Pearson
Edexcel Level 4 NVQ Diploma in Management

Specification

NVQ/Competence qualification

First registration September 2014

Issue 2

Edexcel, BTEC and LCCI qualifications

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About Pearson

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This specification is Issue 2. 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.

This qualification was previously known as:

Pearson Edexcel Level 4 NVQ Diploma in Management (QCF)

The QN remains the same.

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

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

Summary of Pearson Edexcel Level 4 NVQ Diploma in Management specification Issue 2 changes

Summary of changes made between previous issue and this current issue	Section number
All references to QCF have been removed throughout the specification	
Definition of TQT added	Section 1
Definition of sizes of qualifications aligned to TQT	Section 1
Credit value range removed and replaced with lowest credit value for the shortest route through the qualification	Section 2
TQT value added	Section 2
GLH range removed and replaced with lowest GLH value for the shortest route through the qualification	Section 2
Reference to credit transfer within the QCF removed	Section 5
QCF references removed from unit titles and unit levels in all units	Section 12
Guided learning definition updated	Section 11

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.

Contents

Purpose of this specification

This specification sets out:

- the objectives of the qualification

- any other qualifications that a learner must have completed before taking the qualification

- any prior knowledge, skills or understanding which the learner is required to have before taking the qualification

- the combination of units that a learner must have completed before the qualification will be awarded and any pathways

- any other requirements that a learner must have satisfied before they will be assessed or before the qualification will be awarded

- the knowledge, skills and understanding that will be assessed as part of the qualification

- the method of any assessment and any associated requirements relating to it

- the criteria against which a learner's level of attainment will be measured (such as assessment criteria)

- assessment requirements and/or evidence requirements required as specified by the relevant Sector Skills Council/Standards Setting Body

- assessment requirements/strategy as published by the relevant Sector Skills Council/Standards Setting Body

- the Apprenticeship Framework in which the qualification is included, where appropriate.

1   Introducing Pearson Edexcel NVQ/Competence-based qualifications

What are NVQ qualifications?

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

NVQs 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. NVQs qualifications can also be delivered as stand-alone for those who wish to take a work-based qualification.

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

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

Total Qualification Time (TQT)

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

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

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

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

Pearson Edexcel NVQ/Competence qualifications are generally available in the following sizes:

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

2 Qualification summary and key information

Qualification title	Pearson Edexcel Level 4 NVQ Diploma in Management
Qualification Number (QN)	601/3401/X
Regulation start date	29/05/2014
Operational start date	01/09/2014
Approved age ranges	18+ 19+ Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please refer to the qualification Assessment Strategy in *Annexe A*.
Credit value	53
Assessment	Portfolio of Evidence (internal assessment)
Total Qualification Time (TQT)	530
Guided learning hours	219
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 they are likely to be employed in an operational, technician, associate professional or first line management role; already have core occupational competence and knowledge within the sector, to allow them to complete the qualification, although this is not a formal requirement. Centres must follow the Pearson Access and Recruitment policy (see *Section 7, Access and Recruitment*).
Funding	Qualifications eligible and funded for post-16-year-olds can be found on the funding Hub. The Skills Funding Agency also publishes a funding catalogue that lists the qualifications available for 19+ funding.

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

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

3 Qualification rationale

Qualification objectives

The Pearson Edexcel Level 4 NVQ Diploma in Management is for learners who work in, or want to work in management roles such as Manager, Quality Manager, Business Manager, Business Improvement Manager and Area Manager.

It gives learners the opportunity to:

- develop and demonstrate a range of technical skills and behaviours that support competence in the job roles stated above. This includes skills in leading and managing staff, recruiting and selecting employees, developing and implementing operational plans, developing working relationships with stakeholders, and managing business risks.

- develop the role-related knowledge to underpin competence in the job roles stated above

- have existing skills recognised

- achieve a nationally-recognised Level 4 qualification

- develop their own personal growth and engagement in learning.

Relationship with previous qualifications

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

Apprenticeships

Skills CFA include the Pearson Edexcel Level 4 NVQ Diploma in Management as the competencies component for the Higher Apprenticeship in Management.

Progression opportunities

Learners who achieve the Pearson Edexcel Level 4 NVQ Diploma in Management can progress to the Pearson BTEC Level 4 Diploma in Management and Leadership which together are components of the Level 4 Higher Apprenticeship in Management. Learners can also progress to the Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership and the Pearson BTEC Level 5 Diploma in Management and Leadership which are components of the Level 5 Higher Apprenticeship in Management and Leadership. With further development, learners can also progress into job roles requiring a more complex set of skills, such as Senior Manager, Head of Department and Director.

Industry support and recognition

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

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 for the sector.

4 Qualification structure

Pearson Edexcel Level 4 NVQ 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	53
Minimum number of credits that must be achieved at level 4 or above	40
Number of mandatory credits that must be achieved	17
Number of optional credits that must be achieved from Group B	20
Number of optional credits that can be achieved from Group B or Group C A maximum of 16 credits can be taken from Group C	16

Unit	Unit reference number	Group A – Mandatory units	Level	Credit	Guided learning hours
1	L/506/1953	Provide Leadership and Management	4	5	28
2	Y/506/1955	Develop and Implement an Operational Plan	4	5	24
3	F/506/1982	Develop Working Relationships with Stakeholders	4	4	20
4	T/506/2952	Manage Personal and Professional Development	3	3	12
Unit	Unit reference number	Group B – Optional units	Level	Credit	Guided learning hours
5	J/506/1949	Develop and Maintain Professional Networks	4	3	15
6	M/506/1962	Encourage Learning and Development	4	3	16
7	T/506/1980	Initiate and Implement Operational Change	4	4	19
8	A/506/1981	Discipline and Grievance Management	4	3	26
9	L/506/1984	Manage a Tendering Process	4	4	21
10	K/506/1989	Manage Physical Resources	4	4	26
11	K/506/1992	Prepare for and Support Quality Audits	4	3	17

Unit	Unit reference number	Group B – Optional units continued	Level	Credit	Guided learning hours
12	T/506/1994	Conduct Quality Audits	4	3	21
13	A/506/1995	Manage a Budget	4	4	26
14	R/506/1999	Manage a Project	4	7	38
15	L/506/2004	Manage Business Risk	4	6	27
16	A/506/2032	Manage Knowledge in an Organisation	4	5	34
17	M/506/2044	Manage Redundancy and Redeployment	4	6	39
18	T/506/1820	Promote Equality, Diversity and Inclusion in the Workplace	3	3	15
19	A/506/1821	Manage Team Performance	3	4	21
20	J/506/1921	Manage Individuals' Performance	3	4	20
21	L/506/1922	Manage Individuals' Development in the Workplace	3	3	10
22	Y/506/1924	Chair and Lead Meetings	3	3	10
23	K/506/1927	Manage Conflict within a Team	3	5	25
24	M/506/1928	Procure Products and/or Services	3	5	35
25	K/506/1930	Implement and Maintain Business Continuity Plans and Processes	3	4	25
26	M/506/1931	Collaborate with Other Departments	3	3	14
27	A/506/1933	Support Remote or Virtual Teams	3	4	18
28	A/506/2046	Contribute to the Development of a Strategic Plan	5	5	31
29	D/506/2055	Design Business Processes	5	5	23
30	T/506/2059	Develop and Manage Collaborative Relationships with Other Organisations	5	5	28
31	F/506/2064	Optimise the Use of Technology	5	6	29
32	Y/506/2068	Manage Product and/or Service Development	5	5	23
33	J/506/2292	Encourage Innovation	3	4	14
34	J/506/2907	Manage the Impact of Work Activities on the Environment	4	4	30
35	R/506/2909	Recruitment, Selection and Induction Practice	4	6	33

Unit	Unit reference number	Group C – Optional units	Level	Credit	Guided learning hours
36	D/504/4056	Manage Health and Safety in Own Area of Responsibility	4	5	15
37	A/506/1950	Contribute to the Design and Development of an Information System	4	5	23
38	F/506/1951	Manage Information Systems	4	6	30
39	M/506/1959	Manage Events	4	6	49
40	F/506/2176	Review the Quality of Customer Service	4	4	20
41	D/506/1911	Contribute to the Improvement of Business Performance	3	6	33
42	H/506/1912	Negotiate in a Business Environment	3	4	18
43	K/506/2169	Resolve Customers' Problems	3	4	19
44	R/506/2151	Resolve Customers' Complaints	3	4	22
45	Y/502/9927	Analyse Competitor Activity	3	3	3
46	A/502/8656	Developing Sales Proposals	4	5	30
47	D/502/8651	Prioritising Information for Sales Planning	4	3	20
48	M/506/2898	Manage Customer Service Operations	4	7	23

5 Programme delivery

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

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

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

Elements of good practice

Learner recruitment, preparation and support

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

- providing initial advice and guidance, including work tasters, to potential learners to give them an insight into the relevant industry and the learning programme

- using a range of appropriate and rigorous selection methods to ensure that learners are matched to the programme best suited to their needs

- carrying out a thorough induction for learners to ensure that they completely understand the programme and what is expected of them. The induction can include, for example, the requirements of the programme, an initial assessment of current competency levels, assessment of individual learning styles, identification of training needs, an individual learning plan, details of training delivery, the assessment process. It is good practice to involve employers in the induction process, this helps them to understand what will be taking place during the programme and enables them to start building a relationship with the centre to support the effective delivery of the programme

- keeping in regular contact with the learner to keep them engaged and motivated, and ensuring that there are open lines of communication with the learner, the assessor, the employer and teaching staff.

Training and assessment delivery

Good practice in relation to training and assessment delivery include:

- offering flexible delivery and assessment to meet the needs of the employer and learner, through the use of a range of approaches, for example virtual learning environments (VLEs), online lectures, video, printable online resources, virtual visits, webcams for distance training, e-portfolios

- planning opportunities for the development and practising of skills on the job. On-the-job training presents an excellent opportunity to develop the learner's routine expertise, resourcefulness, craftspersonship and business-like attitude. It is therefore important that there is intentional structuring of practice and guidance to supplement the learning and development provided through engagement in everyday work activities. Learners need to have structured time to learn and practice their skills separate from their everyday work activities. Teaching and learning methods, such as coaching, mentoring, shadowing, reflective practice, collaboration and consultation, could be used in this structured on-the-job learning

- integrating the delivery and assessment of Personal, Learning and Thinking Skills (PLTS) and Employment Rights and Responsibilities (ERR) if the programme is being delivered as a part of an Apprenticeship. It is important that learners understand the relevance of these skills in the workplace and are aware of when and how they will be developing them

- developing a holistic approach to assessment by matching evidence to different assessment criteria, learning outcomes and units as appropriate, thereby reducing the assessment burden on learners and assessors. It is good practice to draw up an assessment plan that aligns the units with the learning process and the acquisition of knowledge and skills, and which indicates how and when the units will be assessed. In producing the plan, the assessor should work closely with the learner to identify any activities that relate to more than one unit or learning outcome and to agree the best way to collect a single piece of evidence that meets the assessment requirements sufficiently. The assessment guidance given in the units identifies opportunities to assess units holistically, helping centres to develop assessment plans

- discussing and agreeing with the learner and employer suitable times, dates and work areas where assessment will take place. Learners and employers should be given regular and relevant feedback on performance and progress.

Employer engagement

Good practice in relation to employer engagement include:

- communicating with employers at the start of the programme to understand their business context and requirements so that the programme can be tailored to meet their needs

- working with the employer to ensure that learners are allocated a mentor in the workplace to assist them in the day-to-day working environment and to act as a contact for the assessor/tutor

- helping the employer to better understand their role in the delivery of the programme. It is important that employers understand that sufficient and relevant work must be given to learners in order to provide a culture of learning and to ensure that they are given every opportunity to participate in aspects of continuous professional development (CPD).

6 Centre resource requirements

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

- Centres must have the appropriate physical resources to support delivery and assessment of the qualification. For example, a workplace in line with industry standards, or a Realistic Working Environment (RWE), where permitted, as specified in the assessment 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

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

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 be employed in an operational, technician, associate professional or first line management role; already have the core occupational competence and knowledge within the sector, to allow them to complete the qualification, although this is not a formal requirement.

Access to qualifications for learners with disabilities or specific needs

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

We are committed to making sure that:

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

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

8 Assessment

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

Language of assessment

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

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

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

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

Internal assessment

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

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

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

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

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

Valid   relevant to the standards for which competence is claimed

Authentic   produced by the learner

Current   sufficiently recent to create confidence that the same skill, understanding or knowledge persist at the time of the claim

Reliable   indicates that the learner can consistently perform at this level

Sufficient   fully meets the requirements of the standards.

Learners can provide evidence of occupational competence from:

● **current practice** – where evidence is generated from a current job role

● a **programme of development** – where evidence comes from assessment opportunities built into a learning programme. The evidence provided must meet the requirements of the Sector Skills Council's assessment requirements/strategy.

● the **Recognition of Prior Learning (RPL)** – where a learner can demonstrate that they can meet a unit's assessment criteria through knowledge, understanding or skills they already possess without undertaking a course of development. They must submit sufficient, reliable, authentic and valid evidence for assessment. Evidence submitted that is based on RPL should give the centre confidence that the same level of skill, understanding and knowledge exists at the time of claim as existed at the time the evidence was produced. RPL is acceptable for accrediting a unit, several units, or a whole qualification.

● Further guidance is available in our policy document *Recognition of Prior Learning Policy and Process*, available on our website at: qualifications.pearson.com

● a combination of these.

Assessment strategy

The Assessment Strategy for management specific units in this qualification is included 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. It has been developed by Skills CFA in partnership with employers, training providers, awarding organisations and the regulatory authorities.

Imported units in this qualification are governed by the Assessment Strategy in Annexe B. The unit assessment requirements section in each unit states where this strategy applies.

Types of evidence

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

In line with the Assessment Strategies, evidence for internally assessed units can take a variety of forms as indicated below:

● direct observation of the learner's performance by their assessor (O)

● outcomes from oral or written questioning (Q&A)

● products of the learner's work (P)

● personal statements and/or reflective accounts (RA)

● outcomes from simulation (S) – units 8, 17 and 23 only

● professional discussion (PD)

● authentic statements/witness testimony (WT)

● expert witness testimony (EWT)

● evidence of Recognition of Prior Learning (RPL).

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

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

Learners must provide evidence of their achievement of the knowledge-based learning outcome and the associated assessment criteria in competence unit – 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 Strategies in *Annexe A, B, C* and *D*. Guidance may need to be given to learners before the assessment is conducted to clarify the requirements of different command verbs. This will ensure that evidence provided has sufficient breadth and depth to meet the assessment requirements. The *Unit assessment guidance* given in each unit is useful in supporting centres with the assessment process.

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

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

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

Appeals

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

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

Dealing with malpractice

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. Centres must report malpractice to Pearson, particularly if any units have been subject to quality assurance or certification.

Reasonable adjustments to assessment

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

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

Both documents are on our website.

Special consideration

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

● assessment requires the demonstration of practical competence

● criteria have to be met fully

● units/qualifications confer licence to practice.

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

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

Both of the documents mentioned above are on our website at: qualifications.pearson.com

9 Centre recognition and approval

Centre recognition

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

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

Guidance on seeking approval to deliver Pearson vocational qualifications is available at qualifications.pearson.com

Approvals agreement

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

10 Quality assurance of centres

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

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

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

- number of assessment sites

- number and throughput of learners

- number and turnover of assessors

- number and turnover of internal verifiers.

For centres offering a full Pearson BTEC Apprenticeship (i.e. all elements of the Apprenticeship are delivered with Pearson through registration of learners on a BTEC Apprenticeship framework) a single standards verifier will normally be allocated to verify all elements of the BTEC Apprenticeship programme. Centres should make use of our one-click learner registration to access this facility. If a centre is also offering stand-alone 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 Edexcel NVQs, SVQs and competence-based qualifications – Delivery Requirements and Quality Assurance Guidance* on our website at 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.D

Unit summary

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

Learning outcomes

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

Assessment criteria

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

Unit amplification

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

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

Relationship between amplification and assessment criteria

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

Amplification structure

● Amplification is given only for those assessment criteria associated with knowledge-based learning outcomes. Assessment criteria for competence learning outcomes are not amplified as the related activities are organisation specific.

● Where a knowledge-based assessment criterion is context specific, it is indicated by the following, or similar, statement: '*The knowledge to meet this AC depends on particular organisational requirements and context. Learners need to apply knowledge specific to their organisation to meet this AC*'. Where appropriate, general information is given to support the delivery of the content needed to satisfy the assessment criteria.

● Content in brackets is content that must be covered and delivered.

● Where content is specified as 'e.g.' (indicative content) it means that it could be covered in delivery or replaced with other, similar content.

Legislation

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

Information for tutors

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

● *Suggested resources* – lists resource materials that can be used to support the teaching of the unit, for example books, journals, websites.

Assessment – gives information about the assessment requirements that learners need to satisfy in order to achieve the unit. This section also gives guidance on the assessment activities that can be used to gather the evidence required to achieve the unit. This section should be read in conjunction with the assessment criteria, learning outcomes and unit amplification.

Unit 1: Provide Leadership and Management

Unit reference number: L/506/1953

Level: 4

Credit value: 5

Guided learning hours: 28

Unit summary

In this unit, you will learn how to inspire and engage stakeholders and colleagues to deliver results. You will be introduced to the principles supporting leadership and management and learn how current theories of management and leadership can be applied to specific workplace situations. This will enable you to examine the relationship between management and leadership and the different perspectives, particularly in relation to the behaviour of managers/leaders.

You will examine the impact an organisation's structure and culture have on the leadership and management practices. The structure and culture of an organisation are key factors, which contribute to motivating the workforce at all levels 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 the principles supporting leadership and management	1.1 Analyse how leadership and management theories may be applied
	1.2 Assess the influence of an organisation's culture on its leadership styles and management practices
	1.3 Assess the influence of an organisation's structure on its leadership styles and management practices
	1.4 Analyse how theories of motivation may be applied in the practice of leadership
	1.5 Evaluate the role of stakeholder engagement in leadership and management
	1.6 Assess the suitability of a range of leadership styles and management practices to the culture of an organisation

Learning outcomes	Assessment criteria
2 Be able to engage and inspire stakeholders and colleagues	2.1 Display behaviours and attitudes that show a commitment to the achievement of an organisation's goals
	2.2 Display behaviours and attitudes that show a commitment to the fulfilment of an organisation's vision and the expression of its values
	2.3 Identify who stakeholders are and the nature of their interest
	2.4 Take action to ensure that colleagues and other stakeholders understand their role in achievement of organisational objectives
	2.5 Win the trust and support of colleagues and other key stakeholders through exemplary performance and behaviour
	2.6 Take action to maintain morale through difficult times
	2.7 Take action to secure the on-going commitment of colleagues and other key stakeholders
3 Be able to deliver results	3.1 Make planning and resourcing decisions that optimise the available resources, skills and expertise
	3.2 Use delegation techniques whilst delivering targets
	3.3 Empower individuals to take responsibility for their decisions and actions within agreed parameters
	3.4 Adapt plans, priorities and resource allocations to meet changing circumstances and priorities

Unit amplification

AC1.1: **Analyse how leadership and management theories may be applied**

- *Leadership and Management*: perspectives on leadership, e.g. influencing others, having followers; definitions of management, e.g. planning, organising, coordinating, controlling; differences between management and leadership in terms of behaviours e.g. Adair, Bennis, Covey, Drucker

- *Theories*: universal theories e.g. Transformational Leadership, Transactional Leadership (Bennis, Bass), charismatic leadership (Weber, Conger and Kanungo); contingency theory e.g. Fiedler; situational theories e.g. Hersey and Blanchard, Vroom and Yetton; emotional leadership styles e.g. Goleman's six styles, Hay and McBer's Emotional Competence Inventory, Dulewicz and Higgs Leadership

AC1.2: **Assess the influence of an organisation's culture on its leadership styles and management practices**

- *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

- *Models and styles of leadership used in organisation*: e.g. Continuum of Leadership Manager-Non-Manager behaviour (Tannenbaum and Schmidt, 1973); Leadership Styles- Authoritarian, Democratic and Laissez-faire; functional approach; situational Approach, Fiedler's Contingency Model

AC1.3: **Assess the influence of an organisation's structure on its leadership styles and management practices**

- *Organisational structures*: functional, product-based, geographically based, multi-functional and multi-divisional structures, matrix, centralisation and decentralisation

- *Impact on leadership styles and management practices*: organisational charts; spans of control; internal and external network structures; flexible working

AC1.4: **Analyse how theories of motivation may be applied in the practice of leadership**

- *Motivation theories*: Maslow's Hierarchy of Needs; Herzberg's Motivation– Hygiene theory; McGregor's Theory X and Y; Vroom and Expectancy theories; Maccoby, McCrae and Costa – personality dimensions

- *Application of motivation theories*: to influence, reward and persuade others; effective empowerment; delegation

AC1.5: Evaluate the role of stakeholder engagement in leadership and management

- *Stakeholder engagement*: identifying stakeholders, e.g. stakeholder analysis, power/interest grids; purpose, e.g. involvement in decisions that affect them; consultative; awareness of changes and the impact on performance; role in leadership and management, e.g. interacting with stakeholders, agreeing a strategy, dealing with conflict, getting feedback on leadership performance

AC1.6: Assess the suitability of a range of leadership styles and management practices to the culture of an organisation

- *Leadership styles and management practice*: e.g. autocratic, charismatic, persuasive, participative

- *Influences on style*: e.g. culture of organisation, beliefs and values of manager/leader; expertise of team members; nature of the organisation industry

- *Differentiation between management and leadership styles in given situations*: Blake and Mouton's Managerial Grid; developing a compelling vision; recognising and developing the leadership capability of other people

Information for tutors

Suggested resources

Books

Adair, J. – *The Inspirational Leader: How to Motivate, Encourage and Achieve Success* (Kogan Page, 2009) ISBN 9780749454784

Gold, G., Thorpe, R., Mumford, A. – *Leadership and Management Development* (Chartered Institute of Personnel and Development, 2010) ISBN 9781843982449

Mullins, L.J. – *Management and Organisational Behaviour (10th edition)* (FT Publishing International, 2013) ISBN 9780273792642

Websites

www.cipd.co.uk – the Chartered Institute of Personnel and Development website, providing management resources

www.leadershipnow.com – online resource for articles and blogs on leadership challenges

www.managementhelp.org – online management library containing articles and blogs on planning leadership development

www.managers.org.uk – the Chartered Management Institute website, providing journal articles and other publications. Membership is required for full access

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 carrying out their role and activities as a manager and/or leader. 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 meeting minutes or other evidence of communications that shows that the learner has acted to ensure that colleagues and other stakeholders understand their role in achieving the organisational objectives (AC2.4). Work products could also include a stakeholder analysis matrix and evidence of stakeholder engagement to support how the learner identified the relevant stakeholders and their interest (AC2.3). Any work schedules, resource plans and supporting notes can be used as product evidence for AC3.1. The evidence from these work products should be supported by a professional discussion or reflective account, where the learner could comment on their behaviours and attitudes and how they showed commitment to the achievement of the organisation goals, the fulfilment of its vision and expression of its values (AC2.1 and AC2.2). They could also comment on the actions taken to build trust and support and maintain morale in difficult times and how they empowered individuals to take responsibility for their decisions and actions (AC2.5, AC2.6, AC2.7 and AC3.3).

Witness testimony from colleagues and line manager should also be used to confirm that the learner has performed consistently over a period of time, as well as performed in line with the organisational objectives and requirements. This could provide supporting evidence across both learning outcomes.

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 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 analyse the different theories of motivation by reflecting on how they have applied these in their role as a leader (AC1.4). They could also discuss the features of their own organisational culture and explain how it has influenced the management practices in the wider organisation as well as the influence it has had on their own leadership style (AC1.2). The learner's reflective account must be in sufficient depth and breadth to meet the requirements of the level of demand of the operative command verbs in 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 2: Develop and Implement an Operational Plan

Unit reference number: Y/506/1955

Level: 4

Credit value: 5

Guided learning hours: 24

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	1.1 Evaluate the use of risk analysis techniques in operational planning
	1.2 Explain the components of an operational plan
	1.3 Analyse the relationship between strategic and operational plans
	1.4 Evaluate the use of planning tools and techniques in the operational planning process
	1.5 Explain how to carry out a cost-benefit analysis

Learning outcomes		Assessment criteria	
2	Be able to develop an operational plan	2.1	Identify specific, measurable, achievable, realistic and time-bound (SMART) objectives and key performance indicators (KPIs)
		2.2	Identify evaluation mechanisms appropriate to the plan
		2.3	Take action to ensure that plans are consistent with organisational strategy, objectives, values, policies and procedures
		2.4	Develop proportionate and targeted plans to manage identified risks
		2.5	Take action to ensure that plans complement and maximise synergy with other business areas
		2.6	Adhere to organisational policies and procedures, legal and ethical requirements
3	Be able to implement an operational plan	3.1	Implement plans within agreed budgets and timescales
		3.2	Communicate the requirements of the plans to those who will be affected
		3.3	Revise plans in the light of changing circumstances in accordance with strategic objectives and identified risks
4	Be able to evaluate the effectiveness of an operational plan	4.1	Conduct periodic reviews of the progress and effectiveness of the plans, using information from a range of sources
		4.2	Report on the effectiveness of operational plans in the appropriate format

Unit amplification

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

Suggested resources

Books

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

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

Websites

www.bis.gov.uk – the Department for Business, Innovation and Skills with tools and guidance for running a business

www.businesscasestudies.co.uk – the business case studies website providing the Times 100 business case studies, including business operations

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 the learner's 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 how they ensure 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 (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 experienced 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 3: Develop Working Relationships with Stakeholders

Unit reference number: F/506/1982

Level: 4

Credit value: 4

Guided learning hours: 20

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
1 Understand working relationships with stakeholders	1.1 Analyse stakeholder mapping technique
	1.2 Explain how influencing skills and techniques can be used to enhance the relationship with stakeholders
	1.3 Explain how expectation management and conflict resolution techniques are applied to stakeholder management
	1.4 Analyse the advantages and limitations of different types of stakeholder consultation
	1.5 Evaluate the risks and potential consequences of inadequate stakeholder consultation
2 Be able to determine the scope for collaboration with stakeholders	2.1 Identify the stakeholders with whom relationships should be developed
	2.2 Explain the roles, responsibilities, interests and concerns of stakeholders
	2.3 Evaluate business areas that would benefit from collaboration with stakeholders
	2.4 Evaluate the scope for and limitations of collaborating with different types of stakeholder
3 Be able to develop productive working relationships with stakeholders	3.1 Create a climate of mutual trust and respect by behaving openly and honestly
	3.2 Take account of the advice provided by stakeholders
	3.3 Minimise the potential for friction and conflict amongst stakeholders

Learning outcomes	Assessment criteria
4 Be able to evaluate relationships with stakeholders	4.1 Monitor relationships and developments with stakeholders
	4.2 Address changes that may have an effect on stakeholder relationships
	4.3 Recommend improvements based on analyses of the effectiveness of stakeholder relationships

Unit amplification

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

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 – business education site with materials on business stakeholders

www.businesscasestudies.co.uk – The Times 100 has case-study material on stakeholders

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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: *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 4: Manage Personal and Professional Development

Unit reference number: T/506/2952

Level: 3

Credit value: 3

Guided learning hours: 12

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) define 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
1 Be able to identify personal and professional development requirements	1.1 Compare sources of information on professional development trends and their validity
	1.2 Identify trends and developments that influence the need for professional development
	1.3 Evaluate their own current and future personal and professional development needs relating to the role, the team and the organisation

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

Information for tutors

Suggested resources

Books

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

Websites

www.businessballs.com – free resources and advice on personal development planning

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

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 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. The professional discussion could be based around the learner's choice of learning methods and development activities that were 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, 360 degree feedback or appraisal records), CPD records and their amended personal development plan. The learner's available work products should be reviewed by the assessor and could be used as a basis for the professional discussion. To evidence the achievement of AC3.1 and the knowledge and understanding underpinning the learner's performance, the professional discussion could focus on how the learner's SMART objectives were set, who they received feedback on their performance from, and why, and how they determined their progress against the objectives.

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

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

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

Unit 5: Develop and Maintain Professional Networks

Unit reference number: J/506/1949

Level: 4

Credit value: 3

Guided learning hours: 15

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	1.1 Describe the interpersonal skills needed for effective networking
	1.2 Explain the basis on which to choose networks to be developed
	1.3 Evaluate the role of shared agendas and conflict management in relationship-building
	1.4 Evaluate the role of the internet in business networking
	1.5 Assess the importance of following up leads and actions
	1.6 Analyse ethical issues relating to networking activities

Learning outcomes	Assessment criteria
2 Be able to identify professional networks for development	2.1 Identify potential networks for professional development from an analysis of their benefits compared with individual needs and aspirations
	2.2 Shortlist networks for development against defined criteria
	2.3 Assess the benefits and limitations of joining and maintaining selected network(s)
3 Be able to maintain professional networks	3.1 Identify the potential for mutual benefit with network members
	3.2 Promote their own skills, knowledge and competence to network members
	3.3 Provide information, services or support to network members where the potential for mutual benefit has been identified
	3.4 Establish the boundaries of confidentiality
	3.5 Agree guidelines for the exchange of information and resources
	3.6 Take action to ensure that participation in networks reflects current and defined future aspirations and needs
	3.7 Make introductions to people with common or complementary interest to and within networks

Unit amplification

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

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 – the Government services and information website, where practical business advice on networking can be found

www.britishchambers.org.uk – the British Chambers of Commerce website which provides business support and advice on networking

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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), how they established boundaries of confidentiality and agreed 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 6: Encourage Learning and Development

Unit reference number: M/506/1962

Level: 4

Credit value: 3

Guided learning hours: 16

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	1.1 Assess the role of continuous professional development (CPD) in identifying and meeting individuals' learning and development for current and future business needs
	1.2 Analyse the advantages and limitations of different learning and development methods
	1.3 Explain how to identify individuals' learning and development needs
	1.4 Evaluate the role of self-reflection in learning and development

Learning outcomes	Assessment criteria
2 Be able to support individuals' learning and development	2.1 Promote the benefits of learning to people in own area of responsibility
	2.2 Support individuals in identifying their current and likely future learning and development needs from a range of information sources
	2.3 Agree with individuals the learning activities to be undertaken, ensuring they are within agreed budgets and consistent with business needs
	2.4 Summarise agreed learning objectives, learning activities, review mechanisms and success criteria in a personal development plan
	2.5 Create an environment that encourages and promotes learning and development
	2.6 Provide opportunities for individuals to apply their developing competence in the workplace
3 Be able to evaluate individuals' learning and development	3.1 Analyse information from a range of sources on individuals' performance and development
	3.2 Evaluate the effectiveness of different learning and development methods
	3.3 Agree revisions to personal development plans in the light of feedback

Unit amplification

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

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 – the Chartered Institute of Personnel and Development website offers resource and information relating to human resource practices and learning and development

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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), and 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). They could also include 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), and 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). They could also discuss 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 7: Initiate and Implement Operational Change

Unit reference number: T/506/1980

Level: 4

Credit value: 4

Guided learning hours: 19

Unit summary

In this unit, you will learn how to plan, manage and evaluate the effectiveness of operational change. Developing a clear plan and involving others in the process through explaining the reasons for the change will reduce the likelihood of any resistance.

You will examine your organisation's current position in the market in which it works, relevant to the operational change. You will also learn about the different concepts, tools and models used to manage operational change and their strengths and weaknesses. This will help you to understand the relationship between transformational and transactional change, and theory and application of the change/performance curve.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the implementation of operational change	1.1 Explain sources of information indicating the need for change
	1.2 Analyse the advantages and limitations of different project and change management technique
	1.3 Analyse the characteristics, strengths and weaknesses of evaluation techniques used in change management

Learning outcomes	Assessment criteria
2 Be able to plan for operational change	2.1 Develop an operational plan that includes specific, measurable, achievable, realistic and time-bound (SMART) objectives and resources
	2.2 Take action to ensure that colleagues are briefed on their roles, responsibilities and change objectives
	2.3 Provide colleagues with the support needed to implement operational change
3 Be able to manage operational change	3.1 Implement the change plan within the agreed timescale using available resources
	3.2 Assess the significance of deviations from the change plan
	3.3 Address interdependency issues and tensions that affect the achievement of change objectives
	3.4 Assess the value and risks of unintended outcomes from operational change
	3.5 Inform stakeholders of any unforeseen obstacles or problems and the actions that have been taken
4 Be able to evaluate the effectiveness of operational change	4.1 Evaluate the effectiveness of operational change
	4.2 Identify areas for improvement, justifying conclusions and recommendations with evidence
	4.3 Communicate to stakeholders the lessons learned from the change

Unit amplification

AC1.1: Explain sources of information indicating the need for change

- *Sources:* internal, e.g. SWOT analysis (strengths, weaknesses, opportunities, threats; external, e.g. PESTLE analysis (political, economic, social, technological, legal, environmental)

- *Types of change:* e.g. processes or procedures, outsourcing, corporate mission or objectives, development of new products, market forces

AC1.2: Analyse the advantages and limitations of different project and change management techniques

- *Change management models:* e.g. John P Kotter's eight steps to successful change, Kübler-Ross Five Stage Transition Cycle, Prosci's ADKAR Model, Kurt Lewin's Change Management model

- *Project management techniques:* e.g. project work plans; charting, e.g. Gantt, Load; analysis, e.g. PERT, critical paths; risk management logs; dependencies, responsibilities

AC1.3: Analyse the characteristics, strengths and weaknesses of evaluation techniques used in change management

- *Evaluating change*: importance, e.g. assess the effectiveness of change management, keep the change process moving; techniques, e.g. Key Performance Indicators (KPIs), success criteria, Kubler-Ross change performance curve

Information for tutors

Suggested resources

Books

Carnall, C., Todnem By, R. – *Managing Change in Organisations* (Pearson, 2014) ISBN 9780273736417

Nokes, S., Kelly, S. – *The Definitive Guide to Project Management: The Fast Track to Getting the Job Done on Time and on Budget (2nd edition)* (Financial Times/Prentice Hall, 2007) ISBN 9780273710974

Websites

www.apm.org.uk – the Association for Project Managers website, which provides project management resources. Membership is required for full access.

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 initiating and implementing operational change as a part of the management role. Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include copies of operational plans which the learner has developed, ensuring that they include SMART objectives and resources (AC2.1), meeting minutes detailing where they have briefed colleagues on their roles, responsibilities and change objectives in the process of planning for operational change (AC2.2), and communications or reports evidencing where the learner has informed stakeholders of any unforeseen obstacles or problems and actions that have been taken, during the process of managing operational change (AC3.5). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could comment on interdependency issues and tensions that affected the achievement of change objective and the process for addressing these whilst managing operational change (AC3.3) and the criteria used for evaluating the effectiveness of operational change within their organisation (AC4.1). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2, 3 and 4, then it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on different project and change management techniques which they have utilised in the process of operational change, how they have applied these and what the advantages and limitations of each was (AC1.2). The learner's reflective account to meet the requirements of AC1.1 to AC1.3 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

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

Unit 8: Discipline and Grievance Management

Unit reference number: A/506/1981

Level: 4

Credit value: 3

Guided learning hours: 26

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, which 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	1.1 Explain the difference between a discipline case and a grievance case and the implications for their management
	1.2 Explain sources of advice and expertise on discipline and grievance
	1.3 Explain the legal obligations of employers and the rights of employees in relation to discipline and grievance cases
	1.4 Explain organisational procedures for the management of discipline and grievance cases
	1.5 Explain the communication techniques to be used in the management of discipline and grievance cases
	1.6 Explain the types of behaviours that are likely to result in disciplinary proceedings
	1.7 Explain the types of actions that are likely to lead to a grievance
	1.8 Explain how to carry out investigations into discipline and grievance cases
	1.9 Analyse the effect of well managed and poorly managed discipline and grievance cases
	1.10 Explain how the outcomes of discipline and grievance cases can be managed

Learning outcomes	Assessment criteria
2 Be able to manage a disciplinary case	2.1 Inform an individual that they are subject to disciplinary proceedings within agreed timescales
	2.2 Explain to an individual the reasons why they are subject to disciplinary proceeding
	2.3 Provide evidence that supports the case for disciplinary proceedings
	2.4 Develop a case to support an individual who is subject to disciplinary proceedings
	2.5 Keep detailed and accurate records of agreements, actions and events for disciplinary cases
	2.6 Adhere to organisational policies and procedures, legal and ethical requirements when managing a disciplinary case
3 Be able to manage a grievance	3.1 Identify the nature of a grievance
	3.2 Investigate the seriousness and potential implications of a grievance
	3.3 Adhere to organisational procedures when managing a grievance
	3.4 Evaluate the effectiveness of how a grievance has been managed
	3.5 Agree measures to prevent future reoccurrences of grievances

Unit amplification

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

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 – the ACAS website, providing current ACAS leaflets and publications, advice, training and other employment information

www.cipd.co.uk – the CIPD website, providing information about recruitment, selection and employment practices

www.employersdirect-uk.org – the free advice service for employers website, including disciplinary information

www.peoplemanagement.co.uk – the online magazine of the CIPD, providing the latest HR news, including articles on discipline and grievance management

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 9: Manage a Tendering Process

Unit reference number: L/506/1984

Level: 4

Credit value: 4

Guided learning hours: 21

Unit summary

An organisation will often need to find other businesses who can supply the relevant goods and services, which will enable them to operate and run efficiently. Today, many private and public businesses are choosing to buy their products and services by finding suppliers through the tendering process. An organisation will need to select a tender that meets their needs and provides the best value for money.

In this unit, you will learn how to develop the information needed to produce a tender in accordance with business needs. You will have the opportunity to choose an appropriate media to attract potential suppliers and invite suppliers to apply for tender. You will gain an understanding of how contract law and organisational procedures can affect tendering negotiations. You will gain an understanding of how to sift out the tenders that do not meet the criteria and how to award the contract to the business that meets the needs of your 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 Be able to develop a tender specification	1.1 Explain the roles and inputs of those who need to be involved in the tender process
	1.2 Identify essential and desirable business needs and their implications which may be included within the tender
	1.3 Address all aspects of the specification including post-contractual requirements
	1.4 Allocate priorities within the tender specification in accordance with business needs
	1.5 Establish criteria and ranking systems to evaluate tenders in accordance with organisational procurement policies
2 Be able to manage a tendering exercise	2.1 Assess the appropriateness of different media to attract potential suppliers
	2.2 Use media to attract potential suppliers that are appropriate to the nature of the contract
	2.3 Specify tender application procedures, arrangements and timetable
	2.4 Invite suppliers to apply for the tender
	2.5 Sift out those that do not meet the agreed criteria
	2.6 Confirm that the track records of shortlisted suppliers demonstrate the required technical capability

Learning outcomes	Assessment criteria
3 Be able to negotiate the award of contracts	3.1 Explain the provisions of contract law that affect the negotiation
	3.2 Devise a negotiating strategy that is appropriate to the contract and supplier
	3.3 Award contracts that best meet business needs, are realistic and meet the specification
	3.4 Complete the tendering exercise in accordance with organisational standards
	3.5 Analyse the implications of procurement decisions for the organisation, suppliers and potential suppliers
	3.6 Communicate outcomes of the tendering exercise to stakeholders
	3.7 Adhere to organisational policies and procedures, legal and ethical requirements when awarding contracts

Information for tutors

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

Websites

www.gov.uk – the government services and information website which provides an overview of the tendering process for the public sector

www.supplymanagement.com – the Chartered Institute of Purchasing and Supply website provides up to date information and articles on tendering

www.europa.eu – the European Union website provides rules and guidelines on the procurement regulations that apply across the European Union

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 reviewing the learner's 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, which focus on developing the tendering process, could be used to provide evidence for AC1.2, AC1.3, AC1.4 and AC1.5. If the emails or minutes explain the roles and inputs of those who need to be involved in the tender process this will provide evidence for AC1.1. This evidence could be supported by a professional discussion or a reflective account.

For learning outcome 2, the learner's work products such as emails or minutes from meetings, which assess the appropriateness of different media, specify the application procedures, arrangements and timetable for tenders would provide evidence for AC2.1 and AC2.3. The work products could be supported by a professional discussion or a reflective account. Copies of relevant media documents or advertisements and invites to suppliers to apply for tender would provide evidence for AC2.2 and AC2.4. Witness testimonies from a line manager or colleagues could be used to provide evidence that the tender applications which were sifted out, were for those who did not meet the criteria and that the suppliers who were shortlisted demonstrated the required technical capability for AC2.5 and AC2.6. A professional discussion or a reflective account could also be used to provide evidence for AC2.5 and AC2.6.

For learning outcome 3, the learner could use a reflective account or a professional discussion to explain the provision of contract law that affects the tendering negotiation (AC3.1). A copy of the negotiation strategy supported by a witness testimony would provide evidence for AC3.2. A copy of the appropriately anonymised award contract supported by a witness testimony, from a line manager, would provide evidence to confirm that the contract awarded best meets the needs of the business and the specification (AC3.3). Witness testimonies from a line manager or colleagues would provide evidence that the learner has completed the tendering exercise in accordance with organisational standards and adhered to organisational policies and procedures, legal and ethical requirements when awarding contracts (AC3.4 and AC3.7). Alternatively, a professional discussion or a reflective account supported by witness testimonies could be used to provide evidence for AC3.4 and AC3.7.

A professional discussion or a reflective account could be used to analyse the implications of procurement decisions for the organisation, suppliers and potential suppliers (AC3.5). The professional discussion or reflective account must be in sufficient depth to show that the learner has satisfied the command verb of analyse. A copy of appropriately anonymised communications to stakeholders informing them of the outcome of the tendering process would provide evidence for AC3.6.

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

Unit 10: Manage Physical Resources

Unit reference number: K/506/1989

Level: 4

Credit value: 4

Guided learning hours: 26

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 organisational 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 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

Learning outcomes	Assessment criteria
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

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 – the Chartered Institute of Purchasing and Supply website provides up to date information on purchasing and supply news, laws, analysis and resources

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 11: Prepare for and Support Quality Audits

Unit reference number: K/506/1992

Level: 4

Credit value: 3

Guided learning hours: 17

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 that underpin the management of quality in an organisation and how they contribute 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	1.1 Analyse the principles of quality management
	1.2 Analyse the purpose and requirements of a range of quality standards
	1.3 Analyse the advantages and limitations of a range of quality techniques
	1.4 Assess how the management of quality contributes to the achievement of organisational objectives
2 Be able to prepare for quality audits	2.1 Establish the quality requirements applicable to the work being audited
	2.2 Confirm that documentation is complete
	2.3 Confirm that any previously agreed actions have been implemented
	2.4 Make available information requested in advance by auditors
3 Be able to support quality audits	3.1 Provide access to information on request within scope of the audit
	3.2 Agree actions and timescales with auditors that will remedy non-conformance or non-compliance
	3.3 Identify instances where business processes, quality standards and/or procedures could be improved
	3.4 Develop a quality improvement plan that addresses the issues raised

Unit amplification

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)

- *IS09001 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

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 – the European Foundation for Quality Management website which promotes the Excellence Model through forums, training, events and information

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 12:   Conduct Quality Audits

Unit reference number: T/506/1994

Level: 4

Credit value: 3

Guided learning hours: 21

Unit summary

In this unit, you will learn how to prepare and conduct quality audits. In order to do this you will understand the importance of quality management in an organisation and how this contributes to meeting organisational objectives. This unit is important as in today's business world customer satisfaction is seen to be fundamental to success and as technology and communications become more powerful, everyone can more easily compare standards.

By examining the advantages and limitations of using different quality techniques you will understand how customer satisfaction drives continuous improvement to meet standards, as well as exploring the consequences of not meeting standards on an organisation's reputation. This unit will introduce you to the concept of 'Total Quality Management (TQM)' and how this approach depends on the need to embed a quality culture in an organisation.

In order to carry out the quality audit you will prepare a plan, agree quality criteria and requirements with those who will be involved in the audit, and use relevant documentation. Upon completion of the audit, you will identify where improvements could be made to processes, procedures, or standards, by agreeing remedial actions.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles underpinning the management of quality	1.1 Analyse the principles of quality management
	1.2 Analyse the purpose and requirements of a range of quality standards
	1.3 Analyse the advantages and limitations of a range of quality techniques
	1.4 Assess how the management of quality contributes to the achievement of organisational objectives
2 Be able to prepare to carry out quality audits	2.1 Establish the quality requirements applicable to the work being audited
	2.2 Develop a plan for a quality audit
	2.3 Prepare the documentation needed to undertake a quality audit
	2.4 Specify data requirements to those who will support the audit
3 Be able to conduct quality audits	3.1 Confirm that any previously agreed actions have been implemented
	3.2 Analyse information against agreed quality criteria
	3.3 Identify instances where business processes, quality standards and/or procedures could be improved
	3.4 Agree actions and timescales that will remedy non-conformance or non-compliance

Unit amplification

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

Suggested resources

Books

Bicheno, J. and Holweg, M. – *The Lean Toolbox: The Essential Guide to Lean Transformation (4th edition)* (Picsie Books, 2008) ISBN 9780954124458

Hoyle, D. – *ISO 9000 Quality Systems Handbook* (Butterworth-Heinemann, 2009) ISBN 9781856176842

Webber, L. and Wallace, M. – *Quality Control for Dummies* (John Wiley & Sons, 2007) ISBN 9780470069097

Slack, N. et al – *Operations Management (7th edition)* (Pearson, 2013) ISBN 9780273776208

Websites

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

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 13: Manage a Budget

Unit reference number: A/506/1995

Level: 4

Credit value: 4

Guided learning hours: 26

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 needs. 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	1.1 Explain how to calculate the estimated costs of activities, resources and overheads needed to achieve objectives
	1.2 Analyse the components of a business case to meet organisational requirements
	1.3 Analyse the factors to be taken into account to secure the support of stakeholders
	1.4 Describe the business planning and budget-setting cycle

Learning outcomes	Assessment criteria
2 Understand how to set budgets	2.1 Explain the purposes of budget-setting
	2.2 Analyse the information needed to enable realistic budgets to be set
	2.3 Explain how to address contingencies
	2.4 Explain organisational policies and procedures on budget-setting
3 Be able to manage a budget	3.1 Use the budget to control performance and expenditure
	3.2 Identify the cause of variations from budget
	3.3 Explain the actions to be taken to address variations from budget
	3.4 Propose realistic revisions to budget, supporting recommendations with evidence
	3.5 Provide budget-related reports and information within agreed timescales
	3.6 Explain the actions to be taken in the event of suspected instances of fraud or malpractice
4 Be able to evaluate the use of a budget	4.1 Identify successes and areas for improvement in budget management
	4.2 Make recommendations to improve future budget setting and management

Unit amplification

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 slick, 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

Suggested resources

Books

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

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

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 14: Manage a Project

Unit reference number: R/506/1999

Level: 4

Credit value: 7

Guided learning hours: 38

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, 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	1.1 Explain how to carry out a cost-benefit analysis for a project
	1.2 Evaluate the use of risk analysis techniques
	1.3 Evaluate project planning and management tools and techniques
	1.4 Evaluate the impact of changes to project scope, schedule, finance, risk, quality and resources
	1.5 Analyse the requirements of project governance arrangements

Learning outcomes	Assessment criteria
2 Be able to plan a project	2.1 Analyse how a project fits with an organisation's overall vision, objectives, plans and programmes of work
	2.2 Agree the objectives and scope of proposed projects with stakeholders
	2.3 Assess the interdependencies and potential risks within a project
	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
	2.5 Develop proportionate and targeted plans to manage identified risks and contingencies
	2.6 Apply project lifecycle approaches to the progress of a project
3 Be able to manage a project	3.1 Allocate resources in accordance with the project plan
	3.2 Brief project team members on their roles and responsibilities
	3.3 Implement plans within agreed budgets and timescales
	3.4 Communicate the requirements of the plans to those who will be affected
	3.5 Revise plans in the light of changing circumstances in accordance with project objectives and identified risks
	3.6 Keep stakeholders up to date with developments and problems
	3.7 Complete close-out actions in accordance with project plans
	3.8 Adhere to organisational policies and procedures, legal and ethical requirements when managing a project

Learning outcomes	Assessment criteria
4 Be able to evaluate the effectiveness of a project	4.1 Conduct periodic reviews of the progress and effectiveness of a project using information from a range of sources
	4.2 Evaluate the effectiveness of capturing and managing project-related knowledge
	4.3 Report on the effectiveness of plans

Unit amplification

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

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 – the Association for Project Management website, providing articles on project management and information for practitioners on training and qualifications

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

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 the 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 15:   Manage Business Risk

Unit reference number: L/506/2004

Level: 4

Credit value: 6

Guided learning hours: 27

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 that could be implemented to identify the consequences and effect of the potential risk. You will gain an understanding of the processes that could be implemented to mitigate the business risks. You will be responsible for identifying potential risks for your organisations and in assessing the consequence of these risks. You will have the opportunity to develop risk management plans, monitor on-going risk-related developments and to evaluate the effectiveness of the actions taken.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria	
1 Understand the management of business risk	1.1	Explain what is meant by business risk
	1.2	Analyse business risk identification theories and models
	1.3	Explain measures and techniques to mitigate business risk
	1.4	Explain their own level of authority in managing risk
2 Be able to address business risk	2.1	Monitor work in line with organisational risk procedures
	2.2	Identify potential risks using agreed risk criteria
	2.3	Assess identified risks, their potential consequences and the probability of them happening
	2.4	Communicate to stakeholders the likelihood of the risk occurring and its potential consequences
	2.5	Explain organisational business risk management policies
3 Be able to mitigate business risk	3.1	Develop risk management plans and processes that are proportionate to the risk and the available resources
	3.2	Implement risk management plans in accordance with organisational requirements
	3.3	Monitor on-going risk-related developments and amend plans in the light of changing circumstances
	3.4	Keep stakeholders informed of any developments and their possible consequences
	3.5	Evaluate the effectiveness of actions taken, identifying possible future improvements

Unit amplification

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

Suggested resources

Books

Boddy, D. – *Management: An Introduction, 5th Edition* (Financial Times/Prentice Hall, 2010) ISBN 9780273738961

British Standards Institution (BSI) – *BS ISO 31000: Risk Management – Principles and Guidelines* (BSI, 2009) ISBN 9780580675713

Dallas, M. – *Value and Risk Management – A Guide to Best Practice* (Blackwell, 2006) ISBN 9781405120692

Slack, N. et al – *Operations Management 6th Edition* (FT Prentice Hall, 2009) ISBN 9780273731603

Websites

europa.eu – 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

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 16: Manage Knowledge in an Organisation

Unit reference number: A/506/2032

Level: 4

Credit value: 5

Guided learning hours: 34

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 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

Unit amplification

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

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 – UK government guide on intellectual property and how to protect ideas and inventions

www.knowledge-management-tools.net – an introduction to and overview of knowledge management

www.unc.edu – University of North Carolina website, provides an introduction to knowledge management and the impact it can have on an organisation

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 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 17: Manage Redundancy and Redeployment

Unit reference number: M/506/2044

Level: 4

Credit value: 6

Guided learning hours: 39

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	1.1 Explain the legal requirements that relate to the management of redundancy
	1.2 Explain the conditions required for a redundancy and their implications
	1.3 Explain possible ways of avoiding redundancies
	1.4 Explain the factors involved in identifying the pool for redundancy selection
	1.5 Explain the factors involved in developing an appeals process
	1.6 Explain the process for planning and managing a redundancy
	1.7 Evaluate the implications of voluntary and compulsory redundancy on individuals
	1.8 Evaluate the implications of voluntary and compulsory redundancy for organisations
	1.9 Evaluate the type of information required by staff who are retained
	1.10 Evaluate the type of information required by staff who are made redundant
	1.11 Assess the role of outplacement in redundancy

Learning outcomes	Assessment criteria
2 Understand the principles of redeployment	2.1 Explain the concept of redeployment
	2.2 Explain the legal requirements that relate to the management of redeployment
	2.3 Explain the process for planning and managing a redeployment
	2.4 Evaluate the type of information required by staff who are retained
	2.5 Evaluate the type of information required by staff who are redeployed
	2.6 Evaluate the benefits and limitations to an organisation of redeployment
	2.7 Assess the role of project management techniques in the management of redeployment
3 Be able to manage a redundancy	3.1 Evaluate the available options for avoiding a redundancy and their implications
	3.2 Develop a redundancy plan and timetable that addresses redundancy objectives
	3.3 Take action to ensure that redundancy payments are calculated accurately
	3.4 Use an appropriate method for communicating the outcome of a redundancy decision
	3.5 Make agreed support services available to those who have been made redundant

Learning outcomes	Assessment criteria
4 Be able to manage the redeployment of staff	4.1 Explain to redeployees the reasons, purpose and benefits of redeployment
	4.2 Develop a redeployment plan that addresses agreed objectives
	4.3 Use an appropriate method for communicating about redeployment
	4.4 Make agreed support services available to those being redeployed
	4.5 Adhere to organisational policies and procedures, legal and ethical requirements for the redeployment of staff

Unit amplification

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 moral 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

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 – the Advisory, Conciliation and Arbitration Service provides information on the redundancy process including rights, statutory payments, notice periods and consultation

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

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 whenever possible. The evidence for this unit is most likely to come from a combination of reviewing the learner's 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 18: Promote Equality, Diversity and Inclusion in the Workplace

Unit reference number: T/506/1820

Level: 3

Credit value: 3

Guided learning hours: 15

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	1.1 Explain the difference between equality, diversity and inclusion
	1.2 Explain the impact of equality, diversity and inclusion across aspects of organisational policy
	1.3 Explain the potential consequences of breaches of equality legislation
	1.4 Describe nominated responsibilities within an organisation for equality, diversity and inclusion
2 Understand the personal aspects of equality, diversity and inclusion in the workplace	2.1 Explain the different forms of discrimination and harassment
	2.2 Describe the characteristics of behaviour that supports equality, diversity and inclusion in the workplace
	2.3 Explain the importance of displaying behaviour that supports equality, diversity and inclusion in the workplace
3 Be able to support equality, diversity and inclusion in the workplace	3.1 Ensure colleagues are aware of their responsibilities for equality, diversity and inclusion in the workplace
	3.2 Identify potential issues relating to equality, diversity and inclusion in the workplace
	3.3 Adhere to organisational policies and procedures, and legal and ethical requirements when supporting equality, diversity and inclusion in the workplace

Unit amplification

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: H*uman 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

Suggested resources

Websites

www.acas.org.uk – ACAS guidance on the Equality Act 2010

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

www.gov.uk – government services and information website which provides guidance on the Equality Act 2010

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

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 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. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 19: Manage Team Performance

Unit reference number: A/506/1821

Level: 3

Credit value: 4

Guided learning hours: 21

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	1.1 Explain the use of benchmarks in managing performance
	1.2 Explain a range of quality management techniques to manage team performance
	1.3 Describe constraints on the ability to amend priorities and plans

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

Unit amplification

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

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 – the Charted 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 – 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 – resources on many business and management topics, including team management

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 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 20: Manage Individuals' Performance

Unit reference number: J/506/1921

Level: 3

Credit value: 4

Guided learning hours: 20

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	1.1 Explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance
	1.2 Explain how to identify causes of underperformance
	1.3 Explain the purpose of making individuals aware of their underperformance clearly but sensitively
	1.4 Explain how to address issues that hamper individuals' performance
	1.5 Explain how to agree a course of action to address underperformance
2 Be able to manage individuals' performance in the workplace	2.1 Agree with team members specific, measurable, achievable, realistic and time-bound (SMART) objectives that align to organisational objectives
	2.2 Delegate responsibility to individuals on the basis of their expertise, competence, skills, knowledge, and development needs
	2.3 Apply motivation techniques to maintain morale
	2.4 Provide information, resources and on-going mentoring to help individuals meet their targets, objectives and quality standards
	2.5 Monitor individuals' progress towards objectives in accordance with agreed plans
	2.6 Recognise individuals' achievement of targets and quality standards
	2.7 Adhere to organisational policies and procedures, and legal and ethical requirements when managing individuals' performance in the workplace

Unit amplification

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

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 – 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 – 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

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 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. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 21: Manage Individuals' Development in the Workplace

Unit reference number: L/506/1922

Level: 3

Credit value: 3

Guided learning hours: 10

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

Information for tutors

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 – the ACAs website provides a free advisory booklet on performance management – How to manage performance.

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

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, 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 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. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 22: Chair and Lead Meetings

Unit reference number: Y/506/1924

Level: 3

Credit value: 3

Guided learning hours: 10

Unit summary

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

In this unit, you will learn how to prepare to lead meetings to ensure that the meeting achieves the intended outcomes. You will chair a meeting, ensuring everyone's involvement and that the meeting has a focus that allows it to have the desired outcome. You will also deal with those matters that arise after the meeting to ensure that documentation is accurate and distributed to the correct people. You will reflect on the meeting to suggest how it could be carried out better in the future.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Be able to prepare to lead meetings	1.1 Identify the type, purpose, objectives, and background to a meeting
	1.2 Identify those individuals expected, and those required to attend a meeting
	1.3 Prepare for any formal procedures that apply to a meeting
	1.4 Describe ways of minimising likely problems in a meeting
	1.5 Take action to ensure that meeting documentation is prepared correctly and distributed to the agreed people within the agreed timescale

Learning outcomes	Assessment criteria
2 Be able to chair and lead meetings	2.1 Follow business conventions in the conduct of a meeting
	2.2 Facilitate meetings so that everyone is involved and the optimum possible consensus is achieved
	2.3 Manage the agenda within the timescale of the meeting
	2.4 Summarise the agreed actions, allocated responsibilities, timescales and any future arrangements
3 Be able to deal with post-meeting matters	3.1 Take action to ensure that accurate records of a meeting are produced and distributed in the agreed format and timescale
	3.2 Take action to ensure that post-meeting actions are completed
	3.3 Evaluate the effectiveness of a meeting and identify points for future improvement

Information for tutors

Suggested resources

Books

Gutmann, .J – *Taking Minutes of Meetings (Creating Success),* 3rd Edition (Kogan Page, 2013) ISBN 9780749467241

Hood, J. H. – *How to Book of Meetings: Conducting Effective Meetings: Learn How to Write Minutes for Meetings Using Samples: 1 (How To series)* (WordCraft Global Pty Ltd, 2013) ISBN 9780987557520

Websites

www.businessballs.com – includes learning and planning resources on running meetings, workshops and presentations

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 – KSL Training offers a range of free training resources, including resources for chairing and managing a meeting

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

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

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. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 23: Manage Conflict within a Team

Unit reference number: K/506/1927

Level: 3

Credit value: 5

Guided learning hours: 25

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	1.1 Evaluate the suitability of different methods of conflict management in different situations
	1.2 Describe the personal skills needed to deal with conflict between other people
	1.3 Analyse the potential consequences of unresolved conflict within a team
	1.4 Explain the role of external arbitration and conciliation in conflict resolution

Learning outcomes	Assessment criteria
2 Be able to reduce the potential for conflict within a team	2.1 Communicate to team members their roles, responsibilities, objectives and expected standards of behaviour
	2.2 Explain to team members the constraints under which other colleagues work
	2.3 Review systems, processes, situations and structures that are likely to give rise to conflict in line with organisational procedures
	2.4 Take action to minimise the potential for conflict within the limits of their own authority
	2.5 Explain how team members' personalities and cultural backgrounds may give rise to conflict
3 Be able to deal with conflict within a team	3.1 Assess the seriousness of conflict and its potential impact
	3.2 Treat everyone involved with impartiality and sensitivity
	3.3 Decide a course of action that offers optimum benefits
	3.4 Explain the importance of engaging team members' support for the agreed actions
	3.5 Communicate the actions to be taken to those who may be affected by it
	3.6 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with conflict within a team

Unit amplification

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

Suggested resources

Books

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

Websites

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

www.belbin.com – information from Belbin Associates on Belbin's team roles

www.cipd.co.uk – the Charted 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 – Chartered Institute of Management, provides practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials

Other

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

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

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 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. Wherever possible, the learning outcomes in this unit should be assessed holistically.

Unit 24: Procure products and/or services

Unit reference number: M/506/1928

Level: 3

Credit value: 5

Guided learning hours: 35

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

Information for tutors

Suggested resources

Books

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

Websites

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

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 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 25: Implement and Maintain Business Continuity Plans and Processes

Unit reference number: K/506/1930

Level: 3

Credit value: 4

Guided learning hours: 25

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

Information for tutors

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 – 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 – HM Government have published a Business Continuity Management Toolkit: 'How prepared are you?'

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 outcome1, 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 26: Collaborate with Other Departments

Unit reference number: M/506/1931

Level: 3

Credit value: 3

Guided learning hours: 14

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 a 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	1.1 Explain the need for collaborating with other departments
	1.2 Explain the nature of the interaction between their own team and other departments
	1.3 Explain the features of effective collaboration
	1.4 Explain the potential implications of ineffective collaboration with other departments
	1.5 Explain the factors relating to knowledge management that should be considered when collaborating with other departments
2 Be able to identify opportunities for collaboration with other departments	2.1 Analyse the advantages and disadvantages of collaborating with other departments
	2.2 Identify with which departments collaborative relationships should be built
	2.3 Identify the scope for and limitations of possible collaboration
3 Be able to collaborate with other departments	3.1 Agree Service Level Agreements (SLAs), objectives and priorities of collaborative arrangements
	3.2 Work with other departments in a way that contributes to the achievement of organisational objectives

Unit amplification

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

Suggested resources

Books

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

Websites

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 – 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 – 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

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 27: Support Remote or Virtual Teams

Unit reference number: A/506/1933

Level: 3

Credit value: 4

Guided learning hours: 18

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	1.1 Identify the resource requirements for providing communication tools and processes for remote or virtual working
	1.2 Specify effective tools and processes that are capable of supporting remote or virtual teams
	1.3 Identify processes and systems that will enable people to connect to information and knowledge remotely and securely
	1.4 Plan how to assure the safety of staff in remote teams
2 Be able to support remote or virtual teams	2.1 Provide guidelines, training, information and coaching to support remote or virtual teams
	2.2 Identify areas for improvement from monitoring processes and information
	2.3 Facilitate interactive collaboration amongst stakeholders
	2.4 Take action to ensure that team members adhere to regulatory, professional and commercial requirements
	2.5 Take action to ensure that data security and confidentiality issues arising from remote or virtual working are addressed
	2.6 Take action to ensure that records management issues arising from remote or virtual working are addressed

Information for tutors

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

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 28: Contribute to the Development of a Strategic Plan

Unit reference number: A/506/2046

Level: 5

Credit value: 5

Guided learning hours: 31

Unit summary

Formulating a strategic plan enables a business to better identify its objectives and how they might be achieved and by doing so maintain and improve its position in the market.

A strategic plan shapes the long-term direction of businesses – it is agreed by the board in response to an evaluation of the internal and external business environment. Senior managers, by virtue of their involvement in the management and operation of a business, are able to make contributions that inform the development of a strategic plan.

The unit will give learners an understanding of the importance of a strategic plan and other planning, and the need for businesses to be responsive to a range of internal and external factors that influence strategic planning. Learners will, by gathering, analysing and comprehending information about the business environment, understand how environmental scanning informs a strategic plan. Learners will also gain specialised understanding of the business environment and will be in a position to contribute to a strategic plan and to assess the impact on the business when implemented.

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 strategic planning	1.1 Evaluate a range of strategic planning models
	1.2 Evaluate the advantages and limitations of a range of analytical techniques
	1.3 Analyse a range of perspectives of and approaches to business strategy
2 Be able to analyse the factors affecting the development of strategic plans	2.1 Evaluate political, economic, social, technological, legal and ethical factors affecting the development of strategic plans
	2.2 Evaluate the market factors that may influence strategic planning decisions
	2.3 Evaluate the application of scanning tools to strategy development
3 Be able to make a contribution to a strategic plan	3.1 Analyse the relationship between strategic intentions, strategic choice and strategy formulation
	3.2 Make viable contributions that are consistent with strategic objectives and resource constraints
	3.3 Evaluate the impact of a proposed strategy on a business

Unit amplification

AC 1.1   Evaluate a range of strategic planning models

- *Strategic planning:*
    - models, e.g. mechanistic planning; goal-based planning; issues-based planning; alignment planning; scenario planning; organic planning; real-time planning
    - strategy hierarchy and consistency between corporate strategy and subsidiary strategies

AC 1.2   Evaluate the advantages and limitations of a range of analytical techniques

- *Environmental analysis techniques:*
    - external to include political, economic, social, technological, legal and ethical (PESTLE) analysis, environmental scanning, horizon scanning
    - internal to include strengths, weaknesses, opportunities threats (SWOT) analysis, mission, objectives, strategies, tactics (MOST) analysis
- Business environments that businesses need to consider for analysis to include macro-environment, meso-environment and micro-environment
- *Advantages:*
    - understanding of business environments and developments in the business environments
    - identification of opportunities for business development such as growth and re-organisation
    - identification of factors that threaten business development such as competitor activities and legislative change
    - ensuring optimal use of business resources
    - provision of an empirical basis for decision making by reducing uncertainty
- *Limitations:*
    - resource requirements and their associated costs
    - biases in the use of techniques and in the data gathered
    - incomplete and/or misidentification of potentially relevant factors
    - empirical evidence is open to differing interpretations

AC 1.3   Analyse a range of perspectives of and approaches to business strategy

- *Perspectives:* industrial/economic; human resources/sociological; social responsibility; sustainability; cultural, e.g. national, business; balanced score card

- *Approaches:* price based; growth based; product differentiation; technological leadership; market leadership; competitive strategy; hybrid strategies

Information for tutors

Suggested resources

Books

Johnson, G., Scholes, K. and Whittington, R. – *Exploring Corporate Strategy: Text and Cases,* 8th edition, (FT Prentice Hall, 2007) ISBN 978-1405887328

Websites

www.managementhelp.org –The Free Management Library, information on strategic planning subjects

www.managers.org.uk – Chartered Institute of Management, practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials

Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit, for example the podcasts on transformation and planning for the future that consider aspects of strategic planning. They are available at: www.bbc.co.uk/podcasts/series/bottomline/all.

The Economist (The Economist Newspaper Ltd) – has a business section and occasional articles on business strategy and planning

Management Today (Haymarket Media Group Ltd) – has articles on management topics, including business strategy and planning

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

Assessment is based on performance at work in an area that requires the learner to be involved in developing strategic plans.

Sources of evidence for demonstrating achievement of learning outcome 1 could include a learner log or a reflective journal, witness statements or work products, such as strategic plans. These sources of evidence should show clearly how and why the learner made their choices and decisions in relation to developing and contributing to strategic plans. For the practical aspect of this unit in learning outcomes 2 and 3, the learner should maintain a learning journal to reflect on the approach adopted and on lessons learned from putting theory into practice.

For learning outcome 2, work products, such as the results of horizon scans and market analyses, could evidence the achievement of AC2.1 and AC2.2 along with the use of a witness statement or a professional discussion. For demonstrating achievement of AC2.3, a log or reflective journal could be a source of evidence, allowing the learner to discuss the usefulness of scanning tools in developing strategy that exploits benefits and overcomes disadvantages.

For learning outcome 3, work products could evidence the achievement of all the assessment criteria. In addition to this for AC3.1, a log or reflective journal could be used to consider the factors that contribute to strategy formulation and their relative importance. For AC3.2 a witness statement identifying the learner's contribution to strategic plans, could evidence achievement. For AC3.3, a professional discussion could allow the learner to explain the potential impacts of strategic planning proposals on 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 29:   Design Business Processes

Unit reference number: D/506/2055

Level: 5

Credit value: 5

Guided learning hours: 23

Unit summary

Business processes enable business activities to be identified, organised and conducted, through a set of agreed codified arrangements to allow work processes to be undertaken in a systematic and efficient way.

This unit will give learners an understanding of the need for business processes to be responsive to change and adaptable to accommodate such change. Learners will consider how the business processes associated with change are modelled to ensure that business needs are met. They will learn how to develop, test and integrate business processes into existing processes and understand the benefit that the processes bring to the business, including achieving its objectives.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand techniques and tools that support the design of business processes	1.1 Analyse the principles of business change and business process re-engineering
	1.2 Evaluate the concept and application of workflow patterns and usability testing
	1.3 Evaluate a range of modelling tools
	1.4 Analyse the factors to be taken into account when evaluating the effectiveness of business processes

Learning outcomes	Assessment criteria
2 Be able to develop business processes	2.1 Evaluate the scope for business process improvement and constraints
	2.2 Generate ideas that meet defined business needs
	2.3 Test a proposed process through a modelling exercise
	2.4 Evaluate the feasibility and viability of a proposed process against agreed criteria
	2.5 Establish the degree of overlap between a proposed process and existing processes and systems
	2.6 Resolve tensions between existing and proposed systems and processes
	2.7 Adhere to organisational policies and procedures, legal and ethical requirements when developing business processes
3 Be able to evaluate the effectiveness of business processes	3.1 Analyse valid information using techniques that are appropriate to the process being evaluated
	3.2 Assess the cost and benefit of a business process to the organisation
	3.3 Justify recommendations for the rejection, adoption or enhancements to processes with evidence

Unit amplification

AC 1.1 **Analyse the principles of business change and business process re-engineering**

- *Principles of business change:* dimensions of change (purpose, size, duration); impact (strategic, operational); holistic approach to change

- *Drivers for change:* business improvement (profitability, productivity, efficiency, cost control); maintain competitive advantage; response to changes in the environment (internal, external)

- *Business process re-engineering (BPR):* BPR cycle (process identification, analysis, design, testing, implementation); systematic re-design of business processes and workflows; alignment of processes to business objectives; use of information technology, e.g. e-commerce, CAD/CAM, additive manufacturing

AC 1.2 **Evaluate the concept and application of workflow patterns and usability testing**

- *Workflow patterns:* design patterns, e.g. van der Alst classification; purposes e.g. control flow dependencies, data, resources, exceptions

- *Usability testing:* evaluation by testing it with users; types of testing, e.g. scenarios, prototypes, hallway testing; usability audit

AC 1.3 **Evaluate a range of modelling tools**

- *Modelling tools:* conceptual models, e.g. business reference model; workflow reference model; object transformation process model: purposes, e.g. function definition, application interfaces, client interfaces, operation, control

AC 1.4 **Analyse the factors to be taken into account when evaluating the effectiveness of business processes**

- *Effectiveness of business processes:*
  o factors, e.g. internal to the business, external to the business
  o effectiveness, e.g. key performance indicators; support of business objectives; integration with other internal processes; integration with external processes; efficiency; ease of operation

Information for tutors

Suggested resources

Books

Cameron, E., and Green, M. – *Making Sense of Change Management: A Complete Guide to the Models Tools and Techniques of Organizational Change* (Kogan Page, 2012) ISBN 978-074946435

Davenport, T. – *Process Innovation: Reengineering Work through Information Technology* (Harvard Business School Press, 1992) ISBN 978-0875843667

Hindle, T. **–** *The Economist Guide to Management Ideas and Gurus* (Economist Books, 2012) ISBN 978-1846686078

Websites

www.managementhelp.org – The Free Management Library, information on organisational change subjects

www.managers.org.uk – Chartered Institute of Management, practical advice on management issues with a range of online resources on change management topics. Membership is required to access the materials

Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit, for example the podcast on materials considers aspects of process change in response to cost changes. They are available at: www.bbc.co.uk/podcasts/series/bottomline/all.

The Economist (The Economist Newspaper Ltd) **–** has a business section and produces specialist reports such as *Building Process Excellence, Lessons from the Leaders*

Management Today (Haymarket Media Group Ltd) **–** has articles on management topics, including change management

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

Assessment is based on performance at work in an area that requires the learner to be involved in designing and developing business processes.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products, such as designs for business processes, and keeping a log, a reflective journal or witness statements. Explanatory narratives could identify the learner's specific contributions. These sources of evidence should show clearly how and why the learner considered the need for business change and the ways in which business processes are re-designed, together with their impact on the workplace. In learning outcomes 2 and 3, the log or reflective journal should ensure that the learner reflects on the approach adopted for the practical aspect of this unit and any lessons learned from putting theory into practice.

For learning outcome 2, evidence of achievement could be using work products, such as discussion records, diagrams, project plans, feasibility studies and the designs and documentation for a process. A witness statement for AC2.2 could evidence the full range of the learner's ideas and their reasoning, with a professional discussion to evidence AC2.6 of how the learner managed conflict and the methods used for reconciliation. A learner could demonstrate achievement of AC2.7 in a log or reflective journal of how organisational policies and procedures, legal and ethical requirements were adhered to when developing business processes.

For learning outcome 3, work products such as monitoring data, results of data analyses results, cost-benefit calculations and reports recommending rejection, adoption or enhancements to a process, could be used to evidence achievement of all the assessment criteria. A log or reflective journal could also evidence the learner's justification of techniques used for AC3.1 and 3.2 and of their data analysis and cost- benefits selection. A professional discussion could evidence the achievement of AC3.3, allowing the learner's justifications for action taken.

Evidence of Recognition of Prior Learning (RPL) can 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: Develop and manage Collaborative Relationships with Other Organisations

Unit reference number: T/506/2059

Level: 5

Credit value: 5

Guided learning hours: 28

Unit summary

Businesses interact with other businesses in their supply chains to operate successfully. Few large businesses have autonomous operations and they rely on a network of businesses operating collaboratively.

Learners will gain an understanding of the need for, and the benefits of, collaborative working and how it is managed to ensure uninterrupted supply chains that operate sustainably.

Learners will identify external collaborative relationships that can be developed to offer synergies and improve the operations of the partners in the collaboration. They will agree and implement a collaborative partnership arrangement that supports business strategy and objectives, before considering the extent to which such a relationship provides measurable benefits for the business.

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 collaboration with other organisations	1.1 Assess the nature of potential stakeholders' interest and needs
	1.2 Evaluate the strengths and weaknesses of stakeholder mapping techniques
	1.3 Assess the value of a range of analytical techniques and alliance modelling
	1.4 Evaluate the implications of collaborative relationships for risk and knowledge management
	1.5 Evaluate the implications of collaborative relationships for the supply chain and sustainability of future working arrangements
	1.6 Evaluate the components, use and likely effects of invoking an exit strategy
2 Be able to identify external collaborative relationships to be developed	2.1 Identify potential organisations that are likely to complement or enhance the work or reputation of the organisations involved
	2.2 Analyse the potential synergies and scope for collaboration likely to benefit the organisations involved
	2.3 Balance the benefits of collaboration against the cost requirements and any potentially adverse aspects
	2.4 Justify decisions and recommendations with evidence

Learning outcomes	Assessment criteria
3 Be able to collaborate with other organisations	3.1 Agree mutually acceptable terms of reference
	3.2 Develop a viable stakeholder engagement plan that is consistent with organisational strategy, objectives and values
	3.3 Develop arrangements to manage relationships that will realise the benefits of collaboration
	3.4 Collaborate within agreed terms of reference in a way that enhances the reputation of the organisation and fosters productive working relationships
	3.5 Evaluate the effectiveness of on-going collaborative relationships

Unit amplification

AC 1.1   Assess the nature of potential stakeholders' interest and needs

- *Stakeholders:*
    - o   internal, e.g. departments, managers, employees
    - o   external, e.g. competitors, suppliers; customers; lenders, government agencies, owners, communities
    - o   primary, secondary
- *Stakeholders' interests and needs:* financial, e.g. profits; stability, e.g. capital base; economic, e.g. market share; environmental, e.g. carbon emission reduction; social and community, e.g. charitable contributions; communications, e.g. channel, media; trading arrangements

AC 1.2   Evaluate the strengths and weaknesses of stakeholder mapping techniques

- *Stakeholder mapping:*
    - o   techniques – grids, e.g. power versus interest; RACI (responsible, accountable, consulted, informed) matrix; purposes, dimensions of impact to include identification, interest, claim, power, influence, priority
    - o   strengths – analysis of relationships; identification of interests; relative importance of stakeholders; guide to reconciling conflicting interests
    - o   weaknesses – redundancy of information; subjectivity in analysis of interests; limited guide to action

AC 1.3   Assess the value of a range of analytical techniques and alliance modelling

- *Analytical techniques:* economic analysis; strategic analysis; component analysis
- *Alliance modelling:* reasons; benefits; business pipes (linear models); business platforms (network models); complementarity of business models; model components, e.g. value proposition, core capabilities; supply/distribution chains, costs; revenues; sustainability

AC 1.4   **Evaluate the implications of collaborative relationships for risk and knowledge management**

- *Collaborative relationships:* joint ventures; partnerships; licensing; sub-contracting; approved suppliers; approved retailers; formal agreements; informal agreements; exit arrangements

- *Implications:*
  - risk management, e.g. operational, financial, economic, legal, political, reputational
  - knowledge management – access; use/misuse; disclosure; modification; loss/theft; commercial confidentiality; competitive advantage; sensitivity

AC 1.5   **Evaluate the implications of collaborative relationships for the supply chain and sustainability of future working arrangements**

- *Implications of collaborative relationships:*
  - supply chain – co-operation between supply chain components; integration; just-in-time supply systems; synergy for supply chain components; value creation; logistics; procurement; synchronisation; use of information technology; failure of a link in the chain
  - sustainability – duration; viability; responsiveness to change (internal, external); resistance to threats

AC 1.6   **Evaluate the components, use and likely effects of invoking an exit strategy**

- *Exit strategy:*
  - components – legal; financial; regulatory
  - use – cessation of collaborative venture including consensual and non-consensual
  - likely effects – interruption to trading; changes to competitive position; financial; legal; reputational

Information for tutors

Suggested resources

Books

Gage, D. – *The Partnership Charter: How to Start Out Right with Your New Business Partnership* (Basic Books, 2004) ISBN 978-0738208985

Jacoby, D. – *The Economist Guide to Supply Chain Management* (Economist Books, 2009) ISBN 978-1846681745

Websites

www.managementhelp.org – The Free Management Library, information on business alliances and collaboration subjects

Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit, for example the podcasts on special relationships and deals consider aspects of working collaboratively. They can be searched through and downloaded from www.bbc.co.uk/podcasts/series/bottomline/all

The Financial Times (The Financial Times Ltd) – has stories on business, including specific collaborations and joint ventures

Journal of Purchasing and Supply Management (Elsevier) – has articles on purchasing and supply

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

Assessment is based on performance at work in an area that requires the learner to be involved in developing and managing collaborative relationships with other organisations.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products such as stakeholder mapping and change analyses. These can be augmented by the learner keeping a log or reflective journal and with witness statements. Explanatory narratives could be used to identify the learner's specific contributions. These sources of evidence should show clearly how and why the learner considered the need for developing and managing collaborative relationships. The log or reflective journal should ensure that the learner reflects on the approach adopted for the practical aspect of this unit in learning outcomes 2 and 3 and any lessons learned from putting theory into practice.

For learning outcome 2, work products such as market-scanning reports, analyses of the benefits that accrue from collaborative working, cost-benefit analyses and work documents with justified recommendations will cover all the assessment criteria. For AC2.4, a professional discussion could examine why a specific course of action was followed, together with the reasons for rejecting other courses of action and what the consequences might be.

For learning outcome 3, work products such as agreements to show how collaborative arrangements are managed, a stakeholder engagement plan, performance and operational reports arising from the collaborations, and the results of monitoring, review and evaluation showing the effectiveness of collaborative relationships can be used for all criteria. For AC3.3 and AC3.4, witness testimony will identify the effectiveness and extent of the relationships with other organisations. For AC3.5, a log or reflective journal can be used to review the factors that made collaborative working arrangements successful and how these arrangements can be sustained.

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: Optimise the Use of Technology

Unit reference number: F/506/2064

Level: 5

Credit value: 6

Guided learning hours: 29

Unit summary

Technology continues to change the way businesses operate, for example:

● computing and the supporting networks that enable the instant, secure completion of business transactions wherever the parties are located

● additive manufacturing that enables the small scale production of customised components

● inventories controlled through 'just-in-time' systems.

The impact of technological change has been to improve business efficiency. Some businesses have successfully exploited technological change and other developments, while other businesses have seen their competitive edge slip by failing to exploit technology.

Learners will learn how to optimise the use of technology and understand that it is necessary to establish the availability of technology and the capacity it offers businesses. Learners will gain an understanding of the need to have a technology strategy and will recognise that there are legal implications associated with the use of technology in areas such as privacy and security. Learners will scope out how the technology can be extended to improve business systems and operations. They will develop, implement and manage procedures to ensure that technology is used efficiently and effectively in ensuring that business objectives are supported.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles underpinning the optimisation of technology	1.1 Explain how to keep up-to-date with technological developments
	1.2 Analyse the requirements of organisational procurement processes
	1.3 Evaluate the implications of technology for business continuity and crisis management plans
	1.4 Evaluate the legal implications of changes to the use of technology
	1.5 Analyse the requirements of a technology strategy
2 Be able to scope the use of technology	2.1 Establish evaluation criteria for the use of technology including extent of use, value, efficiency and quality
	2.2 Evaluate the current use of technology against agreed criteria
	2.3 Identify the scope for improvement including training, adaptations to existing systems and the implementation of new systems
	2.4 Identify the strategic implications of changes to the use of technology
	2.5 Assess the risks, limitations and benefits of changes to the use of technology
3 Be able to optimise the use of technological solutions	3.1 Specify technological requirements and priorities including the input of others in accordance with organisational technology strategy
	3.2 Take action to ensure the compatibility of technological plans and systems with other systems, processes and plans
	3.3 Recommend technological solutions that meet the specified objectives

Learning outcomes	Assessment criteria
4 Be able to manage the use of technology	4.1 Develop procedures that address all aspects of the technology and their implications
	4.2 Take action to ensure that everyone using the technology is adequately trained and equipped
	4.3 Promote the benefits of technology
	4.4 Use monitoring techniques that are appropriate to the nature of the work carried out and the system
	4.5 Take prompt corrective action in the event of problems arising

Unit amplification

AC 1.1   Explain how to keep up-to-date with technological developments

- *Technological developments:* hardware; software; networking; cloud computing; applications, e.g. manufacturing; design; distribution; finance; marketing; back office functions

- *Keeping up to date:* research and development; literature scanning; trade fairs; liaison with IT suppliers; demonstrations; competitor analysis

AC 1.2   Analyse the requirements of organisational procurement processes

- *Organisational procurement:* direct procurement, e.g. material for production; indirect procurement, e.g. maintenance resources; procurement process; business case for acquisition; tendering; supplier selection; negotiation; delivery; payment; reasons for standard procurement process, e.g. openness; best value; fraud minimisation; use of information technology in procurement

AC 1.3   Evaluate the implications of technology for business continuity and crisis management plans

- *Implications of technology:*
  o business continuity plans – identifying business critical activities; monitoring risks to business critical activities; maintaining business critical activities when risk occurs; recovering business critical activities; generating reports

  o crisis-management plans – identifying potential crisis events; assessing risk; monitoring risk; automated warning; initiating responses; monitoring crisis responses; generating reports

AC 1.4   Evaluate the legal implications of changes to the use of technology

- *Legislation:* Health and Safety at Work Act 1974; Computer Misuse Act 1990; Data Protection Act 1998; The Freedom of Information Act 2000; Copyright, Design and Patents Act (1988); Telecommunications Act (1984); Interception of Communications Act (1985)

- *Legal implications:* working conditions when using technology; access to computer-based information; security of computer-based information; rights of access to information; respecting copyrights; use of telecommunications systems

AC 1.5   Analyse the requirements of a technology strategy

- *Technology strategy:* objectives; alignment with business objectives; creating value; generating efficiency; integration of internal business activities; integration of business systems with external systems, e.g. suppliers, fiscal authorities; technology use to exploit business opportunities and develop competitive advantage; resource requirements; monitoring and review processes

Information for tutors

Suggested resources

Books

Bocij, P., Chaffey, D., Greasley, A. and Hicjkie, S. – *Business Information Systems: Technology, Development and Management for the E-Business*, 3rd edition (Financial Times/Prentice Hall 2005) ISBN 978-0273688143

Turban, E., Leidner, D., McLean, E. and Wetherbe, J. – *Information Technology for Management: Transforming Organizations in the Digital Economy*, 6th edition (John Wiley & Sons**,** 2007) ISBN 978-0471787129

Websites

www.managementhelp.org – The Free Management Library, information on the use of information technology in business

www.open.edu – The Open University, offers a course on knowledge management technology

Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit, for example the podcasts on hyper connectivity and tech slowdown consider aspects of technology use. They can be searched through and downloaded from www.bbc.co.uk/podcasts/series/bottomline/all

E-Commerce Times (ECT News) – has current stories about the use of technology in business, it can be found at:

www.ecommercetimes.com

The Economist (The Economist Newspaper Ltd) – has a business section and articles on the use and application of technology in business. There is an archive with articles and surveys on business and technology usage

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

Assessment is based on performance at work in an area that requires the learner to be involved in optimising the use of technology.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products such as stakeholder mapping and change analyses to which the learner has contributed. These can be augmented by the learner keeping a log or reflective journal with witness statements. Explanatory narratives could be used to identify the learner's specific contributions. These sources of evidence should show clearly how and why the learner considered the need for optimising the use of technology. In learning outcomes 2, 3 and 4 the log or reflective journal should ensure that the learner reflects on the approach adopted for the practical aspect of this unit and any lessons learned from putting theory into practice.

For learning outcome 2, work products such as a traceability matrix, a project scope statement, meetings records, risk assessments and discussion papers will cover all the assessment criteria. For AC2.1, a professional discussion could consider how and why particular evaluation criteria are selected, together with reasons why others are unsuitable. For AC2.4, a log or reflective journal could explore the strategic implications and identify those that are the most significant when considering the impact of technological change.

For learning outcome 3, work products such as proposals and recommendations to develop technical solutions to improve business activities, technical specifications and records of actions to integrate technical systems with other systems will cover all the assessment criteria. For AC3.3, witness testimony could identify how the proposed technological solutions were identified from the range of solutions that were considered, together with their benefits.

For learning outcome 4, work products such as process specifications, training programmes, promotional presentations and materials, monitoring records on the functioning of technologically-based systems and logs of actions taken in response to problems will cover all the assessment criteria. A witness statement could similarly support the achievement of all criteria and confirm the performance indicated through work products. For AC4.3, a log or reflective journal could be used to explore the factors to be considered in selecting appropriate methods to promote the benefits of technology to a range of stakeholders.

Evidence of Recognition of Prior Learning (RPL) can 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: Manage Product and/or Service Development

Unit reference number: Y/506/2068

Level: 5

Credit value: 5

Guided learning hours: 23

Unit summary

Innovation in the provision of services and products allows businesses to maintain their competitive advantage, whether is it by offering locker deliveries to customers who have shopped online or producing and marketing unusually flavoured ice creams.

Learners will gain understanding of the product life cycle and its stages, and its need to be reviewed to ensure that it meets changing market needs such as technology. For example, mobile telephones have a short life cycle due to the continuous change in technology and consumer requirements from the product.

Learners will learn how to establish the need for new or improved products and/or services by understanding the 'marketplace'. Consumers must have an appetite for purchasing innovative products and services that are cost effective to contribute to business success. Competitor business activity will have an impact as competitors seek to establish the superiority of their own products and services.

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 development of new or improved products and/or services	1.1 Analyse the stages of the development process, product life cycle and their requirements
	1.2 Explain the requirements of market segmentation
	1.3 Analyse the factors affecting buyer behaviour
	1.4 Evaluate the use of market analytical tools when developing new or improved products and/or services

Learning outcomes	Assessment criteria
2 Be able to establish the need for new or improved products and/or services	2.1 Establish criteria by which the need for new or improved products and/or services will be evaluated
	2.2 Evaluate customers' and potential customers' perceptions of the uses, value and quality of proposed products and/or services
	2.3 Identify competitor activity that may have an impact on the market for new or improved products and/or services
	2.4 Assess the likely impact of customers' culture and behaviour on potential sales
3 Be able to manage the development of new or improved products and/or services	3.1 Take action to ensure that proposals are consistent with organisational strategy, objectives and values
	3.2 Assess the costs of developing new or improved products and/or services
	3.3 Assess the viability of products and/or services by carrying out viability tests
	3.4 Evaluate the degree of success of new or improved products and/or services

Unit amplification

AC 1.1 Analyse the stages of the development process, product life cycle and their requirements

- *Product life cycle:* to include introduction, growth, maturity, saturation, decline; characteristics of life cycle stages; marketing use of product life cycle; product adoption groups

- *Development process:*
    - o product – idea; design; development; launch; sources of supply
    - o market factors to be considered – market size; segmentation; customer perceptions

AC 1.2 Explain the requirements of market segmentation

- *Market segmentation:* division of target market; purpose; benefits; segmentation techniques, e.g. demographic; geographic; psychographic, behavioural; subsets of consumers; purpose

- *Segment targeting:* marketing techniques; product positioning; product differentiation; price discrimination; advertising

AC 1.3 Analyse the factors affecting buyer behaviour

- *Buyer behaviour:*
    - o buyer characteristics – knowledge; attitudes; personality; preferences; lifestyle; motivation
    - o influences on buyer – marketing to include product, price, promotion, place; environment to include economic, social, technological
    - o buyer decisions – desire; information search; evaluation; purchase; post purchase behaviour

AC 1.4 Evaluate the use of market analytical tools when developing new or improved products and/or services

- *Market analysis tools:* environmental scanning; environmental analysis, e.g. PESTLE analysis; marketing mix as an analytical tool; market research; consumer research; pilot marketing; web analytics; coolhunting; forecasting

Information for tutors

Suggested resources

Books

Bradley, N. – *Marketing Research: Tools and Techniques*, 3rd edition (OUP Oxford, 2013) ISBN 978-01996550900

Clark, K. B. and Wheelwright, S. C. – *Managing New Product and Process Development: Text and Cases* (The Free Press, 1992) ISBN 978-0029055175

Websites

www.businesscasestudies.co.uk – *The Times 100* –case studies on a range of product development and marketing subjects

www.managementhelp.org – The Free Management Library – information on range of marketing topics

Other

The Bottom Line Podcasts and Downloads chaired by Evan Davies and Stephanie Flanders. The podcasts bring together practitioners to discuss current business matters. Many podcasts touch on topics relevant to the unit, for example the podcasts on rejuvenation and new marketing consider aspects of product and service development. They can be searched through and downloaded from www.bbc.co.uk/podcasts/series/bottomline/all

The Economist (The Economist Newspaper Ltd) – has a business section and articles on innovation, competitiveness and product development. A subscription is required.

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

Assessment is based on learner performance at work in an area that requires the learner to be involved in managing product and/or service development.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products such as market research results, development plans, keeping a log or reflective journal and witness statements. Explanatory narratives could be used to identify the learner's specific contributions. These sources of evidence should show clearly how and why the learner made the choices they did and the decisions they took, in relation to managing product and/or service development. By keeping a log or reflective journal the learner can reflect on the approach adopted for the practical aspect of this unit in learning outcomes 2 and 3 and any lessons learned from putting theory into practice.

For learning outcome 2, work products such as horizon scans, surveys and reports analysing buyer behaviour, and competitors' activity will cover all the assessment criteria. A log or reflective journal could be a source of evidence for demonstrating achievement of AC2.2 and AC2.3, allowing the learner to discuss the usefulness of customer perceptions and conducting a competitor analysis, and how the insight is used in establishing the need for new or improved products and/or services. A professional discussion for AC2.4 could allow the range of customer perceptions and their significance for sales to be examined in detail.

For learning outcome 3, work products such as development proposals for new or improved products/services, financial assessments and the associated records of relevant discussions will cover all the assessment criteria. A witness statement could evidence the achievement of AC3.1, allowing the learner's actions and their impact on product/service development to be considered. A log or reflective journal could be used for AC3.2 and AC3.3, allowing the learner to discuss the issues considered when deciding how to assess the costs and viability of new products/services.

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 33:   Encourage Innovation

Unit reference number: **J/506/2292**

Level: **3**

Credit value: **4**

Guided learning hours: **14**

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 to 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	1.1 Analyse the advantages and disadvantages of techniques used to generate ideas
	1.2 Explain how innovation benefits an organisation
	1.3 Explain the constraints on their own ability to make changes
	1.4 Agree with stakeholders terms of reference and criteria for evaluating potential innovation and improvement
	1.5 Engage team members in finding opportunities to innovate and suggest improvements
	1.6 Monitor performance, products and/or services and developments in areas that may benefit from innovation
	1.7 Analyse valid information to identify opportunities for innovation and improvement
2 Be able to generate and test ideas for innovation and improvement	2.1 Generate ideas for innovation or improvement that meet the agreed criteria
	2.2 Test selected ideas that meet viability criteria
	2.3 Evaluate the fitness for purpose and value of the selected ideas
	2.4 Assess potential innovations and improvements against the agreed evaluation criteria

Learning outcomes	Assessment criteria
3 Be able to implement innovative ideas and improvements	3.1 Explain the risks of implementing innovative ideas and improvements
	3.2 Justify conclusions of efficiency and value with evidence
	3.3 Prepare costings and schedules of work that will enable efficient implementation
	3.4 Design processes that support efficient implementation

Information for tutors

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

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 34: 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 summary

The high volume of waste that 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 that 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 that 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	1.1	Explain how to carry out an environmental impact analysis
		1.2	Compare sources of specialist advice on environmentally-friendly working practices
		1.3	Analyse the business and environmental benefits of effective energy management policies
		1.4	Explain the health and safety requirements for the use and disposal of resources and waste
2	Be able to organise work so as to minimise the impact on the environment	2.1	Analyse potentially adverse effects on the environment caused by work activities
		2.2	Evaluate the effectiveness of methods of improving environmental sustainability in an organisation
		2.3	Implement plans and procedures to adapt work practices to make them more environmentally-friendly
		2.4	Develop a system for colleagues to recommend improvements to make work practices more environmentally-friendly

Learning outcomes	Assessment criteria
3 Be able to manage the environmental impact of the use of resources	3.1 Explain when to obtain specialist environmental management advice
	3.2 Explain where to seek specialist environmental management advice
	3.3 Determine the environmental impact of the use of different physical resources
	3.4 Develop procedures for the disposal of waste and unwanted resources in a way that minimises the impact on the environment
	3.5 Evaluate the effectiveness of organisational environmental policies and procedures
	3.6 Adhere to organisational policies and procedures, legal and ethical requirements

Unit amplification

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

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 – the CIPD website provides information on corporate responsibility

www.gov.uk – the government services and information website which provides information on the management of waste

www.ibe.org.uk – the Institute of Business Ethics website provides information and resources on business ethics

www.managementhelp.org – this website provides information on business ethics and social responsibility

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 commands 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 35: Recruitment, Selection and Induction Practice

Unit reference number: R/506/2909

Level: 4

Credit value: 6

Guided learning hours: 33

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 the 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	1.1 Explain workforce planning techniques
	1.2 Describe the information needed to identify recruitment requirements
	1.3 Assess the impact of an organisation's structure and culture on its recruitment and selection policies and practices
	1.4 Analyse the factors involved in establishing recruitment and selection criteria
	1.5 Evaluate the suitability of different recruitment and selection methods for different roles
	1.6 Analyse patterns of employment that affect the recruitment of staff
	1.7 Explain the factors to be taken into account when developing job specifications, personal specifications and job advertisements
	1.8 Explain the induction process
	1.9 Explain the relationship between human resource processes and the induction processes

Learning outcomes	Assessment criteria
2 Be able to recruit people into an organisation	2.1 Determine current staffing needs
	2.2 Identify current skills needs from identified staffing needs
	2.3 Identify future workforce needs
	2.4 Develop a resourcing plan that addresses identified needs within budgetary limitations
	2.5 Evaluate the cost-effectiveness of different methods of recruitment for an identified role
	2.6 Explain how recruitment policies and practices meet legal and ethical requirements
	2.7 Select the most appropriate method of recruitment for identified roles
3 Be able to select appropriate people for the role	3.1 Plan assessment processes that are valid and reliable
	3.2 Provide those involved in the selection process with sufficient information to enable them to make informed decisions
	3.3 Justify assessment decisions with evidence
	3.4 Inform applicants of the outcome of the process in line with organisational procedures
	3.5 Evaluate the effectiveness of the selection process
	3.6 Adhere to organisational policies and procedures, legal and ethical requirements when carrying out selection assessments

Learning outcomes	Assessment criteria
4 Be able to induct people into an organisation	4.1 Develop induction materials that meet operational and new starters' needs
	4.2 Explain to new starters organisational policies, procedures and structures
	4.3 Explain to new starters their role and responsibilities
	4.4 Explain to new starters their entitlements and where to go for help
	4.5 Assess new starters' training needs
	4.6 Confirm that training is available that meets operational and new starters' needs
	4.7 Provide support that meets new starters' needs throughout the induction period

Unit amplification

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, biodata, references

- *Evaluation:* cost effectiveness of the process; rigour of methods used to ensure validity; achievement of new staff against benchmarks and targets; retention and development of staff

AC1.6: **Analyse patterns of employment that affect the recruitment of staff**

- *Patterns of employment:* technological developments; globalisation; changing work patterns, e.g. flexible working, part-time working, working from home, work/life balance; seasonal peaks and troughs; economic factors; customer demand for outside traditional working hours; religious observances; zero hours contracts

AC1.7: **Explain the factors to be taken into account when developing job specifications, personal specifications and job advertisements**

- *Legislative factors:* relating to equal opportunities (Equality Act 2010), discrimination, employment rights and responsibilities (Health and Safety at Work Act (1974), contractual terms and conditions, protection of personal data (Data Protection Act 1998)

- *Policies and procedures:* equality and diversity, working time, health and safety, pay, discipline, grievance, maternity/paternity, whistle blowing, smoking and drug use

AC1.8: **Explain the induction process**

- *Induction process:* probationary period to assess work performance and future potential; integration into workplace culture; formal induction course, content e.g. information about the organisation, health and safety, policies, procedures and working arrangements, trade unions and employee involvement, pay and benefits, performance management processes, learning opportunities; on-the-job induction, e.g. coaching, job analysis, self-managed learning arrangements

AC1.9: **Explain the relationship between human resource processes and the induction processes**

- *Human Resource processes:* recruitment and selection, training and development, compensation and benefits, performance management, career management, leadership and development

Information for tutors

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 – the Advisory, Conciliation and Arbitration Service website, providing information on workplace problems, including the recruitment and induction advisory booklet

www.cipd.uk – the Chartered Institute of Personnel and Development websites, including resources on the topic of recruitment

www.gov.uk – the Government services and information website, including information on employment

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 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 36: Manage Health and Safety in Own Area of Responsibility

Unit reference number: D/504/4056

Level: 4

Credit value: 5

Guided learning hours: 15

Unit summary

Health and safety is a mandatory requirement of the working environment across all sectors. It is governed by legislation and all organisations and individuals have a responsibility towards its implementation, monitoring and revision.

This unit is designed for those who are responsible for health and safety within their own area of work and are likely to have responsibility for others to ensure health and safety practices are followed.

You will gain an understanding of how, and demonstrate your competence in, being able to assess, monitor and minimise health and safety through your own and your organisation's responsibilities, as well as reviewing, communicating and monitoring health and safety within your own area of responsibility at work, and ensuring relevant documents and processes are in place, such as a health and safety policy and risk assessment activity.

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 responsibilities and liabilities in relation to health and safety legislation	1.1 Evaluate personal responsibilities and liabilities under health and safety legislation
	1.2 Describe an organisation's responsibilities and liabilities under health and safety legislation
	1.3 Identify specialists to consult with when health and safety issues outside own remit are identified

Learning outcomes		Assessment criteria	
2	Understand how to assess, monitor and minimise health and safety risks in own area of responsibility	2.1	Describe the types of hazards and risks that may arise in relation to health and safety
		2.2	Explain how to use systems for identifying hazards and assessing risks
		2.3	Explain how to monitor, evaluate and report on health and safety within own area of responsibility
		2.4	Describe the types of actions which should be undertaken to control or eliminate health and safety hazards
3	Be able to review health and safety policy in own area of responsibility	3.1	Review written health and safety policy against requirements for own area of responsibility
		3.2	Communicate any recommendations for changes to health and safety policy to relevant individuals
4	Be able to communicate health and safety policy in own area of responsibility	4.1	Communicate written health and safety policy to all people in own area of responsibility and other relevant parties
		4.2	Ensure all people in own area of responsibility and other relevant parties understand written health and safety policy

Learning outcomes	Assessment criteria
5 Be able to monitor health and safety in own area of responsibility	5.1 Evaluate systems for identifying and assessing health and safety hazards and risks within own area of responsibility
	5.2 Assess working environment within own area of responsibility against organisation's health and safety policy
	5.3 Identify and evaluate non-compliance with health and safety policy and practices within own area of responsibility
	5.4 Take appropriate action to eliminate or control identified hazards and identified risks
	5.5 Evaluate health and safety requirements in project or operational plans within own area of responsibility

Unit amplification

AC1.1:   Evaluate personal responsibilities and liabilities under health and safety legislation

- *Health and safety legislation:* Health and Safety at Work Act 1974

- *Health and safety regulations*: e.g. Management of Health and Safety at Work Regulations 1999, Manual Handling Operations Regulations 1992, Health and Safety (Display Screen Equipment) Regulations 1992, Workplace (Health, Safety and Welfare) Regulations 1992, Provision and use of Work Equipment Regulations 1998, Personal Protective Equipment at Work Regulations 1992; Control of Substances Hazardous to Health Regulations 2002

- *Personal responsibilities and liabilities:* dependent on own role and job description*;* legal responsibilities, such as, ensuring health and safety of self, colleagues, customers and visitors; implementing regular checks of working practices, premises and equipment; reporting procedures; implementing risk assessments; following organisational procedures for health and safety (self, others); relevant training (self, others)

AC1.2:   Describe an organisation's responsibilities and liabilities under health and safety legislation

- *Organisational responsibilities:* robust health and safety policies and procedures; training and development of staff; planning and acting on risk assessment; health and safety checks and maintenance; provision of materials, tools, equipment, machinery, Personal Protective Equipment (PPE), facilities

- *Organisational liabilities:* e.g. legal responsibilities, implementation of health and safety legislation, legal liabilities, risk of sanctions, fines or prosecution

AC1.3:   Identify specialists to consult with when health and safety issues outside own remit are identified

- *Specialists:* health and safety experts and officials, e.g. Health and Safety Executive, consultants from RoSPA (Royal Society for the Prevention of Accidents; trade specific, e.g. mining, maritime, aviation, motor vehicle; specialist areas, e.g. legislation, chemical management, occupational hygiene, heavy plant

AC2.1: **Describe the types of hazards and risks that may arise in relation to health and safety**

- *Hazard and risks:* distinctions between both; impact of probability; hazards and risks in context of own work environment

- *Types of health hazard:* e.g. physical, ergonomics or repetitive strain injury, psychological

- *Types of safety hazard:* e.g. defective equipment, working at heights, confined spaces, plant equipment and machinery, violence, fire

AC2.2: **Explain how to use systems for identifying hazards and assessing risks**

- *Systems:* e.g. risk assessment, risk control, reports and reporting procedures, health and safety checks that includes frequency and recording, e.g. premises, facilities, equipment, PPE; organisational processes and procedures

AC2.3: **Explain how to monitor, evaluate and report on health and safety within own area of responsibility**

- *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 could include:*
  - *monitoring* – methods, e.g. visual checks, observation, inspection of records, identifying trends, staff feedback
  - *evaluation* – e.g. benchmarking against industry standards, organisational quality standards, compliance with legislation and regulations
  - *reporting* – methods e.g. written audit reports, traffic light dashboard; supporting information, e.g. accident and incident records, inspection checklists, risk assessment forms

AC2.4: **Describe the types of actions which should be undertaken to control or eliminate health and safety hazards**

- *Types of actions:* e.g. regular risk assessment regular health and safety checks regular monitoring of working environment, providing and ensuring use of personal protective equipment, regular staff training, understanding, implementing and following own organisational procedures

Information for tutors

Suggested resources

Books

Backhouse, J. – *Essential Health and Safety Study Skills* (Routledge, 2013) ISBN 9780415629096

Chadder, P. and Duncan, M. – *Health & Safety at Work Essentials* (8th Revised Edition) (Lawpack Publishing Ltd, 2014) ISBN 9781910143001

Health and Safety Executive – *Workplace Health, Safety and Welfare: Workplace (Health, Safety and Welfare) Regulations 1992. Approved Code of Practice and Guidance* (2nd Revised Edition), (HSE Books, Nov 2013) ISBN 9780717665839

Moore, R. and Winter, H. – *The Law of Health and Safety at Work 2014/15* (23rd Revised Edition), (Croner.CCH Group ltd, 2014) ISBN 9781855247710

Stranks, J. – *Health and Safety at Work: An Essential Guide for Managers (*9th Edition), (Kogan Page, 2010) ASIN B00AXDJLUY, ISBN 9780749461195

Websites

www.hse.gov.uk – Health and Safety Executive (HSE) government website that gives guidance, news and updates on all aspects of health and safety.

www.hse.gov.uk – the publications section of the HSE website includes health and safety publications which can be downloaded.

www.iosh.co.uk – official website of The Institution of Occupational Safety and Health. Topical discussion forums are available on this website regarding health and safety.

www.rospa.com – Royal Society for the Prevention of Accidents; A charity set up to support and work with organisations accident prevention through many avenues including consultancy, advice and training

Other

Policy and Practice in Health and Safety – published by IOSH (the Institute of Occupational Safety and Health, published twice a year, this magazine is a source of health and safety policy updates and information.

Safety and Health Practitioner Magazine – official magazine of IOSH (see websites above), this magazine is also available on-line via the website (as detailed above), it covers all aspects of health and safety for professionals.

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

Learning outcomes 3, 4 and 5 are competency-based; therefore, the learner should produce evidence that is generated naturally, carrying out their work activities in the workplace. Evidence to meet the learning outcomes is likely to come from a combination of examining learner work products, supported by professional discussion or reflective account (depending on which is most suitable for the learner) and witness testimony. Work products should be created or generated by the learner and could include, for example; documented outcomes of the learner's review of organisational written health and safety policy (AC3.1), completed organisational risk assessments or health and safety reports (AC5.2), records of communication with people in own area of responsibility and relevant individuals/parties about health and safety policy/requirements (e.g. e-mails, minutes of meetings, staff training records or notices) and evaluation reports.

Evidence from examination of the learner's work products should be supported by professional discussion and/or a reflective account to provide further evidence for associated assessment criteria and could focus on; the learner's decision making and criteria used in reviewing their organisation's health and safety policy and their rationale for changes/no change (AC 3.1, AC3.2), the learner's reasons for the actions taken to eliminate or control risks (AC5.4), the processes and techniques used in the learner's evaluations and rationale for their conclusions (AC5.1, AC5.3 and AC5.5).

Witness testimony could also be used to confirm that the learner has consistently met the requirements over a period of time.

Learning outcome 1 and 2 are knowledge based. Evidence to confirm the achievement of these learning outcomes could be integrated into the professional discussion or reflective account for learning outcomes 3, 4 and 5 mentioned above, therefore providing the opportunity for the learner to link and apply their knowledge to their workplace activities. The learner's responses must be at a sufficient depth and breadth to meet the level of demand of the operative verbs.

There are opportunities within the unit to link evidence across knowledge and competence ACs as there are close synergies, for example, evidence generated to meet AC 2.2 could be used as the basis for the evaluation required in AC 5.1. Other linkages between knowledge and competence ACs include, for example, AC 2.3 and AC5.3 and AC2.4 and AC5.4.

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

Unit 37: Contribute to the Design and Development of an Information System

Unit reference number: A/506/1950

Level: 4

Credit value: 5

Guided learning hours: 23

Unit summary

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

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

Learning outcomes and assessment criteria

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

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

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

Unit amplification

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

- *Information and data:* definition of information and data; sources of information; types of information

- *Information requirements:* needs for information, e.g. internal, external; storing information; information security; accuracy; relevance; outputs, e.g. payroll, invoicing, ordering, bookings, stock control, personnel records, goods tracking, decision making, marketing, customer service

- *Ways of storing information:* methods; location, e.g. local, remote, cloud; organisation of information; retrieval; archive; resources

- *Ways of managing information:* people; process, e.g. flows, procedures, security, testing; technology; content, e.g. relevance, validity, level of detail, accuracy; risk; analysis; reporting; monitoring; reviewing

- *Information systems:* types, e.g. business information systems, management information systems; knowledge information systems; proprietary or customised; in-house designed or commissioned

- *Advantages and limitations:* information characteristics, e.g. format, quantity, quality, source, reliability; budgets; effectiveness; technology; capacity, e.g. storage, memory; staff, e.g. capabilities, training; environment; usability; functionality; output; legal and ethical restrictions; product and/or service suppliers

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

- *Functional areas of an organisation:* typical areas, e.g. finance, accounts, human resources, stock control, sales, marketing, research and development, production, distribution, customer service, administration

- *Information needs:* requirements analysis, e.g. strategic, tactical, operational; data requirements, e.g. inputs, outputs, processing activities; information distribution requirements, e.g. location, department, individual

- *Sources:* internal and external; primary and secondary; formal and informal; team workers; customers; other stakeholders

- *Types of information:* e.g. text, numbers, graphics, audio, video

- *Information flows:* e.g. information flows between information generators and information users; information flows across functional areas; internal flows; external flows; content; level of detail; volume of information; timing; intelligibility; differentiating between essential and useful information; frequency; storage; retrieval; recording information flows; confirming receipt of information; acting on information

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

- *Legal issues:* relevant and current data protection legislation, e.g. Data Protection Act 1998, Freedom of Information Act 2000; other relevant legislation, e.g. Computer Misuse Act 1990

- *Ethical issues:* codes of practice, e.g. use of email, internet; 'whistle blowing'; organisational policies; information ownership

- *Operational issues:* security of information; backups, e.g. hardware, peripherals, software, storage media, local storage, remote storage, cloud storage; organisational policies, procedures and processes; staff training

- *Implications of data protection:* access; information security, e.g. internal threats, external threats, data corruption; cost; reputation; effects on business sustainability

- *Managing risk:* cyber-crime, e.g. diverting financial assets, communications sabotage, intellectual property theft, denial of service attacks; preventive technologies, e.g. firewalls, access control methods, secure payment systems; disaster recovery

Information for tutors

Suggested resources

Books

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

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

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

Websites

www.data-protection-act.co.uk - Data Protection Act made easy website, providing guides to and information about the data protection act

www.skillscfa.org – the website of the Sector Skills Council, Skills CFA, where information and standards for business administrators can be found

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 primary source of evidence for meeting the requirements of learning outcome 2 and learning outcome 3 is direct observation of the learner carrying out their work activities relating to contributing to the design and development of an information system.

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

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

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

Unit 38: Manage Information Systems

Unit reference number: F/506/1951

Level: 4

Credit value: 6

Guided learning hours: 30

Unit summary

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

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

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

Learning outcomes and assessment criteria

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

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

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

Unit amplification

AC1.1:   Explain the uses of an information system

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

AC1.2:   Describe typical information system interfaces

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

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

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

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

- *Stakeholders*: internal, e.g. system users, management, information system developers, technical support; external, e.g. customers, product suppliers, service providers, contractors, regulatory bodies

- *Stakeholder feedback:* feedback objectives, e.g. system, teams, business; desired outcome(s); feedback mechanisms; feedback forums, e.g. individuals, focus groups, organisations; frequency; response deadlines; responses

- *Measuring system effectiveness*: system objectives, e.g. desired system outcomes, actual system outcomes; efficiencies, e.g. cost, time, resources; handling information, e.g. input, processing, output, reporting, analysis, storage; system operations, e.g. interfaces, logical processes, usability, technical support; issues, e.g. hardware, software, people, processes, data; recommendations for improvement

- *Use of stakeholder feedback*: value stakeholder opinions; timely resolution of issues; inform change; communication of feedback outcomes, e.g. meetings, reporting, presentation, publishing; staff development

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

- *Legal issues:* relevant and current data protection legislation, e.g. Data Protection Act 1998, Freedom of Information Act 2000; other relevant legislation, e.g. Computer Misuse Act 1990

- *Ethical issues:* codes of practice, e.g. use of email, internet; 'whistle blowing'; organisational policies; information ownership

- *Operational issues:* security of information; backups, e.g. hardware, peripherals, software, storage media, local storage, remote storage, cloud storage; organisational policies, procedures and processes; staff training

- *Implications of data protection:* access; information security, e.g. internal threats, external threats, data corruption; cost; reputation; effects on business sustainability

- *Managing risk:* cyber-crime, e.g. diverting financial assets, communications sabotage, intellectual property theft, denial of service attacks; preventive technologies, e.g. firewalls, access control methods, secure payment systems; disaster recovery

Information for tutors

Suggested resources

Books

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

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

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

Websites

www.data-protection-act.co.uk - Data Protection Act made easy website, providing guides to and information about the data protection act

www.skillscfa.org – the website of the Sector Skills Council, Skills CFA, where information and standards for business administrators can be found

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 primary source of evidence for meeting the requirements of learning outcome 2 and learning outcome 3 is direct observation of the learner carrying out their work activities relating to the management of information systems.

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

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

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

Unit 39:   Manage Events

Unit reference number: M/506/1959

Level: 4

Credit value: 6

Guided learning hours: 49

Unit summary

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

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

Unit amplification

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 vulnerables 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

Suggested resources

Books

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

Shone, A., Parry, B. – *Successful Event Management: A Practical Handbook* (3rd edition) (CENGAGE Lrng Business Press, 2010) ISBN: 9781408020753

Websites

www.businessballs.com – website providing online training for careers, work, management, business training and educators

qualifications.pearson.com - the Pearson website provides guidance for Wider Key Skills: problem solving

www.skillscfa.org – the website of the Sector Skills Council, Skills CFA, where information and standards for business administrators can be found

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 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 through 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 40: Review the Quality of Customer Service

Unit reference number: F/506/2176

Level: 4

Credit value: 4

Guided learning hours: 20

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	1.1 Explain the value of measuring the quality of customer service
	1.2 Analyse the criteria for and factors involved in setting customer service standards
	1.3 Explain how to construct representative samples
	1.4 Analyse methods of validating information and information sources
	1.5 Explain how to set and use customer service performance metrics
	1.6 Explain the use of customer feedback in the measurement of customer service
	1.7 Analyse the advantages and disadvantages of a range of data analysis methods
2 Be able to plan the measurement of customer service	2.1 Identify the features of customer service against which customer satisfaction can be measured
	2.2 Select data collection methods that are valid and reliable
	2.3 Specify monitoring techniques that measure customer satisfaction
	2.4 Establish evaluation objectives and key performance indicators (KPIs) in the measurement of customer service
	2.5 Specify the information to be collected

Learning outcomes	Assessment criteria
3 Be able to evaluate the quality of customer service	3.1 Validate the information collected to identify useable data
	3.2 Use information analysis methods that are appropriate to the nature of the information collected
	3.3 Identify instances of effective customer service, shortfalls and gaps from the information analysis against agreed criteria
	3.4 Develop recommendations that address identified areas for improvement supported by evidence

Unit amplification

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

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

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.

Unit 41: Contribute to the Improvement of Business Performance

Unit reference number: D/506/1911

Level: 3

Credit value: 6

Guided learning hours: 33

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

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

Unit amplification

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

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, A.E. – *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 – BBC website: business news section

www.bized.co.uk – a business education resource site

www.business.com – business skills for personal and professional development

www.businesscasestudies.co.uk – business studies learning resources including the 'Times 100' business case studies

www.thecqi.org – quality management approach based on planning, measurement and improvement

www.efqm.org – European Foundation for Quality Management: helping European organisations learn from each other and improve performance

www.managers.org.uk – professional body promoting management and leadership excellence

www.mindtools.com – business skills that help you excel at work

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

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

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 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: Negotiate in a Business Environment

Unit reference number: H/506/1912

Level: 3

Credit value: 4

Guided learning hours: 18

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

Unit amplification

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

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 – the website of the Entrepreneur magazine, providing various articles, including negotiating in business

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

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 products. 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 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: Resolve Customers' Problems

Unit reference number: K/506/2169

Level: 3

Credit value: 4

Guided learning hours: 19

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 cannot 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
1 Understand the monitoring and resolution of customers' problems	1.1 Assess the suitability of a range of techniques for monitoring customer problems
	1.2 Explain how to use the resolution of customers' problems to improve products and/or services
	1.3 Explain how the successful resolution of customers' problems contributes to customer loyalty and enhanced business performance
	1.4 Explain the features of negotiating techniques used to resolve customers' problems
2 Be able to deal with customers' problems	2.1 Confirm the nature and cause of customers' problems
	2.2 Explain when customers' problems should be treated as complaints
	2.3 Explain the benefits to customers and the organisation of the options available to solve problems
	2.4 Explain the drawbacks to customers and the organisation of the options available to solve problems
	2.5 Explain to customers the options for resolving their problems
	2.6 Agree solutions that meet customers' and organisational requirements within their own levels of authority
	2.7 Inform colleagues of the nature of problems and actions taken
	2.8 Evaluate the effectiveness of the resolution of customers' problems
	2.9 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with customers' problems

Unit amplification

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

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

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 learner 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 as 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. Learner 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 44: Resolve Customers' Complaints

Unit reference number: R/506/2151

Level: 3

Credit value: 4

Guided learning hours: 22

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 to 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	1.1 Assess the suitability of a range of monitoring techniques for customers' complaints
	1.2 Explain how to identify those complaints that should prompt a review of the service offer and service delivery
	1.3 Explain negotiating techniques used to resolve customers' complaints
	1.4 Explain conflict management techniques used in dealing with upset customers
	1.5 Explain organisational procedures for dealing with customer complaints
	1.6 Explain when to escalate customers' complaints
	1.7 Explain the cost and regulatory implications of admitting liability on the basis of a customer complaint
	1.8 Explain the advantages and limitations of offering compensation or replacement products and/or services

Learning outcomes	Assessment criteria
2 Be able to deal with customers' complaints	2.1 Confirm the nature, cause and implications of customers' complaints
	2.2 Take personal responsibility for dealing with complaints
	2.3 Communicate in a way that recognises customers' problems and understands their points of view
	2.4 Explain the advantages and limitations of different complaint response options to customers
	2.5 Explain the advantages and limitations of different complaint response options to the organisation
	2.6 Keep customers informed of progress
	2.7 Agree solutions with customers that address the complaint and which are within the limits of their own authority
	2.8 Record the outcome of the handling of complaints for future reference
	2.9 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with customers' complaints

Unit amplification

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

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 **–** The ICS website provides information and guidance on many aspects of customer service, including how to handle customer complaints

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 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 45: Analyse Competitor Activity

Unit reference number: Y/502/9927

ILevel: 3

Credit value: 3

Guided learning hours: 3

Unit summary

This unit will enable you to provide a valuable service for any organisation in the sales industry. This is because you will continually analyse the sales performance of the organisation and its goods or services, and that of your competitors, to make comparisons. This will provide feedback, which will not only increase your company's profits, but also raise its profile in the industry.

All companies have their strengths and weakness, so you will be looking at your competitors to find out who they are, and use the information to review competitors against specific briefs set by your employers. By doing this, your organisation will have a clear vision of the threats posed and how to put plans in place to counteract those.

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 competitor activity	1.1 Identify organisations competing for the same customers
	1.2 Identify potentially threatening competitor activity
	1.3 Identify competitors' objectives
	1.4 Identify valid sources of information on competitors and their activity
	1.5 Explain the advantages and disadvantages of sources of information on competitors and their activity

Learning outcomes	Assessment criteria
2 Be able to determine the nature of the threat posed by competitor activity	2.1 Assess the strengths and weaknesses of competitor activity against agreed criteria
	2.2 Assess the strengths and weaknesses of competitors' products and/or services against agreed criteria
	2.3 Determine the nature and extent of the possible threat posed by competitor activity and products and/or services

Information for tutors

Suggested resources

Books

Carrel, J. – *Easy Competitor Analysis – How to Find Out What Your Competitors Are Up To & How to Benefit From That Valuable Knowledge (Business Building Book 1) [Kindle Edition]* (Cinnamon Edge, 2012) ASIN B0075LZ0FM

Websites

www.bookboon.com – the bookboon website offers free eBooks and textbooks for download; various books cover the topic of competitors

www.businessballs.com – the business balls website provides free career help, materials and tools, including resources around the topic of competitor analysis

www.netmba.com – the NetMBA (Business Knowledge Center) website, provides business knowledge resources via the Internet, including resources on the topic of competitor analysis

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 2010 Sales Standards, 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 analysing competitor activity.

Evidence to demonstrate achievement of learning outcomes 1 and 2 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 competitor analysis documents detailing where the learner has identified organisations that are competing for the same customers as their organisation, where potential threats from competitor activity have been identified and those competitor's objectives. 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 how to identify valid sources of information on competitor and their activity and what the advantages and disadvantages of these sources are (AC1.4 and AC1.5), what the agreed criteria are within their organisation for assessing the strengths and weaknesses of competitor activity, and how they apply these to determine the nature and extent of the threat posed by competitor activity, their products and services (AC2.1 and AC2.3). 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 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 46: Developing Sales Proposals

Unit reference number: A/502/8656

Level: 4

Credit value: 5

Guided learning hours: 30

Unit summary

This unit will enable you to provide a valuable service for any company in the sales industry. This is because you will be able to develop and evaluate sales proposals effectively and efficiently for your employers, which will lead to increased profits and an enhanced reputation for your company. This in turn will boost your reputation, which will help you to progress in your career.

You will be meticulous in making sure the customers' requirements are properly addressed, compared with the conditions and constraints which have to be considered to protect your own company's interests; for example making sure the proposals are based on the state of current markets and that the price is consistent with the value of each proposal. You will pay due regard to presenting the proposals in house style and present all proposals within agreed timescales. Where you have queries, you will seek clarification from others and will always obtain approval from your managers before submitting any proposal.

A key part of your role will be to evaluate proposals by getting feedback from people in your company and also from customers. This will enable you to judge whether your proposals have been successful and whether you could make improvements 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 how to write sales proposals	1.1 Explain how to write a proposal that differentiates the offer from that of a competitor and promotes organisational strengths
	1.2 Describe how to put together a persuasive argument based on quantitative and qualitative evidence
	1.3 Explain the importance of addressing the brief in tender documentation
	1.4 Explain the importance of using the "house style" in proposals
	1.5 Explain the legal and ethical issues relating to sales proposals
	1.6 Explain the client's procedures for submitting sales proposals

Learning outcomes	Assessment criteria
2 Be able to develop sales proposals	2.1 Ensure the prospect's or customer's requirements are addressed in the proposal
	2.2 Ensure that all identified issues requiring clarification are resolved before the proposal is finalised
	2.3 Identify the conditions and constraints which need to be included within the proposal in order to protect the organisation's interests
	2.4 Present the proposal in "house style"
	2.5 Ensure that the proposal is based on market factors
	2.6 Provide the required level of detail as briefed by the prospect or customer
	2.7 Ensure that the price reflects the value within the proposal
	2.8 Gain internal approval before submission
	2.9 Supply the proposal within the agreed timescale
3 Be able to evaluate the proposal	3.1 Obtain feedback from colleagues and the customer on the proposal
	3.2 Evaluate the outcome of the proposal and recommend improvements for the future

Unit amplification

AC1.1: **Explain how to write a proposal that differentiates the offer from that of a competitor and promotes organisational strengths**

- *To include:* identify buyer key requirements and any additional requirements; scope of the proposals; competitive advantages solutions and objectives; deliverables; actual proposals; cost breakdown; payment terms; additional terms and conditions; after care

- *Other considerations:* the selling company's background and reputation; sales figures; market niche advantages; staff expertise

AC1.2: **Describe how to put together a persuasive argument based on quantitative and qualitative evidence**

- *Quantitative:* discounts offered; prices compared with competitors; healthy sales figures; number of satisfied customers

- *Qualitative:* after care service and guarantees; specialist staff; results of customer service surveys; external quality reports or audits; reports in the media

AC1.3: **Explain the importance of addressing the brief in tender documentation**

- *To include:* type of company and its role; description and type of contract; invitation for an expression of interest; details of the procedure; estimated value, closing date; duration

- *Other considerations:* e.g. have a proposal schedule and work backwards from the proposal due date; leave plenty of time for checking of details; equipment; have back up plans; study evaluation criteria

AC1.4: **Explain the importance of using the 'house style' in proposals**

- *House style:* helps identify the company; stand out from the crowd; layout for ease of reading; correct use of English

- *Other considerations:* quality of paper used; quality of printing; use of diagrams, tables and images

AC1.5: **Explain the legal and ethical issues relating to sales proposals**

- *To include:* Acts e.g. Data Protection 1998, Sale of Goods Act 1979; Advertising; Contractual obligations; Consumer Law; Company requirements; Environmental concerns

- *Other considerations:* company reporting guidelines; breaches of laws; penalties to the company if there are breaches

AC1.6:   Explain the client's procedures for submitting sales proposals

- *To include:* main needs plus wish list needs; timescale; possible solutions; quality demanded; identification of what the benefits might be; what deliverables are expected; possible pricing; targeted in language the seller understands

- *Other considerations:* linkage with the client's company procedures relating to specific layout considerations; staff involved; confidentiality; track record with competitors

Information for tutors

Suggested resources

Websites

www.bookboon.com – the Bookboon website offers free eBooks and textbooks for download, including various books on the subject of sales

www.businesballs.com – the business balls website offers free career help, materials and tools etc., including on the subject of sales and selling

www.gov.uk – the Government services and information website, which contains information on various acts

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 2010 Sales Standards, 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 sales proposals.

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 the proposal documents detailing where the prospect's or customer's requirements are addressed, demonstrating that the appropriate house style has been used and communications or records of meetings evidencing that the proposal has been supplied within the agreed timescale. 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 conditions and constraints which need to be included within the proposal in order to protect the organisation's interests (AC2.3), the process for obtaining feedback from colleagues and the customer on the proposal and how this is used (AC3.1) and the criteria used for evaluating the outcome of a proposal and the process for recommending improvements in the future (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 1m 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 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 quantitative and qualitative evidence which they used when developing a sales proposal and how they have used this to create a persuasive argument (AC1.2), how they have ensured that they addressed the brief in tender documentation and what the importance of doing so was (AC1.3), and legal and ethical issues relating to sales proposals and how they ensured compliance with these when writing sales proposals (AC1.5). The learner's reflective account to meet the requirements of AC1.1 to AC1.6 must be in sufficient depth and breadth to meet the level of demand of the operative commands 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 47: Prioritising Information for Sales Planning

Unit reference number: D/502/8651

Level: 4

Credit value: 3

Guided learning hours: 20

Unit summary

In this unit, you will gain the knowledge, understanding and skills to be able to prioritise information essential for effective and accurate for sales planning.

This unit will enable you to provide a valuable service for any company which incorporates a sales function, irrespective of whether it targets customers directly or via a network of channel partners, distributors and wholesalers. You will learn which information will enable you to confidently advise your employers with their sales planning, and how this collated information has the potential to significantly drive increased sales, via intelligent targeting, based on customer preferences and market patterns.

Due to the vast amounts of information available on the Internet; the challenge is to incorporate only data that is relevant to your requirements.

This unit will enable you to gain an understanding of the sources of information most relevant to you, specifically the range of sources and types of information that supports sales, including customer behaviour, the nature of your organisation's competitor activities and an understanding of the internal information that is necessary to support sales.

You will be able to carry out audits of internal and external business environments, using a range of statistical information to support your sales planning function, by obtaining information about your organisation's customers and competitors. This will be achieved by assessing the strengths and weaknesses of your organisation, as well as its channel partner/distributor network, and prioritising these weaknesses in relation to the organisation's sales objectives. You will also monitor market trends and developments across all communication/feedback channels and review these to assess their implications for your organisation's sales plans.

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 sources and types of information that support sales	1.1 Describe the information about customers' behaviour that is relevant to sales
	1.2 Explain the nature of competitors' sales activities
	1.3 Explain the relevance of information from the external business environment to sales
	1.4 Describe sources of business information relevant to sales
2 Understand internal information that supports sales	2.1 Describe the customer base of the organisation
	2.2 Explain organisational information storage procedures
	2.3 Explain organisational procedures for communicating sales-based information to the sales team
3 Be able to carry out a business audit of the internal and external sales environment	3.1 Obtain information about customers and competitors from a variety of sources to enable a business audit to be conducted
	3.2 Organise sales information to support effective sales planning
	3.3 Prioritise the internal strengths and weaknesses, and external opportunities and threats the organisation faces in relation to sales objectives
4 Be able to use sales information to support the sales planning function	4.1 Monitor trends and developments that impact on business and sales activities against agreed criteria
	4.2 Identify market developments and their implications for organisational sales plans
	4.3 Ensure that sales information is communicated to those who need it in accordance with organisational procedures

Unit amplification

AC1.1: **Describe the information about customers' behaviour that is relevant to sales**

- *To include:* purchasing patterns linked with specific customer types; seasonal demands; emerging customer trends with regard to specific goods or services; quality and type of service demanded by customers; price ranges most favoured by customers; impact on customer buying as a result of discounts or special offers

AC1.2: **Explain the nature of competitors' sales activities**

- *Competitors will constantly review their policies on:* pricing structures; quality standards; market share; strength of brand/reputation; after sales service; new initiatives; products or services; seasonal demand

AC1.3: **Explain the relevance of information from the external business environment to sales**

- *To include:* analysis of qualitative and quantitative data allows companies to give short term and long term projections of sales; provides a clearer understanding of their proposition vs their closest competitors; refining pricing structures; clarifying which initiatives/offers impact sales; improve quality; service and delivery; gain competitive edge; enter new markets

AC1.4: **Describe sources of business information relevant to sales**

- *To include:* marketing department records; customer records; market research (commissioned and non-commissioned); surveys; trade organisation information; University research projects; case studies; social media data; channel partner sales data

AC2.1: **Describe the customer base of the organisation**

- *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.*

AC2.2: **Explain organisational information storage procedures**

- *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.*

AC2.3: **Explain organisational procedures for communicating sales-based information to the sales team**

- *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

Suggested resources

Websites

www.bookboon.com – the bookboon website provides fee eBooks and textbooks for download, includes books on the topic of sales planning

www.businessballs.com – the business balls website provides free career help, materials and tools, including resources around the topic of sales planning

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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 2010 Sales Standards, 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 prioritising information for sales planning.

Evidence to demonstrate achievement of 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 documents relating to the business audit, copies of information obtained from various sources contributing to the business audit and analysis documents detailing where the learner has monitored and identified trends and developments against agreed criteria, which impact on business and sales activities. 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 they follow in order to prioritise the internal strengths and weaknesses, and external opportunities and threats the organisation faces in relation to sales objective (AC3.3), what the agreed criteria are within the organisation for monitoring trends and developments that impact on business and sales activities and how they do this (AC4.1) and how to ensure that sales information is communicated to those who need it and their organisation's procedures that this has to be carried out in accordance with (AC4.3). 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 achieve learning outcomes 1 and 2 would best come from a professional discussion. If a professional discussion is used for learning outcomes 3 and 4, then it would be best to integrate the assessment of these learning outcomes, therefore giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could discuss the types of information about customers' behaviour that is relevant to sales within their organisation and how they use this in order to support sales (AC1.1), information from the external business environment, and how this is relevant to supporting sales within their organisation (AC1.3) and their organisational procedures for communicating sales-based information to the sales team and how they follow these (AC2.3). The professional discussion with the learner must be in sufficient depth and breadth to meet the level of demand within AC1.1 to AC2.3.

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

Unit 48: Manage Customer Service Operations

Unit reference number: M/506/2898

Level: 4

Credit value: 7

Guided learning hours: 23

Unit summary

To be successful, organisations need to be able to deliver effective customer service. This requires careful planning and organisation, followed by close monitoring and control of customer service operations. It also requires dealing effectively with any problems that occur in a way that leaves your customer with a positive impression of your organisation.

Customer service performance can be measured by a wide variety of metrics and ratings collected in different ways and these measurements are needed if you are to manage performance systematically and take positive actions for improvement.

In this unit, you will learn about the allocation of resources, monitoring customer service and applying strategies in order to supply a seamless service to customers. You will understand the techniques used to develop solutions to customer service problems and how to undertake an analysis of trend and performance data in supporting improvements to the customer service provided to customers. You will demonstrate your competence in planning, organising and managing customer service operations, including, preparing and supporting your staff and measuring performance to identify areas for improvement.

This unit is for you if you have responsibility for the customer service performance of individuals or a team and you have the authority to see management actions through.

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 customer service operations	1.1 Explain the basis for allocating resources
	1.2 Assess the suitability of a range of methods to monitor customer service operations
	1.3 Explain the strategies needed to deliver seamless customer service
	1.4 Explain techniques used to develop solutions to problems
	1.5 Evaluate sources of information on customer performance data
	1.6 Analyse a range of techniques to identify patterns and trends in customer behaviour and customer service performance
	1.7 Analyse a range of possible improvements to customer service operations
2 Be able to plan customer service operations	2.1 Define the service offer to meet identified customer expectations
	2.2 Develop plans that will enable sustainable and consistent customer service operations to agreed standards
	2.3 Develop contingencies that address identified risks
	2.4 Specify targets, objectives, key performance indicators (KPIs) and monitoring arrangements
	2.5 Communicate objectives, targets, standards and procedures to staff

Learning outcomes		Assessment criteria	
3	Be able to manage customer service operations	3.1	Allocate resources according to agreed priorities
		3.2	Keep staff informed of developments in the customer service offer
		3.3	Keep staff informed of developments in best practice for the delivery of customer service
		3.4	Maintain positive working relationships amongst staff
		3.5	Carry out monitoring activities in accordance with plans
		3.6	Manage deviations from expected performance and service failures in accordance with contingency plans
		3.7	Use feedback from staff and customers to make improvements
		3.8	Take action within the limits of their responsibility to make improvements to customer service performance
4	Be able to prepare staff for the delivery of customer service	4.1	Confirm that staff understand the vision, objectives, roles, plans, standards and procedures to deliver customer service
		4.2	Provide training and support that will enable staff to deliver customer service to the required standards
		4.3	Communicate to staff their roles, responsibilities and work plans in line with delivery plans
5	Be able to measure customer service performance	5.1	Take action to ensure that systems to collect agreed performance data are in place
		5.2	Identify trends of customer behaviour and customer service performance from performance data
		5.3	Benchmark performance against agreed measures
		5.4	Address identified anomalies and problems
		5.5	Identify areas for improvement within customer service

Unit amplification

AC1.1: **Explain the basis for allocating resources**

- *Basis:* organisation strategy; budget; business targets; staff, e.g. competence, experience, motivation; performance

AC1.2: **Assess the suitability of a range of methods to monitor customer service operations**

- *Methods:* e.g. departmental reports, formal and informal customer feedback, incident reports, business reports, sales analysis, external and internal audits

AC1.3: **Explain the strategies needed to deliver seamless customer service**

- *Strategies:* building effective working relationships, e.g. teambuilding, motivating staff, dealing with conflict; staff empowerment and consultation; managing customer relationship, e.g. customer-centred approach, personalisation of service, understanding real customer needs; effective service partnerships, e.g. commitment to service delivery, collaboration; omni-channel/multi-channel marketing; technology, e.g. social marketing platforms, customer identification technology

AC1.4: **Explain techniques used to develop solutions to problems**

- *Monitoring:* processes, procedures, behaviours and actions
- *Data analysis:* customer feedback, complaints, goods returned, goods faulty, delays in deliveries
- *Gathering intelligence:* e.g. listening to staff, customers and service partners, observing competitors
- *Conflict resolution:* arbitration, mediation

AC1.5: **Evaluate sources of information on customer performance data**

- *Information sources:* e.g. customer feedback, sales reports, operational plans, customer transaction data
- *Considerations for evaluation:* currency and credibility of data, impact for risk assessment, impact for service offer

AC1.6: **Analyse a range of techniques to identify patterns and trends in customer behaviour and customer service performance**

- *Statistical techniques:* central tendency, e.g. mean, mode and median; dispersion, e.g. range, standard deviation, variance, mean deviation; functional analysis; geographical analysis

AC1.7: Analyse a range of possible improvements to customer service operations

- *Customer service standards:* e.g. monitoring, policies and procedures, leadership and management, staff support for staff, training for staff, communicating with staff

- *Quality of service:* e.g. seeking customer feedback, compliments and complaints review, observation of processes, analysis and interpretation of feedback data, action and improvement plans, communication of outcomes, monitoring progress, leadership and management

- *Research:* e.g. best practice, review of competitors, internal auditing, consultancy

- *Service partnerships:* e.g. service level agreement, commitment, conflicts of interest, responsiveness, communication, leadership and management, vision and mission

Information for tutors

Suggested resources

Books

Arden, T. & Edwards, S. – *Best Practice Guide for Customer Service Managers: An Activity-based Workbook for Leaders of Teams That Strive for Service Excellence (Customer Service Best Practice Guides)* (Customer 1st International, 2009) ISBN 9780954874421

Cross, A. – *Managing Customer Service Pocketbook* (Management Pocketbooks, 2008) ISBN 9781903776926

Dasu, S. and Chase, R. – *The Customer Service Solution: Managing Emotions, Trust, and Control to Win Your Customer's Business* (McGraw-Hill, 2013) ISBN 9780071809931

Johnston, R., Clarke, G. and Shulver, M. – *Service Operations Management: Improving Service Delivery* (4th Edition), (Pearson, 2012) ISBN 9780273740483

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that 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.

Learning outcomes 2, 3, 4 and 5 are competency based and the learner will need to provide evidence to show they can consistently plan, organise and manage the delivery of effective customer service.

This is likely to come from a combination of examining the learner's work products and direct observation supported by professional discussion and/or reflective account and witness testimony.

For learning outcome 2, work products could include documented evidence of operational plans, contingency plans, targets and objectives, key performance indicators, risk assessments and communications, e.g. e-mail, minutes of meetings.

For learning outcome 3, work products, such as, meeting notes, emails, monitoring reports, improvement plans and incident reports could be used to evidence how the learner has managed customer service operations. Direct observation could be used, for example, where the learner is engaging with staff (AC3.2, AC3.3, and AC3.4) however, opportunities for this may be limited. Witness testimony could also be used to further support the learner's evidence e.g. for AC3.8 the learner may have had a discussion with a manager or colleague that identified what the learner could and could not do to help a customer.

For learning outcome 4 work product evidence could include minutes of meetings with staff, records of training sessions the learner has organised for staff or other evidence of communications where the learner is preparing staff for the delivery of customer service, e.g. e-mail, use of internal message boards or intranet. Further evidence could include trend data, benchmarking data and improvement plans. There may be opportunities to observe the learner providing support and communicating with staff (AC 4.2 and 4.3). Witness testimony could also be used to further support the learner's evidence e.g. to support the learner in providing evidence of communicating the vision and mission objective in AC 4.1.

For learning outcome 5, work products could include customer service reports by the learner that indicate customer trends and measure them against the agreed performance benchmarks for the service (AC5.2 and AC5.3). The reports could also include recommendations for improvements based on the review of performance (AC5.5).

For learning outcomes 2-5, evidence from any direct observation of the learner and their work products should be supported by professional discussion and/or a reflective account to corroborate the learner's underlying knowledge and understanding. This could focus on, for example, for AC2.2 and AC2.3, the learner's rationale for their approaches undertaken in planning, developing and producing the plans and contingencies and their success. Whilst for AC5.1 and AC1.2 the learner could expand on the suitability of methods for gathering customer service data and what actions have been taken to collect the correct data. For AC5.1, the learner could provide a reflective account that sets out the actions that have been taken to collect performance data e.g. response times, clear up rates and customer satisfaction rates.

Learning outcome 1 is knowledge based and a reflective account applied to the learner's job role may be the most appropriate and manageable assessment method, to meet the level of demand of the operative verbs, and could be integrated into the reflective account, if used for learning outcomes 2, 3, 4 and 5, providing the opportunity for the learner to link and apply their knowledge to their workplace activities. Work products that may provide evidence for the competence learning outcomes could be used as a basis for the reflective account, for example an analysis of data that could identify areas for improving customer service (AC5.5) and an analysis of several improvements that could be introduced, their costs and their benefits to the organisation (AC1.7).

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

12 Further information and useful publications

To get in touch with us visit our 'Contact us' pages:

- Edexcel, BTEC and Pearson Work Based Learning contact details: qualifications.pearson.com/en/support/contact-us.html

- books, software and online resources for UK schools and colleges: 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))

- *Supplementary guidance for reasonable adjustments and special consideration in vocational internally assessed units* (Pearson)

- *General and Vocational qualifications, Suspected Malpractice in Examination and Assessments: Policies and Procedures* (JCQ)

- *Equality Policy* (Pearson)

- *Recognition of Prior Learning Policy and Process* (Pearson)

- *UK Information Manual* (Pearson)

- *Pearson Edexcel NVQs, SVQs and competence-based qualifications – Delivery Requirements and Quality Assurance Guidance* (Pearson)

All of these publications are available on our website: qualifications.pearson.com

Further information and publications on the delivery and quality assurance of NVQ/Competence-based qualifications are available at our website on the Delivering BTEC pages. Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please go to the resources page of our website.

13 Professional development and training

Professional development and training

Pearson supports UK and international customers with training related to our qualifications. This support is available through a choice of training options offered on our website: http://qualifications.pearson.com/en/support/training-from-pearson-uk.html#step1.

The support we offer focuses on a range of issues, such as:

● planning for the delivery of a new programme

● planning for assessment and grading

● developing effective assignments

● building your team and teamwork skills

● developing learner-centred learning and teaching approaches

● building in effective and efficient quality assurance systems.

The national programme of training we offer is on our website at: http://qualifications.pearson.com/en/support/training-from-pearson-uk.html#step1. 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: http://qualifications.pearson.com/en/support/contact-us.html

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

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

14 Contact us

We have a dedicated Account Support team, across the UK, to give you more personalised support and advice. To contact your Account Specialist:

Email: wblcustomerservices@pearson.com
Telephone: 0844 576 0045

If you are new to Pearson and would like to become an approved centre, please contact us by:

Email: wbl@pearson.com
Telephone: 0844 576 0045

Complaints and feedback

We are working hard to give you excellent service. However, if any element of our service falls below your expectations, we want to understand why, so that we can prevent it from happening again. We will do all that we can to put things right.

If you would like to register a complaint with us, please email wblcomplaints@pearson.com.

We will formally acknowledge your complaint within two working days of receipt and provide a full response within seven working days.

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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)[1]

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[2] 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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[1] Also known as External Verifier (EV)
[2] 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)[3]

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[4] 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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[3] Also known as Internal Verifier (IV)

[4] 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: Skills CFA Assessment Strategy for Sales (2010 Sales Standards (updated January 2013))

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1 Introduction

1.1 The Sales Assessment Strategy is designed to provide awarding organisations with a robust and flexible approach to deliver assessment for Sales NVQs/SVQs and competence-based qualifications.

2 External quality control

2.1 Awarding organisations will provide qualifications and quality assurance that support their delivery to all Sales NVQs/SVQs and competence-based qualification assessment centres in line with regulatory requirements in England, Scotland, Wales and Northern Ireland.

2.2 Awarding organisations/bodies will carry out standard risk assessments in each Sales NVQ/SVQ and competence based qualification assessment centre and manage all identified risks appropriately

2.3 Awarding organisations/bodies will consistently apply external verification processes at all Sales NVQ/SVQ and competence based qualification assessment centres, underpinned by standard risk assessment and risk management processes.

2.4 Awarding organisations/bodies will supply SkillsCFA with reports: Quarterly: provide registration and achievement data at qualification levels and unit level where possible.

3 Assessing performance

3.1 Assessment of all units at any level of Sales NVQs/SVQs and competence-based qualifications may be based on either candidate performance at work or through simulation, as necessary (See Section 4 below).

3.2 Units which have been imported by the CFA in their Sales NVQs/SVQs and competence- based qualifications will be assessed in compliance with their relevant assessment strategies.

4 Simulation of NVQ/SVQ units

4.1 If a unit or part of a unit at any level is simulated, it must be undertaken in a 'realistic working environment' (RWE).

4.2 Awarding organisations will provide guidance for centres on RWEs. Awarding organisations will make sure RWEs, "provide an environment which replicates the key characteristics of the workplace in which the skill to be assessed is normally employed".

5 Occupational expertise to assess performance, and moderate and verify assessments

5.1 Candidates must be assessed, moderated or verified at work either by:

a. **Assessors, moderators** or **verifiers** who have achieved or are working towards achievement of the appropriate regulatory body approved unit qualifications for assessment, moderation or verification;

OR

b. A **trainer**, **supervisor** or **manager**, employed by an organisation, who must either:

1. Have achieved or be in the process of achieving the appropriate regulatory body approved unit qualifications for assessment, moderation or verification; or,

2. Seek guidance and approval from an awarding organisation to demonstrate that the;

   ● Organisation has appropriate processes in place to facilitate assessment, moderation or verification functions

   ● Trainer, supervisor or manager is able to map their assessment, moderation or verification skills and knowledge 100% to the NOS upon which the qualifications above are based, and the A and V units. This is known as the employer direct model in Scotland.

Trainer, supervisor or manager is able to map their assessment, moderation or verification skills and knowledge 100% to the NOS upon which the qualifications above are based, and the A and V units. This is known as the employer direct model in Scotland.

5.2 Assessors must be occupationally competent to make Sales assessment judgements about the level and scope of individual candidate performance at work or in RWEs; and, occupationally competent to make assessment judgements about the quality of assessment and the assessment process.

5.3 External Moderators/Verifiers or Internal Moderators/Verifiers must be occupationally competent to make Sales moderation and verification judgements about the quality of assessment and the assessment process.

5.4 Awarding organisations will supply information on the requirements for internal and external moderation/verification activities to Sales assessment centres.

5.5 The sector requires all assessors, moderators and verifiers to maintain current Sales competence to deliver these functions. The CFA recognises this can be achieved in many ways but must be recorded in individual continual professional development (CPD) records that are maintained in Sales assessment centres.