)' and how this approach depends on the need to embed a quality culture in an organisation.

In order to carry out the quality audit you will prepare a plan, agree quality criteria and requirements with those who will be involved in the audit, and use relevant documentation. Upon completion of the audit you will identify where improvements could be made to processes, procedures, or standards by agreeing remedial actions.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles underpinning the management of quality	<ul style="list-style-type: none"><li>1.1 Analyse the principles of quality management</li><li>1.2 Analyse the purpose and requirements of a range of quality standards</li><li>1.3 Analyse the advantages and limitations of a range of quality techniques</li><li>1.4 Assess how the management of quality contributes to the achievement of organisational objectives</li></ul>
2 Be able to prepare to carry out quality audits	<ul style="list-style-type: none"><li>2.1 Establish the quality requirements applicable to the work being audited</li><li>2.2 Develop a plan for a quality audit</li><li>2.3 Prepare the documentation needed to undertake a quality audit</li><li>2.4 Specify data requirements to those who will support the audit</li></ul>
3 Be able to conduct quality audits	<ul style="list-style-type: none"><li>3.1 Confirm that any previously agreed actions have been implemented</li><li>3.2 Analyse information against agreed quality criteria</li><li>3.3 Identify instances where business processes, quality standards and/or procedures could be improved</li><li>3.4 Agree actions and timescales that will remedy non-conformance or non-compliance</li></ul>

### **AC1.1: Analyse the principles of quality management**

- *Quality management Theories:* e.g. W Edwards Deming - PDCA Cycle; Joseph M Juran - quality trilogy; Kaoru Ishikawa – total quality viewpoint, 7 basic tools of quality; Philip B Crosby – 14 steps to quality improvements, Zero Defects, Quality is Free; A V Feigenbaum – total quality control
- *Quality management terminology:* e.g. fitness for purpose, Total Quality Management (TQM), Quality Assurance (QA), continuous improvement (Kaizen), quality indicators, quality measures (financial measures, customer-based measures)
- *ISO9001 8 Principles of quality management:* customer focus, leadership, involvement of people, process approach, system approach to management, continual improvement, factual approach to decision-making, mutually beneficial supplier relationship

### **AC1.2: Analyse the purpose and requirements of a range of quality standards**

- *Quality standards:* e.g. International Standards ISO9000 series, British Standards Institute (BSI) BS5750, Investors in People, CE marking, Royal warrants
- *Analysis to include:* purpose, requirements, application and benefits in business operations

### **AC1.3: Analyse the advantages and limitations of a range of quality techniques**

- *Quality techniques:* e.g. Six Sigma, TQM, Quality Circles, statistical process control, benchmarking

### **AC1.4: Assess how the management of quality contributes to the achievement of organisational objectives**

- *Contribution to achievement of organisational objectives:* by promoting a quality culture, e.g. self-managed teams and quality circles, 'interlocking teams'; product innovation and quality; improved customer relationship; partnerships with suppliers; external auditing
- *Management of quality:* leadership and commitment; action planning on areas for improvement; setting clear organisational objectives; empowering, mentoring, counselling; delegating; responding to feedback

## Information for tutors

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### Suggested resources

#### Books

Bicheno, J. and Holweg, M. – *The Lean Toolbox: The Essential Guide to Lean Transformation (4<sup>th</sup> edition)* (Picsie Books, 2008) ISBN 9780954124458

Hoyle, D. – *ISO 9000 Quality Systems Handbook* (Butterworth-Heinemann, 2009) ISBN 9781856176842

Webber, L. and Wallace, M. – *Quality Control for Dummies* (John Wiley & Sons, 2007) ISBN 9780470069097

Slack, N. et al – *Operations Management (7<sup>th</sup> edition)* (Pearson, 2013) ISBN 9780273776208

#### Websites

[www.efqm.org](http://www.efqm.org) – the European Foundation for Quality Management website which promotes the Excellence Model through forums, training, events and information

#### Other

*Benchmarking: An International Journal*, Emerald – this journal has many articles on total quality management

*Management Today*, Haymarket Business Media – this magazine provides information on the latest management thinking

*Professional Manager*, Chartered Management Institute – the official magazine of the CMI aimed at equipping managers with management knowledge and skills

*The TQM Journal*, Emerald – this journal provides guidance and discussions around Total Quality Management principles

### Assessment

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

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

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



## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

Evidence to achieve this unit should come from the learner's work activities in preparing to and carrying out quality audits.

Evidence to demonstrate achievement of learning outcomes 2 and 3 is likely to come from a combination of witness testimony, learner work products and professional discussion or reflective account. The learner's work products could include their quality audit plan, the relevant documentation for the quality audit, meeting minutes, communications to colleagues regarding data requirements and an audit report detailing the audit outcomes and any remedial actions. The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the criteria used for establishing the quality requirements applicable to the work being audited and how they went about analysing the information gathered against the agreed quality criteria (AC2.1 and AC3.2). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, it would be best to integrate the assessment of this learning outcome, giving the learner opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect upon the advantages and limitations of quality techniques which they have applied and how the management of quality has contributed to the achievement of objectives within their organisation (AC1.3 and AC1.4). The learner's reflective account must be in sufficient depth and breadth to meet the level of demand of the operative verbs within AC1.1 to AC1.4. For example, for AC1.3, the learner needs to explain in depth a range of quality techniques, the advantages and limitations they have found with using these quality techniques and how they would use different techniques to improve on their practice in future quality audits.

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

## Unit 25: Manage a Budget

Unit reference number: **A/506/1995**

Level: 4

**Credit value:** 4

**Guided learning hours: 26**

**Unit template:** **Competence**

## Unit summary

In this unit, you will learn how to set and manage a budget and evaluate how well it is meeting the organisation's need. This will involve assessing how the budget is reflecting the organisation's key strategic objectives, and whether it is showing up operating problems effectively, or revealing inefficiencies.

You will be introduced to concepts relating to the financial management, control and planning of an organisation. This will help you to understand that budgets should be challenging but achievable in given conditions as well as being available when people need the information. You will examine the issues relating to budgeting, planning and costs and learn how these inform management decision making and future budget setting.

## Learning outcomes and assessment criteria

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## Information for tutors

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### Suggested resources

#### Books

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

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

#### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

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

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

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

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



## Unit 26: Manage a Project

Unit reference number: R/506/1999

Level: 4

**Credit value:** 7

**Guided learning hours: 38**

Unit type:	Competence
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## Unit summary

In this unit, you will learn how to plan and manage a project and evaluate its effectiveness. You will gain an understanding of project management principles, methodologies and tools and techniques that may be used in any business.

You will develop an understanding of what constitutes a project, the skills needed to plan the activities needed to carry out the project, including how to carry out a cost-benefit analysis and risk assessment, and how to conduct project reviews. You will also understand how the project fits into the organisational environment.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the management of a project	<ul style="list-style-type: none"><li>1.1 Explain how to carry out a cost-benefit analysis for a project</li><li>1.2 Evaluate the use of risk analysis techniques</li><li>1.3 Evaluate project planning and management tools and techniques</li><li>1.4 Evaluate the impact of changes to project scope, schedule, finance, risk, quality and resources</li><li>1.5 Analyse the requirements of project governance arrangements</li></ul>
2 Be able to plan a project	<ul style="list-style-type: none"><li>2.1 Analyse how a project fits with an organisation's overall vision, objectives, plans and programmes of work</li><li>2.2 Agree the objectives and scope of proposed projects with stakeholders</li><li>2.3 Assess the interdependencies and potential risks within a project</li><li>2.4 Develop a project plan with specific, measurable, achievable, realistic and time-bound (SMART) objectives, key performance indicators (KPIs) and evaluations mechanisms appropriate to the plan</li><li>2.5 Develop proportionate and targeted plans to manage identified risks and contingencies</li><li>2.6 Apply project lifecycle approaches to the progress of a project</li></ul>

Learning outcomes	Assessment criteria
<p>3 Be able to manage a project</p>	<p>3.1 Allocate resources in accordance with the project plan</p> <p>3.2 Brief project team members on their roles and responsibilities</p> <p>3.3 Implement plans within agreed budgets and timescales</p> <p>3.4 Communicate the requirements of the plans to those who will be affected</p> <p>3.5 Revise plans in the light of changing circumstances in accordance with project objectives and identified risks</p> <p>3.6 Keep stakeholders up to date with developments and problems</p> <p>3.7 Complete close-out actions in accordance with project plans</p> <p>3.8 Adhere to organisational policies and procedures, legal and ethical requirements when managing a project</p>
<p>4 Be able to evaluate the effectiveness of a project</p>	<p>4.1 Conduct periodic reviews of the progress and effectiveness of a project using information from a range of sources</p> <p>4.2 Evaluate the effectiveness of capturing and managing project-related knowledge</p> <p>4.3 Report on the effectiveness of plans</p>

### **AC1.1: Explain how to carry out a cost-benefit analysis for a project**

- *Project management*: business case; stages in project life cycle, i.e. initiation, planning, execution, closure and evaluation; roles and responsibilities, e.g. project manager, project sponsor, project team members
- *Cost-benefit analysis*: definition (appraisal technique); purpose, e.g. assessing costs and benefits to determine the rate of return, evaluate project outcomes; analysis process including, identifying costs (physical and human resources, time) and benefits (tangible and intangible revenues) over project lifetime, allocating monetary value to costs and benefits, comparing value of costs and benefits; breakeven points; payback period

### **AC1.2: Evaluate the use of risk analysis techniques**

- *Risk analysis*: qualitative techniques, e.g. probability and impact matrix (low, high rating), risk urgency assessment, risk categorisation, expert judgement; quantitative techniques, e.g. schedule risk analysis, sensitivity analysis, severity assessment, modelling and simulation; use of documentation, e.g. risk log

### **AC1.3: Evaluate project planning and management tools and techniques**

- *Project management tools and techniques*: e.g. checklists/activity lists; project work plans; charting, e.g. Gantt Load; analysis, e.g. PERT, critical paths; risk management logs; dependencies, responsibilities

### **AC1.4: Evaluate the impact of changes to project scope, schedule, finance, risk, quality and resources**

- *Impact of changes*: contingency plans e.g. increase resources, change methods; degree to which critical success factors are met; achievement of performance measures; positive outcomes; negative outcomes; implications i.e. internal, external; potential future developments, e.g. short term, long term

### **AC1.5: Analyse the requirements of project governance arrangements**

- *Governance*: definition - set of policies, regulations, functions, processes, procedures and responsibilities that define establishment, management and control of projects, programmes and portfolios; principles of project governance
- *Three pillars of project governance*: structure (committee or steering group structure including stakeholder and user groups); people (role of sponsor relating to project manager and stakeholders); information (reports, issues, risks); roles and responsibilities

## Information for tutors

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### Suggested resources

#### Books

Horine, G. – *Project Management Absolute Beginner's Guide (3rd edition)* (QUE Publishing, 2012) ISBN 9780789750105

Nokes, S., Kelly, S. – *The Definitive Guide to Project Management: The Fast Track to Getting the Job Done on Time and on Budget (3rd edition)* (FT Publishing International, 2014) ISBN 9780273756378

Williams, M. – *The Principles of Project Management* (SitePoint, 2008) ISBN 9780980285864

#### Websites

[www.apm.org.uk](http://www.apm.org.uk) – the Association for Project Management website, providing articles on project management and information for practitioners on training and qualifications

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

This unit is a barred combination with unit F/506/1934 Participate in a Project.

## Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following unit: *Principles of Leadership and Management (learning outcome 1)*.

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

Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing of learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include a project plan and related documentation which they have developed that clearly shows agreed SMART objectives and KPIs, project members' roles and responsibilities, governance structure, tasks and activities to be completed, reporting structure and format, flow of activities and dependencies, evaluation mechanisms and risk mitigation plans. Product evidence could also include minutes from project meetings, relevant communications to project team members, risk logs and reports detailing the effectiveness of plans (AC2.2 – AC2.4, AC3.2 and AC4.3). The assessor should review the work products and use them to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion the learner could discuss how they agreed the objectives and scope of the projects with stakeholders and the importance of doing this, the process for assessing the interdependencies and identifying potential risks and the rationale for the targeted mitigation plans for these risks (AC2.2, AC2.3 and AC2.5). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the organisational requirements and that the project planning and management was effective, appropriate and aligned to organisational strategies and priorities, (AC2.1, AC3.6 and AC3.8).

Evidence to demonstrate achievement of learning outcome 1, would best come from a reflective account due to the cognitive demand of the assessment criteria. If a reflective account is used for learning outcomes 2, 3 and 4, then it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on how they carried out a cost-benefit analysis for a project, risk analysis techniques which they have used and the advantages and limitations of these and an evaluation of how changes impacted upon project scope, schedule, finance, risk, quality and resources of the project they were managing (AC1.1, AC1.2 and AC1.4). The learner's reflective account must be in sufficient depth and breadth to meet the requirements of the operative command verbs in AC1.1 to AC1.5.

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

## Unit 27:

## Manage Business Risk

**Unit reference number:** L/506/2004

**Level:** 4

**Credit value:** 6

**Guided learning hours:** 27

**Unit type:** Competence

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### Unit summary

Every organisation will face risks and each risk could be a potential threat to their success. Managing business risks is the process of identifying threats and then effectively implementing activities to manage or reduce the impact of the threats. This involves reviewing the business processes, identifying any potential threats and the consequences and then taking appropriate actions to address the potential threat.

In this unit, you will gain an understanding of the potential risks that could have an impact on organisations and the processes which could be implemented to identify the consequences and effect of the potential risk. You will gain an understanding of the processes, which could be implemented to mitigate the business risks. You will be responsible for identifying potential risks for your organisations and in assessing the consequence of these risks. You will have the opportunity to develop risk management plans, monitor on-going risk related developments and to evaluate the effectiveness of the actions taken.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the management of business risk	<ul style="list-style-type: none"><li>1.1 Explain what is meant by business risk</li><li>1.2 Analyse business risk identification theories and models</li><li>1.3 Explain measures and techniques to mitigate business risk</li><li>1.4 Explain their own level of authority in managing risk</li></ul>
2 Be able to address business risk	<ul style="list-style-type: none"><li>2.1 Monitor work in line with organisational risk procedures</li><li>2.2 Identify potential risks using agreed risk criteria</li><li>2.3 Assess identified risks, their potential consequences and the probability of them happening</li><li>2.4 Communicate to stakeholders the likelihood of the risk occurring and its potential consequences</li><li>2.5 Explain organisational business risk management policies</li></ul>
3 Be able to mitigate business risk	<ul style="list-style-type: none"><li>3.1 Develop risk management plans and processes that are proportionate to the risk and the available resources</li><li>3.2 Implement risk management plans in accordance with organisational requirements</li><li>3.3 Monitor on-going risk-related developments and amend plans in the light of changing circumstances</li><li>3.4 Keep stakeholders informed of any developments and their possible consequences</li><li>3.5 Evaluate the effectiveness of actions taken, identifying possible future improvements</li></ul>



### **AC1.1: Explain what is meant by business risk**

- *Business risk*: definition; relationship between risk and probability; different types of business risks, i.e. strategic risks, compliance risks, financial risks, operational risks, reputational risks; emerging risks, e.g. cyber risks, environmental liability
- *Influencing factors*: internal factors; external factors; factors out of the control of the business; factors controllable by the business; increased business costs, increased competitors or competitor activity, changes in the economic climate, new UK and EU legislation or regulations

### **AC1.2: Analyse business risk identification theories and models**

- *Techniques for identifying business risks*: e.g. risk analysis, risk management planning, business impact analysis, cost benefit analysis
- *Models for identifying risks*: SWOT analysis for identifying internal, external factors; PESTLE analysis, key external factors which impact on a business; **SLEPT** analysis, the social, legal, economic, political, technological influences; decision trees; Monte-Carlo technique, Delphi model

### **AC1.3: Explain measures and techniques to mitigate business risk**

- *Risk management*: assessing and prioritising risks; analysing impact and consequences; level of risk, low, medium, high; implementing appropriate processes, methods and tools to manage risks; monitoring and reviewing processes
- *Reducing risks*: implement quality processes; mitigation strategies, e.g. avoidance, acceptance, transference, control

### **AC1.4: Explain their own level of authority in managing risk**

- *The knowledge to meet this AC depends on the particular organisational context and the learner's role in that context. Learners need to apply the knowledge specific to their organisation to meet this AC.*
- *Level of authority*: roles; responsibilities; accountability

## Information for tutors

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### Suggested resources

#### Books

Boddy, D. – *Management: An Introduction, 5<sup>th</sup> Edition* (Financial Times/Prentice Hall, 2010) ISBN 9780273738961

British Standards Institution (BSI) – *BS ISO 31000: Risk Management – Principles and Guidelines* (BSI, 2009) ISBN 9780580675713

Dallas, M. – *Value and Risk Management - A Guide to Best Practice* (Blackwell, 2006) ISBN 9781405120692

Slack, N. et al – *Operations Management 6<sup>th</sup> Edition* (FT Prentice Hall, 2009) ISBN 9780273731603

#### Websites

europa.eu – the European Union website provides information on current EU legislation

www.gov.uk – the Government Services and Information website, where information on risk management can be found

www.hse.gov.uk – the Health and Safety Executive website which provides information on risk assessments

www.infoentrepreneurs.org – this website provides information on potential risks and risk management

www.managementhelp.org – this website provides a range of materials on risk management

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

To provide the evidence for this unit the learner will need to be involved in the process for identifying and managing business risks. The evidence to demonstrate achievement of all learning outcomes is likely to come from a combination of learner work products, professional discussion or reflective accounts and witness testimonies

For learning outcome 1 the evidence could be provided in a professional discussion or a reflective account which explains what is meant by business risk and the measures and techniques to mitigate business risk AC1.1, AC1.3. Work products such as reports, emails or letters could be used to provide evidence for AC1.1, AC1.3 but must be in sufficient depth to satisfy the command verb of explain. A reflective account could be used to analyse the business risk identification theories and models (AC1.2). For AC1.4 the learner will need to explain in a professional discussion or a reflective account the level of authority they have in managing risk within their organisation.

For learning outcome 2 the learner could use witness testimonies from their line manager or colleagues, which show how they have monitored work in line with organisational risk procedures (AC2.1). Work products such as reports, letters or emails supported by witness testimonies could provide evidence on how the learner has identified potential risks using the agreed risk criteria and assessed the identified risks, their potential consequences and the probability of them happening (AC2.2 and AC2.3). Copies of written communication appropriately anonymised, to stakeholders on the likelihood of the risk, the potential consequences, any developments and the consequences would provide evidence for AC2.4 and AC3.4. A professional discussion or a reflective account could be used to explain the organisational business risk management policies (AC2.5).

For learning outcome 3 the learner will need to develop and implement risk management plans and processes that are appropriate for the risk, the available resources and in accordance with organisational requirements. The evidence for AC3.1 and AC3.2 will be copies of the risk management plans supported by witness testimonies from line manager or colleagues. For AC3.3 the learner will need to provide evidence that they have monitored and, where relevant, amended the risk management plans. A professional discussion or a reflective account could be used to evaluate the effectiveness of the actions taken and to identify possible areas for improvement (AC3.5).

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

## Unit 28:

## Manage Knowledge in an Organisation

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

**Level:** 4

**Credit value:** 5

**Guided learning hours:** 34

**Unit type:** Competence

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### Unit summary

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

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

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

## Learning outcomes and assessment criteria

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**AC1.7: Describe strategies to manage tacit and explicit knowledge**

- *Distinction between tacit and explicit knowledge:* definition of each; differences
- *Managing tacit knowledge:* personalisation strategy; addresses storage of knowledge in human minds; transfer through person to person, e.g. storytelling, Communities of Practice, work shadowing, coaching
- *Managing explicit knowledge:* codification strategy; allows knowledge to be codified and stored in databases; access to knowledge through IT applications, e.g. intranets and the internet
- *Tacit versus explicit:* how the advantages of one approach can be used to help offset the disadvantages of the other

## Information for tutors

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### Suggested resources

#### Books

Becarra-Fernandez I and Sabherwal R – *Knowledge Management: Systems and Processes* (M E Sharpe, Inc, 2010) ISBN 9780765623515

Davenport T H and Prusak L – *Working Knowledge: How Organizations Manage What They Know*, 2nd Edition (Harvard Business Press, 2000)  
ISBN 9781578513017

Frappaolo C – *Knowledge Management*, 2nd Edition (Capstone, 2006)  
ISBN 9781841127057

Nonaka I (Ed.) – *Knowledge Management: Critical Perspectives on Business and Management* (Routledge, 2005) ISBN 9780415340298

#### Websites

[www.gov.uk](http://www.gov.uk) – UK government guide on intellectual property and how to protect ideas and inventions

[www.knowledge-management-tools.net](http://www.knowledge-management-tools.net) – an introduction to and overview of knowledge management

[www.unc.edu](http://www.unc.edu) – University of North Carolina website, provides an introduction to knowledge management and the impact it can have on an organisation

### Assessment

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

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

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

#### Unit assessment requirements

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



## Unit assessment guidance

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

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

The learner's work products could include records detailing the criteria for managing knowledge (AC2.1), report/notes detailing the fitness for purpose evaluation of the current knowledge management systems and processes (AC3.3) and records of relevant communications to colleagues or line manager, for example a report/an email recommending improvements to systems and processes (AC 3.4). The learner's work products may contain commercially sensitive information and this needs to be considered in the use of these documents.

The evidence from the work products should be supported by a reflective account or professional discussion to corroborate the learner's competence as well as meet the knowledge requirements in learning outcome 1. Within the reflective account or professional discussion, the learner could comment on the process used to decide on the criteria for managing knowledge, the criteria used to evaluate the fitness for purpose of the systems and processes and how the outcomes of this review relate to the improvements recommended (AC2.1, AC3.3 and AC3.4). The learner could also describe the relevant security processes for the collection, storage and retrieval of knowledge and explain the actions they have taken to comply with these (AC3.2). Witness testimony could also be used for learning outcomes 2 and 3 to provide supporting evidence for the learner's competence over time.

Evidence to demonstrate achievement of learning outcome 1 would best come from a reflective account or professional discussion. The assessment of this learning outcome could be integrated into the assessment of the underlying knowledge and understanding for learning outcomes 2 and 3. This gives the learner the opportunity to link and apply their knowledge to workplace activities, as well as easing the burden of assessment for both the assessor and the learner. For example, the learner could explain the best practice principles and techniques for managing knowledge in an organisation and relate this to their evaluation of the fitness for purpose of the systems and processes in their own organisation. This links the knowledge for AC1.6 to the learner's activities for AC3.3. Similarly, the learner could explain the importance of engaging others in the context of how they went about engaging colleagues to identify the knowledge to be managed (AC1.5 and AC2.2).

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

## Unit 29:

## Manage Redundancy and Redeployment

**Unit reference number:** M/506/2044

**Level:** 4

**Credit value:** 6

**Guided learning hours:** 39

**Unit type:** Competence

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### Unit summary

There will be occasions when a business will need to close, reorganise or relocate some of their business activities and the impact of these changes may result in the need to reduce their staffing levels or redeploy staff in other areas of the business. If there is a decline in customer demand for the products or services a business may need to reduce costs or sell their business and this could again result in the need to reduce staffing levels or to redeploy staff in different job roles.

In this unit, you will learn how to manage the redundancy and redeployment processes. You will gain an understanding of the legal requirements that relate to both the redundancies and redeployment processes, and the steps that must be followed to ensure that these processes are fair and non-discriminating. You will learn the impact that redundancies and redeployment can have on both individuals and the organisation, and gain an understanding of the information and guidance that needs to be available for employees who will be retained and those who will be made redundant or redeployed. This unit will provide the opportunity for you to manage both the redundancies and redeployment processes.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the management of redundancy	<ul style="list-style-type: none"><li>1.1 Explain the legal requirements that relate to the management of redundancy</li><li>1.2 Explain the conditions required for a redundancy and their implications</li><li>1.3 Explain possible ways of avoiding redundancies</li><li>1.4 Explain the factors involved in identifying the pool for redundancy selection</li><li>1.5 Explain the factors involved in developing an appeals process</li><li>1.6 Explain the process for planning and managing a redundancy</li><li>1.7 Evaluate the implications of voluntary and compulsory redundancy on individuals</li><li>1.8 Evaluate the implications of voluntary and compulsory redundancy for organisations</li><li>1.9 Evaluate the type of information required by staff who are retained</li><li>1.10 Evaluate the type of information required by staff who are made redundant</li><li>1.11 Assess the role of outplacement in redundancy</li></ul>

Learning outcomes	Assessment criteria
<p>2 Understand the principles of redeployment</p>	<p>2.1 Explain the concept of redeployment</p> <p>2.2 Explain the legal requirements that relate to the management of redeployment</p> <p>2.3 Explain the process for planning and managing a redeployment</p> <p>2.4 Evaluate the type of information required by staff who are retained</p> <p>2.5 Evaluate the type of information required by staff who are redeployed</p> <p>2.6 Evaluate the benefits and limitations to an organisation of redeployment</p> <p>2.7 Assess the role of project management techniques in the management of redeployment</p>
<p>3 Be able to manage a redundancy</p>	<p>3.1 Evaluate the available options for avoiding a redundancy and their implications</p> <p>3.2 Develop a redundancy plan and timetable that addresses redundancy objectives</p> <p>3.3 Take action to ensure that redundancy payments are calculated accurately</p> <p>3.4 Use an appropriate method for communicating the outcome of a redundancy decision</p> <p>3.5 Make agreed support services available to those who have been made redundant</p>

Learning outcomes	Assessment criteria
<p>4 Be able to manage the redeployment of staff</p>	<p>4.1 Explain to redeployees the reasons, purpose and benefits of redeployment</p> <p>4.2 Develop a redeployment plan that addresses agreed objectives</p> <p>4.3 Use an appropriate method for communicating about redeployment</p> <p>4.4 Make agreed support services available to those being redeployed</p> <p>4.5 Adhere to organisational policies and procedures, legal and ethical requirements for the redeployment of staff</p>

## Unit amplification

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### **AC1.1: Explain the legal requirements that relate to the management of redundancy**

- *Employment Law:* the impact of current UK legislation on the redundancy process; the impact of EU legislation on the redundancy process; appropriate procedures implemented; implementation of a fair and non-discriminating process

### **AC1.2: Explain the conditions required for a redundancy and their implications**

- *Reasons for redundancy:* closure of the organisation; need to cut expenditure by reducing staff numbers; change in business activities; external factors; introduction of new technology; employees do not have relevant skills and knowledge
- *The redundancy process:* criteria for selecting job role; criteria for selecting staff for redundancy
- *Implications:* maintain efficient service with reduced staffing levels; impact on retained staff; impact on morale and motivation; impact on reputation

### **AC1.3: Explain possible ways of avoiding redundancies**

- *Ways to avoid redundancies:* natural wastage; early retirement; using current employees to fill any vacancies; training or retraining; reducing hours or overtime; limiting the recruitment of permanent employees; reducing the use of temporary or agency staff; redeployment to a different location

### **AC1.4: Explain the factors involved in identifying the pool for redundancy selection**

- *Process for selecting employees:* fair; non discriminating
- *Selection process:* last in, first out; volunteers; review of disciplinary records; skills, qualifications and experience

### **AC1.5: Explain the factors involved in developing an appeals process**

- *Organisation process and procedure:* informing employees of appeals process: timeframe for appeals; representation; refusing the appeal; upholding the appeal; informing employee of the outcome
- *Benefit for organisation and employees:* opportunity to resolve issues early; identifies and deals with complaints; may reduce the need for a tribunal; awareness of employee reactions

**AC1.6: Explain the process for planning and managing a redundancy**

- *Planning the redundancy process:* informing managers or team leaders; notifying and consulting with all employees; selecting staff for redundancies; informing employees of notice periods and payments; providing the opportunity for staff to appeal
- *Steps in the redundancy process:* consultation with employer e.g. sharing of information, involvement of unions or representation; redundancy pay e.g. statutory redundancy payments, minimum service time; notice period; time off to search for a new job; appeals process e.g. organisational process and procedure
- *Managing the redundancy process:* effective communication skills; knowledge of current legislation; complying with organisational process and procedures; psychological impact e.g. illness and stress, staff morale and motivation

**AC1.7: Evaluate the implications of voluntary and compulsory redundancy on individuals**

- *Compulsory:* no choice; forced to leave job role; formal selection process
- *Voluntary:* choice; avoids selecting employees for compulsory redundancy; incentives; less stressful; opportunity for career change or retraining
- *Implication of redundancy:* loss of regular income; potential of finding new employment; impact on home life
- *Psychological impact of compulsory redundancy:* impact on employees and colleagues; impact on morale, motivation and self-esteem; stress

**AC1.8: Evaluate the implications of voluntary and compulsory redundancy for organisations**

- *Implications of redundancy:* loss of skills, knowledge and expertise; structural changes; change in job roles and responsibilities; effective management of morale and motivation of retained employees
- *Impact on retained employees:* lower morale; decrease in motivation; emotional; uncertainty of future; additional or change in work tasks

**AC1.9: Evaluate the type of information required by staff who are retained**

- *Type of information required:* any change in job role or responsibilities; future for the organisation; job security

**AC1.10: Evaluate the type of information required by staff who are made redundant**

- *Type of information:* selection process; notice period; payments; timescale involved; impact on pension; holiday entitlement; information on claiming benefits; references for potential job roles; appeals process; contact details for union representation; support available

**AC1.11: Assess the role of outplacement in redundancy**

- *Outplacement:* range of provision and support available; benefits for organisation; benefits for individuals

**AC2.1: Explain the concept of redeployment**

- *Redeployment:* definition; reduces the need for redundancies; reasons for redeployment e.g. decline in one area of the business, end of a fixed term contract, a change in individual circumstances such as illness

**AC2.2: Explain the legal requirements that relate to the management of redeployment**

- *Employment Law:* the impact of current UK legislation on redeployment; the impact of EU legislation that requires organisations to take an active approach to redeployment

**AC2.3: Explain the process for planning and managing a redeployment**

- *Planning redeployment:* matching vacancies to individual employee skills, knowledge and expertise; consultation with employee; outline of job role and responsibilities; revising and reviewing the employment contract to account for changes; offers in writing; acceptance or rejection of job offer
- *Managing redeployment:* effective communication skills; knowledge of current legislation; complying with organisational process and procedures

**AC2.4: Evaluate the type of information required by staff who are retained**

- *Type of information required:* changes in job role or responsibilities; changes in pay structure, incentives and bonuses; impact on contract and pensions; changes in working hours and holiday entitlement; future for the organisation; job security



**AC2.5: Evaluate the type of information required by staff who are redeployed**

- *Type of information required:* new role; job role and responsibilities; position in organisational structure; authority and accountability; terms on offer; skills, knowledge and experience required for job role; pay and bonus rates

**AC2.6: Evaluate the benefits and limitations to an organisation of redeployment**

- *Benefits of redeployment:* reduces the need for redundancies; retains valuable skills, knowledge and experience; no redundancy payments; removes costs and time involved in the recruitment and selection of staff to fill vacancies; reduces the time spent on induction and training; increase in employee commitment and loyalty
- *Limitation of redeployment:* no opportunity to access new skills and knowledge; retraining of existing employees; retaining employees with average performance

**AC2.7: Assess the role of project management techniques in the management of redeployment**

- *Project management techniques:* e.g. project work plans; charting e.g. Gantt Load; analysis e.g. PERT, critical paths; risk management logs; dependencies, responsibilities

## Information for tutors

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### Suggested resources

#### Books

Armstrong M – *A Handbook of Human Resource Management Practice* (Kogan Page, 2006) ISBN 9780749446314

Gennard J and Judge G – *Employee Relations* (Chartered Institute of Personnel and Development, 2005) ISBN 9781843980636

Rose E – *Employment Relations* (FT Prentice Hall, 2004) ISBN 9780273682592

Salamon M – *Industrial Relations: Theory and Practice* (FT Prentice Hall, 2001) ISBN 9780273646464

Sargeant M and Lewis D – *Essentials of Employment Law (People & Organisations)* (Chartered Institute of Personnel and Development, 2002) ISBN 9780852929858

Singh B D – *Industrial Relations and Labour Laws* (Excel Books, 2008) ISBN 9788174466204

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – the Advisory, Conciliation and Arbitration Service provides information on the redundancy process including rights, statutory payments, notice periods and consultation

[www.gov.uk](http://www.gov.uk) – the government services and information website where information can be found on being made redundant, including rights, statutory payments, notice periods and consultation

### Assessment

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

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

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

#### Unit assessment requirements

Simulation is allowed for this unit and so the unit may be assessed either under real workplace conditions or in a Realistic Work Environment (RWE). Please refer to the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A* for further guidance on the use of simulation and RWE.

## Unit assessment guidance

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

It is possible to use simulation for this unit but evidence from the learner's performance in the workplace should be used wherever possible. The evidence for this unit is most likely to come from a combination of learners' work products, professional discussion or reflective accounts and witness testimonies.

Due to the cognitive demand of the assessment criteria for learning outcomes 1 and 2 the evidence would be more appropriate in the form of a reflective account or a professional discussion. If reflective accounts are used for learning outcomes 3 and 4 it would, where appropriate, be possible to integrate the assessment of learning outcomes 1 and 2. This will provide the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, in a reflective account the learner could explain the possible ways of avoiding redundancies (AC1.3) and then how they evaluated the options available in their organisation for avoiding a redundancy and their implications (AC3.1).

For learning outcomes 1 and 2 the evidence could be generated in a reflective account or a professional discussion where the learner explains the legal requirements that relate to the management of redundancy and redeployment (AC1.1, AC2.2). A reflective account or a professional discussion could be used to explain the conditions required for redundancy, the implication on the organisation and the possible ways the organisation could avoid redundancies, such as the concept for redeployment (AC1.2, AC1.3 and AC2.1). The learner could also use a reflective account or professional discussion to explain the factors involved in identifying the pool for redundancy selection and the appeals process, and the process for planning and managing redundancy and redeployment (AC1.4, AC1.5, AC1.6, AC2.3). The professional discussions or reflective accounts must be in sufficient depth to satisfy the command verb of explain.

The learner could use a reflective account or a professional discussion to evaluate the implication of redundancy on individuals and the organisation and the benefits and limitations of redeployment (AC1.7, AC1.8 and AC2.6). A reflective account, professional discussion or work products could be used to evaluate the information required by staff who are to be made redundant, redeployed or retained (AC1.9, AC1.10, AC2.4 and AC2.5). Evidence could be drawn from interviews with staff but all documentation must be appropriately anonymised. A reflective account or a professional discussion could be used to assess the role of outplacement in redundancy and the role of project management techniques in the management of redeployment (AC1.11 and AC2.7). The professional discussions or reflective accounts must be in sufficient depth to satisfy the command verbs of evaluate and assess.

For learning outcomes 3 and 4, the evidence to confirm competence can either come from the learner's performance in the workplace, where the work context allows this, or from simulation. Where simulation is used, it must be a structured exercise involving a specific task that reproduces real life situations. The simulation exercise must allow the learner to meet the requirements of AC3.1 to AC3.5 and AC4.1 to AC4.5. Assessors must be confident that the simulation replicates the workplace to such an extent that the learner will be able to fully transfer their occupational competence to the workplace and real life situations. The simulation exercise should be agreed with the learner beforehand.

For learning outcome 3 a copy of a redundancy plan, the redundancy time table, calculations of redundancy payments checked and signed by a line manager or colleague would provide evidence for AC3.2, AC3.3. Communication of the outcome of the redundancy decisions, which are appropriately anonymised, would provide evidence for AC3.4. Work products, such as communications on the support services, witness testimonies from line manager or colleagues would provide evidence for AC3.5. Alternatively a reflective account or a professional discussion could be used for AC3.5.

For learning outcome 4 communications with staff who are being redeployed, which are appropriately anonymised, could provide evidence for AC4.1, AC4.3. For AC4.1 the communication must be in sufficient depth to satisfy the command verb of explain. A copy of the redeployment plan and a witness testimony from a line manager would provide evidence for AC4.2. Work products, such as communications on the support services, witness testimonies from a line manager or colleagues would provide evidence for AC4.4. Witness testimonies from a line manager or colleagues which demonstrate how the organisation policies and procedures on legal and ethical requirements were adhered to could provide evidence for AC4.5. Alternatively a reflective account or a professional discussion could be used for AC4.4, AC4.5.

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

## **Unit 30: Encourage Innovation**

**Unit reference number:** J/506/2292

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 14

**Unit type:** Competence

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### **Unit summary**

Without new and fresh ideas a business does not improve, and it can easily become stagnant. In a competitive world this could cause the business to struggle to survive.

In this unit, you will learn about the importance of innovation to a business. Unfortunately, generation of ideas is only the start of the process and so you will learn how look for ideas that could be improved and to work independently as well as within a team to generate and select ideas that could be implemented to better the business. You will look at how innovative ideas need to be tested and costed before they can be put into place and learn how to schedule and process ideas to make them viable.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Be able to identify opportunities for innovation	<ul style="list-style-type: none"><li>1.1 Analyse the advantages and disadvantages of techniques used to generate ideas</li><li>1.2 Explain how innovation benefits an organisation</li><li>1.3 Explain the constraints on their own ability to make changes</li><li>1.4 Agree with stakeholders terms of reference and criteria for evaluating potential innovation and improvement</li><li>1.5 Engage team members in finding opportunities to innovate and suggest improvements</li><li>1.6 Monitor performance, products and/or services and developments in areas that may benefit from innovation</li><li>1.7 Analyse valid information to identify opportunities for innovation and improvement</li></ul>
2 Be able to generate and test ideas for innovation and improvement	<ul style="list-style-type: none"><li>2.1 Generate ideas for innovation or improvement that meet the agreed criteria</li><li>2.2 Test selected ideas that meet viability criteria</li><li>2.3 Evaluate the fitness for purpose and value of the selected ideas</li><li>2.4 Assess potential innovations and improvements against the agreed evaluation criteria</li></ul>

Learning outcomes	Assessment criteria
<p>3 Be able to implement innovative ideas and improvements</p>	<p>3.1 Explain the risks of implementing innovative ideas and improvements</p> <p>3.2 Justify conclusions of efficiency and value with evidence</p> <p>3.3 Prepare costings and schedules of work that will enable efficient implementation</p> <p>3.4 Design processes that support efficient implementation</p>

## Information for tutors

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### Suggested resources

#### Books

Harvard Business Review – *HBR's 10 Must Reads on Innovation* (Harvard Business Review Press, 2013) ISBN 9781422189856

Lammiman J. and Syrett M – *Successful Innovation: How to Encourage and Shape Profitable Ideas* (Economist Books, 2002) ISBN 9781861972859

#### Websites

ec.europa.eu – the DG Enterprise and Industry website (part of the European Commission website) looks at innovation in the workplace. It places particular emphasis on the need to stimulate entrepreneurship and encourage the growth of SMEs. A recommended article is Workplace innovation

www.changedesigns.net – Change Designs offers a range of online ideas and advice. Membership is required for full site access

### Assessment

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

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

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

#### Unit assessment requirements

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



## Unit assessment guidance

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

Evidence to demonstrate achievement of the unit (learning outcomes 1, 2 and 3) is likely to come from a combination of direct observation, examination of the learner's work products, witness testimony from colleagues or line manager to confirm competence over a period of time and a reflective account. Where possible the learner could be observed in one-to-one conversations, team and stakeholder meetings and other relevant contexts where innovation development activities and behaviour could be observed. Learners' work products could include notes showing ideas for innovation, meeting notes and communications that show how the learner has engaged team members in finding opportunities to innovate, preparation or drafts of costings and schedules of work and agreed implementation procedures and processes (AC2.1, AC1.5, AC3.3 and AC3.4). The work products should be reviewed by the assessor to confirm that they meet the requirements of the assessment criteria and could be used to support the learner's reflective account, which should provide evidence for the explicit knowledge assessment criteria (AC1.1 and AC1.2) as well as provide evidence of the knowledge and understanding underpinning learners' performance.

Witness testimony from colleagues and line manager should also be used to provide supporting evidence for many of the assessment criteria within the unit as well as confirm that the learner has consistently met the requirements over a period of time.

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

## Unit 31:

## Manage the Impact of Work Activities on the Environment

**Unit reference number:** J/506/2907

**Level:** 4

**Credit value:** 4

**Guided learning hours:** 30

**Unit type:** Competence

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### Unit summary

The high volume of waste, which is generated by businesses each year, may result in additional costs for the business and may impact negatively on the environment. Over the past few years organisations have been encouraged to implement environmentally friendly processes and to look for efficient ways to conserve and minimise the use of energy, water and resources. Implementing environmentally friendly work activities can result in rewards for both the business and the environment such as the reduction in business costs and a reduction in the organisation's carbon footprint.

In this unit, you will gain an understanding of how work activities can have an adverse effect on the environment and how this can be reduced through the appropriate management of work activities. You will gain an understanding of the specialist advice which is available to provide guidance and support for your organisation. You will learn how environmentally friendly practices are, or could be, initiated to improve working practices and procedures. You will have the opportunity to evaluate the effectiveness of your organisation's environment policies and procedures and to develop a system which recommends improvements to make work practices more environmentally friendly.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to support environmentally-friendly working practices	<ul style="list-style-type: none"><li>1.1 Explain how to carry out an environmental impact analysis</li><li>1.2 Compare sources of specialist advice on environmentally-friendly working practices</li><li>1.3 Analyse the business and environmental benefits of effective energy management policies</li><li>1.4 Explain the health and safety requirements for the use and disposal of resources and waste</li></ul>
2 Be able to organise work so as to minimise the impact on the environment	<ul style="list-style-type: none"><li>2.1 Analyse potentially adverse effects on the environment caused by work activities</li><li>2.2 Evaluate the effectiveness of methods of improving environmental sustainability in an organisation</li><li>2.3 Implement plans and procedures to adapt work practices to make them more environmentally-friendly</li><li>2.4 Develop a system for colleagues to recommend improvements to make work practices more environmentally-friendly</li></ul>

Learning outcomes	Assessment criteria
<p>3 Be able to manage the environmental impact of the use of resources</p>	<p>3.1 Explain when to obtain specialist environmental management advice</p> <p>3.2 Explain where to seek specialist environmental management advice</p> <p>3.3 Determine the environmental impact of the use of different physical resources</p> <p>3.4 Develop procedures for the disposal of waste and unwanted resources in a way that minimises the impact on the environment</p> <p>3.5 Evaluate the effectiveness of organisational environmental policies and procedures</p> <p>3.6 Adhere to organisational policies and procedures, legal and ethical requirements</p>

### **AC1.1: Explain how to carry out an environmental impact analysis**

- *The role of the environmental impact analysis:* definition; an information gathering exercise; to identify the impact and effects on the environment; deciding whether the project should proceed, be amended or withdrawn; identifying areas for change; complying with UK and EU legislation and regulations
- *Stages in the analysis:* a description of the work activity, e.g. identifying key factors which will impact on the environment such as air pollution, noise, substantial factors, minimal risks; a review of alternative methods, e.g. use of different resources, reduction in waste products; producing an environmental statement, e.g. description of project, main characteristics of the work processes

### **AC1.2: Compare sources of specialist advice on environmentally-friendly working practices**

- *Government bodies:* e.g. government departments; local government; local councils;; contact through lobbying MPs, public meetings, surgeries, correspondence
- *Statutory policies:* legislation or regulatory policies; copies of White Papers; government or local authority websites; the Health and Safety Executive
- *Government agency:* public sector departments such as the Department for Transport or Health
- *UK Organisations and Pressure Groups:* groups with different views and opinions, e.g. Environmental Change Institute; Friends of The Earth UK; Greenpeace UK

### **AC1.3: Analyse the business and environmental benefits of effective energy management policies**

- *Organisation policies:* energy policy statements; energy audits; monitoring and review of processes; adhering and commitment to policies and procedures; accountability
- *Benefits to business:* improved energy efficiency; preferred by stakeholders; enhanced brand image; reduces risk of adverse publicity; more opportunity of contracts with ethical organisations; reduction in business costs due to reusing resources, implementation of energy saving devices; access to Government green taxes, reliefs and schemes
- *Benefits to environment:* reduction in waste products; reduction in carbon emissions and pollutions; minimising the risk from waste disposal on people and other organisations

**AC1.4: Explain the health and safety requirements for the use and disposal of resources and waste**

- *Characteristics of waste:* commercial waste; industrial waste; agricultural waste
- *Use of waste:* reuse; recycling of metal, glass, plastic, paper
- *Use of resources:* work activities such as production, machining; impact of work activities on the environment; safety of resources; impact of resources on user health; reducing the use of resources; reduction in waste product
- *Disposal of waste or resources:* waste collection; transportation; classifying waste products for correct transportation and disposal; records of waste production; waste storage; recycling waste products; contamination from landfill; air pollution from incineration; water pollution from drainage seepage
- *Potential problems:* costs; location of recycling facilities; production of methane; odour; pests; fly tipping; land contamination; storing and disposal of hazardous waste; insufficient secure storage facilities; injury and illness
- *Health and safety:* implementation of safe working practices; appropriate policies and procedures; prevention of pollution to the air, water, land; prevention of injury or illness; issue of appropriate PPE; risk assessments
- *Legislation and regulations:* current relevant UK and EU legislation; duty of care; use of resources and waste; safe disposal of waste and resources; procedures for dealing with hazardous waste; transportation of resources and waste, including hazardous waste; procedures for reporting an environment incident

## Information for tutors

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### Suggested resources

#### Books

Banerjee S – *Corporate Social Responsibility: The Good, the Bad and the Ugly* (Edward Elgar Publishing, 2009) ISBN 9781848444546

Buckingham S, Turner M – *Understanding Environmental Issues* (Sage Publications, 2008) ISBN 9780761942368

Dresner S – *The Principles of Sustainability* (Routledge, 2008) ISBN 9781844074969

Epstein M – *Making Sustainability Work: Best Practices in Managing and Measuring Corporate Social, Environmental and Economic Impacts* (Greenleaf Publishing, 2008) ISBN 9781906093051

Glasson J, Therivel R and Chadwick A – *Introduction to Environmental Impact Assessment* (Routledge, 2005) ISBN 9780415338363

Hillson D and Murray-Webster R – *A Guide to Corporate Responsibility* (RSI British Standards Institution, 2006) ISBN 9780580493102

#### Websites

[www.cipd.co.uk](http://www.cipd.co.uk) – the CIPD website provides information on corporate responsibility

[www.gov.uk](http://www.gov.uk) – the government services and information website which provides information on the management of waste

[www.ibe.org.uk](http://www.ibe.org.uk) – the Institute of Business Ethics website provides information and resources on business ethics

[www.managementhelp.org](http://www.managementhelp.org) – this website provides information on business ethics and social responsibility

### Assessment

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

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

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

## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

The evidence to demonstrate achievement of all three learning outcomes is likely to come from a combination of learners' work products, professional discussion or reflective accounts and witness testimonies.

For learning outcome 1 the evidence could be provided in a professional discussion which explains how to carry out an environmental impact analysis, a comparison of the sources which provide specialist advice on environmentally friendly working practices and an analysis of the business and environmental benefits of effective energy management policies (AC1.1, AC1.2 and AC1.3). The evidence must be in sufficient depth to satisfy the command verbs of explain, compare and analyse.

The evidence for AC1.4 could come from work products, such as emails, letters or reports, which explain the health and safety requirements for the use and disposal of resources and waste. Alternatively the evidence could be provided in a professional discussion or a reflective account.

For learning outcome 2, the evidence could be work products, such as reports, letters or emails, which analyse the potential adverse effects on the environment from work activities (AC2.1). Work products, such as reports, letters or emails, which evaluate the effectiveness of the methods of improving environmental sustainability would provide evidence for AC2.2. The work products must be in sufficient depth to satisfy the command verb of analyse and evaluate. Alternatively the evidence for AC2.1 and AC2.2 could be provided in a professional discussion or a reflective account.

The evidence for AC2.3 could be copies of the plans and procedures which have been implemented to adapt work practices to make them more environmentally friendly. The evidence for AC2.4 could be witness testimonies from a line manager or from colleagues who have used the system developed.

For learning outcome 3 the learner has to explain when to obtain and where to seek specialist environmental management advice (AC3.1 and AC3.2) and this could be produced in a reflective account, with the learner outlining where they have done this and integrated with the comparison of the sources of specialist environmentally friendly advice (AC1.2).



The evidence for AC3.3 could come from work products, such as reports, letters or emails, where the learner has determined the environmental impact of the use of different physical resources. Alternatively the evidence for AC3.3 could be provided in a professional discussion. The evidence for AC3.4 will be copies of the procedures developed by the learner for the disposal of waste and unwanted resources to minimise the impact on the environment. The procedures could be supported by a witness testimony from a line manager or colleague. The evidence for AC3.5 could be provided in a reflective account or professional discussion which evaluates the effectiveness of the organisation's environmental policies and procedures. Work products, such as reports, letters or emails, could be used for AC3.5 but should show that the learner has satisfied the command verb of evaluate. Witness testimonies from a line manager or colleagues could be used for AC3.6 to evidence how the learner has adhered to the organisational policies and procedures, legal and ethical requirements.

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

## Unit 32:

## Recruitment, Selection and Induction Practice

**Unit reference number:** R/506/2909

**Level:** 4

**Credit value:** 6

**Guided learning hours:** 33

**Unit type:** Competence

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### Unit summary

In this unit, you will learn how to manage the recruitment, selection and induction processes to ensure the appointment of the most suitable people. As labour is both an expensive and valuable resource, it is important to ensure its use is planned and that staff of right calibre with suitable experience and expertise are recruited. The skills demanded by employers change as markets, technology, the legal framework and working practices change.

You will learn the importance of the main stages of identifying staff requirements, from undertaking a job analysis, through to recruitment and induction. This includes examining methods of selection and understanding the role of employment legislation as it affects recruitment and selection.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles and theories underpinning recruitment, selection and induction practice	<ul style="list-style-type: none"><li>1.1 Explain workforce planning techniques</li><li>1.2 Describe the information needed to identify recruitment requirements</li><li>1.3 Assess the impact of an organisation's structure and culture on its recruitment and selection policies and practices</li><li>1.4 Analyse the factors involved in establishing recruitment and selection criteria</li><li>1.5 Evaluate the suitability of different recruitment and selection methods for different roles</li><li>1.6 Analyse patterns of employment that affect the recruitment of staff</li><li>1.7 Explain the factors to be taken into account when developing job specifications, personal specifications and job advertisements</li><li>1.8 Explain the induction process</li><li>1.9 Explain the relationship between human resource processes and the induction processes</li></ul>

Learning outcomes	Assessment criteria
<p>2 Be able to recruit people into an organisation</p>	<p>2.1 Determine current staffing needs</p> <p>2.2 Identify current skills needs from identified staffing needs</p> <p>2.3 Identify future workforce needs</p> <p>2.4 Develop a resourcing plan that addresses identified needs within budgetary limitations</p> <p>2.5 Evaluate the cost-effectiveness of different methods of recruitment for an identified role</p> <p>2.6 Explain how recruitment policies and practices meet legal and ethical requirements</p> <p>2.7 Select the most appropriate method of recruitment for identified roles</p>
<p>3 Be able to select appropriate people for the role</p>	<p>3.1 Plan assessment processes that are valid and reliable</p> <p>3.2 Provide those involved in the selection process with sufficient information to enable them to make informed decisions</p> <p>3.3 Justify assessment decisions with evidence</p> <p>3.4 Inform applicants of the outcome of the process in line with organisational procedures</p> <p>3.5 Evaluate the effectiveness of the selection process</p> <p>3.6 Adhere to organisational policies and procedures, legal and ethical requirements when carrying out selection assessments</p>

Learning outcomes	Assessment criteria
<p>4 Be able to induct people into an organisation</p>	<p>4.1 Develop induction materials that meet operational and new starters' needs</p> <p>4.2 Explain to new starters organisational policies, procedures and structures</p> <p>4.3 Explain to new starters their role and responsibilities</p> <p>4.4 Explain to new starters their entitlements and where to go for help</p> <p>4.5 Assess new starters' training needs</p> <p>4.6 Confirm that training is available that meets operational and new starters' needs</p> <p>4.7 Provide support that meets new starters' needs throughout the induction period</p>

### **AC1.1: Explain workforce planning techniques**

- *Workforce planning:* purpose, e.g. ensuring organisation has sufficient staff to enable efficient operation, clarify the future situation and the staffing implications; process stages, i.e. supply analysis, demand analysis, gap analysis, strategy development; techniques, e.g. scenario planning, trend analysis, impact analysis, Delphi technique

### **AC1.2: Describe the information needed to identify recruitment requirements**

- *Analysis:* purpose, e.g. to meet increased or decreased volumes of business, employee turnover; job analysis, e.g. tasks, skills, qualifications, experience; current staffing levels; matching existing skills with skills requirements
- *Job description:* purpose, content, format, e.g. title, overall purpose of job, key accountabilities, scope of post, education, skills, experience, key result areas, terms and conditions
- *Person specification:* job title, essential and desirable attributes e.g. qualifications, training, experience, competences, special aptitudes, personality, interests

### **AC1.3: Assess the impact of an organisation's structure and culture on its recruitment and selection policies and practices**

- *Organisational structures:* functional, product-based, geographically based, multi-functional and multi-divisional structures, matrix, centralisation and decentralisation
- *Organisational culture:* classification of organisational culture, e.g. power culture, role culture, task culture, person culture; cultural norms and symbols; values and beliefs; development of organisational culture, cultural issues
- *Impact of organisation's structure and culture on policies and practices:* selection based on values and work culture; reward and development strategies, e.g. pay, pension schemes, health care, flexible working, career breaks

### **AC1.4: Analyse the factors involved in establishing recruitment and selection criteria**

- *Internal factors:* organisational needs, e.g. demand for products and services, new products and services, new markets, technological change, location of production; skills requirements; workforce profiles e.g. age, gender, ethnicity, ability
- *External factors:* supply of labour, labour costs; workforce skills; government policy; labour market competition; changing nature of work; employee expectations, e.g. full time, part time, permanent, temporary, casual work; demand for products and services

**AC1.5: Evaluate the suitability of different recruitment and selection methods for different roles**

- *Recruitment methods:* e.g. advertising in press or professional journals, advertising agencies, recruitment consultants, job centres, websites, networking
- *Selection methods:* e.g. assessment centres, interviews, ability tests, psychometric testing, bio data, references
- *Evaluation:* cost effectiveness of the process; rigour of methods used to ensure validity; achievement of new staff against benchmarks and targets; retention and development of staff

**AC1.6: Analyse patterns of employment that affect the recruitment of staff**

- *Patterns of employment:* technological developments; globalisation; changing work patterns, e.g. flexible working, part-time working, working from home, work/life balance; seasonal peaks and troughs; economic factors; customer demand for outside traditional working hours; religious observances; zero hours contracts

**AC1.7: Explain the factors to be taken into account when developing job specifications, personal specifications and job advertisements**

- *Legislative factors:* relating to equal opportunities (Equality Act 2010), discrimination, employment rights and responsibilities (Health and Safety at Work Act (1974), contractual terms and conditions, protection of personal data (Data Protection Act 1998)
- *Policies and procedures:* equality and diversity, working time, health and safety, pay, discipline, grievance, maternity/paternity, whistle blowing, smoking and drug use

**AC1.8: Explain the induction process**

- *Induction process:* probationary period to assess work performance and future potential; integration into workplace culture; formal induction course, content e.g. information about the organisation, health and safety, policies, procedures and working arrangements, trade unions and employee involvement, pay and benefits, performance management processes, learning opportunities; on-the-job induction, e.g. coaching, job analysis, self-managed learning arrangements

**AC1.9: Explain the relationship between human resource processes and the induction processes**

- *Human Resource processes:* recruitment and selection, training and development, compensation and benefits, performance management, career management, leadership and development

## Information for tutors

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### Suggested resources

#### Books

Armstrong, M. – *Armstrong's Handbook of Human Resource Management Practice (13th edition)* (Kogan Page, 2014) ISBN 9780749469641

Brown, J.N. – *The Complete Guide to Recruitment: A Step-by-Step Approach to Selecting, Assessing and Hiring the Right People* (Kogan Page, 2011) ISBN 9780749459741

Yeung, R. – *Successful Interviewing and Recruitment (Creating Success) (revised edition)* (Kogan Page, 2010) ISBN 9780749462222

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – the Advisory, Conciliation and Arbitration Service website, providing information on workplace problems, including the recruitment and induction advisory booklet

[www.cipd.uk](http://www.cipd.uk) – the Chartered Institute of Personnel and Development websites, including resources on the topic of recruitment

[www.gov.uk](http://www.gov.uk) – the Government services and information website, including information on employment

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.



## Unit assessment guidance

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

Evidence to achieve this unit should come from the learner's work activities in the practice of recruitment, selection and induction within an organisation.

Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include work notes, reports or a resourcing plan that demonstrates where the learner has determined current staffing needs, current skills needs and future working needs (AC2.1 to AC2.4). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the organisation's recruitment policies and procedures and how these meet the relevant legal and ethical requirements (AC2.6), the criteria they would use to evaluate the effectiveness of the selection process (AC3.5) and the process for assessing new starters' training needs (AC4.5). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2, 3 and 4 then it would be best to integrate the assessment of this learning outcome, therefore giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on their organisation's structure and culture and the impact that this has had on its recruitment and selection policies and practices (AC1.3), the factors that they have had to take into account when developing job specifications, personal specifications and job advertisements as part of the recruitment process (AC1.7) and their organisation's human resource and induction processes and the relationship between them (AC1.9). The learner's reflective account to meet the requirements of AC1.1 to AC1.9 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

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

## Unit 33:

## Buddy a Colleague to Develop Their Skills

**Unit reference number:** M/506/1895

**Level:** 2

**Credit value:** 3

**Guided learning hours:** 19

**Unit type:** Competence

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### Unit summary

Buddying is an important part of helping to develop skills and knowledge needed to carry out any role in an organisation. It will give you the opportunity work with a new member of staff in your organisation and introduce them to their new work colleagues and surroundings. It gives you the opportunity to pass on knowledge learned whilst being employed in the company and to help to solve day-to-day problems that a new member of staff will encounter. You will also be able to develop your own leadership and people skills as well as develop the confidence of your buddy.

In this unit, you will learn how to give positive and constructive criticism to a colleague working within the confines of the expectations of a buddy. You will have the opportunity to develop new techniques which will build a relationship with your buddy, skills you will be able to use in later life in different situations. Being a buddy means being organised and setting dates for monitoring and checking on progress, and creating action plans and sticking to them. You will get the opportunity to pass on your experience and give your buddy advice and guidance.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to buddy a colleague	1.1 Describe what is expected of a buddy 1.2 Explain techniques to give positive feedback and constructive criticism 1.3 Explain techniques to establish rapport with a buddy
2 Be able to plan to buddy a colleague	2.1 Agree which aspects of a colleague's work may benefit from buddying 2.2 Confirm organisational requirements for standards of behaviour, presentation, communication and performance of a buddy colleague 2.3 Agree a schedule of meetings that minimise disruption to business 2.4 Agree specific, measurable, achievable, realistic and time-bound (SMART) buddying objectives
3 Be able to support a buddy colleague carrying out work activities	3.1 Remain unobtrusive while a buddy colleague carries out their work activities 3.2 Provide examples of how to carry out tasks correctly 3.3 Identify instances of good practice and areas for improvement through observation 3.4 Praise a buddy colleague on well completed tasks 3.5 Give constructive feedback on ways in which a buddy could improve performance 3.6 Offer a buddy hints and tips based on personal experience

### **AC1.1: Describe what is expected of a buddy**

- *Expectations of a buddy:* to give key information about the organisation and reduce uncertainty; introductions to key members of staff; advise on where to go for additional help if required; explain organisational processes and procedures; be a point of contact, e.g. support, advice, guidance; arrange regular meetings to check progress and answer questions; maintain confidentiality

### **AC1.2: Explain techniques to give positive feedback and constructive criticism**

- *Techniques to giving positive feedback and constructive criticism:* start and end with a compliment; keep eye contact at all times when giving feedback; use humour where applicable; be specific; include examples; choose a suitable time and place to deliver feedback

### **AC1.3: Explain techniques to establish rapport with a buddy**

- *Techniques to establish rapport:* be friendly and approachable; hold structured face to face meetings which is informative and builds confidence; balance the talking between both people; be available when required to answer routine questions, this could be either face to face or via e-mail or telephone; work closely to improve the situation and make their introduction to the organisation a better experience; listen; validate thoughts and opinions of others

## Information for tutors

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### Suggested resources

#### Books

Carysforth C – Administration NVQ Level 2 (Heinemann, 2006)  
ISBN: 9780435463335

Sutherland J and Sutherland D – *Business and Administration NVQ Level 2*  
(Hodder Education, 2011) ISBN: 9781444144208

#### Websites

[www.mindtools.com](http://www.mindtools.com) – this website provides processes and techniques to make the most of careers, including mentoring skills

[www.mrc.ac.uk](http://www.mrc.ac.uk) – the medical research council website, which provides guidance for mentors

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

The evidence for demonstrating achievement of learning outcome 2 and learning outcome 3 is likely to come from a combination of direct observation of the learner acting within their role as a buddy, examination of the learner's work products, questions and answers (Q&A) and witness testimony. Buddying can relate to mentoring and shadowing and can refer to a new employee or an existing colleague.

The learner's work products for learning outcome 2 could include the agreed development plan for the buddy, notes from meetings, diary showing schedule meetings and records of relevant communications, e.g. emails – these would provide evidence for AC2.1, AC2.3, AC2.4. Q&A and/or witness testimony could be used to provide evidence for AC2.2.

The evidence from any direct observation for learning outcome 3 could be supported by examining work products such as reports, notes from meetings and record of communications to buddies, e.g. emails – this would provide further evidence to meet the assessment requirements, for example, AC3.3, AC3.4, AC3.5 and AC3.6. Witness testimony could be used to support the evidence from direct observation for all the assessment criteria in learning outcome 3. Q&A can be used to close any gaps in the evidence required, for example AC3.3 and AC3.6.

Questions and answers (Q&A) or learner diary could be used to meet the assessment requirements of learning outcome 1. It is good practice to relate the assessment of the knowledge with the competence activities carried out by the learner. For example, the learner could explain the techniques to give positive feedback and constructive criticism by drawing on how they have done this to meet AC3.5. Learners' responses must be at the appropriate breadth and depth to meet the level of demand of the knowledge assessment criteria; for example, the responses must have sufficient detail about the techniques to give positive feedback and constructive criticism (AC1.2) and the techniques to establish rapport with a buddy (AC1.3).

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

## Unit 34: Contribute to the Improvement of Business Performance

Unit reference number: **D/506/1911**

**Level:** 3

**Credit value:** 6

**Guided learning hours: 33**

Unit type:	Competence
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## Unit summary

Problem solving and decision-making are important skills for business and life. Problems that arise in any aspect of a business could lead to disagreements, work errors, poor quality and loss of profits. There are processes and techniques to improve decision-making, the quality of potential solutions and decisions that deliver tangible benefits and an overall improvement in the efficiency and effectiveness of the business.

This unit covers the knowledge and skills required to solve problems in any context and contribute to the achievement of process and quality improvements. You will consider the types of problems that can arise at work and ways that these can be resolved using a decision-making approach. You will be required to contribute to the identification of the root cause of problems, examine the key stages in the decision-making process and determine the corrective actions that need to be implemented to meet organisation, legal or regulatory requirements.

You will use a variety of business improvement models, such as Kaizen and Six Sigma, and a range of techniques including 5 Whys, Boston Matrix, Ishakawa (Fishbone) Diagram to solve problems and develop a resource plan (master schedule) that will establish quantifiable objectives and targets for the improvement activity. You will contribute to the development of standard operating procedures (SOPs) that could relate to the maintenance of equipment, health and safety practices and procedures, process procedures or quality improvements.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of resolving business problems	<ul style="list-style-type: none"><li>1.1 Explain the use of different problem-solving techniques</li><li>1.2 Explain the organisational and legal constraints relating to problem-solving</li><li>1.3 Describe the role of stakeholders in problem-solving</li><li>1.4 Describe the steps in the business decision-making process</li><li>1.5 Analyse the implications of adopting recommendations and implementing decisions to solve business problems</li></ul>
2 Understand improvement techniques and processes	<ul style="list-style-type: none"><li>2.1 Describe the purpose and benefits of continuous improvement</li><li>2.2 Analyse the features, use and constraints of different continuous improvement techniques and models</li><li>2.3 Explain how to carry out a cost-benefit analysis</li><li>2.4 Explain the importance of feedback from customers and other stakeholders in continuous improvement</li></ul>



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

## Unit amplification

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

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

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

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

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

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

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

*Steps:*

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

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

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

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

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

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

*Continuous improvement models:* Kaizen, PDCA, Six Sigma, DMAIC

- *Features:* structured approach to problem solving, improvements based on smaller changes, ideas generated from within the organisation
- *Uses:* continuous improvement, innovation, develop a design, reduce waste, improvement in productivity and efficiency
- *Constraints:* commitment over time, change in mind-set, resistance to change

*Continuous improvement techniques*

- *Planning*
  - o *Features:* master schedule, SIPOC, problem and goal statements, time bound visual plans, commercial and bespoke software task management systems, responsibility and accountability
  - o *Use:* to determine the 'what, why, how and when', to provide structure
  - o *Constraints:* limits of stakeholder engagement, timescales
- *Stakeholders identification/engagement*
  - o *Features:* key stakeholder involvement, RACI Matrix, Boston Matrix
  - o *Use:* to capture ideas, to remove barriers, to ensure individual buy-in and engagement throughout the process, to prioritise areas to be addressed and timescales required, to identify the significance/extent of a problem
  - o *Constraints:* networking skills, communication skills, lack of ownership or accountability, lack of hard data/evidence, differing attitudes and objectives

- *Visual management*
  - o *Features:* effective communication processes, visual aids, e.g. signs, charts, display or performance boards, company handbooks, key performance indicators, standard operating procedures, voice of the customer
  - o *Use:* to provide current status at a glance, standardisation of approach, identification of non-standard approaches, to increase employee involvement and motivation, to raise productivity and quality, to facilitate faster decision-making
  - o *Constraints:* currency and value if not maintained, timely dissemination of information to participants
- *Problem solving*
  - o *Features:* brainstorming, affinity diagram, Ishakawa Fishbone diagram, 5 Whys, RCA, data gathering
  - o *Use:* to eliminate problems, to treat the cause not the symptoms, to add value by improving business processes, e.g. efficiency, service, health and safety
  - o *Constraints:* timescales, knowledge of the problem, desire to jump to the solution

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

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

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

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

## Information for tutors

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### Suggested resources

#### Books

Evans V – *Key Strategy Tools: The 80+ Tools for Every Manager to Build a Winning Strategy*, 1st Edition (FT Publishing International, 2013)

ISBN 9780273778868

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

ISBN 9780071392310

Weiss AE – *Key Business Solutions: Essential Problem-Solving Tools and Techniques That Every Manager Needs to Know*, 1st Edition (FT Prentice Hall, 2011) ISBN 9780273750291

#### Websites

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

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

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

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

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

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

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

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

### Assessment

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

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

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

## Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

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

For AC1.1; AC1.2; AC1.3; AC1.4 and AC2.2, learners could provide examples of the types of problems that exist in their workplace with an explanation of the techniques used to determine the cause. Learners could provide a description of the stakeholders involved in this process and their roles. Learners could explain the limitations of problem-solving from an organisation and legal point of view. Professional discussion or reflective accounts could be used demonstrate the learners' achievement of the knowledge-based criteria that could also link to AC2.1; AC2.3 and AC2.4. Learners could describe the purpose and benefits of continuous improvements in their work environment and provide an analysis of the features, use and limitations of a range of business improvement techniques and models and justify the preferred solution. This could also be linked to the competence-based criteria. Learners could provide a cost-benefit analysis and provide an explanation of how this was carried out. Work products could include evidence of minutes of meetings, process maps and diagrams, master schedules, feedback from stakeholders, presentation notes, reports to management/sponsors, resource plans and performance measures relating to cost, quality, delivery and responsibilities, analysis and evaluation, standard operating procedures showing agreed changes. Evidence could also include photographic evidence of Kaizen events and information centres. This assessment method could be used for all competence-based assessment criteria in learning outcomes 3 and 4 to demonstrate the learner's use of a range of business improvement techniques and models when solving business problems and contributing to improvement activities.

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

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

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

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

# **Unit 35: Negotiate in a Business Environment**

**Unit reference number:** H/505/1912

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 18

**Unit type:** Competence

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## **Unit summary**

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

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

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



## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles underpinning negotiation	<ul style="list-style-type: none"><li>1.1 Describe the requirements of a negotiation strategy</li><li>1.2 Explain the use of different negotiation techniques</li><li>1.3 Explain how research on the other party can be used in negotiations</li><li>1.4 Explain how cultural differences might affect negotiations</li></ul>
2 Be able to prepare for business negotiations	<ul style="list-style-type: none"><li>2.1 Identify the purpose, scope and objectives of the negotiation</li><li>2.2 Explain the scope of their own authority for negotiating</li><li>2.3 Prepare a negotiating strategy</li><li>2.4 Prepare fall-back stances and compromises that align with the negotiating strategy and priorities</li><li>2.5 Assess the likely objectives and negotiation stances of the other party</li><li>2.6 Research the strengths and weaknesses of the other party</li></ul>
3 Be able to carry out business negotiations	<ul style="list-style-type: none"><li>3.1 Carry out negotiations within responsibility limits in a way that optimises opportunities</li><li>3.2 Adapt the conduct of the negotiation in accordance with changing circumstances</li><li>3.3 Maintain accurate records of negotiations, outcomes and agreements made</li><li>3.4 Adhere to organisational policies and procedures, and legal and ethical requirements when carrying out business negotiations</li></ul>

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

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

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

*Negotiation techniques:*

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

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

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

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

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

## Information for tutors

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### Suggested resources

#### Books

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

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

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

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

#### Websites

[www.entrepreneur.com](http://www.entrepreneur.com) – website of the Entrepreneur magazine, which provides various articles on negotiating in business

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

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

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

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

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

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

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

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

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

For AC3.1 and AC3.2, opportunities for direct observation could be available to assess competence when applying appropriate negotiation techniques. Where opportunities to observe are not possible, learners can choose to provide detailed reflective accounts of situations where they have taken part in negotiations with other parties, supported with witness testimony to confirm validity. This evidence could provide links to AC1.2 and AC1.3 through learner reflection on their use of research into other parties, the use of negotiation techniques and the effectiveness of these processes.

For AC3.4, learners should be able to confirm adherence to policies and procedures in the context of their role and the negotiations being assessed. This could be assessed through reflective account, supported with witness testimony to confirm validity. Policies and procedures could relate to communications, human resources (employment law), business planning and objectives or organisational values. Ethics could be assessed in conjunction with AC1.4 and associated assessments of competence where cultural differences have been considered in negotiations.

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

## Unit 36:

## Develop a Presentation

**Unit reference number:** K/506/1913

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 11

**Unit type:** Competence

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### Unit summary

Whatever role you have within a business or the corporate world, presenting information clearly and effectively is an essential skill whenever you are informing, instructing or persuading an audience. 'Failing to prepare and therefore preparing to fail' is a situation to be avoided by anyone considering developing a presentation in a business environment. The success of your presentations is determined by how well you have prepared and developed the information you need to communicate or demonstrate.

In this unit you will learn how best to prepare and develop effective presentations. You will explore best practices and factors that need to be taken into account and consider how these can be applied to your presentation plans. You will make decisions and work with others to ensure your presentations achieve their intended objectives. You will learn about the advantages and disadvantages of using different methods for presenting information as well as the communication media you use. You will demonstrate your ability to plan, design, organise and prepare presentations to be delivered by yourself and others.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to develop a presentation	<ul style="list-style-type: none"><li>1.1 Explain best practice in developing presentations</li><li>1.2 Explain who needs to be consulted on the development of a presentation</li><li>1.3 Explain the factors to be taken into account in developing a presentation</li><li>1.4 Analyse the advantages and limitations of different communication media</li></ul>
2 Be able to develop a presentation	<ul style="list-style-type: none"><li>2.1 Identify the purpose, content, style, timing and audience for a presentation</li><li>2.2 Select a communication media that is appropriate to the nature of a presentation, message and audience</li><li>2.3 Tailor a presentation to fit the timescale and audience's needs</li><li>2.4 Prepare a presentation that is logically structured, summarises the content and addresses the brief</li><li>2.5 Take action to ensure that a presentation adheres to organisational guidelines and policies</li><li>2.6 Develop materials that support the content of a presentation</li></ul>

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

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

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

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



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

*Factors:*

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

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

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

## Information for tutors

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### Suggested resources

#### Books

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

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

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

#### Websites

[www.office.microsoft.com](http://www.office.microsoft.com) – the Microsoft Office website which provides guidance on the effective use of PowerPoint, to develop presentations

[www.skillsca.org](http://www.skillsca.org) – the website of the Sector Skills Council, Skills CFA, where information and standards for business administrators can be found

### Assessment

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

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

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

#### Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit.

All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

#### Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following unit:

### *Deliver a Presentation*

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

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

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

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

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

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

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

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

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

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

## **Unit 37: Deliver a Presentation**

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

**Level:** 3

**Credit value:** 3

**Guided learning hours:** 17

**Unit type:** Competence

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### **Unit summary**

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

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

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

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles underpinning the delivery of presentations	<ul style="list-style-type: none"><li>1.1 Analyse the advantages and limitations of different methods of, and media for, making presentations</li><li>1.2 Explain how the type and size of the audience affects the delivery of a presentation</li><li>1.3 Explain the factors to be taken into account in developing contingency plans when delivering presentations</li><li>1.4 Explain voice projection and timing techniques when delivering presentations</li><li>1.5 Explain the factors to be taken into account in responding to questions from an audience</li><li>1.6 Explain different methods for evaluating the effectiveness of a presentation</li></ul>
2 Be able to prepare to deliver a presentation	<ul style="list-style-type: none"><li>2.1 Confirm the layout of the venue and correct functioning of equipment and resources prior to making a presentation</li><li>2.2 Develop contingency plans for potential equipment and resource failure</li><li>2.3 Take action to ensure that the presentation fits the time slot available</li></ul>

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

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

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

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

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

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

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

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

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

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

*Factors when responding to questions:*

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

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

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



## Information for tutors

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### Suggested resources

#### Books

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

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

#### Websites

[www.office.microsoft.com](http://www.office.microsoft.com) – the Microsoft Office website which provides guidance on the effective use of PowerPoint, to develop presentations

[www.skillsca.org](http://www.skillsca.org) – the website of the Sector Skills Council, Skills CFA, where information and standards for business administrators can be found

### Assessment

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

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

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

#### Unit assessment requirements

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

#### Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following unit:

### *Develop a Presentation*

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

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

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

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

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

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

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

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

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

# **Unit 38:**

## **Contribute to the Development and Implementation of an Information System**

**Unit reference number:** A/506/1916

**Level:** 3

**Credit value:** 6

**Guided learning hours:** 21

**Unit type:** Competence

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### **Unit summary**

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

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

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the design and implementation of an information system	<ul style="list-style-type: none"><li>1.1 Explain the types of information to be managed by a system</li><li>1.2 Explain how information will be used and by whom</li><li>1.3 Explain who needs to be consulted in the design and implementation of an information system and why</li><li>1.4 Explain the impact of legal and organisational security and confidentiality requirements for the design and implementation of an information system</li></ul>
2 Be able to contribute to the development of an information system	<ul style="list-style-type: none"><li>2.1 Confirm the purpose, use and features of an information system</li><li>2.2 Identify the information that will be managed by the system</li><li>2.3 Confirm requirements for reporting information</li><li>2.4 Recommend the functions that will be used to manipulate and report information</li><li>2.5 Develop guidance for the use of an information system that is accurate and easy to understand</li><li>2.6 Recommend user access and security levels for the information system</li><li>2.7 Make contributions to the development of an information system that are consistent with business objectives and values and within budgetary constraints</li><li>2.8 Participate in system tests in accordance with the specification</li></ul>

Learning outcomes	Assessment criteria
<p>3 Be able to contribute to the implementation of an information system</p>	<p>3.1 Implement the information system in accordance with the plan, minimising disruption to business</p> <p>3.2 Confirm that staff are trained to use the system prior to its launch</p> <p>3.3 Resolve or report problems or faults with the information system within the limits of their own authority</p> <p>3.4 Adhere to organisational policies and procedures, and legal and ethical requirements in the implementation of an information system</p>

### **AC1.1: Explain the types of information to be managed by a system**

- *Information systems:* management information systems
- *Information types:* marketing information, e.g. sales performance, competitor intelligence; financial information, e.g. financial costs, investment returns; human resources (HR) information, e.g. staffing, professional development; Customer Relationship Management information (CRM)
- *Information requirements:* internal and external information storage; information security; accuracy; relevance; outputs e.g. payroll, invoicing, ordering, bookings, stock control, personnel records, goods tracking, decision making, marketing, customer service
- *Ways of managing information:* people, e.g. users, stakeholders; process, e.g. flows, procedures, security, testing; technology, e.g. hardware, software, telecommunications; content, e.g. relevance, validity, level of detail, accuracy; risk, analysis; reporting, monitoring, reviewing

### **AC1.2: Explain how information will be used and by whom**

- *Information system uses:* capture, transmit, store, retrieve, manipulate, display, distribution; analysis, e.g. strategic, tactical, operational
- *Functional areas of an organisation:* typical areas, e.g. finance, human resources, stock control, sales, marketing, research and development, production, distribution, customer service, administration
- *Information system users:* internal, e.g. system users, management, information system developers, technical support; external, e.g. customers, product suppliers, regulatory bodies

### **AC1.3: Explain who needs to be consulted in the design and implementation of an information system and why**

- *Stakeholders:* internal, e.g. system users, management, information system developers, technical support; external, e.g. customers, product suppliers, regulatory bodies
- *Reasons for consultation:* agreeing system objectives, e.g. desired system outcomes, actual system outcomes; efficiencies, e.g. cost, time, resources; information handling, e.g. input, processing, output, reporting, analysis, storage; system operations, e.g. interfaces, logical processes, usability, technical support; predicting issues, e.g. hardware, software, people, processes, data; recommendations for improvement, e.g. resolving issues, system updates, system developments

**AC1.4: Explain the impact of legal and organisational security and confidentiality requirements for the design and implementation of an information system**

- *Design of an information system:* target audience; information requirements, e.g. input, output; hardware; software, e.g. language, bespoke, 'off the shelf'; telecommunications
- *Implementation of information system:* cost; impact on procedures; impact on staff, e.g. up skilling/training, dealing with redundancies, balancing core employees with contractors and outsourced staff, enabling home and remote working, dealing with impact of regular restructuring on staff; integration of legacy systems; system 'down time'; continuity of service; system testing
- *Legal requirements:* relevant and current legislation, e.g. Data Protection Act 1998, Freedom of Information Act 2000, Computer Misuse Act 1990
- *Ethical considerations:* codes of practice, e.g. use of email, internet, 'whistle blowing'; organisational policies, information ownership
- *Operational issues:* security of information, backups, e.g. hardware, peripherals, software, storage media, local storage, remote storage, cloud storage; organisational policies, procedures and processes, staff training
- *Implications of data protection:* access (login, passwords), information security (internal threats, external threats, data corruption), cost, reputation, effects on business sustainability
- *Managing security (risk):* cyber-crime, e.g. diverting financial assets, communications sabotage, intellectual property theft, denial of service attacks; preventive technologies, e.g. firewalls, access control methods, secure payment systems; disaster recovery procedures

## Information for tutors

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### Suggested resources

#### Books

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

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

Lucey Y – *Management Information Systems*, 9th Edition (Cengage Learning, 2005) ISBN 9781844801268

#### Websites

[www.skillscfa.org](http://www.skillscfa.org) – the website of the Sector Skills Council, Skills CFA, which provides information and standards for business administrators

[www.data-protection-act.co.uk](http://www.data-protection-act.co.uk) – 'Data Protection Act Made Easy' website, providing guidance on the act

### Assessment

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

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

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

#### Unit assessment requirements

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

#### Unit assessment guidance

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



Assessors should ensure learners undertaking this unit, are able to demonstrate own contribution to the design and development of information systems in the scope of their role and responsibilities.

For learning outcome 1, assessors should expect more comprehensive evidence such as detailed written reflective accounts, professional discussions or embedded knowledge in competence evidence (providing command verbs have been met and evidence is sufficient) to meet the requirements of each knowledge assessment criterion.

Learners at this level could choose to present their findings and recommendations regarding information system effectiveness, design and development in a presentation. Where such presentations are a naturally occurring activity in the workplace, assessors can use direct observation to capture evidence of contributions in the form of meetings and communications with stakeholders. Information presented could be obtained to support evidence of direct observation where information presented is not commercially sensitive.

Learning outcomes 2 and 3 will require assessment over a period of time to capture evidence of individual contributions to the design and development of information systems through to implementation of information system solutions. Assessors could capture all or parts of the design, development and implementation processes depending on the complexities of the information system being designed or developed. Full assessment from end to end of specific projects could be difficult to achieve, and therefore is not expected.

Learners should be able to present naturally occurring evidence during the completion of this unit. Evidence from work products such as project plans, technical specifications and budgets should remain in its usual location and be signposted in records of assessment. Such evidence should be supported with additional assessment methods such as discussion, reflective account or direct observation to confirm relevance and how this evidence has been used to meet the requirements of assessment criterion.

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

Learners working at this level, designing and developing information systems can present detailed reflective accounts relating to competence demonstrated throughout a project. This evidence should be supported with clear timelines, project tasks, contributions, responsibilities and outcomes. Alternatively, project plans, implementation schedules, technical specifications and evidence of system monitoring, testing and review could be considered for assessment with effective use made of supportive or supplementary assessments to confirm relevance and competences demonstrated.

Assessors can access testimonies and statements from witnesses in the workplace who can confirm contributions of the learner to specific information systems projects.

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

## **Unit 39:**

# **Resolve Customers' Problems**

**Unit reference number:** K/506/2169

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 19

**Unit type:** Competence

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### **Unit summary**

This unit gives you the knowledge, understanding and skills to be able to deal with customer problems in a convenient, cost effective, and timely manner.

Even when an organisation provides excellent customer service their customers can experience problems because their expectations are greater than the organisation can satisfy. Listening to customer problems and then delivering good solutions requires a well-planned and organised effort. This unit is important to customer service because many customers judge how good customer service is by the way organisations handle problems. It is worth remembering that poorly handled customer problems can easily turn into customer complaints.

In this unit you will learn how to deal with customer problems in a way that provides a positive outcome for the customer and the organisation. You will understand the different techniques that can be used for monitoring customer problems and how the resolution of customers' problems can not only inform improvements to the service the organisation provides but also contributes to customer loyalty and business performance. You will be able to assess the suitability of a range of potential solutions for customers' problems and explain these to customers, including their benefits and drawbacks. You will also be able to negotiate solutions that meet customers' and organisational requirements, whilst adhering to organisational policies and procedures and legal and ethical requirements.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the monitoring and resolution of customers' problems</p>	<p>1.1 Assess the suitability of a range of techniques for monitoring customer problems</p> <p>1.2 Explain how to use the resolution of customers' problems to improve products and/or services</p> <p>1.3 Explain how the successful resolution of customers' problems contributes to customer loyalty and enhanced business performance</p> <p>1.4 Explain the features of negotiating techniques used to resolve customers' problems</p>
<p>2 Be able to deal with customers' problems</p>	<p>2.1 Confirm the nature and cause of customers' problems</p> <p>2.2 Explain when customers' problems should be treated as complaints</p> <p>2.3 Explain the benefits to customers and the organisation of the options available to solve problems</p> <p>2.4 Explain the drawbacks to customers and the organisation of the options available to solve problems</p> <p>2.5 Explain to customers the options for resolving their problems</p> <p>2.6 Agree solutions that meet customers' and organisational requirements within their own levels of authority</p> <p>2.7 Inform colleagues of the nature of problems and actions taken</p> <p>2.8 Evaluate the effectiveness of the resolution of customers' problems</p> <p>2.9 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with customers' problems</p>

**AC1.1: Assess the suitability of a range of techniques for monitoring customer problems**

- *Techniques:* e.g. business process monitoring, sampling customer feedback, monitoring repeat customers, measuring customer satisfaction
- *Customers' problems:* types of problems, e.g. identified by the customer, identified by the organisation, caused by a procedure or systems failure, caused by a lack of resources

**AC1.2: Explain how to use the resolution of customers' problems to improve products and/or services**

- *Improve products and/or services:* e.g. integrating solutions to customers' problems into product and/or service development; recording and sharing unique solutions to problems; analysing trends based on type of resolution; root cause analysis; analysis of problems and resolutions based on customer 'touch points' and 'moments of truth'

**AC1.3: Explain how the successful resolution of customers' problems contributes to customer loyalty and enhanced business performance**

- *Contributing to customer loyalty:* e.g. keeping existing customers, selling more to existing customers, reducing customer complaints
- *Enhanced business performance:* market leadership, above industry profits, retaining workforce positive corporate brand, creates possible USP for the organisation

**AC1.4: Explain the features of negotiating techniques used to resolve customers' problems**

- *Negotiating techniques:* including, using tradable concessions or variables; use of persuasion techniques e.g. storytelling and painting pictures, mirroring; use documents to persuade, illustrate position and establish credibility, e.g. position statements, proposals; gather information about partners, e.g. using open-ended questions, active listening, eye contact, use of silence

## Information for tutors

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### Suggested resources

#### Books

Adair J – *Decision Making and Problem Solving: Creating Success* (2nd Edition), (Kogan Page, 2013) ISBN 9780749466961

Customer Service Training Institute – *Rapid & Efficient Problem Solving* (CreateSpace Independent Publishing Platform, 2013) ISBN 9781493553693

#### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

The main evidence collection methods for demonstrating achievement of learning outcome 2 are likely to be a combination of direct observation and professional discussion with the learner, supported by a review of relevant work products. The evidence collected can be based on situations where the learners is handling and resolving internal or external customer problems, whether face to face, by email and/or by telephone.

Direct observation is suitable where the learner is dealing with customers problems face-to-face and/or by telephone or communicating verbally with colleagues; this would provide evidence for AC2.1, AC2.5 AC2.6 and AC2.7. The assessor can do the observation unobtrusively using professional discussion to evidence the knowledge underlying the performance being undertaken.

Work products seen during an observed performance or separately from observed performance should be evaluated and commented on by the assessor (e.g. emails, letters and/or records of telephone calls from or to a customer or colleague). These could be an alternative source of evidence for AC2.1, AC2.5, AC2.6 and AC2.7 in the instances where the interactions with customers and colleagues are by email. For example, for AC2.6 letters, emails or diary entries detailing the solution that was agreed with the customer; or emails to colleagues informing them of the customer problems or solutions.

The professional discussion could focus on providing evidence for AC2.2 to AC2.4 as well as providing evidence for the knowledge and understanding underpinning the learner's performance. For example, for A2.6 and AC2.8, the learner could explain the rationale for the agreed solutions to customer problems and the process and criteria used to evaluate the effectiveness of the resolutions to customers problems. The evidence for learning outcome 2 can be further supported by a witness testimony from an appropriate person within the workplace. For example, for AC2.9, confirmation from a line manager that the learner has followed the correct organisational policies when dealing with customers' problems.

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion for learning outcome 2, therefore providing the learner with the opportunity to link and apply their knowledge to their workplace activities as well easing the burden of assessment for both the assessor and the learner. There are good opportunities to relate the assessment of the knowledge requirements to the competence activities. For example, for AC1.2 the learner could explain how the solutions to specific customer problems could be used to improve the products and/or services offered by the organisation.

Alternatively, evidence could be provided through the use of a reflective account, where the learner could also address the underpinning knowledge and understanding requirements for learning outcome 2. Learners' responses or statements to meet the knowledge requirements must be at a sufficient depth and breadth to meet the level of demand of the operative verbs.

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

## Unit 40:

## Resolve Customers' Complaints

**Unit reference number:** R/506/2151

**Level:** 3

**Credit value:** 4

**Guided learning hours:** 22

**Unit type:** Competence

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### Unit summary

This unit gives learners the knowledge, understanding and skills to be able to manage and resolve customers' complaints.

Customers' complaints are time consuming and can be troublesome. Only a fraction of dissatisfied customers will actually complain, however, of all the customers who encounter a problem, the majority do not tell you but they do tell their friends and family. When customers do complain, how the organisation deals with the complaint can have a big impact on the organisation. Customer complaint handling is a skill and done properly it can enhance an organisation's reputation and retain and gain new customers.

In this unit, you will learn how to deal with customers' complaints in a way that provides a positive outcome for customers and the organisation. You will understand how different customer-complaint monitoring techniques can be used to collect data and how the data can be used to improve the service the organisation provides. You will also learn about the advantages and limitations of offering compensation or replacements and the implications of admitting liability on the basis of a customer complaint.

You will be able to confirm the nature, cause and implications of customer complaints so that solutions can be found that meet customer and organisational requirements. You will learn about techniques used in negotiation and conflict management. You will then be able to use these techniques to agree on solutions with customers that address the complaint without going outside the limits of your authority, while adhering to organisational policies and procedures, and legal and ethical requirements.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the monitoring and resolution of customers' complaints	<ul style="list-style-type: none"><li>1.1 Assess the suitability of a range of monitoring techniques for customers' complaints</li><li>1.2 Explain how to identify those complaints that should prompt a review of the service offer and service delivery</li><li>1.3 Explain negotiating techniques used to resolve customers' complaints</li><li>1.4 Explain conflict management techniques used in dealing with upset customers</li><li>1.5 Explain organisational procedures for dealing with customer complaints</li><li>1.6 Explain when to escalate customers' complaints</li><li>1.7 Explain the cost and regulatory implications of admitting liability on the basis of a customer complaint</li><li>1.8 Explain the advantages and limitations of offering compensation or replacement products and/or services</li></ul>



Learning outcomes	Assessment criteria
<p>2 Be able to deal with customers' complaints</p>	<p>2.1 Confirm the nature, cause and implications of customers' complaint</p> <p>2.2 Take personal responsibility for dealing with complaints</p> <p>2.3 Communicate in a way that recognises customers' problems and understands their points of view</p> <p>2.4 Explain the advantages and limitations of different complaint response options to customers</p> <p>2.5 Explain the advantages and limitations of different complaint response options to the organisation</p> <p>2.6 Keep customers informed of progress</p> <p>2.7 Agree solutions with customers that address the complaint and which are within the limits of their own authority</p> <p>2.8 Record the outcome of the handling of complaints for future reference</p> <p>2.9 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with customers' complaints</p>

**AC1.1: Assess the suitability of a range of monitoring techniques for customers' complaints**

- *Monitoring techniques:* e.g. customer feedback cards, web-based customer satisfaction surveys, mystery shopping, social media feedback, mentions by external media
- *Suitability:* factors, e.g. fit with customer service strategy, ease of use of metrics, selection of relevant measures

**AC1.2: Explain how to identify those complaints that should prompt a review of the service offer and service delivery**

- *Identifying complaints:* based on types of complaints, e.g. indicates breakdowns in service delivery, potential to damage the reputation of the organisation, cause potential financial damage, regarding products faults and quality, linked to health and safety products and/or services

**AC1.3: Explain negotiating techniques used to resolve customers' complaints**

- *Basis of negotiating or bargaining power:* large customer, e.g. greater bargaining power; small customer, e.g. less individual bargaining power, possible power base through social media or pressure groups
- *Negotiating techniques:* e.g. listening and questioning techniques to gather information; use of empathy; identifying the root cause of the complaint; use of persuasion techniques, e.g. positive spoken and body language, mirroring, understanding and using allowable concessions and alternative options appropriately; discuss alternative solutions with the customer

**AC1.4: Explain conflict management techniques used in dealing with upset customers**

- *Conflict management:* definition; negotiation techniques
- *Conflict management techniques:* e.g. showing empathy, remaining calm when dealing with difficult customers, identifying the root cause of the complaint; explore best solutions with the customer; offering alternative solutions; use of escalation procedures

**AC1.5: Explain organisational procedures for dealing with customer complaints**

- *The knowledge to meet this AC depends on the particular organisational requirements and context. Learners need to apply the knowledge specific to their organisation to meet this AC*  
*General knowledge may include:*
- *Procedures:* formal complaints procedures and informal complaints procedures
- *Purpose of a complaints procedure:* e.g. resolve customer complaints quickly, minimise damage to the organisation's reputation, information gained can be used to inform and improve customer service

**AC1.6: Explain when to escalate customers' complaints**

- *Escalation:* levels of authority in the organisation; limits of own authority, limits of knowledge, losing control of the situation, level and speed of progress

**AC1.7: Explain the cost and regulatory implications of admitting liability on the basis of a customer complaint**

- *Financial costs:* e.g. individual compensation claims, class action compensation claims, out of court settlements, regulatory fines, cost to brand image
- *Regulatory implications:* regulatory investigations arising from customer complaints, e.g. Financial Ombudsman such as the Office of Gas and Electricity Markets (Ofgem) and Water Service Regulation Authority (known as Ofwat); potential closure of the organisation

**AC1.8: Explain the advantages and limitations of offering compensation or replacement products and/or services**

- *Advantages:* e.g. customer retention, enhanced reputation for resolving issues; positive media coverage
- *Limitations:* e.g. customers may still change supplier, increased costs, satisfactory resolution may not be known widely

## Information for tutors

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### Suggested resources

#### Books

Cook S – *Complaint Management Excellence: Creating Customer Loyalty through Service Recovery* (Kogan Page, 2012) ISBN 9780749465308

Evenson R – *Customer Service Training 101* (2nd Edition), (Amacom, 2010) ISBN 9780814416419

#### Websites

[www.instituteofcustomerservice.com](http://www.instituteofcustomerservice.com) – The ICS website provides information and guidance on many aspects of customer service, including how to handle customer complaints

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

The main evidence collection methods for demonstrating achievement of learning outcome 2 are likely to be a combination of direct observation and professional discussion with the learner, supported by a review of relevant work products. The evidence collected can be based on situations where the learner is handling and resolving internal or external customer complaints, whether face to face, by email and/or by telephone.

Direct observation is suitable where the learner is handling customers' complaints face to face and/or by telephone, this would provide evidence for AC2.1, AC2.3 AC2.6 and AC2.7. The assessor can carry out the observation unobtrusively using professional discussion to evidence the knowledge underlying the performance being undertaken.

Product evidence seen during an observed performance or separately from observed performance should be evaluated and commented on by the assessor (e.g. emails, letters, spreadsheets, completed records, Word documents and database reports). These could be an alternative source of evidence for AC2.1, AC2.3, AC2.6 and AC2.7 in the instances where the interactions with customers are by email. They can also provide evidence for AC2.8.

The professional discussion could focus on providing evidence for AC2.4 and AC2.5 as well as for the knowledge and understanding underpinning the learner's performance. For example, for AC2.7, the learner could explain the rationale for the choice of options offered to customers. Similarly, for AC2.2 the learner could explain how they took ownership and personal responsibility for customers' complaints. The evidence for learning outcome 2 can be further supported by a witness testimony from an appropriate person in the workplace, for example for AC2.9 confirmation from a line manager that the learner has followed the correct organisational policies when dealing with customers' complaints.

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion for learning outcome 2 and would give the learner the opportunity to link and apply their knowledge to their workplace activities as well ease the burden of assessment for both the assessor and the learner. There are good opportunities to relate the assessment of the knowledge requirements to the competence activities, for example for AC1.2 the learner might use examples of complaints they have resolved to explain the reasoning behind a service review. An example for AC1.4 might be where the learner explains the negotiating techniques they have used in situations where customers were upset. Alternatively, evidence could be provided through the use of a reflective account, where the learner could address the underpinning knowledge and understanding requirements for learning outcome 2. Learners' responses or statements to meet the knowledge requirements must be at a sufficient depth and breadth to meet the level of demand of the operative verbs.

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

## Unit 41: Gather, Analyse and Interpret Customer Feedback

Unit reference number: **D/506/2170**

**Level:** 3

**Credit value:** 5

**Guided learning hours: 24**

Unit type:	Competence
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## Unit summary

Gathering information about customers and their needs is an important and essential process for any business that wants to understand the needs of their customers.

This unit gives you the knowledge, understanding and skills to be able to gather and analyse customer feedback and interpret it to understand customers' requirements and how well those requirements are being met.

Successful organisations know their customers and can anticipate their needs and requirements. These organisations gather and use customer feedback systematically so that they can shape their services to meet the challenges that the business environment provides. Information about customers is also used by the organisation to develop and improve its customer service. The gathering, analysis and interpretation of customer feedback can be done in a variety of ways, some formal and some informal. Good customer information provides a sound basis for all customer service transactions.

In this unit you will learn how to identify and use appropriate data collection techniques for the purpose of customer service feedback analysis. You will be able to choose an appropriate survey method to gather customer feedback data, use different methods to analyse the data and finally, you will be able to interpret the analysis findings to help recommend customer service improvements.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to gather, analyse and interpret customer feedback	<ul style="list-style-type: none"><li>1.1 Describe methods of collecting data for customer research</li><li>1.2 Explain random sampling techniques used to collect data</li><li>1.3 Explain how to evaluate bias in non-random samples</li><li>1.4 Explain the principles of questionnaire design</li><li>1.5 Assess the suitability of a range of techniques to analyse customer feedback</li><li>1.6 Explain techniques used to monitor the quality of data collected</li><li>1.7 Explain the use of software to record and analyse customer feedback</li><li>1.8 Explain the validation issues associated with customer feedback</li><li>1.9 Explain the importance of anonymising comments from customers who do not wish to be identified</li></ul>
2 Be able to plan the collection of customer feedback on customer service issues	<ul style="list-style-type: none"><li>2.1 Identify the objectives of collecting customer feedback</li><li>2.2 Justify the reasons for selecting different data collection methods</li><li>2.3 Develop a data collection and analysis plan that specifies the sampling frame, data collection and recording methods and timeframe</li></ul>

Learning outcomes	Assessment criteria
3 Be able to gather customer feedback	3.1 Collect customer feedback using the sampling frame identified in a customer service plan  3.2 Record data in a way that makes analysis straightforward  3.3 Verify that all data is handled in line with legal, organisational and ethical policies and procedures
4 Be able to analyse and interpret customer feedback to recommend improvements	4.1 Use data analysis methods to identify patterns and trends in customer feedback  4.2 Use the findings of a data analysis to identify areas for improvement to customer service  4.3 Present the findings of an analysis in the agreed format  4.4 Recommend improvements in response to the findings of an analysis



### **AC1.1: Describe methods of collecting data for customer research**

- *Customer research:* types, e.g. primary, secondary, qualitative, quantitative
- *Methods:* e.g. questionnaires, telephone surveys, customer panels, face to face interviews, focus groups, mystery shoppers, on-line surveys, social media

### **AC1.2: Explain random sampling techniques used to collect data**

- *Random sampling:* definition of a sample population; probability sampling
- *Techniques:* sampling for population characteristics, e.g. all buyers of a certain product; sampling frame, e.g. an organised list of all members of a certain population; random number generation, e.g. using a computer program to generate a random number between say 1 and 1000; stratified sampling, e.g. reflecting the make-up of that population

### **AC1.3: Explain how to evaluate bias in non-random samples**

- *Non-random sampling:* e.g. accidental, haphazard or convenience sampling; quota sampling; snowball sampling
- *Evaluating factors:* comparison to target population, selection bias, over representation and under representation of particular population groups, identifying non-responsive groups

### **AC1.4: Explain the principles of questionnaire design**

- *Principles:* identifying the purpose of the questionnaire, e.g. survey objective; data collection methods; order of questions; length of questionnaire; question formats; how data will be processed; piloting questionnaires
- *Questionnaire design:* types of questions and responses, e.g. Likert Scales, Yes/No answers, multiple choice questions, numbered responses, open ended questions,

### **AC1.5: Assess the suitability of a range of techniques to analyse customer feedback**

- *Suitability:* e.g. survey objectives, format of customer feedback, use of survey outcomes
- *Techniques:* types, e.g. functional analysis to identify optimal target market by demographic; geographical analysis; statistical techniques to describe data to include: mean, mode and median, range, standard deviation

**AC1.6: Explain techniques used to monitor the quality of data collected**

- *Techniques:* data triangulation, investigator triangulation, theory triangulation, methodological triangulation, standardisation of results

**AC1.7: Explain the use of software to record and analyse customer feedback**

- *Computer Software:* e.g. spreadsheets, database, specialist data analysis software, e.g. Nvivo, Atlasti,
- *Recording data:* e.g. coding results of a survey using qualitative data coding or quantitative data coding
- *Analysing data:* the process of inspecting, cleaning, transforming, and modelling data, using basic statistics of important variables, e.g. mean, mode and median, pictorial representations, e.g. scatter plots, correlations and association, cross-tabulations

**AC1.8: Explain the validation issues associated with customer feedback**

- *Validation issues:* internal validity of customer feedback, e.g. removal of bias; barriers to contacting survey respondents; correlation of results; comparison to the population being surveyed; sample size, e.g. larger sample increases generalisability of results

**AC1.9: Explain the importance of anonymising comments from customers who do not wish to be identified**

- *Anonymising:* e.g. increased participation, honesty of responses, privacy of respondents, complying with Data Protection Act 1998, avoid restricting access and publication

## Information for tutors

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### Suggested resources

#### Books

Hayes B – *Measuring Customer Satisfaction and Loyalty: Survey Design, Use, and Statistical Analysis Methods* (3rd Edition), (ASQ Quality Press, 2008) ISBN 9780873897433

Hill N, Brierley J and McDougall R – *How to Measure Customer Satisfaction* (2nd Edition), (Gower Publishing, 2003) ISBN 9780566085956

Leland K and Bailey, K – *Customer Service for Dummies* (3rd Edition), (Wiley Publishing, Inc, 2006) ISBN 9780471768692

#### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

The main evidence collection methods for demonstrating achievement of learning outcomes 2, 3 and 4 are likely to be a combination of observation, review of the learner's work products and professional discussion. For AC2.1 – AC2.3 the learner's work products may include planning notes (including the calculation of costs for data collection) and the plan and resources (e.g. questionnaire, interview questions) produced for the collection and analysis of data. Within the discussion, the learner could use these products as a basis for justifying different elements of the plan and how it will meet the customer focus objectives.

The evidence from observing the collection of customer feedback for learning outcome 3 should be supported by a discussion around the collected data (AC3.1 – AC3.3); the professional discussion could focus on the justification of how the data is recorded, how data collection was monitored to ensure compliance with the sampling frame and the rationale for the actions taken to verify compliance with the relevant policies and procedures.

The supporting evidence for AC4.1 – AC4.3 is likely to be work products that the learner has produced in the analysis and interpretation of the customer feedback; for example, for AC4.1 the learner might produce a report, graphs and/or tables based on the data that has been collected. It is essential that the work products can provide evidence of the learners understanding of the data analysis techniques that have been used and where this is not possible then the professional discussion should be used to demonstrate a sufficiency of knowledge. Witness testimony could also be used to support the learner's competence over time.

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion for learning outcomes 2, 3 and 4 which would give the learner the opportunity to link and apply their knowledge to their workplace activities as well easing the burden of assessment for both the assessor and the learner. There are plenty of opportunities to relate the assessment of the knowledge requirements to the competence activities. For example, the assessment for the knowledge in AC1.1 – AC1.4 could be incorporated in the supporting professional discussion for the competence activities for AC2.1 – AC2.3. Similarly, the same approach could be applied for the knowledge in AC1.5 – AC1.9 in relation to the competence activities across the assessment criteria in learning outcomes 3 and 4. Alternatively, evidence could be provided through the use of a reflective account, where the learner could also address the underpinning knowledge and understanding requirements for learning outcomes 2, 3 and 4. Learners' responses or statements to meet the knowledge requirements must be at a sufficient depth and breadth to meet the level of demand of the operative verbs.

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

## Unit 42:

## Employee Rights and Responsibilities

**Unit reference number:** L/506/1905

**Level:** 2

**Credit value:** 2

**Guided learning hours:** 16

**Unit type:** Knowledge

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### Unit summary

All employees should have a good understanding of their rights and responsibilities specific to the organisation, industry and sector in which they work. Being aware of and conversant with the rules, principles and regulations governing employment rights and responsibilities will help protect both employee and employer, ensuring that work practice is undertaken in a mutually respectful and safe environment.

In this unit you will learn about the roles and occupations in your organisation and industry and in other organisations, industries and sectors. You will explore career pathways and progression opportunities and learn where you can source relevant information and advice to help you when making decisions about your career. You will develop an awareness of employer rights and responsibilities including standards and expectations required of you as an employee. You will gain an understanding of employment legislation and how it affects your role and responsibilities within your employment as well as develop awareness of sources of support for issues affecting your employment.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the role of organisations and industries	<ul style="list-style-type: none"><li>1.1 Explain the role of their own occupation within an organisation and industry</li><li>1.2 Describe career pathways within their organisation and industry</li><li>1.3 Identify sources of information and advice on an industry, occupation, training and career pathway</li><li>1.4 Describe an organisation's principles of conduct and codes of practice</li><li>1.5 Explain issues of public concern that affect an organisation and industry</li><li>1.6 Describe the types, roles and responsibilities of representative bodies and their relevance to their own role</li></ul>
2 Understand employers' expectations and employees' rights and obligations	<ul style="list-style-type: none"><li>2.1 Describe the employer and employee statutory rights and responsibilities that affect their own role</li><li>2.2 Describe an employer's expectations for employees' standards of personal presentation, punctuality and behaviour</li><li>2.3 Describe the procedures and documentation that protect relationships with employees</li><li>2.4 Identify sources of information and advice on employment rights and responsibilities</li></ul>

**AC1.1: Explain the role of their occupation within an organisation and industry**

- *The knowledge to meet this AC depends on the learner's own occupation and role within their organisation. Learners need to apply the knowledge specific to their organisation to meet this AC*

**AC1.2: Describe career pathways within their organisation and industry**

- *The knowledge to meet this AC depends on the learner's own occupation and role within their organisation. Learners need to apply the knowledge specific to their organisation to meet this AC*

**AC1.3: Identify sources of information and advice on an industry, occupation, training and career pathway**

- *Sources of information and advice:*
  - o *Within an organisation:* e.g. line manager, HR department, organisation information systems
  - o *Outside an organisation:* e.g. sector skills councils, careers services, relevant websites, professional bodies

**AC1.4: Describe an organisation's principles of conduct and codes of practice**

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

**AC1.5: Explain issues of public concern that affect an organisation and industry**

- *Issues of public concern:* consider the effects of recent high profile events on the industry, e.g. loss of personal data, mis-sold products or services; phone hacking
- *Effects of public concern on an organisation and industry:* introduction of legislation and good practice; increase in public awareness; changes to organisational procedures; own responsibilities

**AC1.6: Describe the types, roles and responsibilities of representative bodies and their relevance to their own role**

- *The knowledge to meet this AC depends on the learner's own occupation and role within their organisation. Learners need to apply the knowledge specific to their organisation to meet this AC*

**AC2.1: Describe the employer and employee statutory rights and responsibilities that affect their own role**

- *Employee statutory rights and responsibilities:* current employment legislation, e.g. Equal Pay Act 1970, Working Time Regulations 2007; current anti-discrimination legislation, e.g. Equality Act 2010, gender, sexual preference, nationality, race, religion, colour, disability, age; contract of employment, e.g. written terms and conditions, minimum wage, sick pay, time off, grievance procedures; health and safety (own, others, use of equipment, lifting and handling); security, e.g. data protection, information security, premises, equipment
- *Employer statutory rights and responsibilities:* duty of care to employees, e.g. risk assessments, provide protective equipment if needed, emergency procedures, safe systems of work; employer liability insurance; safeguarding; appropriate training and development, e.g. induction, organisation systems, use of equipment, health and safety
- *How statutory rights affect own role:* equal opportunities; career progression; personal safety and security; safeguarding; own responsibilities

**AC2.2: Describe an employer's expectations for employees' standards of personal presentation, punctuality and behaviour**

- *Personal presentation:* well groomed; dressed according to organisation's standards; good personal hygiene
- *Punctuality:* on time (at the start of the working day, coming back from lunch); leave on time; on time for meetings
- *Behaviour:* polite; helpful; confident; attentive; positive body language; positive attitude; respect confidentiality; discretion; dependability; tolerance; welcoming; pleasant; professional

**AC2.3: Describe the procedures and documentation that protect relationships with employees**

- *Procedures that protect relationships with employees:* health and safety; security; grievance procedures; whistle blowing
- *Documentation that protects relationships with employees:* contract of employment; written terms and conditions; payslip; published organisation policies; documented processes and procedures; records of training and development

**AC2.4: Identify sources of information and advice on employment rights and responsibilities**

- *Sources of information and advice on employment rights and responsibilities:*
  - o *Inside the organisation:* contract of employment; written terms and conditions; line manager; HR department; trade union representative
  - o *Outside the organisation:* Trade Union; Citizen's Advice Bureau; ACAS; Government websites; employment lawyer



## Information for tutors

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### Suggested resources

#### Books

Trimarchi K, Watkins B, Parton N and Majithia P – *NVQ/SVQ Level 2 Business and Administration Handbook (NVQ Administration)* (Heinemann 2011)  
ISBN 9780435046903

#### Websites

[www.acas.org.uk](http://www.acas.org.uk) – The Advisory, Conciliation and Arbitration Service: a government funded agency which provides advice on industrial relations and employment issues

[www.cipd.co.uk](http://www.cipd.co.uk) – Chartered Institute of Personnel and Development: the professional body for HR and people development

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

[www.legislation.gov.uk](http://www.legislation.gov.uk) – Managed by the National Archives: publishing all UK legislation

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

### Assessment

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

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

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

#### Unit assessment requirements

There are no sector-related assessment requirements for this unit.

## Unit assessment guidance

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

The evidence demonstrating achievement of learning outcome 1 and learning outcome 2 can be collected through a presentation. Evidence can be gathered from the presentation and can be supported by any research the learner undertakes in order to produce and present their presentation. Learners should use their current occupation in the Management sector or should be allocated a theoretical occupation and organisation they can work from.

To achieve AC1.1, AC1.2 and AC1.3, learners need to explain where their occupation fits in the Management sector and describe the career pathway they can pursue. They will also need to reference places they can go for information and advice on the industry, occupation, training and career pathway.

To achieve AC1.4, AC1.5 and AC1.6, learners need to describe their organisation's principles of conduct and codes of practice, explain issues of public concern that affect their organisation and industry and then go on to describe representative bodies and how the roles and responsibilities of these bodies are relevant to their role.

Learners should then focus on their organisation. They should describe their and their employer's statutory rights and responsibilities and how these affect their role (AC2.1), their employer's expectations on personal presentation, punctuality and behaviour (AC2.2), procedures and documentation that protect the employer's relationship with their employees (AC2.3) and reference sources where people can go for advice on employment rights and responsibilities (AC2.4).

It is recommended that learners' do not reproduce large chunks of information verbatim from company handbooks or legislation, but contextualise it to their job.

Learners' responses must be at the appropriate breadth and depth to meet the level of demand of the assessment criteria. Questions and answers (Q&A) could be used to corroborate the learners' knowledge by allowing them to give examples of good and/or bad practice to help support their presentation (e.g. AC2.2).

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

# **Unit 43:**

## **Health and Safety Procedures in the Workplace**

**Unit reference number:** T/505/4673

**Level:** 2

**Credit value:** 2

**Guided learning hours:** 16

**Unit type:** Competence

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### **Unit summary**

Adhering to health and safety procedures in the workplace is an important part of any customer service role. In order to protect staff and customers, it is vital that health and safety procedures are carried out correctly and in line with organisational procedures.

In this unit, you will learn how to work in line with health and safety procedures in the workplace by knowing what your responsibilities are and what an employer's responsibilities are under health and safety law. You will learn what is covered by health and safety law and why it is important to follow health and safety procedures. You will also learn what information can be used to support health and safety in the workplace. You will need to be able to assess risk and to help to prevent accidents. You will also learn how to make suggestions on ways to improve health and safety practice in the workplace.

## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Know health and safety procedures in the workplace	<p>1.1 Define the main responsibilities for health and safety in the workplace of the following:</p> <ul style="list-style-type: none"><li>a) employers</li><li>b) employees</li></ul> <p>1.2 Describe two health and safety laws affecting the workplace</p> <p>1.3 Define the importance of following health and safety procedures in the workplace</p> <p>1.4 Define the types of information or support available in relation to a specified aspect of health and safety in the workplace</p>
2 Be able to carry out tasks with regard to health and safety in the workplace	<p>2.1 Carry out a risk assessment of a specified workplace activity</p> <p>2.2 Use equipment or tools safely in the workplace</p> <p>2.3 Describe how to prevent accidents in the workplace</p> <p>2.4 Assess how own health and safety practices could be improved</p>

**AC1.1: Define the main responsibilities for health and safety in the workplace of the following**

- *Employers:* assess and give information about risks in order to minimise them; train staff on how to deal with risks, to protect the health, safety and welfare of employees and others in the workplace; consult employees about health and safety issues; protect employees and other people as far as is practicable from risks, e.g. giving and using PPE
- *Employees:* have a duty to take care for their own health and safety and that of others who may be affected by actions of employee; report any concerns relating to health and safety; report any serious risks in the workplace to responsible person for health and safety; follow health and safety training given by the employer; co-operate with their employer on health and safety

**AC1.2: Describe two health and safety laws affecting the workplace**

*To include:*

- Control of Substances Hazardous to Health (COSHH) regulations 2002
- Reporting of Injuries Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013
- Control of Asbestos Regulations 2012
- Control of Major Accidents Hazards (COMAH)
- Electricity at Work Regulations 1989 (PAT testing)
- Display Screen Equipment Regulations (DSE) 1992

**AC1.3: Define the importance of following health and safety procedures in the workplace**

- *Importance of following health and safety procedures in the workplace:* to avoid people being hurt; to avoid damage to equipment and property; to avoid organisation being fined or closed down; to avoid organisation and personal image and reputations being damaged or tarnished; to ensure the wellbeing of people within the workplace, to ensure compliance with health and safety laws

**AC1.4: Define the types of information or support available in relation to a specified aspect of health and safety in the workplace**

- *Types of information:* websites, leaflets, training, briefings, newsletters, coaching sessions, policies and procedures
- *Specified aspects of health and safety:* environmental: COSHH, RIDDOR, PAT Testing, Display Screen Equipment
- *emergencies:* first aid, accident reporting

## Information for tutors

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### Suggested resources

#### Websites

[www.hse.gov.uk](http://www.hse.gov.uk) – the Health and Safety Executive has information on health and safety responsibilities of employers and employees under the Health and Safety at Work Act.

#### Assessment

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

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

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

#### Unit assessment requirements

For the purposes of this qualification, this unit should be assessed in relation to the Skills CFA Assessment Strategy in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

## Unit assessment guidance

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

Observation is a suitable approach for this unit and a primary source of evidence. The observation can be done unobtrusively by the assessor with the assessor using oral questioning to support the knowledge underlying the performance being undertaken and to meet some of the assessment criteria in learning outcome 1 (such as AC1.3).

Product evidence seen during or separately from an observed performance must be evaluated and commented on by the assessor. This evidence might include accident books or risk assessment documents completed by the learner. This would be a valid and suitable assessment method for this unit and learning outcome 2, along with question and answer sessions. These can be supported by a witness testimony from an appropriate person within the workplace. For AC2.2, for example, the learner could seek confirmation from a line manager that they have used equipment to complete a work task correctly and safely.

Questioning can be used to demonstrate learner knowledge for learning outcome 1, but best practice would be to integrate this within the observation and discussions, for ease of assessment for both the assessor and the learner. For example, for AC1.3 the learner could describe why it is important to follow health and safety procedures in the workplace, while completing an observed work task.

## Unit 44: Manage Events

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

**Level:** 4

**Credit value:** 6

**Guided learning hours:** 49

**Unit type:** Competence

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### Unit summary

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

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

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



## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the management of an event	<ul style="list-style-type: none"><li>1.1 Explain how organisational objectives will be met by an event</li><li>1.2 Explain the flexibilities and constraints of an event's budget</li><li>1.3 Evaluate the use of project management techniques in event management</li><li>1.4 Analyse how models of contingency and crisis management can be applied to event management</li><li>1.5 Analyse the use of customer relationship management (CRM) systems to attract attendees</li><li>1.6 Evaluate the application of the principles of logistics to event management</li><li>1.7 Describe the insurance requirements of an event</li></ul>
2 Be able to manage the planning of an event	<ul style="list-style-type: none"><li>2.1 Identify the purpose of an event and the key messages to be communicated</li><li>2.2 Identify target attendees for an event</li><li>2.3 Assess the impact of an event on an organisation and its stakeholders</li><li>2.4 Establish requirements for resources, location, technical facilities, layout, health and safety</li><li>2.5 Identify how event-related risks and contingencies will be managed</li><li>2.6 Develop an event plan that specifies objectives, success and evaluation criteria</li><li>2.7 Make formal agreements for what will be provided, by whom and when</li><li>2.8 Determine methods of entry, security, access and pricing</li></ul>

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## Information for tutors

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### Suggested resources

#### Books

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

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

#### Websites

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

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

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

### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

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

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

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

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

## Unit 45:

## Review the Quality of Customer Service

**Unit reference number:** F/506/2176

**Level:** 4

**Credit value:** 4

**Guided learning hours:** 20

**Unit type:** Competence

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### Unit summary

In this unit you will learn how to review the quality of customer service in an organisation, this is important for anyone involved in the management of customer service.

People managing customer service need to know how effectively it is being delivered. Without this information, they have no way of knowing if their customers are satisfied and if they are likely to remain loyal. Managers also need to know what to do to improve customer service to meet and exceed customer expectations.

This unit is about planning how you measure standards of customer service through collecting and analysing information. You will demonstrate your competence in the planning and measurement of the key criteria used in measuring the quality and performance of customer service, for example customer satisfaction, in an organisation. You will develop conclusions and recommendations and then report your findings to relevant people in the organisation.

Most of all, this unit is about approaching the review of customer service quality systematically and making full use of your findings.



## Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to review the quality of customer service	<ul style="list-style-type: none"><li>1.1 Explain the value of measuring the quality of customer service</li><li>1.2 Analyse the criteria for and factors involved in setting customer service standards</li><li>1.3 Explain how to construct representative samples</li><li>1.4 Analyse methods of validating information and information sources</li><li>1.5 Explain how to set and use customer service performance metrics</li><li>1.6 Explain the use of customer feedback in the measurement of customer service</li><li>1.7 Analyse the advantages and disadvantages of a range of data analysis methods</li></ul>
2 Be able to plan the measurement of customer service	<ul style="list-style-type: none"><li>2.1 Identify the features of customer service against which customer satisfaction can be measured</li><li>2.2 Select data collection methods that are valid and reliable</li><li>2.3 Specify monitoring techniques that measure customer satisfaction</li><li>2.4 Establish evaluation objectives and key performance indicators (KPIs) in the measurement of customer service</li><li>2.5 Specify the information to be collected</li></ul>

Learning outcomes	Assessment criteria
<p>3 Be able to evaluate the quality of customer service</p>	<p>3.1 Validate the information collected to identify useable data</p> <p>3.2 Use information analysis methods that are appropriate to the nature of the information collected</p> <p>3.3 Identify instances of effective customer service, shortfalls and gaps from the information analysis against agreed criteria</p> <p>3.4 Develop recommendations that address identified areas for improvement supported by evidence</p>

### **AC1.1: Explain the value of measuring the quality of customer service**

- *Service quality*: SERVQUAL dimensions of service quality, i.e. tangibles, reliability, responsiveness, assurance, empathy
- *Measuring customer service quality*: techniques, including customer satisfaction surveys, metrics (quality, financial and operational), key performance indicators (KPIs), gap analysis, benchmarking against competitors, customer journey mapping,
- *Value of measuring service quality*: e.g. indicates service standards, identifies potential improvements to customer service, supports customer retention and customer loyalty, increased revenue

### **AC1.2: Analyse the criteria for and factors involved in setting customer service standards**

- *Customer service standards*: definition (quantifiable, measurable)
- *Criteria for customer service standards*: dependencies, e.g. nature of industry, organisation mission and purpose, type of goods and/or service; criteria, e.g. timeliness, accuracy, appropriateness, measurability, consistency
- *Important elements of service delivery (British Institute of Customer Service)*: timeliness, appearance, courtesy, quality and efficiency, ease of doing business, problem solving
- *Factors to be considered*: organisational strategy and values; service partnerships (SLAs); staffing; industry; customers; type of customer service, e.g. face to face, online, call centre; regulations and legislation, e.g. Data Protection Act 1998, Consumer Protection Act 1987

### **AC1.3: Explain how to construct representative samples**

- *Probability sampling*: simple random sampling, stratified sampling, cluster sampling, systematic sampling
- *Non-probability sampling*: quota sampling, snowball sampling, convenience sampling, heterogeneity sampling
- *Representative sampling design*: define population characteristics and size; choose probability sampling method based on population; decide on sample size; set up sampling frame (random number generator); select sample

**AC1.4: Analyse methods of validating information and information sources**

*Validating information:*

- *Triangulation* – definition; purpose; types of triangulation i.e. data, investigator, methodological, environmental
- *Validating sources of information:*
  - o *credibility of source* – evidence of quality control (peer review, organisational support, multiple levels of approval); author credentials (education, experience, reputation, job title); author motives; government or profit-making organisation
  - o *accuracy* – evidence provided to support information; sources stated
  - o *reasonableness* – fairness; objectivity; no conflict of interest
  - o *relevance* – purpose of information; intended audience; date published

**AC1.5: Explain how to set and use customer service performance metrics**

- *Types of performance metrics:* quality, e.g. first response time, problem resolution time, overall customer experience, total call time; financial, e.g. recurring revenue, recurring costs, labour burden rate; operational, e.g. escalation rates, first contact resolution, abandonment rates; leading and lagging metrics
- *Setting performance metrics:* factors, e.g. organisation brand position, service standards and strategic objectives, stakeholder and staff involvement; identify critical work processes and customer requirements; use a structured framework, e.g. Balance Scorecard; develop SMART measures
- *Use of performance metrics:* e.g. track performance of customer service staff, assess the quality of service, identify areas for potential costs reduction, improves the efficiency and effectiveness of customer service

**AC1.6: Explain the use of customer feedback in the measurement of customer service**

- *Uses:* e.g. provides information for analysis and interpretation, identifies areas for staff training and development, identifies gaps and/or weaknesses in the service offer, benchmarking against organisational service standards, indicates changes to procedures and processes to improve efficiency

**AC1.7: Analyse the advantages and disadvantages of a range of data analysis methods**

- *Data analysis:* data organisation; summarisation and categorisation of data; identification of patterns and themes in the data
- *Qualitative data analysis methods:* interpretative analysis; narrative analysis; discourse analysis; grounded theory analysis; conversation analysis
- *Quantitative data analysis methods:* measures of central tendency (mode, median and mean); standard deviation
- Advantages and disadvantages of each method

## Information for tutors

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### Suggested resources

#### Books

Enage J M – *Extraordinary Customer Service: Beyond the Extra Mile in Loyalty Marketing* (BeyondTheExtraMile.com, 2012) ISBN 9780988106802

Lisch R – *Measuring Service Performance* (Gower, 2014) ISBN 139781472411914

Ortman J – *How to add the 'WOW' experience to your customer service in 3 easy steps* (Create Space Independent Publishing Platform, 2013) ISBN 9781482584974

#### Assessment

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

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

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

#### Unit assessment requirements

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

## Unit assessment guidance

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

The primary source of evidence for demonstrating achievement for learning outcomes 2 and 3 is likely to involve the examination of the learner's work products.

Work products may include, for example records detailing the key performance indicators (KPIs) and evaluation objectives established by the learner and used as a part of the measurement activity (AC2.4).

This evidence should be supported by a professional discussion or reflective account to corroborate the learner's competence. The professional discussion or reflective account could focus on the learner's rationale for the selected data collection methods and the monitoring techniques used (AC2.2 and AC2.3). It could also seek to explain how the learner went about establishing evaluation objectives and KPIs and the reasons for choosing these (AC2.4).

Witness testimony could be used in learning outcomes 2 and 3 to provide supporting evidence for the learner's competence over time.

Evidence to demonstrate achievement of learning outcome 1 could come from a reflective account by the learner, designed to meet all assessment criteria and applied to the learner's job role. This method would be the most efficient and effective way of meeting all the cognitive requirements. Evidence to confirm achievement of learning outcome 1 could be integrated into the reflective account if used to evidence the underlying knowledge and understanding for learning outcomes 2 and 3, therefore providing the opportunity for the learner to link and apply their knowledge to their workplace activities as well as easing the burden of assessment for both the assessor and the learner. Work products that may provide evidence for learning outcomes 2 and 3 could be used as a basis for the reflective account as the assessment criteria are closely linked. For example, the data collection methods the learner has selected in AC2.2 could be used as a basis to support evidence of reliability of the data gathered.

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

## 12 Further information and useful publications

To get in touch with us visit our 'Contact us' pages:

- Edexcel: **[www.edexcel.com/contactus](http://www.edexcel.com/contactus)**
- BTEC: **[www.btec.co.uk/contactus](http://www.btec.co.uk/contactus)**
- Pearson Work Based Learning: **[www.edexcel.com/about-wbl/Pages/Contact-us.aspx](http://www.edexcel.com/about-wbl/Pages/Contact-us.aspx)**
- books, software and online resources for UK schools and colleges: **[www.pearsonschoolsandfecolleges.co.uk](http://www.pearsonschoolsandfecolleges.co.uk)**

Key publications:

- *Adjustments for candidates with disabilities and learning difficulties – Access and Arrangements and Reasonable Adjustments, General and Vocational qualifications* (Joint Council for Qualifications (JCQ))
- *Equality Policy* (Pearson)
- *Recognition of Prior Learning Policy and Process* (Pearson)
- *UK Information Manual* (Pearson)
- *BTEC Apprenticeships Quality Assurance Handbook* (Pearson)
- *UK Quality Vocational Assurance Handbook* (Pearson).

All of these publications are available on our website.

Further information and publications on the delivery and quality assurance of NVQ/Competence-based qualifications are available at our website:  
[qualifications.pearson.com](http://qualifications.pearson.com)

Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please go to the resources page of our website, [qualifications.pearson.com](http://qualifications.pearson.com)



# 13 Professional development and training

## Professional development and training

Pearson supports UK and international customers with training related to our qualifications. This support is available through a choice of training options offered on our website: [qualifications.pearson.com](http://qualifications.pearson.com).

The support we offer focuses on a range of issues, such as:

- planning for the delivery of a new programme
- planning for assessment and grading
- developing effective assignments
- building your team and teamwork skills
- developing learner-centred learning and teaching approaches
- building in effective and efficient quality assurance systems.

The national programme of training we offer is on our website at: [qualifications.pearson.com](http://qualifications.pearson.com). You can request centre-based training through the website or you can contact one of our advisers in the Training from Pearson UK team via Customer Services to discuss your training needs.

## Training and support for the lifetime of the qualifications

**Training and networks:** our training programme ranges from free introductory events through sector-specific opportunities to detailed training on all aspects of delivery, assignments and assessment. We also host some regional network events to allow you to share your experiences, ideas and best practice with colleagues in your region.

**Regional support:** our team of Regional Quality Managers, based around the country, are responsible for providing quality assurance support and guidance to anyone managing and delivering NVQs/Competence-based qualifications. The Regional Quality Managers can support you at all stages of the standard verification process as well as in finding resolutions of actions and recommendations as required.

To get in touch with our dedicated support teams please visit our website at: [qualifications.pearson.com](http://qualifications.pearson.com)

**Online support:** find the answers to your questions by browsing over 100 FAQs on our website or by submitting a query using our Work Based Learning Ask the Expert Service. You can search the database of commonly asked questions relating to all aspects of our qualifications in the work-based learning market. If you are unable to find the information you need, send us your query and our qualification or administrative experts will get back to you. The Ask the Expert service is available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com)

## Online forum

Pearson Work Based Learning Communities is an online forum where employers, further education colleges and workplace training providers can seek advice and clarification about any aspect of our qualifications and services, and share knowledge and information with others. The forums are sector specific and cover business administration, customer service, health and social care, hospitality and catering and retail. The online forum is available on our website at: [qualifications.pearson.com](http://qualifications.pearson.com)

## 14 Contact us

We have a dedicated Account Support team, across the UK, to give you more personalised support and advice. To contact your Account Specialist:

**Email:** wblcustomerservices@pearson.com

**Telephone:** 0844 576 0045

If you are new to Pearson and would like to become an approved centre, please contact us by:

**Email:** wbl@pearson.com

**Telephone:** 0844 576 0045

### Complaints and feedback

We are working hard to give you excellent service. However, if any element of our service falls below your expectations, we want to understand why, so that we can prevent it from happening again. We will do all that we can to put things right.

If you would like to register a complaint with us, please email [wblcomplaints@pearson.com](mailto:wblcomplaints@pearson.com).

We will formally acknowledge your complaint within two working days of receipt and provide a full response within seven working days.

## Annexe A: Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership

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## 1. Introduction

This Assessment Strategy provides principles and guidance to Awarding Organisations for the assessment of competence-based units and qualifications (including Scottish Vocational Qualifications and National Vocational Qualifications) within Business Administration, Customer Service and Management and Leadership in England, Scotland, Wales and Northern Ireland.

This document outlines Skills CFA principles in regards to:

- external quality control of assessment
- requirements of assessor and verifiers
- evidence
- employer direct model.

These principles are in addition to the generic criteria that Awarding Organisations must meet for delivery of qualifications as required by the qualification regulators, for example Ofqual's Regulatory Arrangements for the Qualifications and Credit Framework and any regulatory requirements specified by the SQA Accreditation.

This strategy should only be used for the assessment of the Business Administration, Customer Service and Management and Leadership competence-knowledge based units and qualifications owned by Skills CFA. Units which have been imported by Skills CFA into their apprenticeships or competence-based qualifications will be assessed in compliance with their relevant assessment strategies. Awarding Organisations may assess knowledge-only units as they see fit.

## **2. External quality control of assessment**

The quality of the assessment process is the responsibility of Awarding Organisations. However, Skills CFA encourages flexibility and innovation of approach, alongside robust systems to support quality control. Awarding Organisations are also encouraged to detail their approach to external verification, risk assessment and data requests.

### **2.1 External verification**

- Awarding Organisations are responsible for the competence of external verifiers. It is the responsibility of Awarding Organisations to monitor centres' performance in accordance with regulatory requirements.
- Awarding Organisations must consistently apply external verification processes at all assessment centres delivering competence-based qualifications. These should be underpinned by standard risk assessment and risk management processes.

### **2.2 Risk assessment**

- Awarding Organisations must carry out standard risk assessments for all qualification assessment centres that are delivering competence-based qualifications. Identified risks must be managed appropriately.
- Awarding Organisations must retain evidence to prove that a risk assessment has been carried out for each approved centre, and that a strategy to minimise any identified risk has been implemented.

### **2.3 Data requests**

- Each quarter, Awarding Organisations must provide registration and achievement data at all qualification levels and unit levels (where possible) to Skills CFA.

### 3. Requirements of assessors, external and internal verifiers

Candidates may be assessed, moderated or verified at work either by several appointed individuals.

#### 3.1 Assessors

The primary responsibility of an Assessor is to assess candidates' performance in a range of tasks and to ensure the evidence submitted by the candidate meets the requirements of the assessment criteria.

It is important that an assessor can recognise occupational competence as specified by the national standard. Assessors therefore need to have a thorough understanding of assessment and quality assurance practices, as well as have in-depth technical understanding related to the qualifications for which they are assessing candidates.

To be able to assess candidates, Assessors must:

- hold an appropriate qualification, as specified by the appropriate regulatory authority, confirming their competence to assess candidates undertaking competence-based units and qualifications. Assessors holding older qualifications must be able to demonstrate that they are assessing to the current standards;

**OR**

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. An Assessor working towards an appropriate qualification must ensure their decisions are countersigned by a suitably-qualified assessor/verifier and should be supported by a qualified assessor throughout their training period.
- be "occupationally competent" Assessors must provide current evidence of competence, knowledge and understanding in the areas to be assessed. This will normally be achieved through demonstrating competence in the roles which are to be assessed or demonstrated by relevant experience and continuing professional development (CPD) which may include the achievement of qualifications relevant to the areas being assessed.
- have a full and current understanding of the units of competence and requirements of the qualifications being assessed, including the quality of assessment and the assessment process.

It is the responsibility of approved centres to select and appoint assessors.

### 3.2 External quality assurer (EQA)<sup>1</sup>

The primary responsibility of EQAs is to assure quality of internal verification and assessments across the centres for which they are responsible. EQAs must have a thorough understanding of quality assurance and assessment practices, as well as in-depth technical knowledge related to the qualifications that they are externally verifying.

EQAs must:

- hold an appropriate qualification as specified by the appropriate regulatory authority, confirming their competence to verify competence-based assessments. EQAs holding older qualifications must be able to demonstrate that they are verifying to the current standards;

**OR**

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. If EQAs are working towards an appropriate qualification, their decisions must be countersigned by a suitably qualified EQA<sup>2</sup> and should be supported by a qualified EQA throughout their training period.
- be “occupationally competent”. EQAs must demonstrate sufficient and current understanding of the qualifications to be verified, and know how they are applied in business.
- demonstrate competent practice in external verification of assessment, and demonstrate understanding of the principles and practices of external verification of assessment, including the quality of assessment and the assessment process.

It is the responsibility of the awarding body to select and appoint EQAs.

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<sup>1</sup> Also known as External Verifier (EV)

<sup>2</sup> The need for countersigning the decisions of EQAs working towards a qualification, applies to England and Wales and not Scotland.



### 3.3 Internal quality assurer (IQA)<sup>3</sup>

A primary responsibility of IQAs is to assure the quality and consistency of assessments by the assessors for whom they are responsible. IQAs therefore need to have a thorough understanding of quality assurance and assessment practices, as well as sufficient technical understanding related to the qualifications that they are internally verifying. It will be the responsibility of the approved centre to select and appoint IQAs.

IQAs must:

- hold an appropriate qualification, as specified by the appropriate regulatory authority, confirming their competence to internally verify competence-based assessments and candidates. IQAs holding older qualifications must be able to demonstrate that they are verifying to the current standards;

**OR**

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. If an IQA is working towards an appropriate qualification, their decisions must be countersigned by a suitably qualified IQA<sup>4</sup> and should be supported by a qualified IQA throughout their training period.
- be “occupationally competent”. IQAs must demonstrate sufficient and current understanding of the qualifications to be internally verified, and know how they are applied in business.
- demonstrate competent practice in internal verification of assessment, and demonstrate understanding of the principles and practices of internal verification of assessment, including the quality of assessment and the assessment process.

Skills CFA and awarding organisations requires all assessors, moderators and verifiers to maintain current Business Administration, Customer Service and Management and Leadership competence to deliver these functions. Skills CFA recognises this can be achieved in many ways. However, such information must be formally recorded in individual CPD records that are maintained in assessment centres.

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<sup>3</sup> Also known as Internal Verifier (IV)

<sup>4</sup> The need for countersigning the decisions of IQAs working towards a qualification, applies to England and Wales and not Scotland.

## 4. Evidence

### 4.1 Evidence from Workplace Performance

- Evidence of occupational competence of all competence units at any level, should be generated and collected through performance under workplace conditions. This includes the knowledge-based learning outcomes and assessment criteria of the competence units.
- These conditions would be those typical to the candidate's normal place of work. The evidence collected under these conditions should also be as naturally occurring as possible. It is accepted that not all employees have identical workplace conditions and therefore there cannot be assessment conditions that are identical for all candidates. However, assessors must ensure that, as far as possible, the conditions for assessment should be those under which the candidate usually works.

### 4.2 Simulation

- Simulation can be applied to all units listed in Section 7.
- Where simulation is used for units at Level 2 and above, it should only form a small part of the evidence for the qualification.
- Evidence may be produced through simulation solely in exceptional circumstances. The exceptional circumstances, under which simulation is possible, are those situations that are not naturally or readily occurring, such as response to emergencies.
- Simulation must be undertaken in a 'realistic working environment' (RWE). A RWE is "an environment which replicates the key characteristics in which the skill to be assessed is normally employed". The RWE must provide conditions the same as the normal day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working. Guidelines for using RWE can be found in Section 6.

## 5. Employer direct model

Skills CFA encourages the use of an employer direct model. The employer direct model is where colleagues, supervisors and/or managers in the workplace are involved in the assessment process. Under this model, the employer, with the agreement of their Awarding Organisation may choose between:

- Achieving the appropriate regulatory body approved unit qualifications for assessment; **OR**
- Demonstrating that the employer's training and development activity undertaken to prepare, validate and review these assessment roles, maps 100% to the National Occupational Standards which these qualifications are based on. The mapping process must be agreed by the Awarding Organisation as providing the equivalent level of rigour and robustness as achievement of the unit qualification

In order to use the employer direct model:

- **An organisation must:**
  - o have staff who have achieved, or be working towards achieving, appropriate regulatory body approved unit qualifications for assessment, moderation or verification; **OR**
  - o seek guidance and approval from an awarding organisation to demonstrate that they have:
    - appropriate processes in place to facilitate assessment, moderation or verification functions
    - carried out 100% mapping of the trainer, supervisor or managers' assessment, moderation or verification skills and knowledge to the National Occupational Standards upon which the qualifications above are based.
- **An Awarding Organisation must:**
  - o offer this model to employers only
  - o supply information on the requirements for internal and external moderation/verification activities to assessment centres.

## 6. Realistic Working Environment Guidelines

Realistic Working Environment (RWE) can be applied to all the units Section 7:

It is essential that organisations wishing to operate a RWE operate in an environment which reflects a real work setting. This will ensure that any competence achieved in this way will be sustained in real employment.

To undertake the assessment in a RWE the following guidelines must be met:

1. the RWE is managed as a real work situation
2. assessment must be carried out under realistic business pressures
3. all services that are carried out should be completed in a way, and to a timescale, that is acceptable in business organisations
4. candidates must be expected to achieve a volume of work comparable to normal business practices
5. the range of services, products, tools, materials and equipment that the candidates use must be up to date and available
6. account must be taken of any legislation or regulations in relation to the type of work that is being carried out
7. candidates must be given workplace responsibilities to enable them to meet the requirements of the units
8. customer perceptions of the RWE is similar to that found in the work situation being represented
9. candidates must show that their productivity reflects those found in the work situation being represented.

## 7. Simulation: a list of units

Simulation can only be applied to the following competence units:

### Business Administration

Skills CFA Ref.	Unit title	Level
B&A 3	Work with others in a business environment	1
B&A 4	Health and safety in a business environment	1
B&A 5	Manage time and workload	1
B&A 6	Use a telephone and voicemail system	1
B&A 7	Prepare text from notes	1
B&A 8	Meet and welcome visitors in a business environment	1
B&A 9	Handle mail	1
B&A 10	Use office equipment	1

### Customer Service

Skills CFA Ref.	Unit title	Level
CS 2	Communication in customer service	1
CS 3	Record details of customer service problems	1
CS 4	Deal with customer queries, requests and problems	1

### Management and Leadership

Skills CFA Ref.	Unit title	Level
M&L 17	Manage conflict within a team	3
M&L 31	Discipline and grievance management	4
M&L 44	Manage redundancy and redeployment	4

## Annexe B: Personal, Learning and Thinking Skills mapping

PLTS \ Units	1 L3	5 L3
<b>Independent Enquirers</b>		
1 identify questions to answer and problems to resolve	AC 2.3 3.5	AC 1.2 2.3
2 plan and carry out research, appreciating the consequences of decisions		AC 1.2
3 explore issues, events or problems from different perspectives		AC 1.3
4 analyse and evaluate information, judging its relevance and value		AC 1.1
5 consider the influence of circumstances, beliefs and feelings on decisions and events	AC 2.2	AC 1.3
6 support conclusions, using reasoned arguments and evidence	AC 2.5	AC 1.3
<b>Creative Thinkers</b>		
1 generate ideas and explore possibilities	AC 2.3	AC 2.3
2 ask questions to extend their thinking		AC 2.4 3.2
3 connect their own and others' ideas and experiences in inventive ways	AC 2.5 3.6	AC 3.4
4 question their own and others' assumptions		AC 1.3 3.2
5 try out alternatives or new solutions and follow ideas through		AC 2.5
6 adapt ideas as circumstances change	AC 2.4	AC 3.4
<b>Reflective Learners</b>		
1 assess themselves and others, identifying opportunities and achievements	AC 2.1 2.3	AC 3.3
2 set goals with success criteria for their development and work		AC 2.4 3.4
3 review progress, acting on the outcomes		AC 3.3 3.4
4 invite feedback and deal positively with praise, setbacks and criticism		AC 2.3 3.2
5 evaluate experiences and learning to inform future progress		AC 1.3 2.3 3.3
6 communicate their learning in relevant ways for different audiences		AC 2.1 3.4

PLTS		Units	1 L3	2 L3
Team Workers				
1	collaborate with others to work towards common goals	AC 3.2 3.4	AC 3.3 3.4	
2	reach agreements, managing discussions to achieve results	AC 3.1 3.2	AC 3.4	
3	adapt behaviour to suit different roles and situations, including leadership roles	AC 3.3		
4	show fairness and consideration to others	AC 2.2 3.4		
5	take responsibility, showing confidence in themselves and their contribution	AC 2.4 2.5		
6	provide constructive support and feedback to others	AC 3.4 3.6		
Self-Managers				
1	seek out challenges or new responsibilities and show flexibility when priorities change	AC 2.4	AC 2.5	
2	work towards goals, showing initiative, commitment and perseverance	AC 2.2 2.4	AC 2.5	
3	organise time and resources, prioritising actions	AC 2.2 2.4		
4	anticipate, take and manage risks	AC 2.4		
5	deal with competing pressures, including personal and work-related demands		AC 1.3 2.5	
6	respond positively to change, seeking advice and support when needed	AC 2.4	AC 3.2 3.4	
7	manage their emotions, and build and maintain relationships	AC 3.4	AC 3.2	
Effective Participators				
1	discuss issues of concern, seeking resolution where needed	AC 3.5		
2	present a persuasive case for action	AC 2.5 3.2		
3	propose practical ways forward, breaking these down into manageable steps	AC 2.5 3.2		
4	identify improvements that would benefit others as well as themselves	AC 2.5 3.6	AC 2.3 2.4	
5	try to influence others, negotiating and balancing diverse views to reach workable solutions	AC 2.3 2.5	AC 2.4	
6	act as an advocate for views and beliefs that may differ from their own	AC 2.3		

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