

Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership

Specification

NVQ/Competence Qualification

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Issue 2

Edexcel, BTEC and LCCI qualifications

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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 5 NVQ Diploma in Management and Leadership (QCF)

The QN remains the same.

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Summary of Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership specification Issue 2 changes

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

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

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

Contents

Purpose of this specification	1
1 Introducing Pearson Edexcel NVQ qualifications	2
What are NVQ qualifications?	2
2 Qualification summary and key information	3
3 Qualification rationale	5
Qualification objectives	5
Relationship with previous qualifications	5
Apprenticeships	5
Progression opportunities	5
Industry support and recognition	6
Relationship with National Occupational Standards	6
4 Qualification structure	7
Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership	7
5 Programme delivery	10
Elements of good practice	10
Learner recruitment, preparation and support	10
Training and assessment delivery	11
Employer engagement	12
6 Centre resource requirements	13
7 Access and recruitment	14
Prior knowledge, skills and understanding	14
Access to qualifications for learners with disabilities or specific needs	14
8 Assessment	15
Language of assessment	15
Internal assessment	15
Assessment Strategy	16
Types of evidence	17
Appeals	18
Dealing with malpractice	18
Reasonable adjustments to assessment	18
Special consideration	19

9	Centre recognition and approval	20
	Centre recognition	20
	Approvals agreement	20
10	Quality assurance of centres	21
11	Unit format	22
	Unit title	22
	Unit reference number	22
	Level	22
	Credit value	22
	Guided learning hours	22
	Unit summary	22
	Learning outcomes	22
	Assessment criteria	22
	Unit amplification	23
	Information for tutors	23
	Unit 1: Contribute to the Development of a Strategic Plan	24
	Unit 2: Design Business Processes	29
	Unit 3: Manage Strategic Change	35
	Unit 4: Provide leadership and management	41
	Unit 5: Establish Business Risk Management Processes	48
	Unit 6: Promote Equality of Opportunity, Diversity and Inclusion	55
	Unit 7: Develop and Manage Collaborative Relationships with other Organisations	62
	Unit 8: Optimise the Use of Technology	69
	Unit 9: Manage Product and/or Service Development	76
	Unit 10: Manage Strategic Marketing Activities	81
	Unit 11: Develop and implement an operational plan	88
	Unit 12: Encourage learning and development	94
	Unit 13: Discipline and grievance management	101
	Unit 14: Develop working relationships with stakeholders	109
	Unit 15: Manage a tendering process	116
	Unit 16: Manage physical resources	121
	Unit 17: Manage the impact of work activities on the environment	126
	Unit 18: Prepare for and support quality audits	134
	Unit 19: Conduct quality audits	139
	Unit 20: Manage a budget	144

Unit 21: Manage a project	151
Unit 22: Manage business risk	157
Unit 23: Manage knowledge in an organisation	162
Unit 24: Recruitment, selection and induction practice	168
Unit 25: Manage redundancy and redeployment	175
Unit 26: Lead the development of a knowledge management strategy	186
Unit 27: Lead the development of a quality strategy	193
Unit 28: Lead the development of a continuous improvement	199
Unit 29: Develop and maintain professional networks	205
Unit 30: Manage Health and Safety in own area of responsibility	211
Unit 31: Contribute to the design and development of an information system	219
Unit 32: Manage information systems	226
Unit 33: Manage events	233
Unit 34: Manage customer service operations	241
Unit 35: Review the quality of customer service	250
Unit 36: Developing sales proposals	258
Unit 37: Prioritising information for sales planning	265
12 Further information and useful publications	270
13 Professional development and training	271
14 Contact us	273
Annexe A: Assessment Strategy	274

Purpose of this specification

This specification sets out:

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

1 Introducing Pearson Edexcel NVQ qualifications

What are NVQ qualifications?

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

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

NVQs 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.

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 5 NVQ Diploma in Management and Leadership
Qualification Number (QN)	601/3402/1
Regulation start date	29-May-2014
Operational start date	01-Sep-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 Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership.
Credit value	53
Assessment	Portfolio of Evidence (internal assessment).
Total Qualification Time (TQT)	530
Guided learning hours	239
Grading information	The qualification and units are graded pass/fail.

Qualification title	Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership
Entry requirements	<p>No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification, however, the learner is likely to be employed in a technician, associate professional or operational management role. This is a suitable progression route from an advanced apprenticeship and where the learner already has core occupational competence and knowledge within the sector and is aspiring to make the transition from first line manager or operational manager to middle management level.</p> <p>Centres must follow the Pearson Access and Recruitment policy (see <i>Section 7, Access and Recruitment</i>).</p>
Funding	<p>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.</p>

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 5 NVQ Diploma in Management and Leadership is designed for learners' to develop core middle management skills and competencies. It also introduces learners to strategic management concepts, preparing those who aspire towards senior management roles.

The qualification gives learners the opportunity to:

- develop and demonstrate occupational competence to undertake and progress into middle management roles in a range of business settings, for example: senior manager, area manager, head of department, stakeholder manager, business development manager
- develop and demonstrate current technical skills and sector related knowledge to underpin competence in the job roles stated above, this includes topics on: providing leadership and management, contributing towards strategic plans, designing business processes and managing strategic change
- recognise existing management and leadership skills
- achieve a nationally-recognised Level 5 qualification
- develop own personal growth and engagement in learning.

Relationship with previous qualifications

This qualification is a direct replacement for the Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership which has expired.

Apprenticeships

Skills CFA include the Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership as the competencies component for the Higher Apprenticeship in Leadership and Management.

Progression opportunities

Learners who achieve the Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership can progress to a range of other Leadership and Management and/or professional qualifications at level 7 and above, for example the Pearson Edexcel Level 7 NVQ Diploma in Strategic Management and Leadership.

Learners could also use achievement of this qualification to enhance further employment opportunities or progression opportunities within their current or aspiring job role, and/or towards membership to a professional body or institute.

Industry support and recognition

This qualification is supported by Skills CFA, the Skills Council Body for Leadership and Management.

Relationship with National Occupational Standards

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

4 Qualification structure

Pearson Edexcel Level 5 NVQ Diploma in Management and Leadership

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 5 or above	30
Number of mandatory credits that must be achieved	22
Number of optional credits that must be achieved (23 credits from Group B and the remaining 8 credits from optional units in Group B or Group C)	31

Unit	Unit reference number	Mandatory unit Group A	Level	Credit	Guided learning hours
1	A/506/2046	Contribute to the development of a strategic plan	5	5	31
2	D/506/2055	Design business processes	5	5	23
3	H/506/2056	Manage strategic change	5	7	25
4	L/506/1953	Provide leadership and management	4	5	28
Unit	Unit reference number	Optional unit Group B	Level	Credit	Guided learning hours
5	J/506/2048	Establish business risk management processes	5	5	29
6	R/506/2053	Promote equality of opportunity, diversity and inclusion	5	5	26
7	T/506/2059	Develop and manage collaborative relationships with other organisations	5	5	28
8	F/506/2064	Optimise the use of technology	5	6	29
9	Y/506/2068	Manage product and/or service development	5	5	23
10	L/506/2293	Manage strategic marketing activities	5	7	28

Unit	Unit reference number	Optional unit Group B	Level	Credit	Guided learning hours
11	Y/506/1955	Develop and implement an operational plan	4	5	24
12	M/506/1962	Encourage learning and development	4	3	16
13	A/506/1981	Discipline and grievance management	4	3	26
14	F/506/1982	Develop working relationships with stakeholders	4	4	20
15	L/506/1984	Manage a tendering process	4	4	21
16	K/506/1989	Manage physical resources	4	4	26
17	J/506/2907	Manage the impact of work activities on the environment	4	4	30
18	K/506/1992	Prepare for and support quality audits	4	3	17
19	T/506/1994	Conduct quality audits	4	3	21
20	A/506/1995	Manage a budget	4	4	26
21	R/506/1999	Manage a project	4	7	38
22	L/506/2004	Manage business risk	4	6	27
23	A/506/2032	Manage knowledge in an organisation	4	5	34
24	R/506/2909	Recruitment, selection and induction practice	4	6	33
25	M/506/2044	Manage redundancy and redeployment	4	6	39
26	D/506/2959	Lead the development of a knowledge management strategy	7	7	33
27	J/506/2101	Lead the development of a quality strategy	7	4	20
28	F/506/2114	Lead the development of a continuous improvement strategy	7	5	28
29	J/506/1949	Develop and maintain professional networks	4	3	15

Unit	Unit reference number	Optional unit Group C	Level	Credit	Guided learning hours
30	D/504/4056	Manage Health and Safety in own area of responsibility	4	5	15
31	A/506/1950	Contribute to the design and development of an information system	4	5	23
32	F/506/1951	Manage information systems	4	6	30
33	M/506/1959	Manage events	4	6	49
34	M/506/2898	Manage customer service operations	4	7	23
35	F/506/2176	Review the quality of customer service	4	4	20
36	A/502/8656	Developing sales proposals	4	5	30
37	D/502/8651	Prioritising information for sales planning	4	3	20

5 Programme delivery

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

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

<http://qualifications.pearson.com/en/support/contact-us.html>

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 should 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 and the assessment process. It is good practice to involve the employer in the induction process. This helps employers 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 between 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, crafts personship 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.
- Developing an 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 that indicates how and when the units will be assessed.
- 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 Skills CFA The Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership for Business Administration, Customer Service and Management and Leadership 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 Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Staff assessing learners must meet the occupational competence requirements within the overarching Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership 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

Candidates seeking to undertake this apprenticeship must be able to demonstrate ability equivalent to or exceeding Level 2 in English and Mathematics. This requirement may be met through the achievement of Level 2 Functional Skills, equivalent GCSEs, O Levels, A Levels or AS Levels, or an initial assessment, which demonstrates the required ability; it is also likely that the candidate is employed in a technician, associate professional or operational management role.

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.

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: <http://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>

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.
- **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: <http://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>
- a combination of these.

Assessment Strategy

The assessment strategy for the internally assessed units 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. Skills CFA has developed it in partnership with employers, training providers, awarding organisations and the regulatory authorities.

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 requirements/strategy given in *Annexe A*.

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

- direct observation of the learner's performance by their assessor (O)
- outcomes from oral or written questioning (Q&A)
- products of the learner's work (P)
- personal statements and/or reflective accounts (RA)
- outcomes from simulation (S)
- 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 outcomes and the associated assessment criteria in competence units – achievement of these cannot be inferred from performance. Centres must ensure that the assessment methods used are appropriate for the specific learning outcomes and assessment criteria and are in line with the Assessment 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: <http://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>

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 at:

<http://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>. 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 at:

<http://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>

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:
<http://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>

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 www.pearsonwbl.edexcel.com/qualifications-approval.

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 www.pearsonwbl.edexcel.com

11 Unit format

Each unit has the following sections.

Unit title

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

Unit reference number

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

Level

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

Credit value

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

Guided learning hours

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

Unit summary

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

Learning outcomes

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

Assessment criteria

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

Unit amplification

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

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

Relationship between amplification and assessment criteria

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

Amplification structure

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

Legislation

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

Information for tutors

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

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

Unit 1: 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
<p>1 Understand the principles of strategic planning</p>	<p>1.1 Evaluate a range of strategic planning models</p> <p>1.2 Evaluate the advantages and limitations of a range of analytical techniques</p> <p>1.3 Analyse a range of perspectives of and approaches to business strategy</p>
<p>2 Be able to analyse the factors affecting the development of strategic plans</p>	<p>2.1 Evaluate political, economic, social, technological, legal and ethical factors affecting the development of strategic plans</p> <p>2.2 Evaluate the market factors that may influence strategic planning decisions</p> <p>2.3 Evaluate the application of scanning tools to strategy development</p>
<p>3 Be able to make a contribution to a strategic plan</p>	<p>3.1 Analyse the relationship between strategic intentions, strategic choice and strategy formulation</p> <p>3.2 Make viable contributions that are consistent with strategic objectives and resource constraints</p> <p>3.3 Evaluate the impact of a proposed strategy on a business</p>

Unit amplification

AC1.1: Evaluate a range of strategic planning models

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

AC1.2: Evaluate the advantages and limitations of a range of analytical techniques

- *Environmental analysis techniques:*
 - o external to include political, economic, social, technological, legal and ethical (PESTLE) analysis, environmental scanning, horizon scanning
 - o 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:*
 - o understanding of business environments and developments in the business environments
 - o identification of opportunities for business development such as growth and re-organisation
 - o identification of factors that threaten business development such as competitor activities and legislative change
 - o ensuring optimal use of business resources
 - o provision of an empirical basis for decision making by reducing uncertainty
- *Limitations:*
 - o resource requirements and their associated costs
 - o biases in the use of techniques and in the data gathered
 - o incomplete and/or misidentification of potentially relevant factors
 - o empirical evidence is open to differing interpretations

AC1.3: 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

Book

Johnson, G, Scholes, K and Whittington, R – *Exploring Corporate Strategy: Text and Cases*, 8th edition, (FT Prentice Hall, 2007) ISBN 9781405887328

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

Podcasts

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.

Journals

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. Page 17 after internal assessment add it to the sentence

Unit Assessment guidance

Learners must meet all assessment criteria to pass the unit.

Assessment in the unit should be holistic and be practically focused. Assessment is based on performance at work in an area that requires the learner to be involved in 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 AC3.2A 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 2: 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
<p>1 Understand techniques and tools that support the design of business processes</p>	<p>1.1 Analyse the principles of business change and business process re-engineering</p> <p>1.2 Evaluate the concept and application of workflow patterns and usability testing</p> <p>1.3 Evaluate a range of modelling tools</p> <p>1.4 Analyse the factors to be taken into account when evaluating the effectiveness of business processes</p>
<p>2 Be able to develop business processes</p>	<p>2.1 Evaluate the scope for business process improvement and constraints</p> <p>2.2 Generate ideas that meet defined business needs</p> <p>2.3 Test a proposed process through a modelling exercise</p> <p>2.4 Evaluate the feasibility and viability of a proposed process against agreed criteria</p> <p>2.5 Establish the degree of overlap between a proposed process and existing processes and systems</p> <p>2.6 Resolve tensions between existing and proposed systems and processes</p> <p>2.7 Adhere to organisational policies and procedures, legal and ethical requirements when developing business processes</p>

Learning outcomes	Assessment criteria
<p>3 Be able to evaluate the effectiveness of business processes</p>	<p>3.1 Analyse valid information using techniques that are appropriate to the process being evaluated</p> <p>3.2 Assess the cost and benefit of a business process to the organisation</p> <p>3.3 Justify recommendations for the rejection, adoption or enhancements to processes with evidence</p>

Unit amplification

AC1.1: Analyse the principles of business change and business process re-engineering

- *Principles of business change:* dimensions of change (purpose, size, duration); impact (strategic, operational); holistic approach to change
- *Drivers for change:* business improvement (profitability, productivity, efficiency, cost control); maintain competitive advantage; response to changes in the environment (internal, external)
- *Business process re-engineering (BPR):* BPR cycle (process identification, analysis, design, testing, implementation); systematic re-design of business processes and workflows; alignment of processes to business objectives; use of information technology, e.g. e-commerce, CAD/CAM, additive manufacturing

AC1.2: Evaluate the concept and application of workflow patterns and usability testing

- *Workflow patterns:* design patterns, e.g. van der Alst classification; purposes e.g. control flow dependencies, data, resources, exceptions
- *Usability testing:* evaluation by testing it with users; types of testing, e.g. scenarios, prototypes, hallway testing; usability audit

AC1.3: Evaluate a range of modelling tools

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

AC1.4: Analyse the factors to be taken into account when evaluating the effectiveness of business processes

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

Information for tutors

Suggested resources

Books

Cameron E, and Green M – *Making Sense of Change Management: A Complete Guide to the Models Tools and Techniques of Organizational Change* (Kogan Page, 2012) ISBN 978074946435

Davenport T – *Process Innovation: Reengineering Work through Information Technology* (Harvard Business School Press, 1992) ISBN 9780875843667

Hindle T – *The Economist Guide to Management Ideas and Gurus* (Economist Books, 2012) ISBN 9781846686078

Websites

www.managementhelp.org – 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

Podcasts

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.

Journals

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

Unit Assessment Guidance

Learners must meet all assessment criteria to pass the unit.

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

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

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

For learning outcome 3, work products such as monitoring data, results of data analyses results, cost-benefit calculations and reports recommending rejection, adoption or enhancements to a process, could be used to evidence achievement of all the assessment criteria. A log or reflective journal could also evidence the learner's justification of techniques used for AC3.1 and 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 3: Manage Strategic Change

Unit reference number: H/506/2056 **Level:** 5

Credit value: 7

Guided learning hours: 25

Unit summary

Business change is inevitable in order for a business to survive. It could be organic evolution or in response to its changing environment, such as altered customer preferences, changes in production technology, or the development of new materials for products.

Learners will learn about change-management techniques and be able to apply them to planning and preparation for strategic change. They will gain the understanding that strategic change needs to consider a range of business activity such as the interests of different stakeholders and to ensure business operations continuity during the process of change. Learners will plan for strategic change by considering the scope of the change and the internal and external factors that are associated with the change.

Any planned change will require associated SMART targets, to manage and embed them into existing business operations. The impact of the business change will need to be evaluated to ensure that it contributes to the success of the business and the achievement of its objectives.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the management and evaluation of change</p>	<p>1.1 Evaluate the characteristics and application of a range of change management models for different organisational structures</p> <p>1.2 Analyse stakeholder mapping techniques used for managing and evaluating change</p> <p>1.3 Analyse techniques to evaluate change</p> <p>1.4 Evaluate the relationship between change management, business continuity and crisis management</p>
<p>2 Be able to plan for strategic change</p>	<p>2.1 Assess the reasons for, scope and inherent risks of a required change</p> <p>2.2 Evaluate the influences of the internal and external environment on a change</p> <p>2.3 Analyse the ethical dimensions of a change</p> <p>2.4 Identify viable alternative strategies for achieving a desired change</p> <p>2.5 Justify with evidence the selected strategy to be taken to manage a change</p> <p>2.6 Develop a plan that specifies specific, measurable, achievable, realistic and time-bound objectives and resources</p> <p>2.7 Develop a stakeholder engagement plan that addresses their needs and concerns</p> <p>2.8 Specify mechanisms for the management of risks and interdependencies that are capable of meeting strategic objectives</p>

Learning outcomes	Assessment criteria
<p>3 Be able to manage strategic change</p>	<p>3.1 Allocate resources and responsibilities in accordance with the plan</p> <p>3.2 Take action to ensure the change plan is implemented in accordance with organisational values and procedures</p> <p>3.3 Take action to ensure operational plans are not compromised by the introduction of change and remain capable of delivering the strategy</p> <p>3.4 Take into account the on-going commitment of stakeholders to a change and its implications</p> <p>3.5 Manage friction between stakeholders' needs and interdependencies in accordance with the change plan</p>
<p>4 Be able to evaluate strategic change</p>	<p>4.1 Establish valid evaluation criteria that are capable of measuring the effects of change</p> <p>4.2 Select and use evaluation tools and techniques that are appropriate to the nature of change</p> <p>4.3 Evaluate aspects of change that were successful and ascertain why other aspects were not successful</p> <p>4.4 Justify recommendations made with valid evidence</p> <p>4.5 Identify the implications for knowledge management systems and processes</p>

Unit amplification

AC1.1: Evaluate the characteristics and application of a range of change management models for different organisational structures

- *Change-management models:* purpose of models; models, e.g. Lewin's unfreeze, change refreeze change-management model, Kotter's 8-step change model; McKinsey's 7-S Model; Prosci's ADKAR model
- *Organisational structures:*
 - o types of structure, e.g. bureaucratic, functional, divisional, matrix, team, network, virtual
 - o structural considerations to include authority; span of control; chain of command; delegation; empowerment

AC1.2: Analyse stakeholder mapping techniques used for managing and evaluating change

- *Stakeholders:*
 - o internal, e.g. managers, employees
 - o external, e.g. owners, lenders, government agencies, competitors
 - o primary, secondary
- *Mapping techniques:* purposes; dimensions of impact to include identification, interest, claim, power, influence, priority; analysis of relationship; impacts on business development and change

AC1.3: Analyse techniques to evaluate change

- *Evaluative techniques:* performance monitoring; analysis using key performance indicators both quantities and qualitative, e.g. profitability, efficiency, productivity, customer satisfaction, reputation; evaluation to include interpretation, judgements, recommendations

AC1.4: Evaluate the relationship between change management, business continuity and crisis management

- *Change management:* moving to an agreed, desired position; obtain support; structured change (test, implement, review) change; impacts on organisation, systems, teams, individuals
- *Business continuity:* identification of risks, e.g. equipment failure, supply chain interruption; risk prevention; ensuring system resilience; downtime minimisation; recovery procedures
- *Crisis management:*
 - o event characteristics, including threat posed, unexpectedness, short decision time
 - o crisis responses, including identification, assessment, containment
 - o crisis outcomes, including recovery, re-assessing risks, revising plans

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 978074946435

Johnson G, Scholes K and Whittington R – *Exploring Corporate Strategy: Text and Cases* (8th edition) (FT Prentice Hall, 2007) ISBN 9781405887328

Websites

www.bsigroup.com – British Standards Institute: Standard ISO 22301 Business Continuity Management

www.managementhelp.org – The Free Management Library, information on strategic change, planning and management 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

Podcasts

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, futurology for business and planning for the future, consider aspects of strategic change. They can be searched through and downloaded from www.bbc.co.uk/podcasts/series/bottomline/all.

Journal

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

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, 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

Learners must meet all assessment criteria to pass the unit.

Assessment of the unit should be holistic and practically focused. Assessment is based on performance at work in an area that requires the learner to be involved in managing strategic change.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products, such as stakeholder mapping and change analyses as well as a log, a reflective journal or a witness statement. Explanatory narratives could identify the learner's specific contribution. These sources of evidence should show clearly how and why the learner considered the need for strategic change. 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, 3 and 4 and any lessons learned from putting theory into practice.

Evidence for achieving learning outcome 2 could be in the form of work products, such as a plan for strategic change supported by an assessment of the reasons for change, evaluations of the results of PESTLE and SWOT analyses, records of meetings and presentations, and the documentation in which alternative strategies, stakeholder engagement plans and managing risk are considered. Achievement of AC2.1, AC 2.2, AC 2.3, AC 2.4 and AC 2.5, could be evidenced through witness statement and/or a professional discussion, to examine in detail how the learner approached the task of developing a plan and for the choices they made. To demonstrate achievement of AC2.6 and 2.7, a log or reflective journal could be a source of evidence, stating ideas considered and the learner's contribution to the planning process.

Learning outcome 3 achievements can be evidenced through work products such as implementation plans, statements of resource requirements and records of discussions with stakeholders. A reflective journal for AC3.2, AC3.3 and AC3.4 could identify the issues the learner considered before deciding on a specific course of action, together with the reasons for the choice made. For AC3.5, witness testimony could show the nature of the differences in stakeholders' needs and how they are prioritised, together with the associated actions chosen to reconcile them.

Achievement of learning outcome 4 could be evidenced through work products such as an evaluation of the impact of strategic change. For AC4.1 and AC4.2, a log or reflective journal could identify how and why evaluation criteria and methods were selected to evaluate the change. For AC4.5 a professional discussion could identify the implications of strategic change for knowledge management.

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 4: 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
<p>2 Be able to engage and inspire stakeholders and colleagues</p>	<p>2.1 Display behaviours and attitudes that show a commitment to the achievement of an organisation's goals</p> <p>2.2 Display behaviours and attitudes that show a commitment to the fulfilment of an organisation's vision and the expression of its values</p> <p>2.3 Identify who stakeholders are and the nature of their interest</p> <p>2.4 Take action to ensure that colleagues and other stakeholders understand their role in achievement of organisational objectives</p> <p>2.5 Win the trust and support of colleagues and other key stakeholders through exemplary performance and behaviour</p> <p>2.6 Take action to maintain morale through difficult times</p> <p>2.7 Take action to secure the on-going commitment of colleagues and other key stakeholders</p>
<p>3 Be able to deliver results</p>	<p>3.1 Make planning and resourcing decisions that optimise the available resources, skills and expertise</p> <p>3.2 Use delegation techniques whilst delivering targets</p> <p>3.3 Empower individuals to take responsibility for their decisions and actions within agreed parameters</p> <p>3.4 Adapt plans, priorities and resource allocations to meet changing circumstances and priorities</p>

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's 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 of 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 documented communications that shows that the learner has acted to ensure that colleagues and other stakeholders understand their role in achievement of 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 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 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 on 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 5: Establish Business Risk Management Processes

Unit reference number: J/506/2048

Level: 5

Credit value: 5

Guided learning hours: 29

Unit summary

Business activity carries with it associated risks and uncertainties. Risk can arise internally from decisions such as how to grow a business or it may arise externally from changes in the technical environment. As risks pose a threat to a business, risk-management techniques are developed and applied to anticipate and control risks, minimising and managing risk allows operational continuity, ensuring that the business can better achieve its objectives.

Learners will gain understanding of, and be able to apply, techniques to identify the potential risks that affect a business. Learners will learn how to anticipate the likelihood and consequences of events that carry risks. They will also learn how to develop business risk-management processes and integrate them into standard operations, and learn about the need to monitor and evaluate the risk for change.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand business risk-management models and techniques</p>	<p>1.1 Analyse standards relating to the management of business risk</p> <p>1.2 Analyse the factors influencing different types of risk</p> <p>1.3 Evaluate the relationship between risk management, business continuity and crisis management</p> <p>1.4 Evaluate a range of scenario planning and crisis management models</p> <p>1.5 Analyse methods of calculating risk probability</p> <p>1.6 Analyse the effectiveness of a range of risk monitoring techniques</p> <p>1.7 Analyse the significance of risk governance structures and ownership</p>
<p>2 Be able to develop business risk-management processes</p>	<p>2.1 Review periodically the effectiveness of risk-management strategy, policy and criteria</p> <p>2.2 Take action to ensure that risk profiles remain current and relevant</p> <p>2.3 Develop viable and affordable risk management processes that are consistent with business needs and the degree of potential impact of the risk</p> <p>2.4 Develop contingency and business disruption processes that are commensurate with the degree of risk to business as usual and organisational reputation</p> <p>2.5 Take action to ensure that risk management processes are integrated into operational plans and activities</p>

Learning outcomes	Assessment criteria
<p>3 Be able to evaluate the effectiveness of business risk management processes</p>	<p>3.1 Appraise the suitability of a range of risk evaluation techniques to business risk management</p> <p>3.2 Evaluate risk using valid quantitative and qualitative information</p> <p>3.3 Identify areas for improvement in identifying and managing risk</p> <p>3.4 Encourage a culture that accepts and manages risk</p>

Unit amplification

AC1.1: Analyse standards relating to the management of business risk

- *Business risk management:* identifying risks; assessing potential impact of risks; managing risks
- *Standards relating to the management of business risk:* business risk-management standards, e.g. ISO 31000:2009 – Principles and Guidelines on Implementation, ISO/IEC 31010:2009 – Risk Management – Risk Assessment Techniques, business risk-management frameworks, e.g. risk maturity model, Committee of Sponsoring Organizations of the Treadway Commission (COSO), International Risk Governance Council (IRGC) Risk Governance Framework

AC1.2: Analyse the factors influencing different types of risk

- *Types of risk:* to include operational, financial, hazard and strategic
- *Factors influencing risk:*
 - o operational, e.g. product/service quality, customer perceptions, system robustness
 - o financial, e.g. level of working capital, financial stability
 - o hazard, e.g. legal liabilities, natural disasters
 - o strategic, e.g. capital requirement, competition environment, technical change

AC1.3: Evaluate the relationship between risk management, business continuity and crisis management

- *Risk management:* to include business context, risk identification, quantifying risks, potential impacts of risks, risk rating, risk control, and monitoring the risk environment
- *Business continuity:* identifying business critical activities; specific risks to business critical activities; maintaining business critical activities when risk occurs; recovering business critical activities; integrating business continuity plan with risk management plan
- *Crisis management:* identifying potential crisis events; nature of the crisis; responding to the crisis; integrating crisis management plans with risk management plans

AC1.4: Evaluate a range of scenario planning and crisis management models

- *Scenario planning*: isolating the matter for analysis; scenario assumptions; creating scenarios and simulations; risk mapping; view alternative futures; scenario outcomes; implications for business strategy and operations
- *Crisis management*: crisis management model (diagnosis, containment, business recovery, implementation of change); management responses to crises, e.g. Perrier Water benzene contamination, BP Deepwater Horizon oil spill

AC1.5: Analyse methods of calculating risk probability

- *Calculating risk probability*: statistical measures of probability; establishing probability of a risk occurring; cost of a risk = (probability of a risk event happening) x (expected cost/loss when the risk event happens); using risk probabilities to manage risk

AC1.6: Analyse the effectiveness of a range of risk-monitoring techniques

- *Risk monitoring*:
 - o techniques; purpose; risk audits; risk reviews; risk re-assessment; risk register update
 - o the effectiveness of techniques, e.g. identification, responses, controls

AC1.7: Analyse the significance of risk governance structures and ownership

- *Risk governance*: risk-management strategy and policies
- *Structures for*:
 - o management and control of risk
 - o integrity of risk management framework
 - o quality assurance
- *Ownership*: approaches by owners to risk management; moral hazard; impact of risk-management framework on owners

Information for tutors

Suggested resources

Books

Crouhy M, Galai D and Mark R – *The Essentials of Risk Management: The Definitive Guide for the Non-risk Professional* (McGraw-Hill Professional, 2006)

ISBN 9780071429665

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

ISBN 9780749465391

Websites

www.gov.uk – HM Government portal, a business continuity toolkit

www.irgc.org – The International Risk Governance Council, a risk governance framework

www.managementhelp.org – The Free Management Library, information on risk-management topics

Podcasts

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

Journal

Risk Management (Palgrave Macmillan Journals) – has articles on risk management.

Assessment

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

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

Learners must meet all assessment criteria to pass the unit.

Assessment in the unit should be holistic and be practically focused. Assessment is based on learner performance at work in an area that requires the learner to be involved in business risk management.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products, a log or reflective journal and witness statements. These sources of evidence should show clearly how and why the learner made their choices and decisions in relation to the 'business risk' management models and techniques used. Explanatory narratives could identify the learner's specific contributions. The learner should also maintain a log or reflective journal to reflect on the approach adopted for the practical aspect of this unit in learning outcomes 2 and 3, and any lessons learned from putting theory into practice.

For learning outcome 2, work products, such as an action or contingency plan, could evidence the achievement of AC 2.2, AC 2.3, AC 2.4 and AC 2.5, along with the use of a witness statement or a professional discussion. A log or reflective journal could be a source of evidence for demonstrating achievement of AC 2.1, AC 2.2 and AC 2.5, allowing the learner to reflect on the effectiveness of risk-management policies and strategies used, reviewed and how this had an impact on further action.

For learning outcome 3, work products could evidence achievement of all the assessment criteria. In addition, a reflective journal could demonstrate how the learner selected the range of data and information, the reason for their choice of techniques used and how a positive approach to risk management was encouraged. A professional discussion or a witness statement could evidence the achievement of AC 3.1, AC 3.2 and AC 3.4, allowing the learner to explain how to evaluate the effectiveness of business risk management processes.

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

Unit 6: Promote Equality of Opportunity, Diversity and Inclusion

Unit reference number: R/506/2053

Level: 5

Credit value: 5

Guided learning hours: 26

Unit summary

Businesses have a legal responsibility to comply with statutory and regulatory requirements in respect of equality in the workplace. Many businesses also want to demonstrate their commitment to best practices in respect of equality, diversity and inclusion in the workforce. By doing so, they show themselves to be socially and ethically responsible businesses that have a positive corporate reputation. Their aim is to create and promote a business culture that is positively oriented around equality, diversity and inclusion requirements, and in doing so promote a healthy working environment that can contribute towards achieving business objectives.

Learners will gain understanding of how to evaluate organisational strategies, policies and practices that address equality, diversity and inclusion. They will learn about the use of external benchmarks and quality standards and developing performance indicators against which business performance are measured. Learners will also understand how to collect and analyse data used to measure the effectiveness of equality, diversity and inclusion activities.

Learners will learn how to promote equality, diversity and inclusion policies and practices, using techniques such as communicating relevant requirements and implementing positive action programmes.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning equality, diversity and inclusion in the workforce</p>	<p>1.1 Analyse the development of equality, diversity and inclusion policies and practices in the workforce</p> <p>1.2 Evaluate the application of approaches to equal opportunities</p> <p>1.3 Evaluate the impact of equality, diversity and inclusion policy on workforce performance</p> <p>1.4 Evaluate methods of managing ethical conflicts</p> <p>1.5 Evaluate the business benefits of effective equality, diversity and inclusion policies and practices</p> <p>1.6 Evaluate the impact of equality, diversity and inclusion on organisational practices</p> <p>1.7 Evaluate the requirements of legislation, regulation and codes of practice affecting equality, diversity and inclusion in the workforce</p>
<p>2 Be able to evaluate organisational strategies, policies and practices which address equality, diversity and inclusion requirements</p>	<p>2.1 Identify the extent to which equality, diversity and inclusion strategies, policies and practices are fit for purpose</p> <p>2.2 Identify strengths and weaknesses by benchmarking organisational equality, diversity and inclusion policies and practices internally and externally</p> <p>2.3 Identify a range of areas for improvement in human resource practices, organisational systems, procedures and/or processes</p> <p>2.4 Appraise the basis for setting criteria to evaluate the effectiveness of equality, diversity and inclusion strategies, policies and practices</p>

Learning outcomes	Assessment criteria
<p>3 Be able to promote equality, diversity and inclusion policies and practices</p>	<p>3.1 Devise a communications strategy and plan that covers everyone within their area of responsibility</p> <p>3.2 Use communication media that are appropriate to the nature and structure of the organisation when promoting equality, diversity and inclusion</p> <p>3.3 Take action to ensure that equality, diversity and inclusion policies and practices are embedded in business practices</p> <p>3.4 Promote a culture where actual and potential discrimination is challenged</p> <p>3.5 Take action to ensure that organisational procedures, culture and values reinforce good practices and encourage people to challenge discrimination</p>

Unit amplification

AC1.1: Analyse the development of equality, diversity and inclusion policies and practices in the workforce

- *Equality*: the Equality Act 2010, protection people from discrimination in specific situations, including the workplace and from discrimination through association
- *Protected characteristics*:
 - o age
 - o marital status including civil partnership
 - o pregnancy or having a child
 - o disability
 - o race including colour, nationality, ethnic or national origin
 - o religion, belief or lack of religion/belief
 - o sex
 - o transsexuality
- *Diversity*: recognising individuals' differences; respecting individuals' differences
- *Inclusion*: application of human rights principles of fairness, respect, equality, dignity, autonomy; business culture; business values; business environment

AC1.2: Evaluate the application of approaches to equal opportunities

- *Approaches to equal opportunities*: impact of equalities legislation to include the Equality Act 2010; legal and regulatory compliance responsible officers; equality policies; equality practices; monitoring; review; evaluation
- *Application*: recruitment; selection; promotion; tendering; procurement; customer relationships; stakeholder relationships

AC1.3: Evaluate the impact of equality, diversity and inclusion policy on workforce performance

- *Impact on workforce performance*: productivity; inter-personal relationships; team dynamics; workforce cohesion; commitment; motivation; community involvement

AC1.4: Evaluate methods of managing ethical conflicts

- *Conflicts*: disputes based on unfair treatment, unequal opportunities, discrimination, harassment, bullying, grievance, discipline
- *Managing conflicts*: internally, e.g. negotiation (informal, formal); internal procedures, e.g. grievance, discipline; mediation; external procedures, e.g. arbitration to include industrial tribunal; judicial

AC1.5: Evaluate the business benefits of effective equality, diversity and inclusion policies and practices

- *Business benefits:* range of expertise; quality of employees; productivity; profitability; team dynamics; workforce cohesion; commitment; motivation; community involvement; reputation

AC1.6: Evaluate the impact of equality, diversity and inclusion on organisational practices

- *Impact of policies and practices:*
 - o equality – compliance with equality legislation; requirements of equality legislation are incorporated into policies and practices
 - o diversity – explicit diversity policy that recognises and respects individuals' differences
 - o inclusion – application of human rights principles of fairness, respect, equality, dignity, autonomy
 - o employee behaviour in respect of equality, diversity and inclusion
 - o monitoring, review and evaluation of equality, diversity and inclusion policies and practices; equality impact assessments

AC1.7: Evaluate the requirements of legislation, regulation and codes of practice affecting equality, diversity and inclusion in the workforce

- Legislation and the need to be compliant with national law in respect of equality, diversity and inclusion
- Regulation and the need to be compliant with regulations (legal, professional, industry-specific) in respect of equality, diversity and inclusion
- Codes of practice and the need to be compliant with best practice codes and requirements in respect of equality, diversity and inclusion

Information for tutors

Suggested resources

Book

Rollinson D and Dundon T – *Employee Relations* (McGraw-Hill Higher Education, 2007) ISBN 9780077114862

Journal

Employee Relations (Emerald Group Publishing Ltd) – has articles on employment topics

Websites

www.acas.org.uk - Advisory, Conciliation and Arbitration Service (ACAS) – information on rights and responsibilities at work, good work practices, and disputes and problems at work

www.cipd.co.uk - Chartered Institute of Personnel and Development – information on diversity in the workplace. An online account needs to be set up to view the information

www.equalityhumanrights.com - Equality and Human Rights Commission – information on the Equality Act 2010 and equality issues relevant to businesses

www.hse.gov.uk - Health and Safety Executive – information on diversity

Podcasts

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

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, 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

Learners must meet all assessment criteria to pass the unit.

Assessment of the unit should be holistic and be practically focused. Assessment is on performance in the workplace in an area that allows the learner to be involved in promoting equality, diversity and inclusion in the workplace.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products such as equality, diversity and inclusion policies and practices in the workforce or a log or reflective journal and witness statements. These sources of evidence should show clearly how and why the learner considered the importance of equality, diversity and inclusion issues and the impact they have on workplace practices. Explanatory narratives could identify the learner's specific contributions. The log or reflective journal should ensure that the learner reflects on the approach adopted for the practical aspect of this unit in learning outcomes 2 and 3 and any lessons learned from putting theory into practice.

Evidence for learning outcome 2 could be through work products such as the results of reviews of strategies, policies and practices for achievement of AC2.1 and AC2.2, along with the use of a witness statement. For AC2.3, a professional discussion could evidence the issues considered when identifying improvements to systems, procedures and processes. A log or reflective journal could be evidence for demonstrating the achievement of AC2.4, allowing the learner to discuss why and how evaluative criteria are set when considering equality, diversity and inclusion requirements.

Evidence of achievement of learning outcome 3 could be through work products such as a communications strategy, plan and the associated implementation procedures. In addition, for AC3.1, a log or reflective journal could be used to consider the factors relevant to a communications strategy in order to identify and ensure that the requirements of different groups are met. A witness statement for AC3.3 could evidence the learner's actions used to embed policies and practices, and a professional discussion for AC3.4 and 3.5 could allow the learner to explain why and how an anti-discriminatory culture was promoted and how others are supported to challenge discriminatory behaviour.

Evidence of Recognition of Prior Learning (RPL) can 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:

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 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
<p>1 Understand the principles of effective collaboration with other organisations</p>	<p>1.1 Assess the nature of potential stakeholders' interest and needs</p> <p>1.2 Evaluate the strengths and weaknesses of stakeholder mapping techniques</p> <p>1.3 Assess the value of a range of analytical techniques and alliance modelling</p> <p>1.4 Evaluate the implications of collaborative relationships for risk and knowledge management</p> <p>1.5 Evaluate the implications of collaborative relationships for the supply chain and sustainability of future working arrangements</p> <p>1.6 Evaluate the components, use and likely effects of invoking an exit strategy</p>
<p>2 Be able to identify external collaborative relationships to be developed</p>	<p>2.1 Identify potential organisations that are likely to complement or enhance the work or reputation of the organisations involved</p> <p>2.2 Analyse the potential synergies and scope for collaboration likely to benefit the organisations involved</p> <p>2.3 Balance the benefits of collaboration against the cost requirements and any potentially adverse aspects</p> <p>2.4 Justify decisions and recommendations with evidence</p>

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

AC1.1: 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

AC1.2: 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

AC1.3: 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

AC1.4: 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

AC1.5: 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

AC1.6: 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 9780738208985

Jacoby D – *The Economist Guide to Supply Chain Management* (Economist Books, 2009) ISBN 9781846681745

Website

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

Podcasts

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.

Journals

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

Unit Assessment Guidance

Learners must meet all assessment criteria to pass the unit.

Assessment in the unit should be holistic and be practically focused. Assessment is based on performance at work in an area that requires the learner to be involved in 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 8: 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 understanding of the need to have a technology strategy and will recognise that there are legal implications associated with the use of technology in areas such as privacy and security. Learners will scope out how the technology can be extended to improve business systems and operations. They will develop, implement and manage procedures to ensure that technology is used efficiently and effectively in ensuring that business objectives are supported.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning the optimisation of technology</p>	<p>1.1 Explain how to keep up to date with technological developments</p> <p>1.2 Analyse the requirements of organisational procurement processes</p> <p>1.3 Evaluate the implications of technology for business continuity and crisis management plans</p> <p>1.4 Evaluate the legal implications of changes to the use of technology</p> <p>1.5 Analyse the requirements of a technology strategy</p>
<p>2 Be able to scope the use of technology</p>	<p>2.1 Establish evaluation criteria for the use of technology including extent of use, value, efficiency and quality</p> <p>2.2 Evaluate the current use of technology against agreed criteria</p> <p>2.3 Identify the scope for improvement including training, adaptations to existing systems and the implementation of new systems</p> <p>2.4 Identify the strategic implications of changes to the use of technology</p> <p>2.5 Assess the risks, limitations and benefits of changes to the use of technology</p>

Learning outcomes	Assessment criteria
<p>3 Be able to optimise the use of technological solutions</p>	<p>3.1 Specify technological requirements and priorities, including the input of others in accordance with organisational technology strategy</p> <p>3.2 Take action to ensure the compatibility of technological plans and systems with other systems, processes and plans</p> <p>3.3 Recommend technological solutions that meet the specified objectives</p>
<p>4 Be able to manage the use of technology</p>	<p>4.1 Develop procedures that address all aspects of the technology and their implications</p> <p>4.2 Take action to ensure that everyone using the technology is adequately trained and equipped</p> <p>4.3 Promote the benefits of technology</p> <p>4.4 Use monitoring techniques that are appropriate to the nature of the work carried out and the system</p> <p>4.5 Take prompt corrective action in the event of problems arising</p>

Unit amplification

AC1.1: Explain how to keep up-to-date with technological developments

- *Technological developments:* hardware; software; networking; cloud computing; applications, e.g. manufacturing; design; distribution; finance; marketing; back office functions
- *Keeping up to date:* research and development; literature scanning; trade fairs; liaison with IT suppliers; demonstrations; competitor analysis

AC1.2: Analyse the requirements of organisational procurement processes

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

AC1.3: Evaluate the implications of technology for business continuity and crisis management plans

- *Implications of technology:*
 - o business continuity plans – identifying business critical activities; monitoring risks to business critical activities; maintaining business critical activities when risk occurs; recovering business critical activities; generating reports
 - o crisis-management plans – identifying potential crisis events; assessing risk; monitoring risk; automated warning; initiating responses; monitoring crisis responses; generating reports

AC1.4: Evaluate the legal implications of changes to the use of technology

- *Legislation:* Health and Safety at Work Act 1974; Computer Misuse Act 1990; Data Protection Act 1998; The Freedom of Information Act 2000; Copyright, Design and Patents Act (1988); Telecommunications Act (1984); Interception of Communications Act (1985)
- *Legal implications:* working conditions when using technology; access to computer-based information; security of computer-based information; rights of access to information; respecting copyrights; use of telecommunications systems

AC1.5: Analyse the requirements of a technology strategy

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

Information for tutors

Suggested resources

Books

Bocij P, Chaffey D, Greasley A and Hicjkie S – *Business Information Systems: Technology, Development and Management for the E-Business*, 3rd edition (Financial Times/Prentice Hall 2005) ISBN 9780273688143

Turban E, Leidner D, McLean E and Wetherbe J – *Information Technology for Management: Transforming Organizations in the Digital Economy*, 6th edition (John Wiley & Sons, 2007) ISBN 9780471787129

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

Podcasts

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

Journals

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

Unit Assessment Guidance

Learners must meet all assessment criteria to pass the unit.

Assessment in the unit should be holistic and practically focused. Assessment is based on performance at work in an area that requires the learner to be involved in optimising the use of technology.

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

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

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

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

Evidence of Recognition of Prior Learning (RPL) can 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 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 it is 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
<p>1 Understand the development of new or improved products and/or services</p>	<p>1.1 Analyse the stages of the development process, product life cycle and their requirements</p> <p>1.2 Explain the requirements of market segmentation</p> <p>1.3 Analyse the factors affecting buyer behaviour</p> <p>1.4 Evaluate the use of market analytical tools when developing new or improved products and/or services</p>
<p>2 Be able to establish the need for new or improved products and/or services</p>	<p>2.1 Establish criteria by which the need for new or improved products and/or services will be evaluated</p> <p>2.2 Evaluate customers' and potential customers' perceptions of the uses, value and quality of proposed products and/or services</p> <p>2.3 Identify competitor activity that may have an impact on the market for new or improved products and/or services</p> <p>2.4 Assess the likely impact of customers' culture and behaviour on potential sales</p>
<p>3 Be able to manage the development of new or improved products and/or services</p>	<p>3.1 Take action to ensure that proposals are consistent with organisational strategy, objectives and values</p> <p>3.2 Assess the costs of developing new or improved products and/or services</p> <p>3.3 Assess the viability of products and/or services by carrying out viability tests</p> <p>3.4 Evaluate the degree of success of new or improved products and/or services</p>

Unit amplification

AC1.1: 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

AC1.2: 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

AC1.3: 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

AC1.4: 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 97801996550900

Clark K B and Wheelwright S C – *Managing New Product and Process Development: Text and Cases* (The Free Press, 1992) ISBN 9780029055175

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

Podcasts

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.

Journal

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

Unit Assessment Guidance

Learners must meet all assessment criteria to pass the unit.

Assessment of the unit should be holistic and be practically focused. Assessment is based on learner performance at work in an area that requires the learner to be involved in 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 10: Manage Strategic Marketing Activities

Unit reference number: L/506/2293

Level: 5

Credit value: 7

Guided learning hours: 28

Unit summary

Products that are effectively marketed bring benefits to businesses leading them to being seen as market leaders or technological innovators. These benefits bring growth and profits.

Learners will gain understanding of how marketing strategies are developed and aligned to other functional activities to contribute to a business's success. Learners will learn how to identify and evaluate markets for products and services and how to use suitable marketing techniques to promote products and services.

In managing strategic marketing activities, learners will consider marketing and pricing techniques and a communication strategy that can also monitor the success of a specified product or service in its market.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the strategic management of marketing activities</p>	<p>1.1 Analyse concepts underpinning strategic marketing in business practice</p> <p>1.2 Assess the scope of strategic marketing activities and how they affect a business</p> <p>1.3 Evaluate the relationship between the marketing and other business functions</p> <p>1.4 Analyse the planning principles involved in developing a marketing strategy</p> <p>1.5 Analyse a range of tools to evaluate a strategic marketing plan</p> <p>1.6 Explain the advantages and limitations of a range of marketing strategies</p>
<p>2 Be able to evaluate a market</p>	<p>2.1 Evaluate existing and potential markets against agreed strategic criteria</p> <p>2.2 Identify features of actual and potential offerings through an evaluation of competitors' products and/or services</p>
<p>3 Be able to develop a marketing and marketing communications strategy and plan</p>	<p>3.1 Evaluate a range of marketing communications frameworks</p> <p>3.2 Define marketing messages that are consistent with strategic objectives, organisational culture and values</p> <p>3.3 Specify communications media that are likely to reach the identified target customers</p> <p>3.4 Integrate marketing communications within operational processes</p>

Learning outcomes	Assessment criteria
<p>4 Be able to manage strategic marketing activities</p>	<p>4.1 Set pricing strategies that are consistent with organisational strategy, objectives and values and which optimise the potential for sales</p> <p>4.2 Manage the implementation of marketing strategies, plans and activities in accordance with organisational policies, values and priorities</p> <p>4.3 Monitor the performance of products and/or services and subcontractors against agreed success criteria</p> <p>4.4 Adapt marketing strategies, plans and activities in the light of feedback and/or changing circumstances</p>

Unit amplification

AC1.1: Analyse concepts underpinning strategic marketing in business practice

- *Strategic marketing*: alignment with business strategy; purposes, e.g. improve competitive advantage; develop markets, product/service development
- *Strategic marketing concepts*: marketing mix; market dominance (leader, challenger, follower, nicher); differentiation/segmentation; market lifecycle (penetration, growth, maturity, decline); thinking on marketing strategy, e.g. Borden, Ansoff, Kotler; Porter

AC1.2: Assess the scope of strategic marketing activities and how they affect a business

- *Scope of strategic marketing activities*: time horizons; geographic; product/service promotion; product/service development; impact on complementary strategic activities
- *Impact on business*: business strategy; business operations; organisational structure; profitability; efficiency; culture; stakeholder perceptions

AC1.3: Evaluate the relationship between the marketing and other business functions

- *Marketing and other business functions*: purchasing; supply chain management; manufacturing; finance; advertising; customer service; reasons for linkages

AC1.4: Analyse the planning principles involved in developing a marketing strategy

- *Planning principles*: marketing strategy provides framework for marketing objectives and marketing plans; formulate marketing objectives in a SMART framework with milestones; resource requirements; sign off on objectives; performance review mechanisms; contingency plans
- *Developing a marketing strategy*: environmental scanning to include internal and external environments; integration of marketing strategy with business strategy; stakeholder engagement; implementation arrangements; explicit strategy formulation; strategy agreement; strategy sign off

AC1.5: Analyse a range of tools to evaluate a strategic marketing plan

- *Tools*: key performance indicators (KPI); balanced scorecard; financial ratios; data collection; quantitative techniques; qualitative techniques
- *Evaluate a strategic marketing plan*: performance review; evaluation against agreed criteria; strategy development

AC1.6: Explain the advantages and limitations of a range of marketing strategies

- *Marketing strategies:*
 - advantages – explicit purpose; market insights; market understanding; targeted plans; guides to action; opportunities for development
 - limitations – inflexible; incomplete framework; misidentification of relevant factors; misinterpretation of data/information underpinning strategy

Information for tutors

Suggested resources

Books

Gilligan C and Wilson R M S – *Strategic Marketing Planning*, 2nd edition (Routledge, 2009) ISBN 9781856176170

West D, Ford J and Ibrahim E – *Strategic Marketing: Creating Competitive Advantage*, 2nd edition (OUP Oxford, 2010) ISBN 9780199556601

Journal

Journal of Strategic Marketing (Taylor and Francis Group) – a subscription is required

Websites

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

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

Podcasts

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 digital marketplaces and marketing consider aspects of strategic marketing. They can be searched through and downloaded from www.bbc.co.uk/podcasts/series/bottomline/all.

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 given in *Annexe A*. Simulation is not allowed, all evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

Unit Assessment Guidance

Learners must meet all assessment criteria to pass the unit.

Assessment in the unit should be holistic and be practically focused. Assessment is based on performance at work in an area that requires the learner to be involved in managing strategic marketing activities.

Sources of evidence for demonstrating achievement of learning outcome 1 could include work products such as marketing strategies, marketing plans, a log or reflective journal and witness statements. Explanatory narratives could identify the learner's specific contributions. These sources of evidence should show clearly how and why the learner made their choices and decisions in relation to managing strategic marketing activities. 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, 3 and 4 and any lessons learned from putting theory into practice.

For learning outcome 2, work products such as market evaluations and analyses of competitor products/services that combine narrative, statistical, and graphical analyses will cover all the assessment criteria. A log or reflective journal could evidence AC2.1 and AC2.2 allowing the learner to discuss the insights, validity of market evaluations and competitor analyses to use in developing strategic marketing plans and activities. A professional discussion for AC2.1 and AC2.2 could help validate the evidence from work products and the reflective journal.

For learning outcome 3, work products such as reports and discussion records that show marketing messages and the communications media, will cover all the assessment criteria. A witness statement could evidence AC3.1, AC3.2 and AC3.3 stating the learner's contribution to defining marketing messages, specifying communication frameworks and media and identifying their effectiveness. For AC3.4, evidence could be an observation record of the practical activities undertaken and the implementation issues considered by the learner, in order to embed marketing communications in operational processes.

For learning outcome 4, work products such as discussion records, agreements about the pricing strategies, implementation plans, reviews and recommendations to modify plans demonstrate the practical oversight of strategic marketing activities and will cover all the assessment criteria. A witness statement could be used to evidence the achievement of AC4.1, allowing the learner's contributions to determining pricing strategies and the associated issues before a particular approach to pricing is adopted.

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: **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 which 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
<p>1 Understand the principles of operational planning</p>	<p>1.1 Evaluate the use of risk analysis techniques in operational planning</p> <p>1.2 Explain the components of an operational plan</p> <p>1.3 Analyse the relationship between strategic and operational plans</p> <p>1.4 Evaluate the use of planning tools and techniques in the operational planning process</p> <p>1.5 Explain how to carry out a cost-benefit analysis</p>
<p>2 Be able to develop an operational plan</p>	<p>2.1 Identify specific, measurable, achievable, realistic and time-bound (SMART) objectives and key performance indicators (KPIs)</p> <p>2.2 Identify evaluation mechanisms appropriate to the plan</p> <p>2.3 Take action to ensure that plans are consistent with organisational strategy, objectives, values, policies and procedures</p> <p>2.4 Develop proportionate and targeted plans to manage identified risks</p> <p>2.5 Take action to ensure that plans complement and maximise synergy with other business areas</p> <p>2.6 Adhere to organisational policies and procedures, legal and ethical requirements</p>

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

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

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

AC1.2: Explain the components of an operational plan

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

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

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

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

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

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

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

Information for tutors

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

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

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

Unit 12: 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
<p>1 Understand the principles of learning and development</p>	<p>1.1 Assess the role of continuous professional development (CPD) in identifying and meeting individuals' learning and development for current and future business needs</p> <p>1.2 Analyse the advantages and limitations of different learning and development methods</p> <p>1.3 Explain how to identify individuals' learning and development needs</p> <p>1.4 Evaluate the role of self-reflection in learning and development</p>
<p>2 Be able to support individuals' learning and development</p>	<p>2.1 Promote the benefits of learning to people in own area of responsibility</p> <p>2.2 Support individuals in identifying their current and likely future learning and development needs from a range of information sources</p> <p>2.3 Agree with individuals the learning activities to be undertaken, ensuring they are within agreed budgets and consistent with business needs</p> <p>2.4 Summarise agreed learning objectives, learning activities, review mechanisms and success criteria in a personal development plan</p> <p>2.5 Create an environment that encourages and promotes learning and development</p> <p>2.6 Provide opportunities for individuals to apply their developing competence in the workplace</p>

Learning outcomes	Assessment criteria
<p>3 Be able to evaluate individuals' learning and development</p>	<p>3.1 Analyse information from a range of sources on individuals' performance and development</p> <p>3.2 Evaluate the effectiveness of different learning and development methods</p> <p>3.3 Agree revisions to personal development plans in the light of feedback</p>

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) ISBN9781843982166

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), appropriately anonymised personal development plans from within their area of responsibility, evidencing where learning objectives, activities, review mechanisms and success criteria have been agreed (AC2.4) and analysis records documenting where the learner has analysed information from a range of sources on individuals' performance and development, again within their area of responsibility (AC3.1). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could comment on the process for supporting individuals in identifying their current and likely future learning and development needs from a range of information sources (AC2.2), different learning and development methods used to support individuals' learning and development, the advantages and limitations of each and how to evaluate how effective they are (AC3.2) and the process for agreeing revisions to individuals' personal development plans following feedback received (AC3.3). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Evidence to confirm achievement of learning outcome 1 would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, then it would be best to integrate assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could assess the role of continuous professional development in terms of how they have used it in the learning and development process for their direct line reports (AC1.1). In a similar manner, the learner could analyse the advantages and the limitations of the learning and development methods they have used and comment on how they could improve on their practice in the future (AC1.2). The learner's reflective account to meet the requirements of AC1.1 to AC1.4 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

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

Unit 13: 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	<ul style="list-style-type: none">1.1 Explain the difference between a discipline case and a grievance case and the implications for their management1.2 Explain sources of advice and expertise on discipline and grievance1.3 Explain the legal obligations of employers and the rights of employees in relation to discipline and grievance cases1.4 Explain organisational procedures for the management of discipline and grievance cases1.5 Explain the communication techniques to be used in the management of discipline and grievance cases1.6 Explain the types of behaviours that are likely to result in disciplinary proceedings1.7 Explain the types of actions that are likely to lead to a grievance1.8 Explain how to carry out investigations into discipline and grievance cases1.9 Analyse the effect of well managed and poorly managed discipline and grievance cases1.10 Explain how the outcomes of discipline and grievance cases can be managed

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

Unit amplification

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

Unit 14: **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
<p>1 Understand working relationships with stakeholders</p>	<p>1.1 Analyse stakeholder mapping techniques</p> <p>1.2 Explain how influencing skills and techniques can be used to enhance the relationship with stakeholders</p> <p>1.3 Explain how expectation management and conflict resolution techniques are applied to stakeholder management</p> <p>1.4 Analyse the advantages and limitations of different types of stakeholder consultation</p> <p>1.5 Evaluate the risks and potential consequences of inadequate stakeholder consultation</p>
<p>2 Be able to determine the scope for collaboration with stakeholders</p>	<p>2.1 Identify the stakeholders with whom relationships should be developed</p> <p>2.2 Explain the roles, responsibilities, interests and concerns of stakeholders</p> <p>2.3 Evaluate business areas that would benefit from collaboration with stakeholders</p> <p>2.4 Evaluate the scope for and limitations of collaborating with different types of stakeholder</p>
<p>3 Be able to develop productive working relationships with stakeholders</p>	<p>3.1 Create a climate of mutual trust and respect by behaving openly and honestly</p> <p>3.2 Take account of the advice provided by stakeholders</p> <p>3.3 Minimise the potential for friction and conflict amongst stakeholders</p>

Learning outcomes	Assessment criteria
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

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

Unit 15: 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 on how to follow organisational procurement policies to establish the criteria and ranking in which to evaluate tenders. You will gain understanding on how contract law and organisational procedures can impact on tendering negotiations. You will gain an understanding of how to sift out the tenders which 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
<p>1 Be able to develop a tender specification</p>	<p>1.1 Explain the roles and inputs of those who need to be involved in the tender process</p> <p>1.2 Identify essential and desirable business needs and their implications which may be included within the tender</p> <p>1.3 Address all aspects of the specification including post-contractual requirements</p> <p>1.4 Allocate priorities within the tender specification in accordance with business needs</p> <p>1.5 Establish criteria and ranking systems to evaluate tenders in accordance with organisational procurement policies</p>
<p>2 Be able to manage a tendering exercise</p>	<p>2.1 Assess the appropriateness of different media to attract potential suppliers</p> <p>2.2 Use media to attract potential suppliers that are appropriate to the nature of the contract</p> <p>2.3 Specify tender application procedures, arrangements and timetable</p> <p>2.4 Invite suppliers to apply for the tender</p> <p>2.5 Sift out those that do not meet the agreed criteria</p> <p>2.6 Confirm that the track records of shortlisted suppliers demonstrate the required technical capability</p>

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

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 which 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 learner work products, professional discussion or reflective accounts and witness testimonies.

For learning outcome 1, the learner's work products such as email 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 16: 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 which need to be considered such as the cost, potential benefits and the need to follow organisation procedures in the procurement of any purchase.

In this unit you will learn how to identify the need for physical resources that meet the operational requirements of the organisation. You will learn how to evaluate alternative options for obtaining resources and the impact the new resources will have for the organisation. You will learn the organisational procedures and policies to follow in the procurement of the resource. You will gain an understanding of the factors that need to be taken into account when obtaining physical resources and the importance of using sustainable resources. You will gain an understanding of the importance of ensuring that the resources are managed and used efficiently.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Be able to identify the need for physical resources</p>	<p>1.1 Identify resource requirements from analyses of organisational needs</p> <p>1.2 Evaluate alternative options for obtaining physical resources</p> <p>1.3 Evaluate the impact on the organisation of introducing physical resources</p> <p>1.4 Identify the optimum option that meets operational requirements for physical resources</p>
<p>2 Be able to obtain physical resources</p>	<p>2.1 Develop a business case for physical resources that is supported by evidence, cost estimates, contingency arrangements and an analysis of likely benefits</p> <p>2.2 Obtain authorisation and financial commitment for the required expenditure</p> <p>2.3 Negotiate best value from contracts in accordance with organisational standards and procedures</p> <p>2.4 Adhere to organisational policies and procedures, legal and ethical requirements when obtaining physical resources</p> <p>2.5 Check that the physical resources received match those ordered</p>

Learning outcomes	Assessment criteria
<p>3 Be able to manage the use of physical resources</p>	<p>3.1 Take action to ensure physical resources are used in accordance with manufacturers' instructions</p> <p>3.2 Evaluate the efficiency of physical resources against agreed criteria</p> <p>3.3 Recommend improvements to the use of physical resources and associated working practices</p> <p>3.4 Analyse the benefits of effective equipment in the conservation of energy and the environment</p>

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 17: 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, which is generated by businesses each year, may result in additional costs for the business and may impact negatively on the environment. Over the past few years, organisations have been encouraged to implement environmentally friendly processes and to look for efficient ways to conserve and minimise the use of energy, water and resources. Implementing environmentally friendly work activities can result in rewards for both the business and the environment such as the reduction in business costs and a reduction in the organisation's carbon footprint.

In this unit, you will gain an understanding of how work activities can have an adverse effect on the environment and how this can be reduced through the appropriate management of work activities. You will gain an understanding of the specialist advice, which is available to provide guidance and support for your organisation. You will learn how environmentally friendly practices are, or could be, initiated to improve working practices and procedures. You will have the opportunity to evaluate the effectiveness of your organisation's environment policies and procedures and to develop a system, which recommends improvements to make work practices more environmentally friendly.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand how to support environmentally-friendly working practices</p>	<p>1.1 Explain how to carry out an environmental impact analysis</p> <p>1.2 Compare sources of specialist advice on environmentally-friendly working practices</p> <p>1.3 Analyse the business and environmental benefits of effective energy management policies</p> <p>1.4 Explain the health and safety requirements for the use and disposal of resources and waste</p>
<p>2 Be able to organise work so as to minimise the impact on the environment</p>	<p>2.1 Analyse potentially adverse effects on the environment caused by work activities</p> <p>2.2 Evaluate the effectiveness of methods of improving environmental sustainability in an organisation</p> <p>2.3 Implement plans and procedures to adapt work practices to make them more environmentally-friendly</p> <p>2.4 Develop a system for colleagues to recommend improvements to make work practices more environmentally-friendly</p>

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

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 command verbs of explain, compare and analyse.

The evidence for AC1.4 could come from work products, such as emails, letters or reports, which explain the health and safety requirements for the use and disposal of resources and waste. Alternatively the evidence could be provided in a professional discussion or a reflective account.

For learning outcome 2, the evidence could be work products, such as reports, letters or emails, which analyse the potential adverse effects on the environment from work activities (AC2.1). Work products, such as reports, letters or emails, which evaluate the effectiveness of the methods of improving environmental sustainability would provide evidence for AC2.2. The work products must be in sufficient depth to satisfy the command verb of analyse and evaluate. Alternatively the evidence for AC2.1 and AC2.2 could be provided in a professional discussion or a reflective account.

The evidence for AC2.3 could be copies of the plans and procedures which have been implemented to adapt work practices to make them more environmentally friendly. The evidence for AC2.4 could be witness testimonies from a line manager or from colleagues who have used the system developed.

For learning outcome 3 the learner has to explain when to obtain and where to seek specialist environmental management advice (AC3.1 and AC3.2) and this could be produced in a reflective account, with the learner outlining where they have done this and integrated with the comparison of the sources of specialist environmentally friendly advice (AC1.2).

The evidence for AC3.3 could come from work products, such as reports, letters or emails, where the learner has determined the environmental impact of the use of different physical resources. Alternatively the evidence for AC3.3 could be provided in a professional discussion. The evidence for AC3.4 will be copies of the procedures developed by the learner for the disposal of waste and unwanted resources to minimise the impact on the environment. The procedures could be supported by a witness testimony from a line manager or colleague. The evidence for AC3.5 could be provided in a reflective account or professional discussion which evaluates the effectiveness of the organisation's environmental policies and procedures. Work products, such as reports, letters or emails, could be used for AC3.5 but should show that the learner has satisfied the command verb of evaluate. Witness testimonies from a line manager or colleagues could be used for AC3.6 to evidence how the learner has adhered to the organisational policies and procedures, legal and ethical requirements.

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

Unit 18: 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 underpinning the management of quality in an organisation and how this contributes to meeting organisational objectives. By examining the advantages and limitations of using different quality techniques you will understand the importance of promoting a quality culture and how customer satisfaction drives continuous improvement to meet standards.

This unit you will introduce you to the concept of 'Total Quality Management (TQM)' and how this approach depends on the need to embed a quality culture in an organisation. This is important as business success is very dependent upon customer satisfaction and as technology and communications become more powerful standards are more easily comparable.

You will prepare relevant documentation for work to be audited, identify where improvements could be made to processes, procedures, or standards, and develop a quality improvement plan to address any issues.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning the management of quality</p>	<p>1.1 Analyse the principles of quality management</p> <p>1.2 Analyse the purpose and requirements of a range of quality standards</p> <p>1.3 Analyse the advantages and limitations of a range of quality techniques</p> <p>1.4 Assess how the management of quality contributes to the achievement of organisational objectives</p>
<p>2 Be able to prepare for quality audits</p>	<p>2.1 Establish the quality requirements applicable to the work being audited</p> <p>2.2 Confirm that documentation is complete</p> <p>2.3 Confirm that any previously agreed actions have been implemented</p> <p>2.4 Make available information requested in advance by auditors</p>
<p>3 Be able to support quality audits</p>	<p>3.1 Provide access to information on request within scope of the audit</p> <p>3.2 Agree actions and timescales with auditors that will remedy non-conformance or non-compliance</p> <p>3.3 Identify instances where business processes, quality standards and/or procedures could be improved</p> <p>3.4 Develop a quality improvement plan that addresses the issues raised</p>

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

Unit 19: 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
<p>1 Understand the principles underpinning the management of quality</p>	<p>1.1 Analyse the principles of quality management</p> <p>1.2 Analyse the purpose and requirements of a range of quality standards</p> <p>1.3 Analyse the advantages and limitations of a range of quality techniques</p> <p>1.4 Assess how the management of quality contributes to the achievement of organisational objectives</p>
<p>2 Be able to prepare to carry out quality audits</p>	<p>2.1 Establish the quality requirements applicable to the work being audited</p> <p>2.2 Develop a plan for a quality audit</p> <p>2.3 Prepare the documentation needed to undertake a quality audit</p> <p>2.4 Specify data requirements to those who will support the audit</p>
<p>3 Be able to conduct quality audits</p>	<p>3.1 Confirm that any previously agreed actions have been implemented</p> <p>3.2 Analyse information against agreed quality criteria</p> <p>3.3 Identify instances where business processes, quality standards and/or procedures could be improved</p> <p>3.4 Agree actions and timescales that will remedy non-conformance or non-compliance</p>

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 20: 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 need. This will involve assessing how the budget is reflecting the organisation's key strategic objectives, and whether it is showing up operating problems effectively, or revealing inefficiencies.

You will be introduced to concepts relating to the financial management, control and planning of an organisation. This will help you to understand that budgets should be challenging but achievable in given conditions as well as being available when people need the information. You will examine the issues relating to budgeting, planning and costs and learn how these inform management decision making and future budget setting.

Learning outcomes and assessment criteria

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

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

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

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 slack, strained

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

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

Information for tutors

Suggested resources

Books

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

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

Assessment

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

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

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

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

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

Unit 21: 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 and tools and techniques that may be used in any business.

You will develop an understanding of what constitutes a project, the skills needed to plan the activities needed to carry out the project, including how to carry out a cost-benefit analysis and risk assessment, and how to conduct project reviews. You will also understand how the project fits into the organisational environment.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the management of a project</p>	<p>1.1 Explain how to carry out a cost-benefit analysis for a project</p> <p>1.2 Evaluate the use of risk analysis techniques</p> <p>1.3 Evaluate project planning and management tools and techniques</p> <p>1.4 Evaluate the impact of changes to project scope, schedule, finance, risk, quality and resources</p> <p>1.5 Analyse the requirements of project governance arrangements</p>
<p>2 Be able to plan a project</p>	<p>2.1 Analyse how a project fits with an organisation's overall vision, objectives, plans and programmes of work</p> <p>2.2 Agree the objectives and scope of proposed projects with stakeholders</p> <p>2.3 Assess the interdependencies and potential risks within a project</p> <p>2.4 Develop a project plan with specific, measurable, achievable, realistic and time-bound (SMART) objectives, key performance indicators (KPIs) and evaluations mechanisms appropriate to the plan</p> <p>2.5 Develop proportionate and targeted plans to manage identified risks and contingencies</p> <p>2.6 Apply project lifecycle approaches to the progress of a project</p>

Learning outcomes	Assessment criteria
<p>3 Be able to manage a project</p>	<p>3.1 Allocate resources in accordance with the project plan</p> <p>3.2 Brief project team members on their roles and responsibilities</p> <p>3.3 Implement plans within agreed budgets and timescales</p> <p>3.4 Communicate the requirements of the plans to those who will be affected</p> <p>3.5 Revise plans in the light of changing circumstances in accordance with project objectives and identified risks</p> <p>3.6 Keep stakeholders up to date with developments and problems</p> <p>3.7 Complete close-out actions in accordance with project plans</p> <p>3.8 Adhere to organisational policies and procedures, legal and ethical requirements when managing a project</p>
<p>4 Be able to evaluate the effectiveness of a project</p>	<p>4.1 Conduct periodic reviews of the progress and effectiveness of a project using information from a range of sources</p> <p>4.2 Evaluate the effectiveness of capturing and managing project-related knowledge</p> <p>4.3 Report on the effectiveness of plans</p>

AC1.1: Explain how to carry out a cost-benefit analysis for a project

- *Project management*: business case; stages in project life cycle, 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 of learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include a project plan and related documentation which they have developed that clearly shows agreed SMART objectives and KPIs, project members' roles and responsibilities, governance structure, tasks and activities to be completed, reporting structure and format, flow of activities and dependencies, evaluation mechanisms and risk mitigation plans. Product evidence could also include minutes from project meetings, relevant communications to project team members, risk logs and reports detailing the effectiveness of plans (AC2.2 – AC2.4, AC3.2 and AC4.3). The assessor should review the work products and use them to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion the learner could discuss how they agreed the objectives and scope of the projects with stakeholders and the importance of doing this, the process for assessing the interdependencies and identifying potential risks and the rationale for the targeted mitigation plans for these risks (AC2.2, AC2.3 and AC2.5). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the organisational requirements and that the project planning and management was effective, appropriate and aligned to organisational strategies and priorities, (AC2.1, AC3.6 and AC3.8).

Evidence to demonstrate achievement of learning outcome 1, would best come from a reflective account due to the cognitive demand of the assessment criteria. If a reflective account is used for learning outcomes 2, 3 and 4, then it would be best to integrate the assessment of this learning outcome, giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on how they carried out a cost-benefit analysis for a project, risk analysis techniques which they have used and the advantages and limitations of these and an evaluation of how changes impacted upon project scope, schedule, finance, risk, quality and resources of the project they were managing (AC1.1, AC1.2 and AC1.4). The learner's reflective account must be in sufficient depth and breadth to meet the requirements of the operative command verbs in AC1.1 to AC1.5.

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

Unit 22: 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 which could have an impact on organisations and the processes which could be implemented to identify the consequences and effect of the potential risk. You will gain an understanding of the processes which could be implemented to mitigate the business risks. You will be responsible for identifying potential risks for your organisations and in assessing the consequence of these risks. You will have the opportunity to develop risk management plans, monitor on-going risk related developments and to evaluate the effectiveness of the actions taken.

Learning outcomes and assessment criteria

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

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

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

Unit 23: 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 knowledge effectively.

Learning outcomes and assessment criteria

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

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

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

AC1.2: Explain the concept of intellectual property

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

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

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

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

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

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

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

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

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

AC1.7: Describe strategies to manage tacit and explicit knowledge

- *Distinction between tacit and explicit knowledge:* definition of each; differences
- *Managing tacit knowledge:* personalisation strategy; addresses storage of knowledge in human minds; transfer through person to person, e.g. storytelling, Communities of Practice, work shadowing, coaching
- *Managing explicit knowledge:* codification strategy; allows knowledge to be codified and stored in databases; access to knowledge through IT applications, e.g. intranets and the internet
- *Tacit versus explicit:* how the advantages of one approach can be used to help offset the disadvantages of the other

Information for tutors

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

Unit assessment guidance

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

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

The learner's work products could include records detailing the criteria for managing knowledge (AC2.1), report/notes detailing the fitness for purpose evaluation of the current knowledge management systems and processes (AC3.3) and records of relevant communications to colleagues or line manager, for example a report/an email recommending improvements to systems and processes (AC 3.4). The learner's work products may contain commercially sensitive information and this needs to be considered in the use of these documents.

The evidence from the work products should be supported by a reflective account or professional discussion to corroborate the learner's competence as well as meet the knowledge requirements in learning outcome 1. Within the reflective account or professional discussion, the learner could comment on the process used to decide on the criteria for managing knowledge, the criteria used to evaluate the fitness for purpose of the systems and processes and how the outcomes of this review relate to the improvements recommended (AC2.1, AC3.3 and AC3.4). The learner could also describe the relevant security processes for the collection, storage and retrieval of knowledge and explain the actions they have taken to comply with these (AC3.2). Witness testimony could also be used for learning outcomes 2 and 3 to provide supporting evidence for the learner's competence over time.

Evidence to demonstrate achievement of learning outcome 1 would best come from a reflective account or professional discussion. The assessment of this learning outcome could be integrated into the assessment of the underlying knowledge and understanding for learning outcomes 2 and 3. This gives the learner the opportunity to link and apply their knowledge to workplace activities, as well as easing the burden of assessment for both the assessor and the learner. For example, the learner could explain the best practice principles and techniques for managing knowledge in an organisation and relate this to their evaluation of the fitness for purpose of the systems and processes in their own organisation. This links the knowledge for AC1.6 to the learner's activities for AC3.3. Similarly, the learner could explain the importance of engaging others in the context of how they went about engaging colleagues to identify the knowledge to be managed (AC1.5 and AC2.2).

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

Unit 24:

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 right calibre with suitable experience and expertise are recruited. The skills demanded by employers change as markets, technology, the legal framework and working practices change.

You will learn the importance of the main stages of identifying staff requirements, from undertaking a job analysis, through to recruitment and induction. This includes examining methods of selection and understanding the role of employment legislation as it affects recruitment and selection.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the principles and theories underpinning recruitment, selection and induction practice</p>	<p>1.1 Explain workforce planning techniques</p> <p>1.2 Describe the information needed to identify recruitment requirements</p> <p>1.3 Assess the impact of an organisation's structure and culture on its recruitment and selection policies and practices</p> <p>1.4 Analyse the factors involved in establishing recruitment and selection criteria</p> <p>1.5 Evaluate the suitability of different recruitment and selection methods for different roles</p> <p>1.6 Analyse patterns of employment that affect the recruitment of staff</p> <p>1.7 Explain the factors to be taken into account when developing job specifications, personal specifications and job advertisements</p> <p>1.8 Explain the induction process</p> <p>1.9 Explain the relationship between human resource processes and the induction processes</p>
<p>2 Be able to recruit people into an organisation</p>	<p>2.1 Determine current staffing needs</p> <p>2.2 Identify current skills needs from identified staffing needs</p> <p>2.3 Identify future workforce needs</p> <p>2.4 Develop a resourcing plan that addresses identified needs within budgetary limitations</p> <p>2.5 Evaluate the cost-effectiveness of different methods of recruitment for an identified role</p> <p>2.6 Explain how recruitment policies and practices meet legal and ethical requirements</p> <p>2.7 Select the most appropriate method of recruitment for identified roles</p>

Learning outcomes	Assessment criteria
<p>3 Be able to select appropriate people for the role</p>	<p>3.1 Plan assessment processes that are valid and reliable</p> <p>3.2 Provide those involved in the selection process with sufficient information to enable them to make informed decisions</p> <p>3.3 Justify assessment decisions with evidence</p> <p>3.4 Inform applicants of the outcome of the process in line with organisational procedures</p> <p>3.5 Evaluate the effectiveness of the selection process</p> <p>3.6 Adhere to organisational policies and procedures, legal and ethical requirements when carrying out selection assessments</p>
<p>4 Be able to induct people into an organisation</p>	<p>4.1 Develop induction materials that meet operational and new starters' needs</p> <p>4.2 Explain to new starters organisational policies, procedures and structures to new starters</p> <p>4.3 Explain to new starters their role and responsibilities</p> <p>4.4 Explain to new starters their entitlements and where to go for help</p> <p>4.5 Assess new starters' training needs</p> <p>4.6 Confirm that training is available that meets operational and new starters' needs</p> <p>4.7 Provide support that meets new starters' needs throughout the induction period</p>

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

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

Evidence to achieve this unit should come from the learner's work activities in the practice of recruitment, selection and induction within an organisation.

Evidence to demonstrate achievement of learning outcomes 2, 3 and 4 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include work notes, reports or a resourcing plan that demonstrates where the learner has determined current staffing needs, current skills needs and future working needs (AC2.1 to AC2.4). The work products should be reviewed by the assessor and used to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the organisation's recruitment policies and procedures and how these meet the relevant legal and ethical requirements (AC2.6), the criteria they would use to evaluate the effectiveness of the selection process (AC3.5) and the process for assessing new starters' training needs (AC4.5). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time, as well as met organisational requirements.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2, 3 and 4 then it would be best to integrate the assessment of this learning outcome, therefore giving the learner the opportunity to link and apply their knowledge to workplace activities. For example, the learner could reflect on their organisation's structure and culture and the impact that this has had on its recruitment and selection policies and practices (AC1.3), the factors that they have had to take into account when developing job specifications, personal specifications and job advertisements as part of the recruitment process (AC1.7) and their organisation's human resource and induction processes and the relationship between them (AC1.9). The learner's reflective account to meet the requirements of AC1.1 to AC1.9 must be in sufficient depth and breadth to meet the level of demand of the operative command verbs.

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

Unit 25: 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 redundancy 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
<p>1 Understand the management of redundancy</p>	<p>1.1 Explain the legal requirements that relate to the management of redundancy</p> <p>1.2 Explain the conditions required for a redundancy and their implications</p> <p>1.3 Explain possible ways of avoiding redundancies</p> <p>1.4 Explain the factors involved in identifying the pool for redundancy selection</p> <p>1.5 Explain the factors involved in developing an appeals process</p> <p>1.6 Explain the process for planning and managing a redundancy</p> <p>1.7 Evaluate the implications of voluntary and compulsory redundancy on individuals</p> <p>1.8 Evaluate the implications of voluntary and compulsory redundancy for organisations</p> <p>1.9 Evaluate the type of information required by staff who are retained</p> <p>1.10 Evaluate the type of information required by staff who are made redundant</p> <p>1.11 Assess the role of outplacement in redundancy</p>

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

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

Unit amplification

AC1.1: Explain the legal requirements that relate to the management of redundancy

- *Employment Law:* the impact of current UK legislation on the redundancy process; the impact of EU legislation on the redundancy process; appropriate procedures implemented; implementation of a fair and non-discriminating process

AC1.2: Explain the conditions required for a redundancy and their implications

- *Reasons for redundancy:* closure of the organisation; need to cut expenditure by reducing staff numbers; change in business activities; external factors; introduction of new technology; employees do not have relevant skills and knowledge
- *The redundancy process:* criteria for selecting job role; criteria for selecting staff for redundancy
- *Implications:* maintain efficient service with reduced staffing levels; impact on retained staff; impact on morale and motivation; impact on reputation

AC1.3: Explain possible ways of avoiding redundancies

- *Ways to avoid redundancies:* natural wastage; early retirement; using current employees to fill any vacancies; training or retraining; reducing hours or overtime; limiting the recruitment of permanent employees; reducing the use of temporary or agency staff; redeployment to a different location

AC1.4: Explain the factors involved in identifying the pool for redundancy selection

- *Process for selecting employees:* fair; non discriminating
- *Selection process:* last in, first out; volunteers; review of disciplinary records; skills, qualifications and experience

AC1.5: Explain the factors involved in developing an appeals process

- *Organisation process and procedure:* informing employees of appeals process: timeframe for appeals; representation; refusing the appeal; upholding the appeal; informing employee of the outcome
- *Benefit for organisation and employees:* opportunity to resolve issues early; identifies and deals with complaints; may reduce the need for a tribunal; awareness of employee reactions

AC1.6: Explain the process for planning and managing a redundancy

- *Planning the redundancy process:* informing managers or team leaders; notifying and consulting with all employees; selecting staff for redundancies; informing employees of notice periods and payments; providing the opportunity for staff to appeal
- *Steps in the redundancy process:* consultation with employer e.g. sharing of information, involvement of unions or representation; redundancy pay e.g. statutory redundancy payments, minimum service time; notice period; time off to search for a new job; appeals process e.g. organisational process and procedure
- *Managing the redundancy process:* effective communication skills; knowledge of current legislation; complying with organisational process and procedures; psychological impact e.g. illness and stress, staff morale and motivation

AC1.7: Evaluate the implications of voluntary and compulsory redundancy on individuals

- *Compulsory:* no choice; forced to leave job role; formal selection process
- *Voluntary:* choice; avoids selecting employees for compulsory redundancy; incentives; less stressful; opportunity for career change or retraining
- *Implication of redundancy:* loss of regular income; potential of finding new employment; impact on home life
- *Psychological impact of compulsory redundancy:* impact on employees and colleagues; impact on morale, motivation and self-esteem; stress

AC1.8: Evaluate the implications of voluntary and compulsory redundancy for organisations

- *Implications of redundancy:* loss of skills, knowledge and expertise; structural changes; change in job roles and responsibilities; effective management of morale and motivation of retained employees
- *Impact on retained employees:* lower morale; decrease in motivation; emotional; uncertainty of future; additional or change in work tasks

AC1.9: Evaluate the type of information required by staff who are retained

- *Type of information required:* any change in job role or responsibilities; future for the organisation; job security

AC1.10: Evaluate the type of information required by staff who are made redundant

- *Type of information:* selection process; notice period; payments; timescale involved; impact on pension; holiday entitlement; information on claiming benefits; references for potential job roles; appeals process; contact details for union representation; support available

AC1.11: Assess the role of outplacement in redundancy

- *Outplacement:* range of provision and support available; benefits for organisation; benefits for individuals

AC2.1: Explain the concept of redeployment

- *Redeployment:* definition; reduces the need for redundancies; reasons for redeployment e.g. decline in one area of the business, end of a fixed term contract, a change in individual circumstances such as illness

AC2.2: Explain the legal requirements that relate to the management of redeployment

- *Employment Law:* the impact of current UK legislation on redeployment; the impact of EU legislation that requires organisations to take an active approach to redeployment

AC2.3: Explain the process for planning and managing a redeployment

- *Planning redeployment:* matching vacancies to individual employee skills, knowledge and expertise; consultation with employee; outline of job role and responsibilities; revising and reviewing the employment contract to account for changes; offers in writing; acceptance or rejection of job offer
- *Managing redeployment:* effective communication skills; knowledge of current legislation; complying with organisational process and procedures

AC2.4: Evaluate the type of information required by staff who are retained

- *Type of information required:* changes in job role or responsibilities; changes in pay structure, incentives and bonuses; impact on contract and pensions; changes in working hours and holiday entitlement; future for the organisation; job security

AC2.5: Evaluate the type of information required by staff who are redeployed

- *Type of information required:* new role; job role and responsibilities; position in organisational structure; authority and accountability; terms on offer; skills, knowledge and experience required for job role; pay and bonus rates

AC2.6: Evaluate the benefits and limitations to an organisation of redeployment

- *Benefits of redeployment:* reduces the need for redundancies; retains valuable skills, knowledge and experience; no redundancy payments; removes costs and time involved in the recruitment and selection of staff to fill vacancies; reduces the time spent on induction and training; increase in employee commitment and loyalty
- *Limitation of redeployment:* no opportunity to access new skills and knowledge; retraining of existing employees; retaining employees with average performance

AC2.7: Assess the role of project management techniques in the management of redeployment

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

Information for tutors

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

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

It is possible to use simulation for this unit but evidence from the learner's performance in the workplace should be used whenever possible. The evidence for this unit is most likely to come from a combination of learners' work products, professional discussion or reflective accounts and witness testimonies.

Due to the cognitive demand of the assessment criteria for learning outcomes 1 and 2 the evidence would be more appropriate in the form of a reflective account or a professional discussion. If reflective accounts are used for learning outcomes 3 and 4 it would, where appropriate, be possible to integrate the assessment of learning outcomes 1 and 2. This will provide the opportunity for the learner to link and apply their knowledge to the workplace activities. For example, in a reflective account the learner could explain the possible ways of avoiding redundancies (AC1.3) and then how they evaluated the options available in their organisation for avoiding a redundancy and their implications (AC3.1).

For learning outcomes 1 and 2 the evidence could be generated in a reflective account or a professional discussion where the learner explains the legal requirements that relate to the management of redundancy and redeployment (AC1.1, AC2.2). A reflective account or a professional discussion could be used to explain the conditions required for redundancy, the implication on the organisation and the possible ways the organisation could avoid redundancies, such as the concept for redeployment (AC1.2, AC1.3 and AC2.1). The learner could also use a reflective account or professional discussion to explain the factors involved in identifying the pool for redundancy selection and the appeals process, and the process for planning and managing redundancy and redeployment (AC1.4, AC1.5, AC1.6, AC2.3). The professional discussions or reflective accounts must be in sufficient depth to satisfy the command verb of explain.

The learner could use a reflective account or a professional discussion to evaluate the implication of redundancy on individuals and the organisation and the benefits and limitations of redeployment (AC1.7, AC1.8 and AC2.6). A reflective account, professional discussion or work products could be used to evaluate the information required by staff who are to be made redundant, redeployed or retained (AC1.9, AC1.10, AC2.4 and AC2.5). Evidence could be drawn from interviews with staff but all documentation must be appropriately anonymised. A reflective account or a professional discussion could be used to assess the role of outplacement in redundancy and the role of project management techniques in the management of redeployment (AC1.11 and AC2.7). The professional discussions or reflective accounts must be in sufficient depth to satisfy the command verbs of evaluate and assess.

For learning outcomes 3 and 4, the evidence to confirm competence can either come from the learner's performance in the workplace, where the work context allows this, or from simulation. Where simulation is used, it must be a structured exercise involving a specific task that reproduces real life situations. The simulation exercise must allow the learner to meet the requirements of AC3.1 to AC3.5 and AC4.1 to AC4.5. Assessors must be confident that the simulation replicates the workplace to such an extent that the learner will be able to fully transfer their occupational competence to the workplace and real life situations. The simulation exercise should be agreed with the learner beforehand.

For learning outcome 3 a copy of a redundancy plan, the redundancy time table, calculations of redundancy payments checked and signed by a line manager or colleague would provide evidence for AC3.2, AC3.3. Communication of the outcome of the redundancy decisions, which are appropriately anonymised, would provide evidence for AC3.4. Work products, such as communications on the support services, witness testimonies from line manager or colleagues would provide evidence for AC3.5. Alternatively a reflective account or a professional discussion could be used for AC3.5.

For learning outcome 4 communications with staff who are being redeployed, which are appropriately anonymised, could provide evidence for AC4.1, AC4.3. For AC4.1 the communication must be in sufficient depth to satisfy the command verb of explain. A copy of the redeployment plan and a witness testimony from a line manager would provide evidence for AC4.2. Work products, such as communications on the support services, witness testimonies from a line manager or colleagues would provide evidence for AC4.4. Witness testimonies from a line manager or colleagues which demonstrate how the organisation policies and procedures on legal and ethical requirements were adhered to could provide evidence for AC4.5. Alternatively a reflective account or a professional discussion could be used for AC4.4, AC4.5.

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

Unit 26: **Lead the development of a knowledge management strategy**

Unit reference number: **D/506/2959**

Level: **7**

Credit value: **7**

Guided learning hours: **33**

Unit summary

In this unit you will learn that knowledge management is a way of organising a businesses' information and knowledge. An organisation needs to gather, organise, share and analyse its knowledge in terms of resources, documents, and people skills. Advances in technology and the way we access and share information have resulted in many organisations now having some kind of knowledge management framework in place.

In the first part of the unit you will examine the principles underpinning knowledge management. You will analyse the value of knowledge management, the various models, the importance of staff, knowledge management as a strategic asset, differing approaches, push and pull strategies and the use of technology in knowledge management.

The second part of the unit will show you how to develop a knowledge management strategy. You will gain an understanding of the scope of knowledge management, the identification of business critical knowledge and the specification of standards. The final part of the unit will show you how to promote knowledge management by means of ensuring managers act as knowledge management role models and the importance of communication media to sell the benefits of knowledge management.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning knowledge management</p>	<p>1.1 Analyse the value of knowledge management</p> <p>1.2 Evaluate the advantages and disadvantages of a range of models of knowledge management</p> <p>1.3 Assess the role of staff in the development of a knowledge management strategy</p> <p>1.4 Assess the nature of knowledge management as a strategic asset</p> <p>1.5 Characterise different knowledge management approaches and schools of thought</p> <p>1.6 Analyse different frameworks and dimensions of knowledge management and the use and implications of push and pull strategies</p> <p>1.7 Analyse the use of technology to manage knowledge</p>
<p>2 Be able to develop a knowledge management strategy</p>	<p>2.1 Identify the scope for the creation, development, sharing and transfer of knowledge</p> <p>2.2 Take action to ensure the strategy identifies business-critical knowledge, facilitates the creation, maintenance and sharing of knowledge and addresses hindrances and risks</p> <p>2.3 Take action to ensure the strategy provides a framework for addressing business-critical needs and addresses all aspects of an organisation's environment</p> <p>2.4 Specify standards, processes and protocols that support knowledge creation, sharing and protection</p>

Learning outcomes	Assessment criteria
3 Be able to manage knowledge	3.1 Implement systems and procedures that protect intellectual property from unauthorised use 3.2 Evaluate the capability and capacity of existing information, knowledge and communications systems to meet current and predicted needs 3.3 Select technologies and suppliers that are capable of meeting current and likely future information, knowledge and communications needs within required security and resource constraints
4 Be able to promote knowledge management	4.1 Encourage managers to act as knowledge management role models 4.2 Use communications media that are appropriate to the nature of the organisation

AC1.1: Analyse the value of knowledge management

- *Knowledge management*: definitions based on different perspectives, e.g. business, intellectual, process-technology; key concepts, e.g. types of knowledge, knowledge taxonomy, intellectual capital; best practice principles, e.g. knowledge audit, value-benefit analysis, risk reduction techniques
- *Value of knowledge management*: e.g. reduces duplication; produces a baseline for progress measurement; reduces the burden on expert attrition; makes visual thinking tangible; manages effectively large volumes of information; helps employees serve their clients better and faster; helps business focus on human capital; supports risk management; better efficiency; cost reduction; links with social media

AC1.2: Evaluate the advantages and disadvantages of a range of models of knowledge management

- *Theorists*: e.g. Van Krogh and Roos' Model of Organisational Epistemology; Nonaka and Takeuchi's SECI Model; Choo's Sense-Making Model; Wiig's Model for Building and Using Knowledge; Boisot's Knowledge Category Model/I-Space Model; Frid's Framework for Enterprise Knowledge Management

AC1.3: Assess the role of staff in the development of a knowledge management strategy

- *Staff involved in knowledge management*: e.g. knowledge management project team; knowledge manager; project manager; technology co-ordinator; moderator; knowledge broker; wider organisational staff
- *Role of staff*: e.g. intranet and extranet development; database management; training; collaborative working

AC1.4: Assess the nature of knowledge management as a strategic asset

- *Knowledge management as a strategic asset*: e.g. competitive advantage; fosters innovation and creativity; knowledge assets adding value to knowledge products; discovery and release of tacit knowledge; creation of a learning organisation; improves staff retention; economies of scale; broad business boundaries; focus on people and learning

AC1.5: Characterise different knowledge management approaches and schools of thought

- *Approaches and schools of thought:* e.g. mechanistic, e.g. application of technology to all knowledge; cultural/behaviouristic, e.g. process and change management, innovation and creativity to manage knowledge; systematic, e.g. rational, systematic, accurate analysis and dissemination of knowledge; core competencies approach, e.g. human capital, organisational/sector specific knowledge

AC1.6: Analyse different frameworks and dimensions of knowledge management and the use and implications of push and pull strategies

- *Frameworks of knowledge management: e.g.*
 - o Bukowitz and Williams' The Knowledge Management Process Framework
 - o Gamble and Blackwell's The Knowledge Management Matrix
 - o Botha et al's The Knowledge Management Process Model
- *Dimensions of knowledge management:* e.g. knowledge management strategy; management and leadership; technology; organisational processes
- *Use and implications of push and pull strategies:* e.g. search filters; push tools; navigation; semantic metadata; usage statistics; ontology

AC1.7: Analyse the use of technology to manage knowledge

- *Technology used to manage knowledge:* e.g. collaborative workspaces; knowledge portals; meta knowledge bases; knowledge profiles; urgent requests; document libraries; knowledge servers and services
- *Considerations:* e.g. cross-platform accessibility; flexibility; language differences; access control; search and retrieval

Information for tutors

Suggested resources

Books

Chaffey, D, White, G – Business Information Management (Prentice Hall, 2011)
ISBN 9780273711797

Newell, S, Robinson, M, Scarborough, H, Swan, J – *Managing Knowledge, Work and Innovation* (2nd edition) (Palgrave Macmillan, 2010) ISBN 9780230522015

Websites

www.ejkm.com – The Electronic Journal of Knowledge Management aims to publish perspectives on topics relevant to the study, implementation and management of knowledge management

www.knowledge-management-tools.net – Knowledge Management educational information

Journals

Journal of Knowledge Management, has numerous articles on knowledge management issues

Harvard Business Review, has reports and interesting features on the latest developments in knowledge management

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

The main source of evidence for all ACs in LO1 could be through reflective accounts, which will allow the learner to interact with the concepts involved in understanding the principles underpinning knowledge management. If reflective accounts are used as evidence, learners should indicate how this knowledge and understanding impacts on their current work practices or past experiences. Learners should also consider how they could potentially use this knowledge and understanding in their job role to improve future practice. If the learner's role permits, it may be possible to use evidence emerging from work products such as formal reports, emails and letters associated with leading the development of a knowledge management strategy. For example, for AC 1.4 the learner could produce a report for other senior managers assessing the nature of knowledge management as a strategic asset within their respective organisations which can be supplemented with a professional discussion and/or reflective account.

For LOs 2, 3 and 4 it is likely that the evidence will be gathered by the assessor on more than one occasion. Appropriate assessment methods include examining products of the learner's work – for example, files, meeting, notes, correspondence, reports etc. and/or using the testimony of other people such as colleagues and managers. There should be sufficient evidence over time to ensure that the learner has met all the requirements. For example for AC 3.2, the learners could give a presentation or a formal report to other managers evaluating the capability and capacity of existing information, knowledge and communications systems to meet current and predicted needs within their organisations supplemented with a reflective account on the topic. It may be possible dependent on the nature of the learner's job that a full report to the board or senior managers could be made, which covers how to develop, manage and promote knowledge management within respective organisations. This would cover all three remaining LOs. Professional discussion could be used to corroborate the competence of the learner for LO2, LO3 and LO4.

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: Lead the development of a quality strategy

Unit reference number: J/506/2101

Level: 7

Credit value: 4

Guided learning hours: 20

Unit summary

In this unit you will learn about the role of leading the development of a quality strategy. The unit will emphasise the importance of effective quality management within an organisation, focusing on strategic level activities. A quality strategy deals with determining and improving the quality of the operations, products and services in an organisation. It enables organisations to keep up with and meet current quality levels and customer needs and expectations.

Managers working at a strategic level need to be able to see how quality management aligns to and supports the achievement of aims and objectives. Managers need to ensure effective systems are in place, evaluating the effectiveness of existing systems in meeting the organisation's strategic management objectives.

The first part of the unit will give you an understanding of the principles underpinning the development of a quality strategy which includes the scope of quality, differing aspects and approaches, principles and standards. The second part of the unit builds on the latter and will allow you to develop a quality strategy which will require the devising of a strategy, specifying standards and evaluating the use of technology to manage quality.

The final part of the unit will allow you to manage quality which will include the implementation of systems and procedures, an evaluation of the capability and capacity of monitoring standards and the selection of technologies and suppliers

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning the development of a quality strategy</p>	<p>1.1 Define the scope of quality</p> <p>1.2 Distinguish between quality management, quality assurance, quality control and quality improvement</p> <p>1.3 Evaluate a range of approaches to quality management and the principles on which they are built</p> <p>1.4 Analyse the development of quality management principles</p> <p>1.5 Evaluate the requirements of a range of quality standards</p>
<p>2 Be able to develop a quality strategy</p>	<p>2.1 Identify the scope of a quality strategy</p> <p>2.2 Devise a strategy that is capable of assuring and controlling the quality of work to agreed standards</p> <p>2.3 Specify standards, processes and protocols that support the maintenance of quality standards</p> <p>2.4 Evaluate the use of technology to manage quality for different purposes</p>
<p>3 Be able to manage quality</p>	<p>3.1 Implement systems and procedures that are capable of monitoring quality standards</p> <p>3.2 Evaluate the capability and capacity of systems to meet current and predicted quality needs</p> <p>3.3 Select technologies and suppliers that are capable of meeting current and likely future quality needs within constraints</p>

AC1.1: Define the scope of quality

- *Scope of quality:* concepts of quality, e.g. conformance to requirements (Phillip B Crosby); fitness for use (Joseph M Juran); uniformity and dependability with a quality standard (W. Edwards Deming); excellence in goods and services (ASQ) degree to which performance meets expectations; features, e.g. strategic planning and leadership, customer focus, fact-based management, continuous improvement, continual improvement, teamwork and participation, technical specifications, quality standards, grade or excellence of materials, functionality of product features, safety regulations, security issues, environmental considerations

AC1.2: Distinguish between quality management, quality assurance, quality control and quality improvement

- *Quality management:* e.g. organisation-wide approach, answering customers' needs, consistency of delivery, accurate solutions within budget, on time and with the minimum loss to society
- *Quality assurance:* e.g. procedures to ensure product or service meets requirements, maintenance of a desired level of quality, ensuring a product or service satisfies customers
- *Quality control:* e.g. procedure or set of procedures to ensure product or performed service adheres to a defined set of quality criteria, meeting the requirements of the customer, links with quality assurance
- *Quality improvement:* e.g. products, services, processes; systematic approach to reduction or elimination of waste, rework, and losses in production process

AC1.3: Evaluate a range of approaches to quality management and the principles on which they are built

- *Approaches to quality management:* W. Edwards Deming 14 points approach; Joseph M. Juran Quality Trilogy; Malcolm Baldrige; Six Sigma; Continuous Quality Improvement (CQI); Total Quality Management (TQM) etc.
- *Principles of quality management:* transcendent approach; product based approach; user based approach; manufacturing based approach; value based approach

AC1.4: Analyse the development of quality management principles

- *The eight quality management principles:* customer focus; leadership; involvement of people; process approach; system approach to management; continual improvement; factual approach to decision making; mutually beneficial supplier relations

AC1.5: Evaluate the requirements of a range of quality standards

- *Quality standards:* e.g. International Standards ISO9000 series, e.g. ISO 9001 Quality Management; British Standards Institute (BSI) BS5750; Investors in People; CE marking; Royal warrants
- *Analysis to include:* purpose, requirements, application and benefits in business operations

Information for tutors

Suggested resources

Books

Beckford, J – *Quality: A Critical Introduction* (3rd Edition) (Routledge, 2009)
ISBN 9780415996358

Websites

www.efqm.org – European Federation of Quality Management – copies of the EFQM model and reports on quality management

www.iso.ch – International Organisation for Standardisation - copies of ISO standards

www.quality-foundation.co.uk – British Quality Foundation. Reports and articles on quality management

Journals

Management Today, Haymarket Media Group Ltd. has articles on management topics including strategic quality management

Production, Planning and Control, Taylor and Francis, has information on quality management strategies

The TQM Magazine, Emerald, has articles on quality strategies

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

The main source of evidence for all ACs in LO1 could be through reflective accounts, which allow the learner to interact with the concepts involved in understanding the principles underpinning the development of a quality strategy in an organisation. If reflective accounts are used as evidence, learners should indicate how this knowledge and understanding impact on their current work practices or past experiences. Learners should also consider how they could potentially use this knowledge and understanding in their job role to improve future practice. If the learner's role permits, they could use evidence emerging from work products such as formal reports, emails and letters associated with understanding the principles underpinning the development of a quality strategy. For example, for AC 1.4 the learner could produce an analytical report for other senior managers on the development of quality management principles within their organisation which can be supplemented with a professional discussion and/or reflective account.

For LO2 and 3 it is likely that the evidence will be gathered by the assessor on more than one occasion. Appropriate assessment methods include examining products of the learner's work, for example, files, meeting, notes, correspondence, reports etc. and/or using the testimony of other people such as colleagues and managers. There should be sufficient evidence over time to ensure that the learner has met all the requirements. For example for AC 2.4 the learners could give a presentation or a formal report to other managers evaluating the use of technology to manage quality for different purposes supplemented with a reflective account on the topic. It may be possible dependent on the nature of the learner's job that a full report to the board or senior managers could be made, which covers the development of a quality strategy and how quality can be managed within their respective organisations. This would cover both LO2 and LO3 but learners should ensure that the work product or products used include evidence for all the AC in both learning outcomes. Professional discussion could be used to corroborate the competence of the learner for both LO2 and 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 28: **Lead the development of a continuous improvement**

Unit reference number:

Level: **7**

Credit value: **5**

Guided learning hours: **28**

Unit summary

In this unit you will learn that continuous improvement is an ongoing effort to improve products, services or processes. These efforts can seek incremental improvement over time or breakthrough improvement all at once. Continual improvement should also lead to better results such as price, cost, productivity, time to market, delivery, responsiveness, profit and customer and employee satisfaction.

The first part of the unit will focus on the principles underpinning the development of a continuous improvement strategy including the relationship of continuous improvement with other systems, the difference between continuous and continual improvement, the evaluation of approaches, staff involvement and how continuous improvement can be developed in an organisation.

The second part of the unit concentrates on how a continuous improvement strategy can be developed including the scope of continuous improvement, the evaluation of performance, measurement criteria, information collection systems and the creation of an improvement culture.

The final part of the unit focuses on the management of continuous improvement by making use of measurement systems, benchmarking, knowledge management and improvement strategies which align with objectives.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
<p>1 Understand the principles underpinning the development of a continuous improvement strategy</p>	<p>1.1 Define the scope of continuous improvement and its relationship with other systems</p> <p>1.2 Distinguish between continuous and continual improvement</p> <p>1.3 Evaluate a range of approaches to continuous improvement and the principles on which they are built</p> <p>1.4 Evaluate the implications of staff involvement in continuous improvement</p> <p>1.5 Analyse the development of continuous improvement</p>
<p>2 Be able to develop a continuous improvement strategy</p>	<p>2.1 Identify the scope of a continuous improvement strategy</p> <p>2.2 Devise a strategy that is capable of evaluating business performance and identifying areas that could be improved</p> <p>2.3 Establish valid measures for evaluating business performance</p> <p>2.4 Establish systems for collecting and assessing information on business performance</p> <p>2.5 Foster a culture where people are encouraged to make suggestions for improvement</p>
<p>3 Be able to manage continuous improvement</p>	<p>3.1 Implement systems and procedures that are capable of measuring business performance</p> <p>3.2 Benchmark performance against historical data, other comparable organisations</p> <p>3.3 Take action to ensure that knowledge and understanding is fed into the knowledge management system</p> <p>3.4 Take action to ensure that improvements made align with business objectives and values</p>

AC1.1: Define the scope of continuous improvement and its relationship with other systems

- *Continuous improvements:* definition and purpose (systematic incremental changes in processes, Kaizen, improvement in efficiency and quality); types of improvements (gradual, incremental, breakthrough); tools, e.g. Deming plan-do-check-act (PDCA) cycle, root cause analysis (Ishikawa fishbone diagram); pareto analysis; force field diagram; enabling factors, e.g. management and leadership, communications, resources, organisational structure and culture, people and processes, commitment, reward and recognition; responsibility and organisation (all levels of organisation, all employees, cross-functional teams, steering group)
- *Relationship with other systems:* total quality management (TQM); quality assurance; lean systems; Six Sigma; ISO; Investors in People; benchmarking

AC1.2: Distinguish between continuous and continual improvement

- *Continual improvement:* W. Edwards Deming, i.e. general processes of improvement, discontinuous function or systematic improvements, e.g. organisational re-engineering; incremental and discontinuous innovative improvements; process of improvement vs. nature of improvements
- *Continuous improvement:* focus on constant linear and incremental improvement within existing processes; subset of continual improvement

AC1.3: Evaluate a range of approaches to continuous improvement and the principles on which they are built

- *Approaches to continuous improvement:* e.g. Kaizen; Deming's Cycle; Six Sigma; Lean, Yamazumi chart; Total Quality Management (TQM)

AC1.4: Evaluate the implications of staff involvement in continuous improvement

- *Continuous improvement and staff involvement:* e.g. people having an impact on decisions and actions; accountability and responsibility; implication of leadership styles e.g. Tannenbaum and Schmidt continuum; manufacturing cells; time, cost, productivity etc.

AC1.5: Analyse the development of continuous improvement

- *Development of continuous improvement: stages/process, e.g. establishing an improvement cycle; adopting an improvement process; factors to consider, e.g. culture change process; establish long-term direction to quality improvement; change attitudes, new organisational structures, Management Information Systems (MIS); knowledge management; staff empowerment; career development; recognition; quality improvement projects*

Information for tutors

Suggested resources

Books

Beckford, J – *Quality: A Critical Introduction* (3rd Edition) (Routledge, 2009)
ISBN 9780415996358

Burnes, B – *Managing Change* (5th Edition) (Financial Times/Prentice Hall, 2009)
ISBN 9780273711742

Plenert G. – *Strategic Continuous Process Improvement* (McGraw-Hill Professional, 2012) ISBN 9780071767187

Websites

www.efqm.org – European Federation of Quality Management – copies of the EFQM model and reports on quality management

hbswk.hbs.edu – Harvard Business School Working Knowledge – management practice research

Journals

Management Today, Haymarket Media Group Ltd. has articles on management topics including continuous improvement

Production, Planning and Control, Taylor and Francis, has information on continuous improvement strategies

The TQM Magazine, Emerald, has articles on continuous improvement

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

The main source of evidence for all ACs in LO1 can be through reflective accounts supported by professional discussion to examine the learner's understanding in detail. Reflective accounts will allow the learner to interact with the concepts involved in understanding organisational culture and values. If reflective accounts are used, learners should indicate how this knowledge and understanding impacts on their current work practices or past experiences. Learners should also consider how they could potentially use this knowledge and understanding in their job role to improve future practice. There may be the opportunity for work products to be used as evidence if the learner's role allows. For example, for AC 1.4 the learner could produce an evaluative report for other senior managers on the implications of staff involvement in continuous improvement within their organisations.

For LO2 and LO3 appropriate assessment methods include examining products of the learner's work, for example; files, meeting notes, correspondence, reports etc. and/or using the testimony of other people such as colleagues and managers. For example for AC 2.2, the learners could give a presentation or a formal report to other managers on how they have devised a strategy that is capable of evaluating business performance and identifying areas that could be improved. This evidence can be supplemented with a reflective account. It may be possible dependent on the nature of the learner's job that a full report to the board or senior managers could be made, which covers comprehensively how they have developed and managed continuous improvement. Professional discussion could be used to corroborate the competence of the learner for LO2 and LO3.

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:

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
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)

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

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

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

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

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

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

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

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

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

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

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

AC1.6: Analyse ethical issues relating to networking activities

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

Information for tutors

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

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

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

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

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

Unit 30: 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.

The learner will gain an understanding and be able to demonstrate their competence in being able to assess, monitor and minimise health and safety risks, as well reviewing, communicating and monitoring health and safety within own area of responsibility at work, 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
<p>1 Understand responsibilities and liabilities in relation to health and safety legislation</p>	<p>1.1 Evaluate personal responsibilities and liabilities under health and safety legislation</p> <p>1.2 Describe an organisation's responsibilities and liabilities under health and safety legislation</p> <p>1.3 Identify specialists to consult with when health and safety issues outside own remit are identified</p>
<p>2 Understand how to assess, monitor and minimise health and safety risks in own area of responsibility</p>	<p>2.1 Describe the types of hazards and risks that may arise in relation to health and safety</p> <p>2.2 Explain how to use systems for identifying hazards and assessing risks</p> <p>2.3 Explain how to monitor, evaluate and report on health and safety within own area of responsibility</p> <p>2.4 Describe the types of actions which should be undertaken to control or eliminate health and safety hazards</p>
<p>3 Be able to review health and safety policy in own area of responsibility</p>	<p>3.1 Review written health and safety policy against requirements for own area of responsibility</p> <p>3.2 Communicate any recommendations for changes to health and safety policy to relevant individuals</p>
<p>4 Be able to communicate health and safety policy in own area of responsibility</p>	<p>4.1 Communicate written health and safety policy to all people in own area of responsibility and other relevant parties</p> <p>4.2 Ensure all people in own area of responsibility and other relevant parties understand written health and safety policy</p>

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

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 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:*
 - o *monitoring* – methods, e.g. visual checks, observation, inspection of records, identifying trends, staff feedback
 - o *evaluation* – e.g. benchmarking against industry standards, organisational quality standards, compliance with legislation and regulations
 - o *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 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.

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 31: 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
<p>1 Understand information system design requirements</p>	<p>1.1 Analyse the requirements, advantages and limitations of different ways of storing and managing information in an organisation</p> <p>1.2 Assess the ways in which information can be used by an organisation</p> <p>1.3 Evaluate the implications of data protection requirements for the design of an information system</p>
<p>2 Be able to contribute to the specification of an information system</p>	<p>2.1 Identify the users and stakeholders of an information system</p> <p>2.2 Identify the information that will be managed within a system</p> <p>2.3 Analyse the impact of budgetary constraints on the design of an information system</p> <p>2.4 Specify the functionality of a system that is capable of delivering agreed requirements</p> <p>2.5 Specify access and security restrictions and systems that meet the design specification of an information system</p> <p>2.6 Identify resources needed to implement and operate the system</p> <p>2.7 Adhere to organisational policies and procedures, legal and ethical requirements when contributing to the specification of an information system</p>

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

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

www.skillscfa.org - Skills CFA: Sector Skills council for Business Administration

Assessment

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

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

Wherever possible, centres should adopt an 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 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 32: 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 term, and that information can have many sources and destinations. As organisations diversify and centralise, information also needs to be available to non-managerial staff in a variety of locations. The logical conclusion is that an organisation is now completely dependent on the effectiveness of its information systems in order to survive and thrive in the 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 ongoing needs of an organisation. You will demonstrate your ability to manage information systems which includes hardware, software, people and data. This unit requires you to demonstrate your understanding of change relating to information systems as well as the impact these changes have on individuals, teams and the organisation as a whole whilst remaining compliant with relevant and current legislation.

Learning outcomes and assessment criteria

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

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

AC1.1: Explain the uses of an information system

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

AC1.2: Describe typical information system interfaces

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

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

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

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

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

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

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

Information for tutors

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

www.skillsca.org - Skills CFA: Sector Skills council for Business Administration

Assessment

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

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

Wherever possible, centres should adopt an 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 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 33: 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. It is often used as an opportunity to build relationships among employees as well as with customers and suppliers. The useful outcomes that can flow from an event, which is hosted efficiently, can be significant. Those who attend a successful event will carry back a variety of positive images of the organisers to their respective outfits. However, if things go wrong, an event can be detrimental from the perspective of reputation management. Event management then demands a lot of careful focus if things are to proceed well. Preparation is central to the activities going smoothly.

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

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

Learning outcomes and assessment criteria

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

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

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

Unit amplification

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

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

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

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

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

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

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

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

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

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

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

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

AC1.7: Describe the insurance requirements of an event

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

Information for tutors

Suggested resources

Books

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

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

Websites

www.businessballs.com - Businessballs: online training for careers, work, management, business training and educators

www.edexcel.com/qualifications - Pearson Edexcel Qualifications: provide guidance for Wider Key Skills – Problem solving

www.skillsca.org - Skills CFA: Sector Skills council for Business Administration

Assessment

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

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

Wherever possible, centres should adopt an 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 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 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 34: 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 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
<p>1 Understand the management of customer service operations</p>	<p>1.1 Explain the basis for allocating resources</p> <p>1.2 Assess the suitability of a range of methods to monitor customer service operations</p> <p>1.3 Explain the strategies needed to deliver seamless customer service</p> <p>1.4 Explain techniques used to develop solutions to problems</p> <p>1.5 Evaluate sources of information on customer performance data</p> <p>1.6 Analyse a range of techniques to identify patterns and trends in customer behaviour and customer service performance</p> <p>1.7 Analyse a range of possible improvements to customer service operations</p>
<p>2 Be able to plan customer service operations</p>	<p>2.1 Define the service offer to meet identified customer expectations</p> <p>2.2 Develop plans that will enable sustainable and consistent customer service operations to agreed standards</p> <p>2.3 Develop contingencies that address identified risks</p> <p>2.4 Specify targets, objectives, key performance indicators (KPIs) and monitoring arrangements</p> <p>2.5 Communicate objectives, targets, standards and procedures to staff</p>

Learning outcomes	Assessment criteria
<p>3 Be able to manage customer service operations</p>	<p>3.1 Allocate resources according to agreed priorities</p> <p>3.2 Keep staff informed of developments in the customer service offer</p> <p>3.3 Keep staff informed of developments in best practice for the delivery of customer service</p> <p>3.4 Maintain positive working relationships amongst staff</p> <p>3.5 Carry out monitoring activities in accordance with plans</p> <p>3.6 Manage deviations from expected performance and service failures in accordance with contingency plans</p> <p>3.7 Use feedback from staff and customers to make improvements</p> <p>3.8 Take action within the limits of their responsibility to make improvements to customer service performance</p>
<p>4 Be able to prepare staff for the delivery of customer service</p>	<p>4.1 Confirm that staff understand the vision, objectives, roles, plans, standards and procedures to deliver customer service</p> <p>4.2 Provide training and support that will enable staff to deliver customer service to the required standards</p> <p>4.3 Communicate to staff their roles, responsibilities and work plans in line with delivery plans</p>

Learning outcomes	Assessment criteria
<p>5 Be able to measure customer service performance</p>	<p>5.1 Take action to ensure that systems to collect agreed performance data are in place</p> <p>5.2 Identify trends of customer behaviour and customer service performance from performance data</p> <p>5.3 Benchmark performance against agreed measures</p> <p>5.4 Address identified anomalies and problems</p> <p>5.5 Identify areas for improvement within customer service</p>

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 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.

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, 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 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 maybe 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.

Unit 35: 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
<p>1 Understand how to review the quality of customer service</p>	<p>1.1 Explain the value of measuring the quality of customer service</p> <p>1.2 Analyse the criteria for and factors involved in setting customer service standards</p> <p>1.3 Explain how to construct representative samples</p> <p>1.4 Analyse methods of validating information and information sources</p> <p>1.5 Explain how to set and use customer service performance metrics</p> <p>1.6 Explain the use of customer feedback in the measurement of customer service</p> <p>1.7 Analyse the advantages and disadvantages of a range of data analysis methods</p>
<p>2 Be able to plan the measurement of customer service</p>	<p>2.1 Identify the features of customer service against which customer satisfaction can be measured</p> <p>2.2 Select data collection methods that are valid and reliable</p> <p>2.3 Specify monitoring techniques that measure customer satisfaction</p> <p>2.4 Establish evaluation objectives and key performance indicators (KPIs) in the measurement of customer service</p> <p>2.5 Specify the information to be collected</p>

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

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 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 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 36: **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
<p>2 Be able to develop sales proposals</p>	<p>2.1 Ensure the prospect's or customer's requirements are addressed in the proposal</p> <p>2.2 Ensure that all identified issues requiring clarification are resolved before the proposal is finalised</p> <p>2.3 Identify the conditions and constraints which need to be included within the proposal in order to protect the organisation's interests</p> <p>2.4 Present the proposal in "house style"</p> <p>2.5 Ensure that the proposal is based on market factors</p> <p>2.6 Provide the required level of detail as briefed by the prospect or customer</p> <p>2.7 Ensure that the price reflects the value within the proposal</p> <p>2.8 Gain internal approval before submission</p> <p>2.9 Supply the proposal within the agreed timescale</p>
<p>3 Be able to evaluate the proposal</p>	<p>3.1 Obtain feedback from colleagues and the customer on the proposal</p> <p>3.2 Evaluate the outcome of the proposal and recommend improvements for the future</p>

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.businessballs.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

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

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

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

Unit assessment requirements

This unit must be assessed in the workplace in accordance with the Skills CFA Assessment Strategy for 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 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 37: **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
<p>1 Understand sources and types of information that support sales</p>	<p>1.1 Describe the information about customers' behaviour that is relevant to sales</p> <p>1.2 Explain the nature of competitors' sales activities</p> <p>1.3 Explain the relevance of information from the external business environment to sales</p> <p>1.4 Describe sources of business information relevant to sales</p>
<p>2 Understand internal information that supports sales</p>	<p>2.1 Describe the customer base of the organisation</p> <p>2.2 Explain organisational information storage procedures</p> <p>2.3 Explain organisational procedures for communicating sales-based information to the sales team</p>
<p>3 Be able to carry out a business audit of the internal and external sales environment</p>	<p>3.1 Obtain information about customers and competitors from a variety of sources to enable a business audit to be conducted</p> <p>3.2 Organise sales information to support effective sales planning</p> <p>3.3 Prioritise the internal strengths and weaknesses, and external opportunities and threats the organisation faces in relation to sales objectives</p>
<p>4 Be able to use sales information to support the sales planning function</p>	<p>4.1 Monitor trends and developments that impact on business and sales activities against agreed criteria</p> <p>4.2 Identify market developments and their implications for organisational sales plans</p> <p>4.3 Ensure that sales information is communicated to those who need it in accordance with organisational procedures</p>

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 free 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.

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.pearsonschoolsandcolleges.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/home.html>

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

- planning for the delivery of a new programme
- planning for assessment and grading
- developing effective assignments
- building your team and teamwork skills
- developing learner-centred learning and teaching approaches
- building in effective and efficient quality assurance systems.

The national programme of training we offer is on our website at: <http://qualifications.pearson.com/en/home.html>. You can request centre-based training through the website or you can contact one of our advisers in the Training from Pearson UK team via Customer Services to discuss your training needs.

Training and support for the lifetime of the qualifications

Training and networks: our training programme ranges from free introductory events through sector-specific opportunities to detailed training on all aspects of delivery, assignments and assessment. We also host some regional network events to allow you to share your experiences, ideas and best practice with colleagues in your region.

Regional support: our team of Regional Quality Managers, based around the country, are responsible for providing quality assurance support and guidance to anyone managing and delivering NVQs/Competence-based qualifications. The Regional Quality Managers can support you at all stages of the standard verification process as well as in finding resolutions of actions and recommendations as required.

To get in touch with our dedicated support teams please visit our website at: qualifications.pearson.com

Online support: find the answers to your questions by browsing over 100 FAQs on our website or by submitting a query using our Work Based Learning Ask the Expert Service. You can search the database of commonly asked questions relating to all aspects of our qualifications in the work-based learning market. If you are unable to find the information you need, send us your query and our qualification or administrative experts will get back to you. The Ask the Expert service is available on our website at: www.pearsonwbl.edexcel.com/Our-support

Online forum

Pearson Work Based Learning Communities is an online forum where employers, further education colleges and workplace training providers can seek advice and clarification about any aspect of our qualifications and services, and share knowledge and information with others. The forums are sector specific and cover business administration, customer service, health and social care, hospitality and catering and retail. The online forum is available on our website at: www.pearsonwbl.edexcel.com/Our-support

14 Contact us

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

Email: wblcustomerservices@pearson.com

Telephone: 0844 576 0045

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

Email: wbl@pearson.com

Telephone: 0844 576 0045

Complaints and feedback

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

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

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

Annexe A: Assessment Strategy

The Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership

Contents

No.	Detail	Page
1	Introduction	275
2	External quality control of assessment	276
3	Requirements of assessors, external and internal verifiers	277
4	Evidence	280
5	Employer direct model	281
6	Appendix A – realistic working environment guidelines	282
7	Appendix B – simulation: a list of unit	283

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 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 Assessors 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.

Potential EQAs should:

- 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 EQA² 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.

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 IQA⁴ 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.

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 *Appendix B*.
- Where simulation is used for units at Level 2 and above, it should be 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 *Appendix A*.

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.

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.
- o agree the mapping process with the awarding organisation/body involved
- o demonstrate an equivalent level of rigour and robustness as the achievement of the unit qualification

- **An Awarding Organisation must:**

- o Offer this model to employers only
- o Supply information on the requirements for internal and external moderation/verification activities to assessment centres.

Skills CFA and awarding organisations requires all assessors, moderators and verifiers to maintain current Business Administration, Customer Service and Management and Leadership competence to deliver these functions. Skills CFA recognises this can be achieved in many ways. However, such information must be formally recorded in individual continual professional development (CPD) records that are maintained in assessment centres.

6. Appendix A – Realistic Working Environment Guidelines

Realistic Working Environment (RWE) can be applied to all the units in Appendix B:

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. Appendix B – 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

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