Pearson
BTEC Level 2 Diploma in Team Leading

Specification

Combined (Competence and Knowledge) qualification

First registration September 2014

Issue 2

Edexcel, BTEC and LCCI qualifications

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About Pearson

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This specification is Issue 2. Key changes are listed in the summary table on the next page. We will inform centres of any changes to this issue. The latest issue can be found on the Pearson website: qualifications.pearson.com.

This qualification was previously known as:

Pearson BTEC Level 2 Diploma in Team Leading (QCF)

The QN remains the same.

Summary of Pearson BTEC Level 2 Diploma in Team Leading specification Issue 2 changes

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

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

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

Contents

Purpose of this specification

This specification sets out:

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

1 Introducing Pearson BTEC Combined (Competence and Knowledge) qualifications

What are Combined (Competence and Knowledge) qualifications?

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

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

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

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

Total Qualification Time (TQT)

For all regulated qualifications, 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.

Combined (Competence and Knowledge) 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 BTEC Level 2 Diploma in Team Leading**
Qualification Number (QN)	601/3430/6
Regulation start date	02/06/2014
Operational start date	01/09/2014
Approved age ranges	16-18 19+ Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please refer to the assessment requirements/strategy.
Credit value	40
Assessment available	Portfolio of Evidence (internal assessment) **and** Pearson-devised assessment (onscreen testing).
Total Qualification Time (TQT)	400
Guided learning hours	206
Grading information	The qualification and units are graded pass/fail.

Qualification title	Pearson BTEC Level 2 Diploma in Team Leading
Entry requirements	No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification, however they may be seeking work within the business and professional management sector, intending to return to work after unemployment, or employed in an operational or technician based role; already have core occupational competence and knowledge within the sector, but are aspiring to enter a role that involves leading the development and/or performance of a team. Centres must follow the Pearson Access and Recruitment policy (see *Section 7, Access and Recruitment*).
Funding	Qualifications eligible and funded for post-16-year-olds can be found on the funding Hub. The Skills Funding Agency also publishes a funding catalogue that lists the qualifications available for 19+ funding.

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

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

3 Qualification rationale

Qualification objectives

The Pearson BTEC Level 2 Diploma in Team Leading is for learners who work in, or who want to work in the business and professional management sector.

It gives learners the opportunity to:

- develop and demonstrate competence as a Team Leader, Section Leader, Floor Leader, Trainee Supervisor, Call Centre Team Manager or Supervisor

- develop and demonstrate the skills and knowledge to develop the core competencies of the roles above, including team leadership styles, team dynamics, problem solving, providing support, managing the work of teams and communication techniques

- develop personal growth and engagement in learning through the development of personal, learning and thinking skills (PLTS)

- have existing skills recognised

- achieve a nationally-recognised Level 2 qualification

Relationship with previous qualifications

This qualification is a direct replacement for the Pearson Edexcel Level 2 NVQ Certificate in Team Leading which has expired and the Pearson BTEC Level 2 Certificate in Team Leading which expires December 2014.

Apprenticeships

Skills CFA include the Pearson BTEC Level 2 Diploma in Team Leading as the competencies component for the Intermediate Apprenticeship in Team Leading.

Progression opportunities

Learners who achieve the Pearson BTEC Level 2 Diploma can progress to Pearson BTEC Level 3 Award in Principles of Management, Pearson BTEC Level 3 Certificate in Principles of Management or the Pearson BTEC Level 3 Diploma in Management, which is the competencies component of the Advanced Apprenticeship in Management. Learners may also progress into roles such as Section Manager, Senior Supervisor or Assistant Manager

Industry support and recognition

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

Relationship with National Occupational Standards

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

4 Qualification structure

Pearson BTEC Level 2 Diploma in Team Leading

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	40
Number of mandatory credits that must be achieved	22
Minimum number of optional credits that must be achieved from group B	12
Number of optional credits that must be achieved from either group B or C. A maximum of 6 credits can be taken from group C.	6

Unit	Unit reference number	Mandatory units	Level	Credit	Guided learning hours
1	L/506/1788	Manage Personal Performance and Development	2	4	18
2	T/506/1798	Communicate Work-Related Information	2	4	23
3	H/506/1800	Lead and Manage a Team	2	5	25
4	R/506/2294	Principles of Team Leading	2	5	37
5	R/506/2957	Understand Business	2	4	32
Unit	**Unit reference number**	**Optional units B**	**Level**	**Credit**	**Guided learning hours**
6	R/506/1789	Develop Working Relationships with Colleagues	2	3	19
7	Y/506/2958	Contribute to Meetings in a Business Environment Barred combination with Unit Chair and Lead Meetings	2	3	7
8	J/506/1806	Principles of Equality and Diversity in the Workplace Barred combination with Unit Promote Equality, Diversity and Inclusion in the Workplace	2	2	10

Unit	Unit reference number	Optional units B	Level	Credit	Guided learning hours
9	T/506/1820	Promote Equality, Diversity and Inclusion in the Workplace Barred combination with Unit Principles of Equality and Diversity in the Workplace	3	3	15
10	A/506/1821	Manage Team Performance	3	4	21
11	J/506/1921	Manage Individuals' Performance	3	4	20
12	Y/506/1924	Chair and Lead Meetings Barred combination with Unit Contribute to Meetings in a Business Environment	3	3	10
13	J/506/2292	Encourage Innovation	3	4	14
14	k/506/1927	Manage Conflict within a Team	3	5	25
15	M/506/1928	Procure Products and/or Services	3	5	35
16	M/506/1931	Collaborate with Other Departments	3	3	14
17	F/506/1934	Participate in a Project	3	3	19
Unit	Unit reference number	Optional units C	Level	Credit	Guided learning hours
18	T/505/4673	Health and Safety Procedures in the Workplace	2	2	16
19	R/506/1811	Store and Retrieve Information	2	4	19
20	D/506/1813	Handle Mail	2	3	15
21	L/506/1905	Employee Rights and Responsibilities	2	2	16
22	A/506/2130	Deliver Customer Service	2	5	27
23	F/506/2131	Understand Customers	2	2	17
24	A/506/2158	Resolve Customer Service Problems	2	5	22
25	H/506/1912	Negotiate in a Business Environment	3	4	18
26	K/506/1913	Develop a Presentation	3	3	11
27	M/506/1914	Deliver a Presentation	3	3	17
28	R/506/2151	Resolve Customers' Complaints	3	4	22

5   Programme delivery

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

Whichever mode of delivery is used, centres must make sure that learners have access to specified resources and to the sector specialists delivering and assessing the units. Centres must adhere to the Pearson policies that apply to the different modes of delivery, in particular the policy Collaborative Arrangements for the Delivery of Vocational Qualifications on our website at http://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.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 includes:
  - providing initial advice and guidance, including work tasters, to potential learners to give them an insight into the relevant industry and the learning programme
  - using a range of appropriate and rigorous selection methods to ensure that learners are matched to the programme best suited to their needs
  - carrying out a thorough induction for learners to ensure that they completely understand the programme and what is expected of them. The induction can include, for example, the requirements of the programme, an initial assessment of current competency levels, assessment of individual learning styles, identification of training needs, an individual learning plan, details of training delivery, the assessment process. It is good practice to involve employers in the induction process, this helps them to understand what will be taking place during the programme and enables them to start building a relationship with the centre to support the effective delivery of the programme
  - keeping in regular contact with the learner to keep them engaged and motivated, and ensuring that there are open lines of communication with the learner, the assessor, the employer and teaching staff.

Training and assessment delivery

- Good practice in relation to training and assessment delivery includes:

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

- balancing on-the-job and off-the-job training to meet the knowledge and competence requirements of the programme:

    o off-the-job: the nature of Combined (Competence and Knowledge) qualifications means that the development of technical- and sector-related knowledge is integral to learners achieving them. As a result, learners need to have sufficient time away from the work environment to focus on developing their technical and industry knowledge, and transferable and practical skills related to their job role. Tutors need to use a range of teaching and learning methods to deliver this training effectively, for example demonstration, observation and imitation, practising ('trial and error'), feedback on performance from experts and peers, reflective practice, real-world problem solving, enquiry-based learning, simulation and role play, peer learning, virtual environments, questioning, discussions

    o on-the-job: planning opportunities with the employer for the development and practising of skills on the job. The on-the-job element of the programme offers opportunities for assessment and plays an important role in developing the learner's routine expertise, resourcefulness, craftspersonship and business-like attitude. It is important that there is intentional structuring of practice and guidance to supplement the learning and development provided through engagement in everyday work activities. Teaching and learning methods, such as coaching, mentoring, shadowing, reflective practice, collaboration and consultation, could be used in this structured on-the-job learning

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

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

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

Employer engagement

- Good practice in relation to employer engagement includes:

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

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

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

Delivery guidance for Pearson BTEC Level 2 Diploma in Team Leading

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

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

In mandatory units 'Communicate Work-Related Information' and 'Lead and Manage a Team' there are techniques that have to be established and practiced. Coaching can be used to develop and improve communication skills and team leading techniques. Work shadowing could show learners how experienced and competent colleagues carry out specific tasks. For example, for unit 'Lead and Manage a Team', learners could observe how team leaders support and manage their teams in a variety of contexts and deal with a range of problems, both routine and non-routine, that arise from day-to-day team operations. Learners could be attached to project groups to see how communication of work-related information takes place within and across functional areas of an organisation. Such attachments could also enable learners to identify issues that are relevant to their own personal performance and development to support unit 'Manage Personal Performance and Development'. Job rotation can offer the opportunity to see aspects of team leading from different perspectives with the learner having a range of roles in teams including the opportunity to lead a team for a specific task or project. Widening the learners' job scope could provide them with opportunities to develop team leading skills and could extend the opportunities for personal and professional development.

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

units with a theoretical basis could be delivered through off the job training. Learning time away from the work environment can help learners to broaden their understanding of ideas and concepts, to make links between theory and practice, to reflect on the relevance of the concepts learned and to consolidate their learning. Classes, tutorials and seminars can all be used to deliver the knowledge components of the units. For particular knowledge outcomes in hybrid units then a micro-teaching session could provide the necessary focused input for the topic. For example in unit 'Communicate Work-Related Information' learning outcome 1 could be delivered as a session including presentation techniques and different styles and formats of business writing.

Learning resources for knowledge units such as 'Principles of Team Leading' and 'Understand Business' consisting of explanatory materials, case studies and exercises could be developed and made available to learners in study packs and/or in a computer based learning environment. Investigations into leadership styles in different organisations, role plays around team roles and team dynamics, de-briefings and discussion all offer involving approaches to learning about the principles of team leading and the nature of business and could be considered by learners working together in small groups with tutor support.

Using presentations from team leaders and managers can provide insights into leading and managing teams and provide an understanding of the context in which the organisation operates. Approaches such as this help to show how ideas and concepts are related to work competencies, which in their turn can be developed.

Feedback from tutors and managers about learning could be aligned to learning outcomes and assessment criteria. This would confirm learning, provide direction for the learner and identify additional learning activities as well as being motivating. The feedback would contribute directly to the work needed for unit 'Manage Personal Performance and Development'.

Qualification delivery can be enhanced by co-ordinating and integrating unit delivery. Mandatory units such as 'Lead and Manage a Team' have affinities and links with optional units such as 'Develop Working Relationships with Colleagues' and 'Manage Team Performance'. Understanding employers' expectations and employees' rights and obligations can also be built into the learning for unit 'Manage Personal Performance and Development' and 'Lead and Manage a Team', which both explore the idea of training to achieve goals and career progression. Learning outcome 1 from unit 'Employee Rights and Responsibilities' (ERR): Understand the role of organisations and industries, can be considered alongside the learning for unit 'Understand Business' so ensuring integrated coverage of (ERR). Similarly Personal Learning and Thinking Skills (PTLS) could be developed alongside the learning for units such as 'Manage Personal Performance and Development', which covers a lot of the same skills, such as setting personal goals and reviewing progress. It can benefit learners for delivery of learning outcomes or assessment criteria from different units that cover the same themes and skills, to be delivered holistically, to ensure coherence.

6   Centre resource requirements

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

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

- Where RWE is permitted, it must offer the same conditions as the normal day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working.

- Centres must meet any specific human and physical resource requirements outlined in the assessment strategy in Annexe A. Staff assessing learners must meet the occupational competence requirements within the overarching assessment strategy for the sector.

- There must be systems in place to ensure continuing professional development for staff delivering the qualification.

- Centres must have appropriate health and safety policies, procedures and practices in place for the delivery and assessment of the qualification.

- Centres must deliver the qualification in accordance with current equality legislation. For further details on Pearson's commitment to the Equality Act 2010, please see Section 7, Access and recruitment. For full details on the Equality Act 2010, please go to www.legislation.gov.uk

7 Access and recruitment

Our policy on access to our qualifications is that:

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

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

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

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

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

Prior knowledge, skills and understanding

Learners do not need any prior qualifications, knowledge or experience before starting the qualification however they may be seeking work within the business and professional management sector, intending to return to work after unemployment, or employed in an operational or technician based role; already have core occupational competence and knowledge within the sector, but are aspiring to enter a role that involves leading the development and/or performance of a team.

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

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

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

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

Language of assessment

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

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

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

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

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

Both of the documents above are on our website at http://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html

Competence units – internal assessment

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

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

- achieve all the specified learning outcomes

- satisfy all the assessment criteria by providing sufficient and valid evidence for each criterion

- prove that the evidence is their own.

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

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

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

Learners can provide evidence of occupational competence from:

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

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

- the **Recognition of Prior Learning (RPL)** – where a learner can demonstrate that they can meet a unit's assessment criteria through knowledge, understanding or skills they already possess, without undertaking a course of development. They must submit sufficient, reliable, authentic and valid evidence for assessment. Evidence submitted 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 the above.

Assessment Strategy

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

Types of evidence

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

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

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

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

* products of the learner's work (P)

* personal statements and/or reflective accounts (RA)

* outcomes from simulation (S) - Unit 14 only.

* professional discussion (PD)

* authentic statements/witness testimony (WT)

* expert witness testimony (EWT)

* evidence of Recognition of Prior Learning (RPL).

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

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

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

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

Further guidance on the requirements for centre quality assurance and internal verification processes is available on our website at: qualifications.pearson.com

Knowledge units – external and internal assessment

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

Unit 4: Principles of Team Leading

Unit 5: Understand Business

Unit 23: Understand Customers

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

The following knowledge unit(s) are assessed internally through a Portfolio of Evidence only.

Unit 8: Principles of Equality and Diversity in the Workplace

Unit 21: Employee Rights and Responsibilities

External assessment

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

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

Unit 4: Principles of Team Leading	
Length of assessment	The external assessment will be 45 minutes
Number of marks	35
Assessment availability	On demand
First assessment availability	October 2014
Unit 5: Understand Business	
Length of assessment	The external assessment will be 1 hour
Number of marks	40
Assessment availability	On demand
First assessment availability	October 2014
Unit 23: Understand Customers	
Length of assessment	The external assessment will be 35 minutes
Number of marks	20
Assessment availability	On demand
First assessment availability	October 2014

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

- fully prepared to sit the onscreen tests

- entered for the tests at appropriate times, with due regard for resit opportunities as necessary.

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

Internal assessment

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

- achieve all the specified learning outcomes

- meet the standard determined by the assessment criteria by providing sufficient and valid evidence

- prove that the evidence is their own.

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

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

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

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

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. There is more information on the appeals process in our policy document *Enquiries and Appeals about Pearson Vocational Qualifications,* 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*, available on our website. In most instances, adjustments can be achieved by following the guidance, for example allowing the use of assistive technology, adjusting the format of the evidence. We can advise you if you are uncertain as to whether an adjustment is fair and reasonable. Any reasonable adjustment must reflect the normal learning or working practice of a learner in a centre or working within the occupational area.

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

Special consideration

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

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

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

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

Both of the documents mentioned above are on our website at: 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 BTEC vocational qualifications need to apply for and be granted centre recognition and approval as part of the process for approval to offer individual qualifications.

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

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

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

- number of assessment sites

- number and throughput of learners

- number and turnover of assessors

- number and turnover of internal verifiers.

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

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

For further details, please go to the NVQ Quality Assurance Centre Handbook, the BTEC Apprenticeships Quality Assurance Handbook and the Pearson Edexcel NVQs, SVQs and competence-based qualifications – Delivery Requirements and Quality Assurance Guidance on our website at our website, qualifications.pearson.com.

11 Unit format

Each unit has the following sections.

Unit title

This is the formal title of the unit that will appear on the learner's 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.

Guided learning hours

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

Unit summary

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

Learning outcomes

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

Assessment criteria

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

Unit amplification

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

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

Relationship between amplification and assessment criteria

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

Amplification structure

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

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

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

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

Legislation

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

Information for tutors

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

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

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

Unit 1: Manage Personal Performance and Development

Unit reference number: L/506/1788

Level: 2

Credit value: 4

Guided learning hours: 18

Unit type: Competence

Unit summary

In this unit you will learn how to actively participate in developing your personal skills. Acquiring the habit of continuously learning new skills will be useful throughout your career and will help you to adapt to change.

You will learn how to agree work objectives and the criteria for measuring success, and how to react when faced with a problem. You will learn how to use time-management tools and about ways of minimising distraction from the job in hand.

You will explore how your organisation supports your personal development through its policies and by giving you feedback on your performance. You will look into all the relevant factors affecting how you learn in the workplace, including your preferred learning style and your development needs for your role. This leads on to you negotiating and agreeing personal development objectives and a personal development plan to support you and structure your learning. You will need to show that you have made full use of formal development opportunities, such as training courses, and that you also use informal learning opportunities, such as observing experienced colleagues, to contribute towards achieving your personal development objectives.

Finally, you will review your progress and revise your plans, sharing what you have learned with others.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Be able to manage personal performance	1.1 Agree specific, measurable, achievable, realistic and time-bound (SMART) objectives that align with business needs with line manager
	1.2 Agree criteria for measuring progress and achievement with line manager
	1.3 Complete tasks to agreed timescales and quality standards
	1.4 Report problems beyond their own level of competence and authority to the appropriate person
	1.5 Take action needed to resolve any problems with personal performance
2 Be able to manage their own time and workload	2.1 Plan and manage workloads and priorities using time management tools and techniques
	2.2 Take action to minimise distractions that are likely to limit the effective management of time and the achievement of objectives
	2.3 Explain the benefits of achieving an acceptable "work-life balance"

Learning outcomes	Assessment criteria
3 Be able to identify their own development needs	3.1 Identify organisational policies relating to personal development
	3.2 Explain the need to maintain a positive attitude to feedback on performance
	3.3 Explain the potential business benefits of personal development
	3.4 Identify their own preferred learning style(s)
	3.5 Identify their own development needs from analyses of the role, personal and team objectives
	3.6 Use feedback from others to identify their own development needs
	3.7 Agree specific, measurable, achievable, realistic and time-bound (SMART) development objectives that align with organisational and personal needs
4 Be able to fulfil a personal development plan	4.1 Agree a personal development plan that specifies actions, methods, resources, timescales and review mechanisms
	4.2 Make use of formal development opportunities that are consistent with business needs
	4.3 Use informal learning opportunities that contribute to the achievement of personal development objectives
	4.4 Review progress against agreed objectives and amend plans accordingly
	4.5 Share lessons learned with others using agreed communication methods

Information for tutors

Suggested resources

Books

Cottrell S – *Skills for Success, Personal Development and Employability* (Second Edition) (Palgrave Macmillan, 2010) ISBN 9780230250185

Fleming I – *Time Management Pocketbook* (6th Edition) (Management Pocketbooks, 2011) ISBN 9781903776087

Trough F – *Brilliant Employability Skills* (Pearson FT Prentice Hall, 2011) ISBN 9780273749936

Websites

www.businessballs.com – Personal development learning resources and learning styles tests

www.managers.org.uk – Chartered Management Institute, has a range of resources on setting objectives and personal development

www.mindtools.com – Website providing a wide range of learning resources with some resources on personal and professional development

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meets the assessment criteria, centres should apply the *Unit Assessment Guidance* 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 for learners and the particular assessment context, as appropriate.

Ideally, the approach to assessment of this unit would follow the learner's journey through induction into employment, initial objective setting in the workplace and on to progress reviews and personal development planning. It would be helpful if the assessor and the learner were aware of when the above processes are likely to be undertaken so that assessments can be timed to take advantage of naturally occurring opportunities. The needs of this unit should be considered early on in the course to allow time for setting and achieving objectives, receiving feedback and reviewing progress.

The criteria for learning outcome 1 relate to the learner's work and there will necessarily be a time delay between the learner agreeing to work objectives and their subsequent achievement. Work product evidence can be used for the first two ACs and possibly AC1.3. For AC 1.1 more than one objective is required and each objective should be 'SMART'. A learner log supported by a witness testimony from the learner's line manager would be suitable evidence for the remaining assessment criteria.

For learning outcome 2 there should be opportunities for direct observation, followed by oral question and answers (Q&A) for AC 2.3 which is knowledge based. Repeated performance using a range of time-management techniques for different workloads and priorities is required here. Evidence for these criteria could be gathered holistically whilst collecting evidence for other units.

Learning outcome 3 is about the learner's personal development programme. The objectives for AC 3.7 will focus on personal development planning. These objectives will, therefore, be different from the objectives used for learning outcome 1. Some learners would benefit from a professional discussion for the knowledge ACs 3.1 to 3.5 but others who are happy to write and enjoy having time to think may prefer to produce a reflective account. It should be possible to use work product evidence in the form of the record of the learner's performance review for ACs 3.5 to 3.7.

In many organisations the learner would have a formal personal development plan which could be used as work product evidence for ACs 4.1 and 4.2. If this does not provide all the evidence required then the learner could produce an expanded version of their personal development plan. If the employer does not use personal development plans then it may be necessary to provide a pro forma to help the learner to produce one with the support of their line manager. Similarly, the employing organisation may have a system for the recording of formal and possibly informal learning as a CPD (Continuing Professional Development) record but if this not the case then the learner should be asked to produce a learning log recording details from the beginning of their learning programme.

For ACs 4.4 and 4.5 the learner needs to review their progress, amend their personal development plans and share lessons learned. Ideally, this would be with their line manager and a record of the meeting would provide work produce evidence for these criteria. If there is no formal system then a learning log supported by a witness testimony from the line manager would provide suitable evidence.

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: Communicate Work-Related Information

Unit reference number: T/506/1798

Level: 2

Credit value: 4

Guided learning hours: 23

Unit type: Competence

Unit summary

Communication skills will be important to you in your working life because they are considered to be essential by employers and in many jobs there is a need to communicate in one form or another throughout the working day. Communicating clearly and effectively can avoid costly errors and help an organisation to achieve its goals.

In this unit you will learn about the principles of communicating in the workplace. Consideration will be given to written, oral and electronic communication methods. You will need to comply with your organisation's policies about confidentiality and ensure that your audience has understood your communication.

You will learn how to use oral skills to communicate work-related information. You will also learn to use your written communication skills in the workplace and to follow your organisation's requirements to produce professional and accurate written communications.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles and techniques of work-related communication	1.1 Describe communication techniques used to gain and maintain the attention and interest of an audience
	1.2 Explain the principles of effective written business communications
	1.3 Explain the principles of effective verbal communications in a business environment
	1.4 Describe the importance of checking the accuracy and currency of information to be communicated
	1.5 Describe the importance of explaining to others the level of confidence that can be placed on the information being communicated
	1.6 Describe the advantages and disadvantages of different methods of communication for different purposes
2 Be able to communicate work-related information verbally	2.1 Identify the information to be communicated
	2.2 Confirm that the audience is authorised to receive the information
	2.3 Provide accurate information, using appropriate verbal communication techniques
	2.4 Communicate in a way that the listener can understand, using language that is appropriate to the topic
	2.5 Confirm that the listener has understood what has been communicated

Learning outcomes	Assessment criteria
3 Be able to communicate work-related information in writing	3.1 Identify the information to be communicated
	3.2 Provide accurate information using the appropriate written communication methods and house styles
	3.3 Adhere to any organisational confidentiality requirements when communicating in writing
	3.4 Use correct grammar, spelling, sentence structure and punctuation, using accepted business communication principles and formats
	3.5 Justify opinions and conclusions with evidence

Unit amplification

AC1.1:	Describe communication techniques used to gain and maintain the attention and interest of an audience

	• *Content*: e.g. effective beginning, what is to be covered, something interesting to engage audience, why it is important for audience, structure (e.g. time, priority), content and language to suit audience, visual aids, examples, stories, conclusions, effective ending
	
	• *Maintain attention and interest*:
	
	   o *verbal communication* – e.g. personal presentation, greet audience, courtesy, open posture etc.
	
	   o *written communication* – e.g. consider language, sequence ideas logically, keep to the point etc.

AC1.2:	Explain the principles of effective written business communications
	• *Most appropriate format:* e.g. formal or informal report, letter, email, text message, instant messaging • *Content*: clear, formal vs informal, appropriate to audience, accurate, correct spelling and grammar, structured, logical, clear, can be read quickly, inoffensive, discrete • *Structure*: single topic, heading, introduction, main body, ending, address and sign-off • *Circulation*: internal, external, restricted, unrestricted, direct recipient, use of cc, bcc
AC1.3:	Explain the principles of effective verbal communications in a business environment
	• *Purpose*: inform, guide, persuade, advise, instruct • *Planning*: needs of others, purpose of verbal communication, information needed, time, place, audience • *Delivery*: e.g. greet others, put at ease, agree/outline process/topic, use appropriate language, use appropriate tone, check understanding, actively listen, summarise, agree next steps

AC1.4:	Describe the importance of checking the accuracy and currency of information to be communicated

	• *Currency*: up to date and relevant
	
	• *Accuracy*: error free, correct
	
	• *Importance of checking accuracy and currency*: e.g.
	   o costs of acting on inaccurate or out-of-date information
	   o inaccurate or out-of-date information harms reputation

AC1.5:	**Describe the importance of explaining to others the level of confidence that can be placed on the information being communicated**

	• *Level of confidence about information*: reliability of source, accuracy, currency, whether important context is missing, viewpoint or bias of information, clarity of information, relevance, detail, risk factors
	
	• *Importance of explaining level of confidence*: e.g.
	   o identify the risk associated with the information
	   o identify the consequences of acting on the information provided

AC1.6:	**Describe the advantages and disadvantages of different methods of communication for different purposes**

	• *Purposes*:
	   o exchange information
	   o make or confirm agreements
	   o persuade staff or customers
	   o make plans
	   o develop skills and knowledge
	   o build or maintain relationships
	
	• *Advantages and disadvantages of communication methods to include*:
	   o written: e.g. letters, reports
	   o electronic: e.g. emails, texts
	   o verbal: e.g. telephone calls
	   o face-to-face: e.g. meetings, presentations
	   o distance: e.g. video conferencing

Information for tutors

Suggested resources

Books

Harvard Business Essentials, *Business Communication: Your Mentor and Guide to Doing Business Effectively* (Harvard Business School Press, 2003)
ISBN 9781591391135

Schofield J and Osborn A – *Business Speaking: B1-C2* (Collins Business Skills Communication) (Collins English for Business, 2011) ISBN 9780007423231

Websites

www.bbc.co.uk/schools/gcsebitesize – Learning resources to support development of business skills

www.businessballs.com – Guidance on writing and communicating information

www.mindtools.com – Learning resources to support the development of skills needed to succeed in a career

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.

Learning outcome 1 is knowledge based and suitable methods of assessment include professional discussion, question and answer (Q&A) sessions and a learner diary or reflective account. Assessment for learning outcome 1 could be built into the assessment for learning outcomes 2 and 3, which both require the learner to use communication skills in the course of their work. For example, when assessment for the assessment criteria for learning outcome 2 'Be able to communicate work related information verbally' is being planned or reviewed, the learner could be asked to 'Describe communication techniques used to gain and maintain the attention and interest of an audience' as in AC 1.1.

It should be noted that the verbs used are 'describe' and 'explain' so a list of the main points would be insufficient as this would not be a description. It would be helpful to give learners definitions of the key verbs used for the assessment criteria.

Learning outcome 2 requires the learner to use effective oral communication in the workplace and suitable methods of evidence could be direct observation records from, for example, the assessor attending a pre-arranged event during which the learner is giving information to other people. There are no specific requirements for the size of the 'audience' or the formality of the situation so the learner could be conducting a team briefing, giving a presentation or conducting a one-to-one meeting. If confidentiality issues make it difficult for the assessor to attend an appropriate event then a learner diary supported by other evidence, such as planning documents, and a witness testimony from the learner's line manager could be used.

Learning outcome 3 requires the learner to use written communications in the workplace and suitable methods of assessment could be direct observation by the assessor, supported by the work products that have been produced, for example emails, letters, reports. The assessor should ensure that the documents were produced by the learner, perhaps by checking with a line manager or by viewing feedback from the recipients.

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: Lead and Manage a Team

Unit reference number:	**H/506/1800**
Level:	**2**
Credit value:	**5**
Guided learning hours:	**25**
Unit type:	**Competence**

Unit summary

Being able to lead and manage a team are key skills for all team leaders and managers. In this unit you will learn how to engage with team members so that they have sufficient background information to be able to make a valuable contribution to the team. You will learn to support learners through difficulties and to recognise their achievements.

Performance management is important in all organisations and you will learn how to allocate responsibilities and agree goals for your team members. You will need to ensure that they have the resources to enable them to undertake work and then monitor and support them as they complete it.

Dealing with problems and the unforeseen are important and challenging aspects of team leading. In this unit you will be given opportunities to manage problems and/or disagreements and to adapt any initial plans as circumstances 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
1 Be able to engage and support team members	1.1 Explain organisational policies, procedures, values and expectations to team members
	1.2 Communicate work objectives, priorities and plans in line with operational requirements
	1.3 Explain the benefits of encouraging suggestions for improvements to work practices
	1.4 Provide practical support to team members facing difficulties
	1.5 Explain the use of leadership techniques in different circumstances
	1.6 Give recognition for achievements, in line with organisational policies
	1.7 Explain different ways of motivating people to achieve business performance targets
2 Be able to manage team performance	2.1 Allocate responsibilities making best use of the expertise within the team
	2.2 Agree with team member(s) specific, measurable objectives (SMART) in line with business needs
	2.3 Provide individuals with resources to achieve the agreed objectives
	2.4 Monitor individuals' progress, providing support and feedback to help them achieve their objectives
	2.5 Explain techniques to monitor individuals' performance
	2.6 Report on team performance in line with organisational requirements

Learning outcomes	Assessment criteria
3 Be able to deal with problems within a team	3.1 Assess actual and potential problems and their consequences
	3.2 Report problems beyond the limits of their own competence and authority to the right person
	3.3 Take action within the limits of their own authority to resolve or reduce conflict
	3.4 Adapt practices and processes as circumstances change

Information for tutors

Suggested resources

Books

Carysforth et al – *BTEC First Business* (Pearson Education Limited, 2013)
ISBN 9781446901366

Leigh A and Maynard M – *Leading your Team: How to Involve and Inspire Teams*
(2nd Revised Edition) (Nicholas Brealey Publishing, 2002) ISBN 9781857883046

Owen J – *How to Lead: What You Actually Need to Do to Manage, Lead and Succeed*
(2nd Edition) (Pearson Education Limited, 2009) ISBN 9780273721505

Websites

www.mindtools.com – Learning resources to support development of skills needed
to succeed in a career

www.psychology.about.com – Website for students of psychology, includes
information on leadership and teams

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.

Most of this unit is to be assessed through collecting evidence of the learner's day-to-day management of their team, so it is essential that the learner has a team to run over a period long enough to show the required competences.

In learning outcome 1, ACs 1.3, 1.5 and 1.7 are knowledge based so assessment could be through a professional discussion, oral question and answer (Q&A) sessions or a learner diary

ACs 1.1, 1.2, 1.4 and 1.6 require interaction with the learner's team members, appropriate assessment methods would be those that capture evidence of practical application, for example direct observation or work product evidence such as presentation materials, and witness testimonies.

ACs 2.1 to 2.4 and 2.6 could be assessed through a combination of direct observation, of a team briefing or of the learner delegating work to members of their team, work products and a learner diary supported by witness testimonies from the line manager. The assessor needs to ensure that sufficient time has elapsed between the assessment of the different parts of this learning outcome, this is to give the learner's team members time to work on the objectives set, so that monitoring and reporting on performance are meaningful and not just initial findings. AC 2.5 is a knowledge AC requiring the learner to explain techniques so it could be assessed through professional discussion or oral question and answer (Q&A) session.

All the ACs in learning outcome 3 require the learner to show competence in the workplace. The assessment opportunities are dependent on problems, conflict and changed circumstances and the learner should be alerted to the value of identifying opportunities as they occur for displaying these competences. The learner could be encouraged to maintain a learner diary to build a record of day-to-day activities.

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:   Principles of Team Leading

Unit reference number: **R/506/2294**

Level: **2**

Credit value: **5**

Guided learning hours: **37**

Unit type: **Knowledge**

Unit summary

In this unit you will learn about the principles behind good practice in team leading. Understanding these principles will increase your ability to be a flexible and successful team leader in all situations.

Firstly, you will learn about how effective team leaders behave and how this behaviour helps to use the energy of team members and benefit the organisation. Next you will go on to explore the dynamics of teams, including key theories about the different roles we play in a team and how teams evolve over a period of time. You will then go on to consider how to manage the work of teams and solve problems. You will learn the principles of successfully steering your team through changes in the workplace. Finally, you will explore more about what motivates your team members to do their very best and the actions you can take as a team leader to make this happen.

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 leadership styles in organisations	1.1 Describe characteristics of effective leaders
	1.2 Describe different leadership styles
	1.3 Describe ways in which leaders can motivate their teams
	1.4 Explain the benefits of effective leadership for organisations
2 Understand team dynamics	2.1 Explain the purpose of different types of teams
	2.2 Describe the stages of team development and behaviour
	2.3 Explain the concept of team role theory
	2.4 Explain how the principle of team role theory is used in team building and leadership
	2.5 Explain typical sources of conflict within a team and how they could be managed
3 Understand techniques used to manage the work of teams	3.1 Explain the factors to be taken into account when setting targets
	3.2 Describe a range of techniques to monitor the flow of work of a team
	3.3 Describe techniques to identify and solve problems within a team
4 Understand the impact of change management within a team	4.1 Describe typical reasons for organisational change
	4.2 Explain the importance of accepting change positively
	4.3 Explain the potential impact on a team of negative responses to change
	4.4 Explain how to implement change within a team

Learning outcomes	Assessment criteria
5 Understand team motivation	5.1 Explain the meaning of the term "motivation"
	5.2 Explain factors that affect the level of motivation of team members
	5.3 Describe techniques that can be used to motivate team members
	5.4 Explain how having motivated staff affects an organisation

Unit amplification

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

AC1.1:	Describe characteristics of effective leaders
	• *Effective leaders*: adaptable, self-confident, proactive, reliable, ambitious, motivational, vision, has honesty and integrity, decisive, works well under pressure
AC1.2:	**Describe different leadership styles**

	• *Lewin's leadership styles:*
	   o *autocratic:* provide clear expectations, clear division between leader and followers, independently makes decisions
	   o *participative:* offer guidance and encouragement, consult on decisions but retain the final say
	   o *laissez-faire:* offer little or no guidance, leave decision making up to team members
	• *Goleman's leadership styles:*
	   o *coercive:* demands team members comply with orders
	   o *authoritative:* encourages team members to work towards a provided vision
	   o *affiliative:* supports team members emotionally to build relationships
	   o *democratic:* team members collaborate and make team decisions
	   o *pacesetting:* sets high performance standards for team members
	   o *coaching:* assists team members in their development

AC1.3:	**Describe ways in which leaders can motivate their teams**

	• *Motivating teams:*
	   o sharing vision and values
	   o valuing people
	   o giving feedback and recognition
	   o offering minimal criticism
	   o fostering creativity
	   o stretching people's talents
	   o managing aspirations

AC1.4:	Explain the benefits of effective leadership for organisations
	• *Effective leadership*: achievement of objectives, motivation of staff, developing people's skills, shared vision and values • *Benefits for organisations*: meeting organisations' needs, enhanced reputation, retain customers, increase customer base, increase profits, improved business performance, motivated staff, retention of staff

AC2.1:	Explain the purpose of different types of teams

	• *Different types*: temporary, permanent, interdependent, cross-functional
	
	• *Purposes*:
	
	  o *temporary:* time-limited task groups to complete projects or specific short-term tasks or an excess of work for the permanent team
	
	  o *permanent:* long-term members of staff who complete business as usual tasks
	
	  o *interdependent:* team members contribute to an overall goal, team members support one another to complete the task and often have similar roles and skills so they are interchangeable
	
	  o *cross-functional:* team members are drawn from different areas of the organisation with different specialisms to solve problems or work on complex projects

AC2.2:	Describe the stages of team development and behaviour

	• *Tuckman's stages of team development:*
	
	  o *forming:* dependent on leader for direction, individual roles not yet developed
	
	  o *storming:* team members compete for positions with one another and with the leader
	
	  o *norming:* team members accept their roles and responsibilities and cooperate with one another
	
	  o *performing:* the team functions well and knows its purpose clearly, the leader delegates and oversees
	
	  o *adjourning (transforming):* the group breaks up or moves on to a new project
	
	• *Typical behaviour of team members at each stage:*
	
	  o *forming:* positive, polite, anxious, excited to get on with the task
	
	  o *storming:* frustrated with leadership and team members
	
	  o *norming:* respectful of leadership and team members' strengths and weaknesses
	
	  o *performing:* productive, cooperative and efficient
	
	  o *adjourning (transforming):* positive if the team is moving on to a new project together, mournful if the team is being broken up

AC2.3:	**Explain the concept of team role theory**
	• *Team role theory*: meaning of 'role', significance of roles played in a team, team members behavioural strengths and weaknesses
	• *Belbin's team roles, contributions and allowable weaknesses of each role*:
	o *plant:* highly creative and good at problem solving; unconventional and forgetful
	o *resource investigator:* strong competitor with sector knowledge; can become forgetful and distracted from the purpose
	o *co-ordinator:* focused on team goals and good at delegation; may delegate too much work away from themselves
	o *shaper:* good at motivating others and keeping the team on target; can be aggressive or behave badly whilst trying to keep team on target
	o *monitor-evaluator:* logical and impartial; too critical and slow
	o *teamworker:* flexible and good at supporting team dynamics; can struggle to make decisions when facing opposition from other team members
	o *implementer:* practical and efficient in planning work; can be inflexible if alternative, more-effective plans are put forward by other team members
	o *completer finisher:* high standards and good at evaluating teamwork; can be too picky
	o *specialist:* in-depth knowledge of a specific area; may not see the bigger picture or be able to work flexibly in different areas
AC2.4:	**Explain how the principle of team role theory is used in team building and leadership**
	• *Team role theory in team building*: selection of team members, selection of tasks to meet team members' contributions and allowable weaknesses, raising self-awareness of individual team members, building mutual respect, encouraging co-operation between team members based on understanding individuals' behavioural strengths and allowable weaknesses, developing strategies for effective team working for the future
	• *Team role theory in leadership*: allocation of work, selection of members of sub-groups, awareness of contributions and allowable weaknesses, create a balanced team, address possible tensions or weaknesses in the team

AC2.5:	Explain typical sources of conflict within a team and how they could be managed
	• *Sources of conflict within a team*: Bell and Hart's eight causes of conflict (conflicting resources, conflicting working styles, conflicting perceptions, conflicting goals, conflicting pressures, conflicting roles, different personal values, unpredictable policies) • *Managing conflict*: negotiation, open communications, learning about personality types, setting non conflicting goals, clear explanation of policies, consistent application of policies; early intervention
AC3.1:	**Explain the factors to be taken into account when setting targets**

	• *Types of targets:*
	
	   o *performance:* measurements for individuals or teams to show how their individual work contributes to the organisation's goals; to check that their output is in line with expectations in terms of quality, quantity and meeting the agreed deadline
	
	   o *learning:* individual or team-development needs to meet overall performance targets
	
	• *Business factors*: business objectives, business priorities, resources – physical, human, budgetary
	
	• *Team factors*: experience, skills, previous achievements, aspirations, developmental needs, workload
	
	• *Targets should be SMART* – specific, measurable, achievable, realistic and time-bound

AC3.2:	**Describe a range of techniques to monitor the flow of work of a team**
	• *Project-management techniques*: set team and individual performance and learning objectives, monitor deadlines, monitor work and project milestones, progress reporting, Gantt charts to monitor project schedules • *Performance management techniques*: key performance indicators (KPIs), benchmarking against successful teams or projects, work measurement, setting and monitoring milestones
AC3.3:	**Describe techniques to identify and solve problems within a team**
	• *Problems*: lack of cohesion, loss of team members, unmotivated team members, conflict, weak leadership, authoritarian leadership, poor planning, too many of the same Belbin role, reduction in productivity, signs of stress, missed deadlines • *Identify problems*: observation, appraisals, one-to-one meetings, key performance indicators (KPIs), staff absences, monitor quality and quantity of work • *Techniques to solve problems*: team briefings, one-to-one meetings, team review meetings, succession planning, goal setting, rewards, coaching, team planning meetings

AC4.1:	**Describe typical reasons for organisational change**
	• *Organisational change*: takeover, merger, methods of working, location of work, job roles, reporting relationships, rebranding, technology
	• *Typical reasons for change*: activities of competitors, improvements in technology, desire for growth, desire to improve processes, government regulations; survival
AC4.2:	**Explain the importance of accepting change positively**
	• *Accepting change positively*: understanding new requirements, maintaining quality and quantity of work, identifying benefits of change
	• *Importance of being positive*: effective implementation of change, support team members, maintain optimistic outlook, maintain output of work, enhance opportunities for team members to develop new skills
AC4.3:	**Explain the potential impact on a team of negative responses to change**
	• *Negative responses to change:* resistance to change, reduced motivation, reduced productivity, loss of team members
	• *Potential impact:* failure to meet business needs, increased stress, reduced pay, reduced opportunities for development, reduced job security, loss of team members, reduced job satisfaction
AC4.4:	**Explain how to implement change within a team**
	• *Overcoming resistance*: communicate reasons, consult, support team members, share the vision, set positive example, link to individual goals, allow staff to participate in decisions, empowerment
	• *Implementing change*: forcefield analysis, brainstorming, re-training, participative planning, setting milestones and deadlines, giving rewards, involvement of staff in change process
AC5.1:	**Explain the meaning of the term "motivation"**
	• *Motivation*: drive to behave in a certain way, decision to start an activity, effort to complete the activity, enthusiasm, willingness, pursuit of a goal, incentive to complete an activity
AC5.2:	**Explain factors that affect the level of motivation of team members**
	• *Factors that affect motivation positively*: reward (financial, praise, recognition, celebrating success), shared vision and values, feeling valued, feedback, fostering of creativity, stretching talents, aspirations encouraged
	• *Factors that affect motivation negatively*: criticism, not feeling supported, favouritism, excessive workload, pay and working conditions, lack of recognition

AC5.3:	Describe techniques that can be used to motivate team members
52	• *Techniques*: regular team briefings, team reviews, team and individual goal setting, support, rewards (financial, praise, recognition, celebrating success), incentives, constructive feedback, one-to-one meetings, equal treatment of all team members, setting a good example, consistency and fairness, offering learning and development opportunities for team members, encouraging aspirations, providing opportunities for stretching talents

AC5.4:	Explain how having motivated staff affects an organisation
	• *Effect on organisation:* o *improvements in:* work output, customer relations, customer retention, profitability, growing customer base, business performance, reputation, retention of staff, recruitment (costs reduced, better applicants, staff turnover reduced), reputation

Information for tutors

Suggested resources

Books

Carysforth et al – *BTEC First Business* (Pearson Education Limited, 2013)
ISBN 9781446901366

Leigh A and Maynard M – *Leading your Team* (2nd Revised Edition)
(Nicholas Brealey Publishing, 2004) ISBN 9781857883046

Owen J – *How to Lead* (3rd Edition) (Pearson Education Limited, 2011)
ISBN 97827375961

Websites

www.acas.org.uk – Advisory, Conciliation and Arbitration Service, materials to support management in the workplace

www.bized.co.uk – Educational resources for business studies

www.businessballs.com – Learning and development resources for organisations

www.mindtools.com – Learning resources to support development of skills needed to succeed in a career

www.psychology.about.com – Website for students of psychology, includes information on leadership and teams

Assessment

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

External assessment

External assessment is through an onscreen test. Pearson will set and mark this test. The text lasts for 45 minutes and is worth 35 marks. The assessment is available on demand.

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

Internal assessment

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

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

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

Unit assessment guidance

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

All learning outcomes can either be assessed by a structured written assessment or oral question and answer sessions (Q&A). If written assessment is used, it should allow the learners to contextualise and relate the concepts to their own working environment and work experiences. The written assessment can take the form of a single project or a series of linked or separate tasks, and learners can provide evidence in different formats such as reports, presentation slides, workbooks, reflective accounts and directed assignments, as long as they allow the learner to present the evidence required to meet the assessment criteria. If oral question and answer (Q&A) is used then this should be integrated, as far as possible, with the assessment of work-based competencies in related competence units. For example, learning outcomes 1, 3, 4 and 5 could be holistically assessed with the competence unit '*Lead and Manage a Team'*. The oral question and answer (Q&A) session must be recorded and supported by a signed witness statement from the assessor and the learner's notes or visual aids. The assessor must ensure that the signed statement includes sufficient detail to support the assessment decisions for the learning outcomes and the related assessment criteria.

Learning outcome 2 must only be assessed by structured written assessment to allow the learners to demonstrate the depth and breadth of evidence required to meet the assessment criteria. This could be one single project or a series of linked or separate tasks. Whilst this learning outcome requires the learner to demonstrate generic and theoretical knowledge and understanding, there are still opportunities for learners to relate this to their working environment and working experiences and this should be utilised in the design of the assessment. Evidence could be presented in a range of formats similar to those stated above.

Unit 5: Understand Business

Unit reference number: R/506/2957

Level: 2

Credit value: 4

Guided learning hours: 32

Unit type: Knowledge

Unit summary

When you first start work in an organisation you will hear people use unfamiliar terms and phrases that seem to be from a foreign language. Some of this terminology will be used only in your organisation or industry but much of it will be general business language.

This unit will help you to make sense of business terminology and principles. You will learn about sectors and structures, and how to work out what businesses are trying to achieve. You will then go on to consider the different influences on businesses and how they are monitored. This leads into looking at the need for businesses to be flexible and to be able to change in response to changing influences. Next, you will study the legal requirements for businesses for health and safety and confidentiality, and how businesses work sustainably.

You will look into the important area of business and financial planning. You will learn about the most important financial terminology and the financial reports that are used by most businesses.

You will go on to learn about measuring business performance and how data from everyday work is collected and analysed so that decisions can be made to benefit the business. You will also learn about delegation, responsibility and accountability.

By the time you have completed the unit you will have gained a good understanding of the principles of business used by all organisations.

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 organisational structures	1.1 Explain the differences between the private sector, the public sector and the voluntary sector
	1.2 Explain the features and responsibilities of different business structures
	1.3 Explain the relationship between an organisation's vision, mission, strategy and objectives
2 Understand the business environment	2.1 Describe the internal and external influences on a business
	2.2 Explain the structure and use of a strength, weakness, opportunity and threat (SWOT) analysis
	2.3 Explain why change can be beneficial to business organisations
	2.4 Explain organisations' health and safety responsibilities
	2.5 Describe sustainable ways of working
	2.6 Explain how legislation affects the management and confidentiality of information
3 Understand the principles of business planning and finance within an organisation	3.1 Explain the purpose, content and format of a business plan
	3.2 Explain the business planning cycle
	3.3 Explain the purpose of a budget
	3.4 Explain the concept and importance of business risk management
	3.5 Explain types of constraint that may affect a business plan
	3.6 Define a range of financial terminology
	3.7 Explain the purposes of a range of financial reports

Learning outcomes	Assessment criteria
4 Understand business reporting within an organisation	4.1 Explain methods of measuring business performance
	4.2 Explain the uses of management information and reports
	4.3 Explain how personal and team performance data is used to inform management reports
	4.4 Describe a manager's responsibility for reporting to internal stakeholders
5 Understand the principles of management responsibilities and accountabilities within an organisation	5.1 Explain the principle of accountability in an organisation
	5.2 Explain the difference between 'authority' and 'responsibility'
	5.3 Explain the meaning of delegated levels of authority and responsibility

Unit amplification

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

AC1.1:	**Explain the differences between the private sector, the public sector and the voluntary sector**

	• *Ownership*
	    o *private sector organisations* – owned by individuals, partners or shareholder
	    o *public sector* – owned by the country, paid for by taxes or government money
	    o *voluntary sector* – 'third sector', owned by the charity or trust
	 • *Purpose*
	    o *private sector* – provide profits for owners
	    o *public sector* – provide services or resources to public
	    o *voluntary sector* – benefit the public, community interest, charities

AC1.2:	Explain the features and responsibilities of different business structures

	• *Private*
	
	   o *sole trader:* easy to set up, owner responsible for all activities, unlimited liability for debts
	
	   o *partnership:* share skills and profits, unlimited liability
	
	   o *Private Limited Company (Ltd):* registered, submit annual accounts, limited liability
	
	   o *Public Limited Company (Plc):* registered, shares openly traded, public accounts, limited liability
	
	   o *cooperatives:* owned by members, managed by members, profits shared, run for benefit of members, limited liability
	
	• *Public*
	
	   o *government departments*
	
	   o *ministerial departments*: run by a minister, develop government policy, implement government policy, each department is responsible for different services or resources, accountable to the government
	
	   o *non-ministerial departments*: not run by an individual minister, run by a board, not linked to a political party, used to regulate or inspect
	
	   o *agencies*: QUANGOs (quasi-autonomous non-governmental organisations) provide specialist services to government departments, receive funding from government
	
	• *Third sector*
	
	   o *charities:* registered, abide by regulations, managed by trustees, members and trustees responsible for debts
	
	   o *charitable incorporated organisation:* registered, abide by regulations, managed by trustees, limited liability
	
	   o *social enterprises:* applies commercial strategies to maximise improvements in human and environmental wellbeing, rather than maximising profits for external shareholders

AC1.3:	Explain the relationship between an organisation's vision, mission, strategy and objectives
	• *Vision*: desired future state for the organisation • *Mission*: what organisation currently does, who organisation serves, how organisation works • *Strategy*: long term, plan of action, corporate, business unit, operational, plans to achieve the mission and vision • *Objectives*: specific goals, steps towards implementing strategic plans and achieving the organisation's vision • *Objectives to be met by*: parts of business, teams, individuals

AC2.1:	**Describe the internal and external influences on a business**

60	• *Internal influences*:
	
	   ○ *purpose of the organisation:* vision, profit or not for profit, type of service or resource
	
	   ○ *sector and type of ownership:* public, private, voluntary, board, individual, partnership
	
	   ○ *history:* length of time the organisation has offered the same service or resource, reputation
	
	   ○ *skills within workforce:* internal, external, transferrable, specific
	
	   ○ *resources:* physical, human, financial
	
	• *External influences*:
	
	   ○ *competition:* local or national organisations offering the same or similar service or resource, size and success of competition, reputation of competition
	
	   ○ *suppliers:* quantity, quality, location, price, reliability
	
	   ○ *labour market:* skill of potential workforce, people moving between organisations, size of the pool of potential workforce
	
	   ○ *customer/user needs:* in line with organisation's offering or not in line with organisation's offering, customer expectations
	
	   ○ *regulations:* health and safety, equality, financial, legal, contracts, consumer
	
	   ○ *economy:* supply, demand, recession, growth
	
	   ○ *infrastructure:* transport, power, internet, water supply

AC2.2:	**Explain the structure and use of a strength, weakness, opportunity and threat (SWOT) analysis**

	• *Structure*:
	
	   ○ *strength* – internal, present
	
	   ○ *weakness* – internal, present
	
	   ○ *opportunities* – external, future
	
	   ○ *threats* – external, future
	
	• *SWOT analysis*: presented in a four-square grid
	
	• *Uses different viewpoints* – internal, external, present, future
	
	• *Uses*: part of audit evaluation of strategy, team analysis to analyse the performance of a team and plan for future improvements, project planning and post-project analysis to review the success and learn lessons, part of evaluation of success of product or service, can be used for most problem solving issues or decision making

AC2.3:	**Explain why change can be beneficial to business organisations**
	• *Benefits of change – external*: improve product or service, retain customers, gain customers, gain advantage over competitors, improve reputation
	• *Benefits of change – internal*: save costs, increase profits, invest in new developments, gain skills, gain flexibility, improve procedures
AC2.4:	**Explain organisations health and safety responsibilities**
	• *Legislation*: *Health and Safety at Work Act 1974* requirements and the regulations within this act:
	o *management of health and safety at work regulations:* employers must carry out risk assessments; appoint people to monitor health and safety and provide training for employees and information for employees, customers and visitors
	o *workplace regulations:* ventilation, heating, lighting, workstations, seating
	o *personal protective equipment PPE) regulations*: providing appropriate protective clothing and equipment for employees
	o *provision and use of work equipment regulations:* providing safe equipment, including machinery
	o *manual handling operations regulations:* safe moving of objects by hand or bodily force
	o *first aid regulations:* provision of first aid
	o *Reporting of Injuries, Diseases and Dangerous Occurrences 2013 (RIDDOR) regulation:* employers are required to report certain workplace injuries, diseases and dangerous events
	• *Risk assessment*: identification of potentially harmful activities, protect employees, control risks, put in measures to reduce risk
AC2.5:	**Describe sustainable ways of working**
	• *Energy saving*: heating, cooling, lighting, use of equipment, transport, use of water
	• *Purchasing*: rating for equipment, agreements with suppliers, life of products, repair and reuse
	• *Recycling*: policies, facilities, awareness, separating waste, limited printing
	• *People*: policies, targets, engagement of staff, training of staff

AC2.6:	Explain how legislation affects the management and confidentiality of information

	• *Data Protection Act 1998* – main principles about keeping of information:
	    o used fairly and lawfully
	    o used for limited, specifically stated purposes
	    o used in a way that is adequate, relevant and not excessive
	    o kept for no longer than is necessary
	    o handled according to people's data protection rights
	    o kept safe and secure
	    o not transferred outside the UK without adequate protection
	    o additional safeguards for sensitive information on ethnicity, political opinions, religion, health, sexual health, criminal records
	
	 • *The Freedom of Information Act 2000*: anyone can request the recorded information any public sector organisation has on any subject
	
	 • *Intellectual Property Rights*: brand, invention, design, text, music, rights of owner to protect, patents, copyright, trademarks
	
	 • *How this legislation affects the management of information*: organisational policies are required, monitoring of how the regulations are applied, dealing with requests for information, training staff on how to comply with policies and regulations file protection, secure keeping of paper files, secure shredding of sensitive information

AC3.1:	Explain the purpose, content and format of a business plan
	• *Purpose*: develop ideas in detail, identify potential problems, support application for funding, set goals, measure progress • *Content*: current situation, goals, financial forecasts, sales forecasts, proposed product or service, resources needed, key people, information in support of plan, steps to be taken to implement plan • *Format*: document – executive summary, introduction, sections with content, use of tables, charts and references, appendices, supporting presentation
AC3.2:	Explain the business planning cycle
	• *Cycle*: continuous, repeating • *Elements of business planning cycle*: Where are we now? Where do we want to be? How can we get there? How will we know whether we got there? • *Use and purpose*: analyse organisation's performance, analyse team performance, decide on future direction of the organisation, set clear goals to achieve organisation's vision, evaluate project success, create and amend strategies for improvement, identify risks and plan for avoiding risks

AC3.3:	Explain the purpose of a budget
	• *Planning*: allocate money, enable goals to be achieved, set priorities, set targets in money terms • *Monitoring*: actual against plan, identify differences, reveal problems, take remedial action

AC3.4:	Explain the concept and importance of business risk management
	• *Business risks*: threats to profitability • *Risks – unexpected loss of*: customers, raw materials, staff, skills, power, data, finance, premises, reputation, law and order • *Business risk management*: identify risks, evaluate impact of each risk, evaluate likelihood of risk happening, identify methods of reducing risk, select methods to use • *Importance*: avoid unnecessary risks, ensure continuity of business, ensure job security, attract investors, maintain or improve reputation, retain customers

AC3.5:	Explain types of constraint that may affect a business plan
	• *Internal*: lack of appropriately skilled staff, time, workload, commitment, premises, equipment, lack of raw materials, increased cost of raw materials, money, lack of support from organisation • *External*: lack of customers, competitors' activities, regulations, change within suppliers, unexpected disruptions – weather, social unrest, banking crisis, economy

AC3.6:	Define a range of financial terminology

	• *Range of financial terminology*:
	
	  o *assets:* anything owned by the organisation with a monetary value
	
	  o *balance sheet:* shows what assets and debts the organisation has at any point
	
	  o *budget:* the amount of money available to spend on an activity or resource
	
	  o *cashflow:* the movement of cash in and out of an organisation from day to day
	
	  o *creditor:* the person who can claim money owed as a debt
	
	  o *debtor:* the person who owes money as a debt
	
	  o *forecast:* a prediction of performance, costs and revenues
	
	  o *liabilities:* what the organisation owes in debts and loans
	
	  o *profit:* the money the organisation has left after debts and costs for staff and raw materials are paid
	
	• *working capital*: current assets minus current liabilities, the money circulating to finance work in progress

AC3.7:	Explain the purposes of a range of financial reports

64	• *Range of financial reports:*
	
	   o *income statement:* shows an organisation's income, expenses and profits over a period of time, enables the organisation to see how well it is performing
	
	   o *balance sheet:* shows what assets and debts the organisation has at a fixed point, used to see a 'snapshot' of the company's performance, usually at the end of a financial year
	
	   o *cashflow statement:* shows what cash is available and moving through the organisation at any point, necessary to pay suppliers, employees and creditors, enables the organisation to see what it can afford to do
	
	• *Users of financial reports:*
	
	   o *managers:* monitor progress, plan
	
	   o *funders:* make funding decisions, monitor investment returns
	
	   o *government:* assess tax

AC4.1:	**Explain methods of measuring business performance**
	• *Overall performance*: use SWOT analysis and data analysis to check achievement of goals (objectives), measurement of Key Performance Indicators (KPIs), benchmarking against competitors • *Financial performance*: use financial reports to establish profit, gross profit, net profit, sales, return on capital employed (ROCE) • *Customers*: analysis of market share, customer satisfaction surveys, social media reviews, retention of customers, growth of customer base
AC4.2:	**Explain the uses of management information and reports**
	• *Management information*: data, information, computer-based information systems • *Uses of management information*: plan operations (schedule staff, order raw materials), monitor achievement against objectives (sales, completed work, profit), forecasts (future demand, staffing requirements), identify problems (control loop), monitor trends (increases, decreases), inform strategic planning • *Types of report*: summary (sales, stock, purchases), trend, exception, on-demand
AC4.3:	**Explain how personal and team performance data is used to inform management reports**
	• *Personal and team performance data*: targets met, planned vs actual, bonuses achieved, milestones, key performance indicators (KPIs), appraisal results • *Inform management reports*: identify areas where action is required, risk analysis, resource allocation, training needs, career planning, business planning, business performance, workforce planning

AC4.4:	**Describe a manager's responsibility for reporting to internal stakeholders**
	• *Reporting to:* ○ *owners:* profit or loss, forecasts, problems, opportunities ○ *senior manager:* progress with delegated work, problems, opportunities ○ *other managers:* coordination, share learning, share resources, within confidentiality guidelines ○ *employees (own staff):* feedback, coordination, development of staff, within confidentiality guidelines • *Whistleblowing*: alert to illegal activities, rare
AC5.1:	**Explain the principle of accountability in an organisation**
	• *Accountability*: person accountable is answerable for end result; cannot be delegated; ultimate responsibility for actions, products, decisions, and outcomes; must disclose results in a transparent manner; responsibility for money or other assets; must suffer punishment in the event of misconduct
AC5.2:	**Explain the difference between 'authority' and 'responsibility'**
	• *Authority*: different levels of power, right to make decisions, can be delegated downwards, can allocate resources, can give orders • *Responsibility*: duty, obligation, accountability, ultimate responsibility cannot be delegated • *Balance*: need for workers to have authority needed to meet responsibilities
AC5.3:	**Explain the meaning of delegated levels of authority and responsibility**
	• *Delegation*: tasks or duties are passed to another employee, from senior manager to manager, manager to team leader, team leader to team members • *Delegation of authority*: decision-making power passed from one employee to another • *Delegation of responsibility*: the responsibility for actions is passed to another employee, though accountability remains with the task owner

Information for tutors

Suggested resources

Books

Atkinson, S – *The Business Book (Big Ideas Simply Explained)* (Dorling Kindersley Publishing, 2014) ISBN 9781465415851

Carysforth C et al – *BTEC First Business* (Pearson, 2013) ISBN 9781446901366

Websites

tutor2u.net – Resources for business students

www.bbc.co.uk/schools/gcsebitesize – Resources for learning and revision of business topics

www.carbontrust.com – Information on sustainability in the workplace

www.charitycommission.gov.uk – Government guidance for setting up and managing charities

www.gov.uk/data-protection – Data Protection Act

www.gov.uk/ – Provides listing of government departments and public bodies

www.gov.uk/write-business-plan – Information about and examples of business plans

www.hse.gov.uk –Health and Safety Executive, agency of UK government, with information on current legislation

www.ipo.gov.uk – Intellectual Property Office, information about how businesses protect their intellectual property rights

www.uk.coop – Information about cooperatives in the UK

Assessment

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

External assessment

External assessment is through an onscreen test. Pearson will set and mark this test. The text lasts for 60 minutes and is worth 40 marks. The assessment is available on demand.

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

Internal assessment

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

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

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

Unit assessment guidance

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

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

Unit 6: Develop Working Relationships with Colleagues

Unit reference number: R/506/1789

Level: 2

Credit value: 3

Guided learning hours: 19

Unit type: Competence

Unit summary

The ability to form good working relationships with colleagues is very important for both your career and your enjoyment of work. You will not be able to choose your colleagues and yet you are likely to spend a large amount of time in their company. Effective teamwork and good working relationships contribute to efficient working and the achievement of an organisation's objectives.

In this unit you will learn the principles and benefits of effective team working, giving feedback to team members and dealing with conflict, problems and changes. You will show that you can put these principles into practice in the workplace through maintaining effective relationships with colleagues, managing decision making with others, minimising disruption to work and resolving problems.

This unit will give you opportunities to reflect on your skills and knowledge in this area and support your further development.

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 team working	1.1 Outline the benefits of effective team working
	1.2 Describe how to give feedback constructively
	1.3 Explain conflict management techniques that may be used to resolve team conflicts
	1.4 Explain the importance of giving team members the opportunity to discuss work progress and any issues arising
	1.5 Explain the importance of warning colleagues of problems and changes that may affect them
2 Be able to maintain effective working relationships with colleagues	2.1 Recognise the contribution of colleagues to the achievement of team objectives
	2.2 Treat colleagues with respect, fairness and courtesy
	2.3 Fulfil agreements made with colleagues
	2.4 Provide support and constructive feedback to colleagues
3 Be able to collaborate with colleagues to resolve problems	3.1 Take others' viewpoints into account when making decisions
	3.2 Take ownership of problems within own level of authority
	3.3 Take action to minimise disruption to business activities within their own level of authority
	3.4 Resolve problems within their own level of authority and agreed contribution

Unit amplification

AC1.1:	Outline the benefits of effective team working
	• *Benefits to the organisation*: e.g. meet objectives, make use of strengths, good internal communications, increased efficiency, less duplication of work, less risk by sharing work, more flexible workforce • *Benefits to team members*: e.g. stretch talents, increase motivation, increase job satisfaction, opportunities for creativity, feeling of belonging
AC1.2:	**Describe how to give feedback constructively**
	• *Constructively giving feedback*: builds relationships, reinforces good behaviour, improves undesirable behaviour • *How to give feedback*: have a clear purpose for feedback, use appropriate timing (routine, non-routine), feedback in private, give specific examples, focus on behaviour rather than the person, ensure feedback is practical, give clear actions, check understanding, balance positive and negative feedback, offer support
AC1.3:	**Explain conflict management techniques that may be used to resolve team conflicts**

	• *Sources of team conflict*:
	
	   o *interpersonal* – conflict between two or more team members, due to personality, values, behaviour or attitude
	
	   o *task-based* – the goals or expectations are unclear or unrealistic
	
	• *Techniques*: e.g. joint problem solving, active listening, tough on problem not the people, review own leadership, use conflict management process –
	
	   o listen to both sides
	
	   o analyse events, identify causes
	
	   o identify solutions
	
	   o implement solutions
	
	   o review

AC1.4:	**Explain the importance of giving team members the opportunity to discuss work progress and any issues arising**
	• *Importance of discussing work progress*: keep to work schedules, take corrective action, maintain responsibilities (individual, team), build unity, motivate, value contributions, build loyalty, develop skills • *Importance of discussing issues arising*: avoid misunderstandings, agree actions needed, build consensus, develop skills, early intervention

AC1.5:	Explain the importance of warning colleagues of problems and changes that may affect them
	• Anticipate work problems and changes • Prepare appropriate responses and actions • Build trust • Enable preparation • Ensure accurate communication • Avoid misinformation • Confirm understanding • Explain need for changes • Enable concerns to be explored • Enable support to be given

Information for tutors

Suggested resources

Books

Carysforth et al – *BTEC First Business Student Book* (Pearson Education Limited, 2013) ISBN 9781446901366

Leigh A and Maynard M – *Leading your Team: How to Involve and Inspire Teams,* 2nd Revised Edition (Nicholas Brealey Publishing, 2002) ISBN 9781857883046

Owen J – *How to Lead: What You Actually Need to Do to Manage, Lead and Succeed* (2nd Edition) (Pearson Education Limited, 2009) ISBN 9780273721505

Websites

www.acas.org.uk – How to manage change (January 2010), materials to support management in the workplace from ACAS which works to resolve disputes in UK workplaces

www.managers.org.uk – The Chartered Management Institute website, includes some learning resources

www.mindtools.com – Learning resources to support development of the skills needed to succeed in a career

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.

Learning outcome 1 is knowledge based, suitable types of evidence include professional discussion, oral question and answer, and a learner diary or reflective account. Assessment of the knowledge assessment criteria for this learning outcome could be built around the assessment of the practical activities required for learning outcomes 2 and 3. For example when AC 2.4 'Provide support and constructive feedback to colleagues' is being assessed through use of work products or observation then oral questions could be asked to fulfil the requirements of AC 1.2 'Describe how to give feedback constructively'.

Attention must be given to the verbs used in the assessment criteria, for example in AC 1.2 requires a description rather than a list of points. It is not necessary for learners to include all the points listed in the amplification but it is necessary for the learner to 'describe how' rather than just produce a list of points. Similarly, ACs 1.3 to 1.5 require explanations, so there is a need for greater depth of information with reasoning.

Learning outcomes 2 and 3 require the learner to collaborate in the workplace, suitable evidence of achievement would be direct observation records from the assessor attending, for example team meetings, work products such as records of meetings or email communications and witness testimonies from the line manager and team members.

ACs 2.4 and 3.1 to 3.4 are likely to be difficult to assess through direct observation because the presence of the assessor may not be acceptable for confidentiality reasons. Problems are likely to be resolved as they occur, so reflective accounts supported by work products such as meeting minutes or witness testimony from the line manager could be used. AC 3.1 requires more than one decision to be taken and 3.2 and 3.4 require more than one problem to be addressed so it is likely that assessment of this unit will take place over a period of time to allow for problems to arise.

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: Contribute to Meetings in a Business Environment

Unit reference number: Y/506/2958

Level: 2

Credit value: 3

Guided learning hours: 7

Unit type: Competence

Unit summary

Meetings are an important part of working life and they provide good opportunities to build relationships, make sound decisions and gain buy-in to actions agreed.

In this unit you will focus on your skills at preparing for meetings, enabling you to make an effective contribution. You will develop a range of meeting skills, including presenting views and information, representing the views of others, taking others' viewpoints into consideration when making decisions, identifying issues, making contributions that are in line with business objectives and summarising future actions.

You will need to show that you carry out agreed actions after meetings. Finally, you will identify areas for making improvements to the contributions you make at meetings.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Be able to prepare for meetings	1.1 Explain the structure and purpose of different types of meetings in a business environment
	1.2 Explain the importance of having a meeting agenda which addresses objectives
	1.3 Obtain current versions of documents required for the meeting
	1.4 Gather information from relevant people in preparation for meetings
	1.5 Confirm the objectives to be achieved during the meeting
2 Be able to participate in meetings	2.1 Present views and information, providing evidence to support the case
	2.2 Represent the views of those consulted
	2.3 Take others' viewpoints into account in decision-making
	2.4 Identify issues that may have an impact on their area of responsibility
	2.5 Make constructive contributions in line with business objectives
	2.6 Summarise future actions and accountabilities
3 Be able to carry out post-meeting activities	3.1 Carry out agreed actions post-meeting within the agreed timescale
	3.2 Identify areas for improvements by reflecting on personal contributions to meetings

Information for tutors

Suggested resources

Books

Carysforth et al – *BTEC First Business* (Pearson Education Limited, 2013)
ISBN 9781446901366

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

Leigh A and Maynard M – *Leading your Team* (2nd Revised Edition)
(Nicholas Brealey Publishing, 2004) ISBN 9781857883046

Websites

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

www.mindtools.com – Resources on many business skills, including running effective meetings

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.

This unit is barred against unit 12 'Chair and Lead Meetings'.

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.

To be able to provide evidence for assessment of this unit, the learner will need to have pre-scheduled meetings and be actively involved in discussions and decision making.

Learning outcome 1 includes the knowledge-based ACs 1.1 and 1.2 and suitable sources of evidence are professional discussion or question and answer (Q&A) sessions. The structure and purpose of meetings referred to in AC1.1 can be made relevant to the organisation in which the learner is working. ACs 1.3 to 1.5 are about planning to attend meetings and the evidence could be work product evidence in the form of emails, meeting documents etc.

Direct observation would be the best form of assessment for all of the assessment criteria in learning outcome 2 as they are about the quality of the contributions made by the learner during meetings. If this is not possible because of the sensitive nature of the material discussed in the meetings, then the minutes of the meeting, together with witness testimonies could be used.

The evidence for AC3.1 could be work products in the form of written records of the actions agreed during the meeting, follow-up meeting minutes showing that the learner has completed agreed actions and/or direct observation of the learner carrying out the actions. AC 3.2 requires individual reflection by the learner and suitable forms of evidence could be a professional discussion or a learner diary.

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

While gathering evidence for this unit it should be possible to identify evidence for parts of the unit 'Develop Working Relationships with Colleagues'.

Unit 8: Principles of Equality and Diversity in the Workplace

Unit reference number: J/506/1806

Level: 2

Credit value: 2

Guided learning hours: 10

Unit type: Knowledge

Unit summary

You need to know the purposes of your organisation's equality and diversity policies and how to implement them. You and your organisation must comply with equality legislation to comply with employment law. Compliance also helps to safeguard the organisation's reputation and helps to create a pleasant and productive working environment.

In this unit you will learn about the laws to promote equality and how they are implemented through your organisation's policies. Then you will go on to consider the benefits of good equality and diversity policies and the consequences of failing to comply with equality law.

You will learn about your own responsibilities for equality and diversity in your workplace and about the way to behave to support equality, diversity and inclusion.

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 implications of equality legislation	1.1 Define the concept 'equality and diversity'
	1.2 Describe the legal requirements for equality of opportunity
	1.3 Describe the role and powers of organisations responsible for equality
	1.4 Explain the benefits of equal opportunities and diversity
	1.5 Explain the potential consequences for an organisation of failing to comply with equality legislation
2 Understand organisational standards and expectations for equality and diversity and context in the workplace	2.1 Explain how organisational policies on equality and diversity translate into day to day activity in the workplace
	2.2 Describe their own responsibilities for equality and diversity in the workplace
	2.3 Describe behaviours that support equality, diversity and inclusion in the workplace

Unit amplification

AC1.1:	Define the concept 'equality and diversity'
	• *Equality*: definition, e.g. treating people fairly regardless of any differences • *Diversity*: definition, e.g. embracing difference
AC1.2:	**Describe the legal requirements for equality of opportunity**

	• *Legal requirements: Equality Act 2010* protects employees against discrimination in relation to:
	
	   o dismissal
	   o employment terms and conditions
	   o pay and benefits
	   o training
	   o recruitment
	   o redundancy
	
	• *Grounds for discrimination include*:
	
	   o age
	   o disability
	   o gender reassignment
	   o marital and civil partnership
	   o pregnancy and parenthood
	   o race
	   o religion or belief
	   o sex
	   o sexual orientation

AC1.3:	Describe the role and powers of organisations responsible for equality

	• *Role and powers of organisations*:
	
	    ○ *Equality Advisory Support Service:* provides advice and information about equality
	
	    ○ *Equality and Human Rights Commission:* produces codes of practice on equality and diversity, can take judicial proceedings in relation to equality and human rights breaches
	
	    ○ *Government Equalities Office:* develops government strategy and legislation about equality
	
	    ○ *Advisory, Conciliation and Arbitration Service (ACAS):* mediation service, information, advice, training, dealing with employment disputes
	
	    ○ *Employment tribunals:* decide claims about unfair treatment in the workplace

AC1.4:	Explain the benefits of equal opportunities and diversity
	• *Benefits*: job satisfaction, employee retention, fairness, motivation, workforce mirrors social equality and diversity, positive customer relations, attract and retain talented people, profitability, positive reputation
AC1.5:	Explain the potential consequences for an organisation of failing to comply with equality legislation
	• *Direct consequences*: complaints, prosecution, legal penalties, loss of staff, mediation, employment tribunal, compensation awards • *Other consequences*: waste of management time, legal costs, damage to reputation, loss of staff, employee dissatisfaction
AC2.1:	Explain how organisational policies on equality and diversity translate into day-to-day activity in the workplace
	• 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:	Describe their own responsibilities for equality and diversity in the workplace
	• 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:	Describe behaviours that support equality, diversity and inclusion in the workplace
	• *Behaviours:* complying with organisational policies, awareness of own prejudices, active listening, sensitive use of language, patience, openness to different viewpoints, positive attitude, promoting a positive culture, challenge discriminatory behaviour in others, report discriminatory behaviour

Information for tutors

Suggested resources

Books

Malik H – *A Practical Guide to Equal Opportunities* (3rd Edition) (Nelson Thornes, 2009) ISBN 9781408504826

Thompson N – *Promoting Equality: Working with Diversity and Difference* (3rd Edition) (Palgrave Macmillan, 2011) ISBN 9780230223431

Websites

www.acas.org.uk – UK government-sponsored organisation which works to improve working life, has resources on equality

www.gov.uk – UK government's Equality Advisory Service, provides information on discrimination issues

www.gov.uk – UK government Equalities Office, has news and reports on equality issues

www.gov.uk – UK government website, provides guidance on the Equality Act 2010

www.justice.gov.uk – UK Justice Ministry, link to information on employment tribunals

Other

Guidance booklets on the Equality Act 2010, published by the Government Equalities Office, available on the government publications Equality Act guidance website: www.gov.uk/government/publications/equality-act-guidance

Delivering Equality and Diversity – advisory booklet published by ACAS, available via the ACAS website: www.acas.org.uk

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.

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* given below. This guidance should be read in conjunction with *Section 8 Assessment*.

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

Unit assessment requirements

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

This unit is barred against unit 9 'Promote Equality, Diversity and Inclusion in the Workplace'.

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 for learners and the particular assessment context, as appropriate.

Both learning outcomes are knowledge based and the appropriate methods of assessment are professional discussion, oral question and answer (Q&A) sessions, a learner diary or a reflective account. Learners are likely to be introduced to their organisation's policies in this area in the induction process so assessment could be planned to fall shortly afterwards.

Occasionally, a learner may have a chance in their job role to produce some evidence towards this unit but for most learners the opportunities for assessment will be introduced by the assessor.

The concepts of 'equality' and 'diversity' are different and so where they are both included in an AC the learner should address both 'equality' and 'diversity' in their responses. If assessors are using Q&A some ACs should be broken down into more than one question to help the learner provide the required responses.

Attention should be paid to the verbs used in the ACs, which are mainly 'describe' or 'explain', so a list of points would not meet the requirements. The questions and responses need to be carefully designed to ensure that the learner produces the full responses and that there is clear evidence of them.

Unit 9:   Promote Equality, Diversity and Inclusion in the Workplace

Unit reference number: T/506/1820

Level: 3

Credit value: 3

Guided learning hours: 15

Unit type: Competence

Unit summary

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

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

Learning outcomes and assessment criteria

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

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

Unit amplification

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

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

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

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

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

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

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

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

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

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

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

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

AC2.3:	Explain the importance of displaying behaviour that supports equality, diversity and inclusion in the workplace
	• *Importance*: e.g. promotes a culture of inclusion and respect, improves team working, increases productivity, removes barriers to recruitment and progression, attracts and retains staff with different talents and competencies

Information for tutors

Suggested resources

Websites

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

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

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

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

Assessment

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.

This unit is barred against unit 8 'Principles of Equality and Diversity in the Workplace'.

Unit assessment guidance

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

The main sources of evidence to meet learning outcome 3 are a review of the learner's work products, professional discussion and witness testimony. The learner's work products could include evidence of communications to colleagues regarding their responsibilities for equality, diversity and inclusion, for example, sent emails, presentation slides etc. (AC3.1). Work products could also include

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

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

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

Unit 10:   Manage Team Performance

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

Level: **3**

Credit value: **4**

Guided learning hours: **21**

Unit type: **Competence**

Unit summary

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

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

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the management of team performance	1.1 Explain the use of benchmarks in managing performance
	1.2 Explain a range of quality management techniques to manage team performance
	1.3 Describe constraints on the ability to amend priorities and plans
2 Be able to allocate and assure the quality of work	2.1 Identify the strengths, competences and expertise of team members
	2.2 Allocate work on the basis of the strengths, competences and expertise of team members
	2.3 Identify areas for improvement in team members' performance outputs and standards
	2.4 Amend priorities and plans to take account of changing circumstances
	2.5 Recommend changes to systems and processes to improve the quality of work
3 Be able to manage communications within a team	3.1 Explain to team members the lines of communication and authority levels
	3.2 Communicate individual and team objectives, responsibilities and priorities
	3.3 Use communication methods that are appropriate to the topics, audience and timescales
	3.4 Provide support to team members when they need it
	3.5 Agree with team members a process for providing feedback on work progress and any issues arising
	3.6 Review the effectiveness of team communications and make improvements

Unit amplification

AC1.1:	Explain the use of benchmarks in managing performance
	• *Benchmarks*: definition (performance measurement standards); based on an organisation's own experience, industry practice or regulatory requirements • *Benchmarking*: definition; types, e.g. internal, external, strategic, performance, process • *Using benchmarking in performance management*: e.g. maintain team performance in line with industry and/or organisational standards; identify areas for targeted improvement activities, e.g. training needs; set standards for reward systems, e.g. performance-related pay; evaluate the effectiveness of workforce performance initiatives
AC1.2:	**Explain a range of quality management techniques to manage team performance**
	• *Team performance management*: purpose, e.g. establishing performance goals; identifying any gap between current and desired performance; planning, implementing and monitoring changes to improve • *Techniques*: performance objectives, e.g. strategic and operational; performance review meetings, e.g. one-to-one meetings, appraisal meetings; 360 degree feedback; personal development plans (PDPs); reward systems, e.g. performance-related pay, bonus payments, team-based pay
AC1.3:	**Describe constraints on the ability to amend priorities and plans**
	• *Constraints*: e.g. resource availability in other functional areas; regulatory, industry or organisational requirements; deliverables and timescales agreed with internal and/or external customers; existing workload and competence of team members

Information for tutors

Suggested resources

Books

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

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

Websites

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

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

www.mindtools.com – resources on many business and management topics, including team management

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

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

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

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

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

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

Unit 11: Manage Individuals' Performance

Unit reference number: J/506/1921

Level: 3

Credit value: 4

Guided learning hours: 20

Unit type: Competence

Unit summary

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

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

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

Learning outcomes and assessment criteria

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

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

Unit amplification

AC1.1:	**Explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance**
	• *Disciplinary policy*: definition; policy content e.g. timekeeping, absence, health and safety, use of organisational facilities and equipment; Equality Act (2010); policy access • *Disciplinary procedure*: purpose, e.g. deals with discipline issues and underperformance; ensures rules and standards are maintained; format, i.e. ACAS Code of Practice on Disciplinary and Grievance Procedures; mediation • *Grievances*: definition; causes e.g. bullying and harassment, discrimination, new working practices, organisational change • *Grievance procedure*: definition; purpose; format i.e. ACAS Code of Practice on Disciplinary and Grievance Procedures
AC1.2:	**Explain how to identify causes of underperformance**
	• *Underperformance*: types e.g. failure to perform the duties of the job role; failure to perform to the required standard; poor productivity; disruptive or negative behaviour; high rate of absence • *Causes*: e.g. employee lack of clarity of expectations; lack of knowledge/skills; goals/standards/policies and consequences unclear; interpersonal differences; poor personal motivation; inappropriate or insufficient training; low morale in the workplace
AC1.3:	**Explain the purpose of making individuals aware of their underperformance clearly but sensitively**
	• *Purpose*: e.g. highlights where and why performance was not in line with expectations; explores how performance may be improved; positive way of improving future performance; provides positive reinforcement • *Handling underperformance sensitively:* e.g. use communication styles based on people and situations; understanding individuals' needs, feelings and motivations; taking account of cultural differences; individuals treated with respect
AC1.4:	**Explain how to address issues that hamper individuals' performance**
	• *Addressing issues*: clear systems in place to identify problems; assessing the gravity of problems; support and coaching; mentoring; constructive feedback; use of disciplinary procedures

AC1.5:	**Explain how to agree a course of action to address underperformance**
	- *Addressing underperformance*: possible interventions/actions, e.g. enhance ability (resupply, retrain, refit, reassign, release); improve motivation (performance goals, performance feedback, Performance Improvement Plan)
	- *Agreeing course of action*: methods, e.g. meeting with employee and union representative/person of their choice; open discussion with employee; joint solution devised; plan of action drawn up; follow-up meeting; agreeing SMART objectives; progress reviews

Information for tutors

Suggested resources

Books

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

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

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

Websites

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

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

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

Assessment

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 assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

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

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

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

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

Unit 12: Chair and Lead Meetings

Unit reference number: Y/506/1924

Level: 3

Credit value: 3

Guided learning hours: 10

Unit type: Competence

Unit summary

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

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

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Be able to prepare and lead meetings	1.1 Identify the type, purpose, objectives, and background to a meeting
	1.2 Identify those individuals expected, and those required to attend a meeting
	1.3 Prepare for any formal procedures that apply to a meeting
	1.4 Describe ways of minimising likely problems in a meeting
	1.5 Take action to ensure that meeting documentation is prepared correctly and distributed to the agreed people within the agreed timescale
2 Be able to chair and lead meetings	2.1 Follow business conventions in the conduct of a meeting
	2.2 Facilitate meetings so that everyone is involved and the optimum possible consensus is achieved
	2.3 Manage the agenda within the timescale of the meeting
	2.4 Summarise the agreed actions, allocated responsibilities, timescales and any future arrangements
3 Be able to deal with post-meeting matters	3.1 Take action to ensure that accurate records of a meeting are produced and distributed in the agreed format and timescale
	3.2 Take action to ensure that post-meeting actions are completed
	3.3 Evaluate the effectiveness of a meeting and identify points for future improvement

Information for tutors

Suggested resources

Books

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

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

Websites

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

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

www.ksl-training.co.uk – KSL Training offers a range of free training resources, including resources for chairing and managing a meeting

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

Assessment

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.

This unit is barred against unit 7 'Contribute to Meetings in a Business Environment'.

Unit assessment guidance

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

There are opportunities to assess this unit holistically with unit *Negotiate in a Business Environment.*

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

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

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

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

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

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

Unit 13: Encourage Innovation

Unit reference number: J/506/2292

Level: 3

Credit value: 4

Guided learning hours: 14

Unit type: Competence

Unit summary

Without new and fresh ideas a business does not improve, and it can easily become stagnant. In a competitive world this could cause the business to struggle to survive.

In this unit you will learn about the importance of innovation to a business. Unfortunately generation of ideas is only the start of the process and so you will learn how look for ideas that could be improved and to work independently as well as within a team to generate and select ideas that could be implemented to better the business. You will look at how innovative ideas need to be tested and costed before they can be put into place and learn how to schedule and process ideas to make them viable.

Learning outcomes and assessment criteria

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

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

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

Information for tutors

Suggested resources

Books

Harvard Business Review – *HBR's 10 Must Reads on Innovation* (Harvard Business Review Press, 2013) ISBN 9781422189856

Lammiman J.and Syrett M – *Successful Innovation: How to Encourage and Shape Profitable Ideas* (Economist Books, 2002) ISBN 9781861972859

Websites

ec.europa.eu – the DG Enterprise and Industry website (part of the European Commission website) looks at innovation in the workplace. It places particular emphasis on the need to stimulate entrepreneurship and encourage the growth of SMEs. A recommended article is Workplace innovation

www.changedesigns.net – Change Designs offers a range of online ideas and advice. Membership is required for full site access

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

Evidence to demonstrate achievement of the unit (learning outcomes 1, 2 and 3) is likely to come from a combination of direct observation, examination of the learner's work products, witness testimony from colleagues or line manager to confirm competence over a period of time and a reflective account. Where possible

the learner could be observed in one–to-one conversations, team and stakeholder meetings and other relevant contexts where innovation development activities and behaviour could be observed. Learners' work products could include notes showing ideas for innovation, meeting notes and communications that show how the learner has engaged team members in finding opportunities to innovate, preparation or drafts of costings and schedules of work and agreed implementation procedures and processes (AC2.1, AC1.5, AC3.3 and AC3.4). The work products should be reviewed by the assessor to confirm that they meet the requirements of the assessment criteria and could be used to support the learner's reflective account, which should provide evidence for the explicit knowledge assessment criteria (AC1.1 and AC1.2) as well as provide evidence of the knowledge and understanding underpinning learners' performance.

Witness testimony from colleagues and line manager should also be used to provide supporting evidence for many of the assessment criteria within the unit as well as confirm that the learner has consistently met the requirements over a period of time.

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

Unit 14: Manage Conflict within a Team

Unit reference number: K/506/1927

Level: 3

Credit value: 5

Guided learning hours: 25

Unit type: Competence

Unit summary

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

In this unit you will gain an understanding of the principles of conflict management. Teams come in many forms and exist for many purposes and, if properly managed, can contribute to improved organisational performance. Unfortunately, not all teams succeed as conflict can appear in many situations and this is especially true of the team situation.

You will gain an understanding of how this potential for conflict can be reduced. Conflict threatens group goals in organisations and so it is therefore of utmost importance that you can deal with and resolve conflict. You will learn how to assess the seriousness of conflict and its potential impact knowing that unresolved conflict costs organisations millions of pounds every year and come to a conclusion that allows you to effectively deal with conflict.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of conflict management	1.1 Evaluate the suitability of different methods of conflict management in different situations
	1.2 Describe the personal skills needed to deal with conflict between other people
	1.3 Analyse the potential consequences of unresolved conflict within a team
	1.4 Explain the role of external arbitration and conciliation in conflict resolution
2 Be able to reduce the potential for conflict within a team	2.1 Communicate to team members their roles, responsibilities, objectives and expected standards of behaviour
	2.2 Explain to team members the constraints under which other colleagues work
	2.3 Review systems, processes, situations and structures that are likely to give rise to conflict in line with organisational procedures
	2.4 Take action to minimise the potential for conflict within the limits of their own authority
	2.5 Explain how team members' personalities and cultural backgrounds may give rise to conflict

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

Unit amplification

<table>
<tr>
<td>AC1.1:</td>
<td colspan="2">Evaluate the suitability of different methods of conflict management in different situations</td>
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Conflict: definition; conflict situations, e.g. substantive, affective, procedural
Methods of conflict management: e.g. prevention, non-intervention, participative resolution, active resolution
Suitability based on context: e.g. serious conflict, manageable conflict, trivial conflict

</td>
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<tr>
<td>AC1.2:</td>
<td colspan="2">Describe the personal skills needed to deal with conflict between other people</td>
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Personal skills: e.g. professionalism, problem solving, effective communication, mediation, giving feedback

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</tr>
<tr>
<td>AC1.3:</td>
<td colspan="2">Analyse the potential consequences of unresolved conflict within a team</td>
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Potential consequences: e.g. impact on morale; decreased productivity; stress and anxiety of staff; increase in absenteeism; increase in grievances; increased employee turnover resulting in increase of recruitment and training costs; damaged organisation reputation

</td>
</tr>
<tr>
<td>AC1.4:</td>
<td colspan="2">Explain the role of external arbitration and conciliation in conflict resolution</td>
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Conciliation: purpose, e.g. resolution of workplace disputes after mediation; principles, e.g. uses an independent impartial third party, parties involved retain power to decide on the outcome, parties must volunteer to use the process
Role of conciliation: e.g. avoid permanent breakdown in working relationship, improve communications, provide technical assistance, interpret and discuss the issues in dispute, explore potential solutions
Arbitration: purpose, e.g. resolution of collective disputes; principles, e.g. voluntary process, decision-making power is given to arbitrator
Role of arbitration: e.g. deals with cases where conciliation has not succeeded, private alternative to attending a public court of law, imposes an independent and impartial decision that is binding on both sides
External arbitrators and conciliators: independent and impartial third parties; private/commercial services; ACAS

</td>
</tr>
</table>

Information for tutors

Suggested resources

Books

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

Websites

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

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

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

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

Other

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

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

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

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

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

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

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

Unit 15:   Procure Products and/or Services

Unit reference number: M/506/1928

Level: 3

Credit value: 5

Guided learning hours: 35

Unit type: Competence

Unit summary

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

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

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

Learning outcomes and assessment criteria

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

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

Information for tutors

Suggested resources

Books

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

Websites

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

Other

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

Assessment

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 assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Evidence to demonstrate achievement of learning outcome 1 is likely to come from a combination of a review of the learner's work products, witness testimony and a reflective account by the learner. The learner's work products could include

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

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

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

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

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

Unit 16: Collaborate with other Departments

Unit reference number: M/506/1931

Level: 3

Credit value: 3

Guided learning hours: 14

Unit type: Competence

Unit summary

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

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

Learning outcomes and assessment criteria

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

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

Unit amplification

AC1.1:	Explain the need for collaborating with other departments
	• *Collaboration*: definition i.e. cooperative arrangement in which two or more parties work jointly towards a common goal; techniques, e.g. brainstorming, affinity sorting/affinity diagrams, ranking • *Need for collaboration*: reasons, e.g. cross-disciplinary skills and insight, innovation, builds trust, communication, stakeholder/team buy-in, greater productivity
AC1.2:	Explain the nature of the interaction between their own team and other departments
	• The knowledge to meet this AC depends on the learner's own role and the particular organisational context. Learners need to apply the knowledge specific to their organisation to meet this AC.
AC1.3:	Explain the features of effective collaboration
	• *Features*: e.g. shared goals, respect for all perspectives, empowerment of individuals, open communication, equal access to information, a collective mind set
AC1.4:	Explain the potential implications of ineffective collaboration with other departments
	• *Potential implications of ineffective collaboration*: e.g. conflict between individuals and departments, wasted resources, organisation's competitive ability is weakened, delays, inefficiencies, poor lines of communication
AC1.5:	Explain the factors relating to knowledge management that should be considered when collaborating with other departments
	• *Knowledge management*: i.e. strategies and processes designed to identify, capture, structure, value, leverage, and share an organisation's intellectual assets to enhance its performance and competitiveness • *Factors to consider*: tacit and explicit knowledge to be managed; availability of IT systems to support the process e.g. intranets, databases; organisational culture, e.g. trust and willingness to share knowledge; suitability of engagement approaches; intellectual property; collaborative technologies to manage knowledge, e.g. groupware

Information for tutors

Suggested resources

Books

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

Websites

www.forbes.com – Forbes, has a useful article on the habits of collaborative organisations by Jacob Morgan titled The 12 Habits of Highly Collaborative Organizations

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

www.cipd.co.uk – CIPD has a range of factsheets to provide introductory guidance on a range of HR issues. Membership is required for full access

Other

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

How the workplace can improve collaboration – Steelcase has a 360 white paper publication on how the workplace can improve collaboration on their website at www.steelcase.com

Assessment

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 assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

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

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

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

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

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

Unit 17: Participate in a Project

Unit reference number: F/506/1934

Level: 3

Credit value: 3

Guided learning hours: 19

Unit summary

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

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

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to manage a project	1.1 Explain the features of a project business case
	1.2 Explain the stages of a project lifecycle
	1.3 Explain the roles of people involved in a project
	1.4 Explain the uses of project-related information
	1.5 Explain the advantages and limitations of different project monitoring techniques
	1.6 Analyse the interrelationship of project scope, schedule, finance, risk, quality and resources
2 Be able to support the delivery of a project	2.1 Fulfil their role in accordance with a project plan
	2.2 Collect project-related information in accordance with project plans
	2.3 Use appropriate tools to analyse project information
	2.4 Report on information analysis in the agreed format and timescale
	2.5 Draw issues, anomalies and potential problems to the attention of project managers
	2.6 Adhere to organisational policies and procedures, legal and ethical requirements in supporting the delivery of a project

Unit amplification

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

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

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

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

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

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

AC1.4	**Explain the uses of project-related information**
	• Monitoring project progress; monitoring project team; allowing decisions to be made; suggesting adjustments to plan; steering team in right direction; evaluation of project; lessons learnt to inform future projects
AC1.5	**Explain the advantages and limitations of different project monitoring techniques**
	• *Monitoring of Project Team*: advantages e.g. provides picture of broader trends, enables effective decision making by capturing detailed task level progress; limitations e.g. reports not always honest, may give no real indication of progress or may give favourable impressions without any substantiating evidence
	• *Pulse meetings*: advantages e.g. face to face or virtual meeting where brief status updates are shared, usually only 10 minutes maximum; limitations e.g. separate meetings required to resolve problems raised
	• *Milestone monitoring*: advantages e.g. identifies Critical Path activities/other major stages and decision points on project, deadlines are predetermined, plans can be adjusted in light of performance or changing circumstances; limitations e.g. unscheduled changes, unpredicted lack of progress
AC1.6	**Analyse the interrelationship of project scope, schedule, finance, risk, quality and resources**
	• *Scope (quality)*: clear, specific statement as to what has been agreed to be performed/achieved in a project; lays out functions, features, data, content; clearly expresses the desired final result of a project
	• *Schedule*: time required to complete components of a project; time required to carry out each task; duration of the project
	• *Resources (cost)*: cost of a project; what and how many/much resources need to be dedicated to project; what needs to be applied or assigned to the project in terms of money and effort in order to make things happen such as resources to include manpower, materials, resources for risk management and assessment and third party resources
	• *Triple constraint (the project management triangle)*: project scope/quality, resources/costs/finances and schedule/time as three aspects working together in balance; scope, schedule and cost are fully inter-related; each aspect affects another; aspects can change/fluctuate; any adjustment to any aspect must affect the other; if one is restricted/extended, others will need to be extended/ increased; must be continually monitored by Project Manager

Information for tutors

Suggested resources

Books

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

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

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meets the assessment criteria, centres should apply the *Unit Assessment Guidance* 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 the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership, in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

Unit assessment guidance

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

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

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

For learning outcome 2 learner work products could include their notes on the project plan and their associated role (AC2.1 and AC2.2) and the tools used to collect and analyse project information and reports on information (AC2.2, AC2.3 and AC2.4). Witness statements could be used to support the learner's delivery of a project (AC2.2 – AC2.6) These work products should be used as the basis for a

professional discussion with the learner to meet the requirements of AC2.1 as well to evidence the learner's competence. For example, within the professional discussion the learner could explain the process they used to ensure they fulfilled their role whilst adhering to organisational policies and procedures (AC2.6).

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

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

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

Unit 18: Health and Safety Procedures in the Workplace

Unit reference number: T/505/4673

Level: 2

Credit value: 2

Guided learning hours: 16

Unit type: Competence

Unit summary

Adhering to health and safety procedures in the workplace is an important part of any customer service role. In order to protect staff and customers, it is vital that health and safety procedures are carried out correctly and in line with organisational procedures.

In this unit you will learn how to work in line with health and safety procedures in the workplace by knowing what your responsibilities are and what an employer's responsibilities are under health and safety law. You will learn what is covered by health and safety law and why it is important to follow health and safety procedures. You will also learn what information can be used to support health and safety in the workplace. You will need to be able to assess risk and to help to prevent accidents. You will also learn how to make suggestions on ways to improve health and safety practice in the workplace.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Know health and safety procedures in the workplace	1.1 Define the main responsibilities for health and safety in the workplace of the following: a) employers b) employees
	1.2 Describe two health and safety laws affecting the workplace
	1.3 Define the importance of following health and safety procedures in the workplace
	1.4 Define the types of information or support available in relation to a specified aspect of health and safety in the workplace
2 Be able to carry out tasks with regard to health and safety in the workplace	2.1 Carry out a risk assessment of a specified workplace activity
	2.2 Use equipment or tools safely in the workplace
	2.3 Describe how to prevent accidents in the workplace
	2.4 Assess how own health and safety practices could be improved

Unit amplification

<table>
<tr>
<td>AC1.1:</td>
<td colspan="2">Define the main responsibilities for health and safety in the workplace of the following</td>
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- *Employers*: assess and give information about risks in order minimise them; train staff on how to deal with risks, to protect the health, safety and welfare of employees and others in the workplace; consult employees about health and safety issues; protect employees and other people as far as is practicable from risks, e.g. giving and using PPE

- *Employees*: have a duty to take care for their own health and safety and that of others who may be affected by actions of employee; report any concerns relating to health and safety; report any serious risks in the workplace to responsible person for health and safety; follow health and safety training given by the employer; co-operate with their employer on health and safety

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<tr>
<td>AC1.2:</td>
<td colspan="2">Describe two health and safety laws affecting the workplace</td>
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- *To include:*
  - *Control of Substances Hazardous to Health (COSHH) regulations 2002*
  - *Reporting of Injuries Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013*
  - *Control of Asbestos Regulations 2012*
  - *Control of Major Accidents Hazards (COMAH)*
  - *Electricity at Work Regulations 1989 (PAT testing)*
  - *Display Screen Equipment Regulations (DSE) 1992*

</td>
</tr>
<tr>
<td>AC1.3:</td>
<td colspan="2">Define the importance of following health and safety procedures in the workplace</td>
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- *Importance of following health and safety procedures in the workplace*: to avoid people being hurt; to avoid damage to equipment and property; to avoid organisation being fined or closed down; to avoid organisation and personal image and reputations being damaged or tarnished; to ensure the wellbeing of people within the workplace, to ensure compliance with health and safety laws

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<tr>
<td>AC1.4:</td>
<td colspan="2">Define the types of information or support available in relation to a specified aspect of health and safety in the workplace</td>
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- *Types of information*: websites, leaflets, training, briefings, newsletters, coaching sessions, policies and procedures

- *Specified aspects of health and safety*: environmental: COSHH, RIDDOR, PAT Testing, Display Screen Equipment

- *Emergencies*: first aid, accident reporting

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</tr>
</table>

Information for tutors

Suggested resources

Websites

www.hse.gov.uk – the Health and Safety Executive has information on health and safety responsibilities of employers and employees under the Health and Safety at Work Act.

Assessment

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

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

Observation is a suitable approach for this unit and a primary source of evidence. The observation can be done unobtrusively by the assessor with the assessor using oral questioning to support the knowledge underlying the performance being undertaken and to meet some of the assessment criteria in learning outcome 1 (such as AC1.3).

Product evidence seen during or separately from an observed performance must be evaluated and commented on by the assessor. This evidence might include accident books or risk assessment documents completed by the learner. This would be a valid and suitable assessment method for this unit and learning outcome 2, along with question and answer sessions. These can be supported by a witness testimony from an appropriate person within the workplace. For AC2.2, for example, the learner could seek confirmation from a line manager that they have used equipment to complete a work task correctly and safely.

Questioning can be used to demonstrate learner knowledge for learning outcome 1, but best practice would be to integrate this within the observation and discussions, for ease of assessment for both the assessor and the learner. For example, for AC1.3 the learner could describe why it is important to follow health and safety procedures in the workplace, while completing an observed work task.

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

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

Unit 19:   Store and Retrieve Information

Unit reference number: R/506/1811

Level: 2

Credit value: 4

Guided learning hours: 19

Unit type: Competence

Unit summary

Storing and retrieving of information occurs in all organisations at all levels and it is important that it is stored safely and accurately so that retrieval can be efficient and quick when it is required. It is important that policies and procedures are followed so that information is stored in a way that is easily retrievable and all members of staff carry out this function in the same way. Storage in the majority of organisations is now carried out in a combination of manual and electronic methods and it is important that the difference between the two is recognised.

In this unit you will learn about different types of filing systems as well as relating organisational, legal and ethical issues to these systems. You will identify key legislation concerning storage of information and also consider how long some information needs to be kept due to legal or other reasons. You will also consider how to deal with problems when they arise if information is missing and have the opportunity to use the system(s) in place.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand information storage and retrieval	1.1 Describe systems and procedures for storing and retrieving information
	1.2 Outline legal and organisational requirements for information security and retention
	1.3 Explain how to create filing systems to facilitate information identification and retrieval
	1.4 Explain how to use different search techniques to locate and retrieve information
	1.5 Describe what to do when problems arise when storing or retrieving information
2 Be able to gather and store information	2.1 Gather the information required within the agreed timescale
	2.2 Store files and folders in accordance with organisational procedures
	2.3 Store information in approved locations
	2.4 Adhere to organisational policies and procedures, legal and ethical requirements
3 Be able to retrieve information	3.1 Confirm information to be retrieved and its intended use
	3.2 Retrieve the required information within the agreed timescale

Unit amplification

AC1.1:	**Describe systems and procedures for storing and retrieving information**
	• The knowledge to meet this AC depends on the particular organisational requirements and context. Learners need to apply the knowledge specific to their organisation to meet this AC
AC1.2:	**Outline legal and organisational requirements for information security**
	• 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
	• *Security of stored business documents*: physical conditions and locations for paper documents; network or remote archive storage for electronic documents; backup arrangements for electronic documents; archiving policy for identifying stored documents; restricted status
	• *Data protection requirements*: kept only for the time permitted; access to authorised personnel only; regularly updated to keep accurate
	• *Financial requirements*: accessible by authorised personnel only; kept for the recommended time (seven years for accounts, 50 years for personnel records)
AC1.3:	**Explain how to create filing systems to facilitate information identification and retrieval**
	• *Create filing systems*: different types of filing equipment depending upon the type of industry or organisation; alphabetical, numerical or chronological filing systems
	o Paper based: lateral or vertical filing systems
	o Use of document wallets, suspension files, box files, lever arch files depending on type of system used
AC1.4:	**Explain how to use different search techniques to locate and retrieve information**
	• *Different search techniques*: using an index system for paper based systems, e.g. index cards, strip index cards, visible edge cards; search alphabetically or numerically; use keywords for electronic filing system

AC1.5:	**Describe what to do when problems arise when storing or retrieving information**
	• *Manual filing systems*: check the index list to see if file is still included in the system; check that the information hasn't been filed in the wrong file; when the file is full follow company procedures to create a new file • *Electronic filing systems*: check in similar named folders to see if document has been mis-filed; carry out a search on the system using keywords; the file may be visible but confidential so not accessible to some staff

Information for tutors

Suggested resources

Books

Carysforth C – *Administration NVQ Level 2* (Heinemann, 2006)
ISBN: 9780435463335

Sutherland J and Sutherland D – *Business and Administration NVQ Level 2*
(Hodder Education, 2011) ISBN: 9781444144208

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

Unit assessment guidance

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

The primary source of evidence for demonstrating achievement of learning outcome 2 is direct observation of the learner carrying out their work activities relating to storing and retrieving information.

The evidence from the direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as screen shots of filing systems used, copies of information that has been stored and/or retrieved and emails – this provides further evidence to meet the requirements, for example AC2.2, AC2.3, AC3.1 and AC3.2. To achieve AC2.4, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements checklists or completed 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, AC3.1 and AC3.2.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.1, AC2.2 and AC2.4) as well as meeting the requirements of the knowledge assessment criteria in learning outcome 1. Learners' responses must be at the appropriate breadth and depth to meet the level of demand of the knowledge assessment criteria; for example, the responses must have sufficient detail about how to create filing systems to facilitate information identification and retrieval (AC1.3) and how to use different search techniques to locate and retrieve information (AC1.4).

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 20:   Handle Mail

Unit reference number: **D/506/1813**

Level: **2**

Credit value: **3**

Guided learning hours: **15**

Unit type: **Competence**

Unit summary

Businesses have lots of mail coming into the business and going out of the business every day. It is vital that this mail is sorted and distributed to the correct people on time and in line with organisational procedures. Businesses also receive a lot of 'junk' mail which also needs to be dealt with appropriately.

In this unit you will learn how to deal with 'junk' mail, operate a franking machine and prepare packages for distribution, following organisational procedures on handling, security and the use of courier services. You will also learn how to report suspicious or damaged items and what to do in the event of problems arising when dealing with incoming or outgoing mail.

In this unit you will demonstrate how to sort and distribute incoming mail and packages to the right people and in line with organisational procedures and how to organise the collection of outgoing mail and packages, identify the best option for dispatching the items and then dispatch the items on time.

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 deal with mail	1.1 Explain how to deal with "junk" mail
	1.2 Describe what to do in the event of problems arising when dealing with incoming or outgoing mail
	1.3 Describe how to operate a franking machine
	1.4 Explain how to prepare packages for distribution
	1.5 State organisational policies and procedures on mail handling, security and the use of courier services
	1.6 Explain the process for reporting suspicious or damaged items in accordance with organisational procedures
2 Be able to deal with incoming mail	2.1 Sort incoming mail in line with organisational procedures
	2.2 Distribute incoming mail and packages to the right people according to the agreed schedule
	2.3 Deal with incorrectly addressed and "junk" mail in accordance with organisational procedures
3 Be able to deal with outgoing mail	3.1 Organise the collection of outgoing mail and packages on time
	3.2 Identify the best option for dispatching mail according to the required degree of urgency, size and value of the item
	3.3 Dispatch outgoing mail on time

Unit amplification

AC1.1:	**Explain how to deal with "junk" mail**
	• *Junk mail*: electronic or paper-based; communication received that has not been asked for, e.g. advertisements from window cleaners, free newspapers, leaflets
	• *Dealing with junk mail:*
	o Letterbox stickers; post back to sender

AC1.2:	**Describe what to do in the event of problems arising when dealing with incoming mail or outgoing mail**
	• *Problems*: delays; missing deliveries; suspicious mail
	• *Solutions*:
	o Delays: send mail at correct time with correct postage
	o Missing deliveries: if sending, send via recorded delivery; if receiving, include a message with delivery stating where to be delivered if not in
	o Suspicious mail: follow organisational procedures; report to supervisor or site supervisor

AC1.3:	**Describe how to operate a franking machine**
	• *Operate a franking machine*: stack of envelopes needed; weigh envelop and contents that needs to be franked; enter weight into machine if applicable; select postage class; select any special requirements if applicable; place letter face up on the feeding area; select start

AC1.4:	**Explain how to prepare packages for distribution**
	• *Prepare packages for distribution*: use a box or envelop that the item will fit in comfortably; if fragile, use padding inside the package to pad it; seal contents inside the packaging using tape to ensure it stays secure; write address on the front of the package; include return address if applicable

AC1.5:	**State organisational policies and procedures on mail handling, security and the use of courier services**
	• 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
	• *Policies and procedures could include*: date stamping mail before distribution; opening and sorting according to addressee/team/ department; delivering personal, private or confidential mail unopened to addressee; recording mail, e.g. inward register or despatch register; not opening suspicious packages; reporting suspicions packages to the designated person; recording incidents of suspicious packages; courier services only used in specified circumstances

AC1.6:	Explain the process for reporting suspicious or damaged items in accordance with organisational 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 *Identifying suspicious mail*: missing or obscure return address; dirty or leaking packages; unusual smell or noise from packages; name, title or address is incorrect or spelt incorrectly; postmarks differing from return address; package unusually heavy or of an irregular shape *Procedures could include*: separating the mail; informing a supervisor or designated person; recording all suspicious and damaged items

Information for tutors

Suggested resources

Websites

www.adviceguide.org.uk – Citizens Advice Bureau: stop un-addressed junk mail

www.frankingmachineexperts.co.uk – Franking Machine Experts: how to use a franking machine

www.wikihow.com/Stop-Spam – WikiHow: how to stop spam

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

Unit assessment guidance

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

The primary source of evidence for demonstrating achievement of learning outcome 2 and learning outcome 3 is direct observation of the learner dealing with incoming and outgoing mail as a part of their work role. The evidence should be based on the handling of traditional postal mail, including packages. The unit does not cover electronic mail. The mail may be internal or external. Observation should be carried out over a sufficient period of time to provide evidence of sustained performance.

The evidence from the direct observation could be supported by examining work products such letters and flyers that have been dealt with in the appropriate way – this provides further evidence to meet the requirements, for example AC2.1, AC2.2 and AC2.3. To achieve AC3.1 and AC3.3, the learner needs to provide evidence of organising the collection of outgoing mail and packages on time and then dispatching outgoing mail on time. Witness testimony could be used to support the evidence from direct observation for these assessment criteria as well as for AC2.1 and AC2.2.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.3 and AC3.2) as well as meeting the requirements of the knowledge assessment criteria in learning outcome 1. The Q&A should be integrated with the assessment for learning outcome 2 to provide the opportunity for the learner to link and apply their knowledge to their workplace activities. There are good opportunities to relate the assessment of the knowledge requirements to the competence activities. For example, the learner could be asked to explain how they decided on the best option to despatch mail in a particular observed situation (AC3.2). The learner could also explain how they have applied the organisational procedures and processes in dealing with incoming and outgoing mail. Alternatively, a learner diary could be used instead of Q&A. If a learner diary is used, then the entries should be contextualised to the learner's mail handling activities to link and apply the knowledge requirements in a similar manner as with the Q&A. The learner responses must be at the appropriate breadth and depth to meet the level of demand of the knowledge assessment criteria; for example, the responses must have sufficient detail, as appropriate, about how to deal with 'junk' mail (AC1.1), how to prepare packages for distribution (AC1.4) and the process for reporting suspicious or damaged items in accordance with organisational procedures (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 21: Employee Rights and Responsibilities

Unit reference number: L/506/1905

Level: 2

Credit value: 2

Guided learning hours: 16

Unit type: Knowledge

Unit summary

All employees should have a good understanding of their rights and responsibilities specific to the organisation, industry and sector in which they work. Being aware of and conversant with the rules, principles and regulations governing employment rights and responsibilities will help protect both employee and employer, ensuring that work practice is undertaken in a mutually respectful and safe environment.

In this unit you will learn about the roles and occupations in your organisation and industry and in other organisations, industries and sectors. You will explore career pathways and progression opportunities and learn where you can source relevant information and advice to help you when making decisions about your career. You will develop an awareness of employer rights and responsibilities including standards and expectations required of you as an employee. You will gain an understanding of employment legislation and how it affects your role and responsibilities within your employment as well as develop awareness of sources of support for issues affecting your employment.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the role of organisations and industries	1.1 Explain the role of their own occupation within an organisation and industry
	1.2 Describe career pathways within their organisation and industry
	1.3 Identify sources of information and advice on an industry, occupation, training and career pathway
	1.4 Describe an organisation's principles of conduct and codes of practice
	1.5 Explain issues of public concern that affect an organisation and industry
	1.6 Describe the types, roles and responsibilities of representative bodies and their relevance to their own role
2 Understand employers' expectations and employees' rights and obligations	2.1 Describe the employer and employee statutory rights and responsibilities that affect their own role
	2.2 Describe an employer's expectations for employees' standards of personal presentation, punctuality and behaviour
	2.3 Describe the procedures and documentation that protect relationships with employees
	2.4 Identify sources of information and advice on employment rights and responsibilities

Unit amplification

AC1.1:	**Explain the role of their occupation within an organisation and industry**
	• The knowledge to meet this AC depends on the learner's own occupation and role within their organisation. Learners need to apply the knowledge specific to their organisation to meet this AC

AC1.2:	**Describe career pathways within their organisation and industry**
	• The knowledge to meet this AC depends on the learner's own occupation and role within their organisation. Learners need to apply the knowledge specific to their organisation to meet this AC

AC1.3:	**Identify sources of information and advice on an industry, occupation, training and career pathway**
	• *Sources of information and advice:*
	o *Within an organisation:* e.g. line manager, HR department, organisation information systems
	o *Outside an organisation:* e.g. sector skills councils, careers services, relevant websites, professional bodies

AC1.4:	**Describe an organisation's principles of conduct and codes of practice**
	• The knowledge to meet this AC depends on the particular organisational requirements and context. Learners need to apply the knowledge specific to their organisation to meet this AC

AC1.5:	**Explain issues of public concern that affect an organisation and industry**
	• *Issues of public concern*: consider the effects of recent high profile events on the industry, e.g. loss of personal data, mis-sold products or services; phone hacking
	• *Effects of public concern on an organisation and industry*: introduction of legislation and good practice; increase in public awareness; changes to organisational procedures; own responsibilities

AC1.6:	**Describe the types, roles and responsibilities of representative bodies and their relevance to their own role**
	• The knowledge to meet this AC depends on the learner's own occupation and role within their organisation. Learners need to apply the knowledge specific to their organisation to meet this AC

AC2.1:	**Describe the employer and employee statutory rights and responsibilities that affect their own role**
	• *Employee statutory rights and responsibilities*: current employment legislation, e.g. Equal Pay Act 1970, Working Time Regulations 2007; current anti-discrimination legislation, e.g. Equality Act 2010, gender, sexual preference, nationality, race, religion, colour, disability, age; contract of employment, e.g. written terms and conditions, minimum wage, sick pay, time off, grievance procedures; health and safety (own, others, use of equipment, lifting and handling); security, e.g. data protection, information security, premises, equipment • *Employer statutory rights and responsibilities*: duty of care to employees, e.g. risk assessments, provide protective equipment if needed, emergency procedures, safe systems of work; employer liability insurance; safeguarding; appropriate training and development, e.g. induction, organisation systems, use of equipment, health *and safety* • *How statutory rights affect own role*: equal opportunities; career progression; personal safety and security; safeguarding; own responsibilities
AC2.2:	**Describe an employer's expectations for employees' standards of personal presentation, punctuality and behaviour**
	• *Personal presentation*: well groomed; dressed according to organisation's standards; good personal hygiene • *Punctuality*: on time (at the start of the working day, coming back from lunch); leave on time; on time for meetings • *Behaviour*: polite; helpful; confident; attentive; positive body language; positive attitude; respect confidentiality; discretion; dependability; tolerance; welcoming; pleasant; professional
AC2.3:	**Describe the procedures and documentation that protect relationships with employees**
	• *Procedures that protect relationships with employees*: health and safety; security; grievance procedures; whistle blowing • *Documentation that protects relationships with employees*: contract of employment; written terms and conditions; payslip; published organisation policies; documented processes and procedures; records of training and development
AC2.4:	**Identify sources of information and advice on employment rights and responsibilities**

	• *Sources of information and advice on employment rights and responsibilities:*
	
	  o Inside the organisation: contract of employment; written terms and conditions; line manager; HR department; trade union representative
	
	  o Outside the organisation: Trade Union; Citizen's Advice Bureau; ACAS; Government websites; employment lawyer

Information for tutors

Suggested resources

Books

Trimarchi K, Watkins B, Parton N and Majithia P – *NVQ/SVQ Level 2 Business and Administration Handbook (NVQ Administration)* (Heinemann 2011)
ISBN 9780435046903

Websites

www.acas.org.uk – The Advisory, Conciliation and Arbitration Service: a government funded agency which provides advice on industrial relations and employment issues

www.cipd.co.uk – Chartered Institute of Personnel and Development: the professional body for HR and people development

www.hse.gov.uk – Health and Safety Executive: providing information on health and safety rights and responsibilities

www.legislation.gov.uk – Managed by the National Archives: publishing all UK legislation

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

Assessment

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

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* given below. This guidance should be read in conjunction with *Section 8 Assessment*.

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

Unit assessment requirements

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

Unit assessment guidance

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

The evidence demonstrating achievement of learning outcome 1 and learning outcome 2 can be collected through a presentation. Evidence can be gathered from the presentation and can be supported by any research the learner undertakes in order to produce and present their presentation. Learners should use their current occupation or should be allocated a theoretical occupation and organisation they can work from.

To achieve AC1.1, AC1.2 and AC1.3, learners need to explain where their occupation fits in the sector and describe the career pathway they can pursue. They will also need to reference places they can go for information and advice on the industry, occupation, training and career pathway.

To achieve AC1.4, AC1.5 and AC1.6, learners need to describe their organisation's principles of conduct and codes of practice, explain issues of public concern that affect their organisation and industry and then go on to describe representative bodies and how the roles and responsibilities of these bodies are relevant to their role.

Learners should then focus on their organisation. They should describe theirs and their employer's statutory rights and responsibilities and how these affect their role (AC2.1), their employer's expectations on personal presentation, punctuality and behaviour (AC2.2), procedures and documentation that the employers relationship with their employees (AC2.3) and reference sources where people can go for advice on employment rights and responsibilities (AC2.4).

It is recommended that learners' do not reproduce large chunks of information verbatim from company handbooks or legislation, but contextualise it to their job.

Learners' responses must be at the appropriate breadth and depth to meet the level of demand of the assessment criteria. Questions and answers (Q&A) could be used to corroborate the learners' knowledge by allowing them to give examples of good and/or bad practice to help support their presentation (e.g. AC2.2).

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

Unit 22: Deliver Customer Service

Unit reference number: A/5062130

Level: 2

Credit value: 5

Guided learning hours: 27

Unit type: Competence

Unit summary

Delivering customer service is an important part of any customer service role. It is vital that it is carried out correctly and effectively in order to provide customer satisfaction, to meet the needs and expectations of the customer and to present a favourable image of the organisation.

In this unit you will learn how to deliver customer service by understanding the relationship between customer needs, expectations and customer satisfaction. You will need to understand the meaning of the terms 'feature' and 'benefit' when discussing a product or service. You will also need to know why it is important to treat customers as individuals and why it is important to be able to balance the needs of customers with those of the organisation. You will need to understand when and to whom you can escalate problems when delivering customer service, and understand the methods you can use to measure your own effectiveness in customer service delivery.

You need to know what a brand is, why it is important to an organisation, how it can affect an organisation's customer service offer and why it is important to use customer service language that supports a brand promise. You will learn how your own role can ensure that a brand promise can be delivered.

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 customer service delivery	1.1 Explain the relationship between customers' needs and expectations and customer satisfaction
	1.2 Describe the features and benefits of an organisation's products and/or services
	1.3 Explain the importance of treating customers as individuals
	1.4 Explain the importance of balancing promises made to customers with the needs of an organisation
	1.5 Explain when and to whom to escalate problems
	1.6 Describe methods of measuring their own effectiveness in the delivery of customer service
2 Understand the relationship between customer service and a brand	2.1 Explain the importance of a brand to an organisation
	2.2 Explain how a brand affects an organisation's customer service offer
	2.3 Explain the importance of using customer service language that supports a brand promise
	2.4 Identify their own role in ensuring that a brand promise is delivered
3 Be able to prepare to deal with customers	3.1 Keep up to date with an organisation's products and/or services
	3.2 Prepare resources that are necessary to deal with customers before starting work

Learning outcomes	Assessment criteria
4 Be able to provide customer service	4.1 Maintain organisational standards of presentation and behaviour when providing customer service
	4.2 Adapt their own behaviour to meet customers' needs or expectations
	4.3 Respond to customers' requests in line with organisational guidelines
	4.4 Inform customers of the progress of their requests
	4.5 Confirm that customers' expectations have been met in line with the service offer
	4.6 Adhere to organisational policies and procedures, legal and ethical requirements when providing customer service
5 Be able to support improvements to customer service delivery	5.1 Identify ways that customer service could be improved for an organisation and individuals
	5.2 Share information and ideas with colleagues and/or service partners to support the improvement of service delivery

Unit amplification

AC1.1:	Explain the relationship between customers' needs and expectations and customer satisfaction
	• *Customer needs*: definition; results in positive impact on customer satisfaction and return sales
	• *Customer expectations*: definition (shaped by service offer, marketing materials and organisational reputation); results in customer retention and long-term customer relationships
	• *Customer satisfaction*: definition (based on customer perception of quality)
AC1.2:	Describe the features and benefits of an organisation's products and/or services
	• *The learner should describe the features and benefits of their own organisation's products and services*
	○ *Features:* distinguishing characteristics of a product or service; deliver benefits to customers
	○ *Benefits:* reasons why customers buy a product or service; meet customers' needs
AC1.3:	Explain the importance of treating customers as individuals
	• *Importance of treating customers as individuals*: e.g. customer satisfaction; customer loyalty; customer retention; compliance with legislation (Equality Act 2010)
AC1.4:	Explain the importance of balancing promises made to customers with the needs of an organisation
	• *Importance of balancing promises made to customers to an organisation's needs*: e.g. achievement of organisational objectives, budget restrictions, consistency and transparency of organisational practices
AC1.5:	Explain when and to whom to escalate problems
	• *When to escalate problems*: in line with escalation procedures, dealing with a complaint or problem outside own authority, lack of knowledge/experience from the customer service assistant
	• *To whom to escalate problems*: managers, supervisors, more experienced colleagues, suppliers, manufacturers
AC1.6:	Describe methods of measuring their own effectiveness in the delivery of customer service
	• *Measures*: feedback from others, sales targets being met and exceeded, customer complaints, direct feedback from customers

AC2.1:	Explain the importance of a brand to an organisation
	• *Brand*: definition; brand name; trade mark; brand image, types of brands i.e. manufacturer's and own-label • *Importance of a brand*: legal protection of unique product features; gives the customer a specific perception of the organisation (e.g. Jaguar linked to prestige cars); market segmentation; distinguishes the product and/or service from competitors , builds a reputation, encourages customer loyalty
AC2.2:	Explain how a brand affects an organisation's customer service offer
	• *Effects on customer service offer*: negative – will tarnish the image of organisation and reduce sales; positive association with products/services enhances image of organisation and increases sales; responsiveness to customer needs by introduction of new products to enhance existing ones can increase the customer service offer
AC2.3:	Explain the importance of using customer service language that supports a brand promise
	• *Brand promise*: organisation commitment (implicit, explicit); organisation character; mission • *Customer service language*: types, i.e. organisation specific customer language or industry accepted best practice language • *Importance of using*: e.g. reassures the customer, helps to cement the perception of the brand and organisation in the customer's mind, reminds staff of the expected service standards
AC2.4:	Identify their own role in ensuring that a brand promise is delivered
	• *Identifying own role in ensuring brand promise delivery*: knowing what the brand promise is, and what it means to own role within the organisation/team; understand how this role helps to deliver the brand to customers through knowledge of products/services

Information for tutors

Suggested resources

Books

Leland K and Bailey K – *Customer Service for Dummies*, 3rd Edition
(Wiley Publishing Inc., 2011) ISBN 978047176892

Lucas R W – *Customer Service Skills for Success,* 5th Edition
(McGraw-Hill Higher Education, 2011) ISBN 9780071315920

Websites

www.designcouncil.org.uk – Design Council, information specifically on branding

www.managementhelp.org – Management Help, information on customer service branding needs, basic customer service

www.marketing.about.com – About.com Marketing has information on good customer service

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 assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

To pass this unit, the learner must provide evidence that they can consistently deliver excellent customer service in line with their organisational standards and requirements, to different types of customers and in different circumstances over a period of time. The learner could be delivering customer service to external or internal customers.

The primary source of evidence for this unit should be observation of the learner carrying out their work activities in providing customer service. This observation can be carried out unobtrusively by the assessor with the use of question and answer (Q&A) sessions to show the knowledge underlying the learner's performance. For example, the learner could be asked to explain how they have adapted their own behaviour to meet customer needs and expectations in a particular observed situation (AC4.2). They could also be asked to explain their organisational procedures and policies and how they have adhered to them in delivering customer service (AC4.6).

Product evidence (such as an email sent by the learner to a customer informing them of the progress of their request for AC4.4) seen during or separately from an observed performance, must be evaluated and commented on by the assessor. Witness testimony is also a suitable assessment method to confirm the learner's competence against the learning outcomes and assessment criteria (this could be used, for example, for learning outcomes 3 to 5).

Question and answer (Q&A) sessions are an appropriate assessment method for learning outcomes 1 and 2. This method should be integrated with the assessment for learning outcomes 3 to 5 to give the learner the opportunity to link and apply their knowledge to their work activities. For example, the learner could be asked to describe how they have used customer service language to support their organisation's brand promise and give reasons why this is important to their organisation. Learners may be more comfortable using a learner diary to demonstrate their knowledge level for learning outcome 1, and this is also acceptable. Learners' responses must be at the appropriate depth and breadth to meet the level of demand of the knowledge ACs, for example the response for AC1.1 must have sufficient detail about how customers' needs and expectation are interrelated with customer satisfaction.

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

Unit 23: Understand Customers

Unit reference number: F/506/2131

Level: 2

Credit value: 2

Guided learning hours: 17

Unit type: Knowledge

Unit summary

Successful organisations offer the right products and services to the right types of customer at the right time and are able to retain those customers' loyalty over time. To do this, organisations need to understand their customers' individual needs and expectations in order to tailor their customer service offer and maximise customer satisfaction.

In this unit you will understand the various types of customers that you will encounter in a customer service role. You will learn about what customer expectations are, how they can vary depending on social or cultural factors and what happens when expectations are not met.

You will learn the value of new and existing customers to an organisation, the importance of customer loyalty and the relationship between customer satisfaction and the overall reputation and success of an organisation. You will also understand what methods are used to attract new customers and retain their loyalty.

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 different types of customers	1.1 Explain the distinctions between internal and external customers
	1.2 Explain how cultural factors can affect customers' expectations
	1.3 Describe the characteristics of challenging customers
	1.4 Explain how to identify dissatisfied customers
2 Understand the value of customers and their loyalty	2.1 Explain how the achievement of the customer service offer contributes to enhancing customer loyalty
	2.2 Explain the relationship between customer satisfaction and organisational performance
	2.3 Explain how the reputation and image of an organisation affects customers' perceptions of its products and/or services
	2.4 Explain the potential consequences of customers' dissatisfaction
	2.5 Describe different methods of attracting customers and retaining their loyalty

Unit amplification

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

AC1.1:	Explain the distinctions between internal and external customers
	• *Internal customers*: working within organisation (colleagues, supervisors, staff working in other departments) • *External customers*: outside organisation (customers obtaining products and/or services) • *Distinctions between internal and external customers*: knowledge and understanding of systems and procedures, expectation of service, communication styles
AC1.2:	**Explain how cultural factors can affect customers' expectations**
	• Cultural experience has a direct impact on customer expectations • *Cultural factors*: language, nationality, age, beliefs, social attitudes and behaviours (formality of greeting, professional behaviours, personal space, social interactions), language (tone of voice, communication style), values (perception of right or wrong, ethics, environmental responsibility, lifestyle) • *Customer expectations*: service delivery (responsiveness, reliability, speed, professionalism, personalisation, attitude, behaviour), products and/or services (ethically produced and sourced, kind to environment, locally sourced, value for money), awareness of cultural differences (customers tend to match their expectations to their own cultural practices and experiences)
AC1.3:	**Describe the characteristics of challenging customers**
	• *Challenging customers*: any customer where communication difficulties and interactions need to be overcome *Challenging customers and their characteristics:* • *Behaviour*: impolite (shouting, raised voice, inappropriate language), angry, impatient, frustrated, argumentative, distressed, body language (crossed arms, angry facial expression, hand/arm movements)

AC1.4:	Explain how to identify dissatisfied customers
	• *Dissatisfied customers*: definition (unhappy with product offer or purchase, unhappy about service received from an organisation, do not make repeat purchases, those who give negative reviews) • *Signs to help identify dissatisfied customers*: complaints received (letters/e-mails, telephone, face to face), customer reviews (social media, surveys), body language (crossed arms, angry facial expression, hand/arm movements), tone of voice (raised, shouting)
AC2.1:	**Explain how the achievement of the customer service offer contributes to enhancing customer loyalty**
	• *Service offer*: extent and limits of customer service an organisation offers (pricing and range of products unique to an organisation), Service Level Agreements (SLAs), what an organisation will do to meet/exceed customer needs • *Achievement of customer service offer*: customer satisfaction (positive feedback, meeting and exceeding customer expectations, customer loyalty), increase sales of products and/or services as a result of positive recommendations by friends, family, other customers • *Enhances customer loyalty*: increase in customer confidence, trust in service offer, commitment to organisation
AC2.2:	**Explain the relationship between customer satisfaction and organisational performance**
	• *Customer satisfaction*: needs and expectations are met, delivering products and/or services on time and according to organisational procedures, going the 'extra mile' • *Relationship to organisational performance*: repeat business, increase customer spend, customer loyalty, achieving or exceeding agreed performance targets (sales, service level agreements)

AC2.3:	Explain how the reputation and image of an organisation affects customers' perceptions of its products and/or services
	• *Reputation and image:*
	• *Organisational values*:
	o ethical/non-ethical (fair-trade, sustainability, environment, human/animal rights)
	o standard of products and/or services provided (quality, price)
	o legal compliance
	o market leader
	o size of organisation
	• *Image*: brand, professional, trustworthy, competent, reliable, competitive
	• *Effect on customers' perceptions of products and/or services*: alters customers' expectations (expectations increased/reduced depending on whether reputation and/or image is positive or negative), demands change (realistic, unrealistic)
AC2.4:	**Explain the potential consequences of customers' dissatisfaction**
	• *Customer dissatisfaction*: failure to meet expectations in products supplied and/or service provided, uncompetitive price charged for products and/or services, mis-selling of products and/or services (unknowingly or deliberate)
	• *Potential consequences*: damage to organisation's reputation, loss of income and customers, fall in profits, loss of staff (redundancies, staff leavers), demotivation of staff
AC2.5:	**Describe different methods of attracting customers and retaining their loyalty**
	• *Methods to attract customers*: promotions (sales, discounts, offers, incentives, events), advertising campaigns (in-house, local/national media, social media sites, internet, mail shots, personal letters and e-mails), recommendations, unique service offer
	• *Methods to retain customer loyalty*: loyalty schemes (cards, discounts, money off coupons, cash back, exclusive events, targeted vouchers/coupons), providing exceptional customer service, exceeding customer expectations, excellent product offer, competitive pricing for products and/or services

Information for tutors

Suggested resources

Books

Kamin M – *10 Steps to Successful Customer Service* (ASTD Press, 2010)
ISBN 9781562865900

McManus S – *The Customer Service Pocket Book* (Management Pocket Books Ltd, 2013) ISBN 978190661055

Timm P R – *Customer Service: Career Success Through Customer Loyalty,*
5th edition (Prentice Hall, 2010) ISBN 9780135063972

Watkinson M – *The Ten Principles Behind Great Customer Experiences*
(FT Publishing International, 2013) ISBN 9780273775089

Websites

www.businessballs.com – Businessballs has information on different business related topics suited to this unit such as: complaint letters, body language, customer service and games to improve skills and understanding of relevant topics.

www.instituteofcustomerservice.com – Institute of Customer Service (ICS) has information regarding customer satisfaction surveys, research information to improve customer service levels in business and source of additional customer service resources.

Other

Customer Focus (Institute of Customer Service) – magazine containing information relating to customer service practice, including topical issues relating to the customer service industry.

Assessment

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

External Assessment

External assessment is through an onscreen test. Pearson will set and mark this test. The test lasts for 35 minutes and is worth 20 marks. The assessment is available on demand.

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

Internal Assessment

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

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

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

Unit assessment guidance

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

Learning outcome 1 can either be assessed by a structured written assessment or oral question and answer session (Q&A). If written assessment is used, it should allow the learners to contextualise and relate the concepts to their own working environment and work experiences. For example, learners could demonstrate their understanding of different types of customers by drawing on their experience of dealing with a range of customers. Learners can provide evidence in different formats such as presentation slides, workbooks, reflective accounts and directed assignments, as long as they allow the learner to present the evidence required to meet the assessment criteria. If oral question and answer (Q&A) is used then this should be integrated, as far as possible, with the assessment of work-based competencies in related competence units. For example, units *'Deliver Customer Service'* and *'Resolve Customer Service Problems'* may provide opportunities for holistic assessment, where the learner needs to demonstrate an understanding of different types of customers and their expectations. The oral question and answer (Q&A) session must be recorded and supported by a signed witness statement from the assessor. The assessor must ensure that the signed statement includes sufficient detail to support the assessment decisions for the learning outcome and the related assessment criteria.

Learning outcomes 2 must only be assessed by structured, written assessment to allow the learners to demonstrate the depth and breadth of evidence required to meet the assessment criteria. This could be one single project assignment or a series of linked or separate tasks. The assessment should provide opportunities for learners to relate the concepts and techniques to their working environment and working experiences, and this should be utilised in the design of the assessment. Evidence could be presented in a range of formats similar to those stated above.

Unit 24: Resolve Customer Service Problems

Unit reference number: A/506/2158

Level: 2

Credit value: 5

Guided learning hours: 22

Unit type: Competence

Unit summary

Being able to resolve customer service problems is an important part of any customer service role. It is important that it is carried out correctly and effectively in order to provide customer satisfaction, to meet the needs and expectations of the customer, and to present a favourable image of the organisation.

In this unit, you will learn about the different types of customer service problems that can arise, how they can make customers agitated or angry and how to resolve them. You will gain understanding of why organisations have customer service and complaints procedures. You will also find out how to best communicate with customers to resolve their customer service problems. This will involve knowing how to keep customers informed of progress and working with others to help improve the resolution of customer service problems. You will learn how to manage unresolved customer service problems and to be aware of who can help customers if problems.

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 resolution of customer service problems	1.1 Describe an organisation's customer service and complaints procedures
	1.2 Describe techniques to identify customer service problems and their causes
	1.3 Describe techniques to deal with situations where customers become agitated or angry
	1.4 Explain the limits of their own authority for resolving customers' problems and making promises
	1.5 Explain the purpose of encouraging customers to provide feedback
	1.6 Describe methods used to encourage customers to provide feedback
2 Be able to resolve customer service problems	2.1 Identify the nature and cause of customer service problems
	2.2 Identify workable options for resolving problems within organisational guidelines
	2.3 Use the most appropriate method of communication for dealing with customers
	2.4 Agree with customers the option that best meets their needs and those of the organisation
	2.5 Keep customers informed of progress
	2.6 Fulfil promises made to customers during the resolution process
	2.7 Share customer feedback with others to improve the resolution of customer service problems
	2.8 Adhere to organisational policies and procedures, legal and ethical

Learning outcomes	Assessment criteria
3 Be able to manage unresolved customer service problems	3.1 Explain to customers the reasons why problems cannot be resolved
	3.2 Refer customers to other sources of help if their problems cannot be resolved

Unit amplification

AC1.1:	**Describe an organisation's customer service and complaints 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. • *Features of complaints procedure*: formalised process; escalation points; roles and responsibilities; limits of authority; scripts
AC1.2:	**Describe techniques to identify customer service problems and their causes**
	• *Techniques to identify customer service problems and their causes:* feedback, e.g. customer; staff and systems; auditing; customer surveys, complaints
AC1.3:	**Describe techniques to deal with situations where customers become agitated or angry**
	• *Techniques to deal with situations where customers become agitated/angry*: stay calm; active listening; questioning techniques; assertiveness; empathy; conflict resolution techniques, e.g. compromising, accommodating
AC1.4:	**Explain the limits of their own authority for resolving customers' problems and making promises**
	• *Limits of own authority*: based on limits of job role (job description), organisation procedures, organisation's lines of authority and responsibility
AC1.5:	**Explain the purpose of encouraging customers to provide feedback**
	• *Purpose*: to enable the organisation to understand customer perception of problems; customer service and customer expectations; to enable identification of customer improvements; to build a more loyal customer base; to enable the customer to feel valued and listened to; to understand how effective customer service is within the organisation
AC1.6:	**Describe methods used to encourage customers to provide feedback**
	• *Methods used*: surveys, e.g. post-transaction feedback survey, online, paper-based; feedback boxes; suggestion boxes; emails /letters; analysis, e.g. audit results of complaints

Information for tutors

Suggested resources

Books

Leland K and Bailey K – *Customer Service for Dummies,* 3rd Edition
(Wiley Publishing Inc., 2011) ISBN 978047176892

Lucas R W – *Customer Service Skills for Success,* 5th Edition (McGraw-Hill Higher
Education, 2011) ISBN 9780071315920

Websites

www.businessballs.com – management website containing useful information on
customer service problems

www.instituteofcustomerservice.com – Institute of Customer Service website, has
an excellent glossary of customer service terms

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 assessment requirements of the unit. Centres can adapt the guidance for learners and the particular assessment context, as appropriate.

Observation is a primary source of evidence for learning outcomes 2 and 3. The evidence can come from a record of learners being observed resolving problems for customers. The observation can be carried out unobtrusively by the assessor, using oral questioning to support the knowledge underlying the performance being undertaken and to meet some of the knowledge outcome in learning outcome 1. It is expected that learners will come from a wide variety of workplaces and will be solving problems for different types of customers.

Product evidence, for example responses from the learner to organisational complaint documents, emails and letters seen during an observed performance or separately from observed performance, must be evaluated and commented on by the assessor. Witness testimony is also a suitable assessment method for the less observable assessment criteria (for example AC2.7 and AC2.8) within the unit and can be used to corroborate the competence of the learner.

Professional discussion and questioning are suitable and appropriate assessment methods for learning outcome 1. However, learners may be more comfortable writing a statement to demonstrate their knowledge level for learning outcome 1 and this is also acceptable.

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

Unit 25: Negotiate in a Business Environment

Unit reference number: H/506/1912

Level: 3

Credit value: 4

Guided learning hours: 18

Unit type: Competence

Unit summary

Negotiation skills are vital when working in a business environment. Negotiation means effectively being able to articulate your position on issues to gain support from others, generate multiple alternatives to a problem and to present these in an effective way.

An effective negotiator works to achieve 'win/win' outcomes that others can accept and utilises skills such as diplomacy and compromise. Negotiation is based on good communication skills; however, there are a number of tools and techniques that can be used for effective negotiation. Negotiating is about achieving results, but is not necessarily about being results-oriented.

In this unit you will learn how to develop relevant and appropriate strategies for successful negotiation. You will demonstrate skills and behaviours and the use of negotiation techniques to resolve different situations within a business environment. You will consider the effectiveness of the negotiation techniques and explore the benefits of researching other parties involved before negotiations taking place. You will take part in negotiations within a business context and apply identified negotiation strategies and techniques to conclude negotiations and achieve objectives.

Learning outcomes and assessment criteria

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

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

Unit amplification

AC1.1:	Describe the requirements of a negotiation strategy
	• *Negotiation strategies:* types, e.g. problem solving, contending, yielding, compromising, inaction
	• *Components of a negotiation strategy:* process, e.g. prepare, discuss, clarify goals, propose, negotiate, agree, implement action; approach, e.g. hard, soft, assertive, empathetic
	• *Desired negotiation outcomes*: *defeat other party, collaborate, accommodate, withdraw*
	• *Requirements of negotiation*: e.g. reach an understanding, resolve points of difference, to gain advantage, craft outcomes that satisfy interests
	• *Consequences of negotiation*: win, lose, alternative solutions
AC1.2:	**Explain the use of different negotiation techniques**
	• *Negotiation techniques*
	• *Pre Negotiation*: problem analysis, e.g. interests of other party; preparation, e.g. identifying negotiation goals and outcomes, conducting research on other party, setting negotiation parameters and fall-back position, confirming available resources
	• *During Negotiation*: active listening, e.g. body language; emotional control, e.g. head over heart; verbal communication, e.g. clear, effective, state desired outcomes, questioning, exercising silence; collaboration and teamwork, e.g. working towards mutually agreeable solutions; problem solving, e.g. solving the problem rather than focussing on the goal; decision making, e.g. being decisive; interpersonal skills, e.g. forming working relationships, patience, powers of persuasion; ethics and reliability, e.g. maintaining ethical standards, trust, executing promises and agreements
AC1.3:	**Explain how research on the other party can be used in negotiations**
	• *Other party*: colleague, direct report, management, e.g. middle, senior, executive; customers, suppliers
	• *Research uses*: inform your negotiation strategy, gain advantage
	• *Research areas*: who they are, interests, strengths and weaknesses, performance, expected outcome, negotiating style, what they have to trade, perceived needs, issues that can influence their outcome, potential barriers to negotiation

AC1.4:	**Explain how cultural differences might affect negotiations**
	• *Cultural differences*: people, e.g. religion, nationality, past experiences; businesses, e.g. operations, ethics, reputation; nations, e.g. language, infrastructure, government • *Affects*: proactive, e.g. appropriate communication, appropriate negotiation style; reactive, e.g. risk of misunderstanding or misinterpretation

Information for tutors

Suggested resources

Books

Borg J – *Body Language: 7 Easy Lessons to Master the Silent Language*, (Pearson, 2009) ISBN 9780137002603

Borg J – *Persuasion: The Art of Influencing People*, 3rd Edition (Pearson, 2010) ISBN 9780273734161

Boynton A and Fischer B – Virtuoso Teams: Lessons from Teams That Changed Their Worlds, (Financial Times/ Prentice Hall, 2005) ISBN 9780273702184

Goleman D – *Emotional Intelligence & Working with Emotional Intelligence*, (Bloomsbury Publishing, 2004) ISBN 9780747574569

Websites

www.entrepreneur.com/article/203168 – Article about negotiating in business

Assessment

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

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meets the assessment criteria, centres should apply the *Unit Assessment Guidance* 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 the Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership in *Annexe A*. Simulation is not allowed for this unit. All evidence of occupational competence should be generated through performance under workplace conditions; this includes evidence of achievement for knowledge-based learning outcomes and associated assessment criteria.

Unit assessment guidance

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

For learning outcome 1, assessors should ensure learners adhere to the use of command verbs such as "describe" and "explain". Guidance may be needed to clarify requirements of command verbs before assessment activities are planned.

For AC1.1 and AC1.2, assessors should consider capturing evidence of knowledge and understanding through well-structured and pre-planned professional discussions or question and answer (Q&A) sessions that enable learners to demonstrate a full understanding of the requirements of a negotiation strategy and techniques. The professional discussion or question and answer sessions should be set in the context of the learner's work as far as possible to provide the opportunity for the learner to link and apply their knowledge and understanding to their work activities.

For AC1.4, assessment could include discussions or oral question and answer sessions providing opportunities for the learner to explain how they have considered cultural differences in negotiation strategies. Assessors could have the opportunity to capture the consideration of cultural differences through observations of negotiations. This could be supported with a question and answer session to the learner about how cultural differences affected their negotiations or could have affected their negotiations, depending on the situation.

Learning outcomes 2 and 3 could largely be assessed through work products. For AC2.1; AC2.3 and AC2.4 learners could provide naturally occurring evidence such as negotiation plans, project plans or documented negotiation objectives. Where naturally occurring evidence is available for assessment, this will provide opportunities to holistically assess; however further professional discussion could be required in order to confirm competence when preparing and using negotiation strategies in their role.

Depending on the style of the negotiation (formal or informal), learners may or may not generate naturally occurring evidence therefore alternative methods of assessment will be required.

For AC2.5 and AC2.6, work product evidence could take the form of research notes on the other party which have been used to inform negotiation strategies. This could be combined with AC1.3 to give learners opportunities to provide examples of research activities undertaken and what they have learned about other parties.

For AC3.3, the learner could demonstrate the maintenance of records through work product. For example internal and/or external communications such as meeting minutes and emails, supplemented with witness testimonies from colleagues who have been present during these negotiations.

For AC2.2 evidence could include professional discussions surrounding responsibilities and scope for negotiations, alternatively, learners can choose to present detailed reflective accounts for assessment. Assessors are encouraged to assess AC2.2 early into this unit, outcomes of which could inform assessment plans for other assessment criteria, particularly in learning outcome 1.

For AC3.1 and AC3.2, opportunities for direct observation could be available to assess competence when applying appropriate negotiation techniques. Where opportunities to observe are not possible, learners can choose to provide detailed reflective accounts of situations where they have taken part in negotiations with other parties, supported with witness testimony to confirm validity. This evidence could provide links to AC1.2 and AC1.3 through learner reflection on their use of research into other parties, the use of negotiation techniques and the effectiveness of these processes.

For AC3.4, learners should be able to confirm adherence to policies and procedures in the context of their role and the negotiations being assessed. This could be assessed through reflective account, supported with witness testimony to confirm validity. Policies and procedures could relate to communications, human resources (employment law), business planning and objectives or organisational values. Ethics could be assessed in conjunction with AC1.4 and associated assessments of competence where cultural differences have been considered in negotiations.

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

Unit 26: Develop a Presentation

Unit reference number: K/506/1913

Level: 3

Credit value: 3

Guided learning hours: 11

Unit type: Competence

Unit summary

Whatever role you have within a business or the corporate world, presenting information clearly and effectively is an essential skill whenever you are informing, instructing or persuading an audience. 'Failing to prepare and therefore preparing to fail' is a situation to be avoided by anyone considering developing a presentation in a business environment. The success of your presentations is determined by how well you have prepared and developed the information you need to communicate or demonstrate.

In this unit you will learn how best to prepare and develop effective presentations. You will explore best practices and factors that need to be taken into account and consider how these can be applied to your presentation plans. You will make decisions and work with others to ensure your presentations achieve their intended objectives. You will learn about the advantages and disadvantages of using different methods for presenting information as well as the communication media you use. You will demonstrate your ability to plan, design, organise and prepare presentations to be delivered by yourself and others.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to develop a presentation	1.1 Explain best practice in developing presentations
	1.2 Explain who needs to be consulted on the development of a presentation
	1.3 Explain the factors to be taken into account in developing a presentation
	1.4 Analyse the advantages and limitations of different communication media
2 Be able to develop a presentation	2.1 Identify the purpose, content, style, timing and audience for a presentation
	2.2 Select a communication media that is appropriate to the nature of a presentation, message and audience
	2.3 Tailor a presentation to fit the timescale and audience's needs
	2.4 Prepare a presentation that is logically structured, summarises the content and addresses the brief
	2.5 Take action to ensure that a presentation adheres to organisational guidelines and policies
	2.6 Develop materials that support the content of a presentation

Unit amplification

AC1.1:	**Explain best practice in developing presentations**
	• *Presentations*: types, e.g. slideshow, practical demonstration, training, interview, pitching concepts and proposals • *Best practices in developing presentations*: plan, e.g. define purpose, define presentation objective, understand audience, research topic; design, e.g. choose appropriate media, consider format, content, review against purpose and audience; organise and prepare, e.g. assess venue, review resources, review equipment to be used; practice, e.g. rehearse presentation, timings and transitions, review, amend and improve
AC1.2:	**Explain who needs to be consulted on the development of a presentation**

	• *Who needs to be consulted with*
	
	  o *Audience*: invitation to presentation, resource and/or support needs, receipt of any pre-presentation materials
	
	  o *Colleagues*: line manager, e.g. pre-defined content, communication protocols, agreeing objectives; immediate colleagues, e.g. providing content, providing feedback
	
	  o *Supporting functions*: IT Department, e.g. providing audio visual equipment, telecommunications support; reprographics department, e.g. providing printed material and resources
	
	  o *External stakeholders*: venue, catering, guest speakers

AC1.3:	**Explain the factors to be taken into account in developing a presentation**

	• *Factors:*
	
	    o *Preparation:* establishing purpose, setting objectives, audience, venue
	
	    o *Objectives:* intended presentation outcomes, e.g. intended learning, intended understanding, intended actions to follow presentation
	
	    o *Audience:* prior knowledge of topic, linking new material, winning them over
	
	    o *Venue:* location, room arrangement, atmosphere, audio visual resources
	
	    o *Presentation remit/brief:* presentation purpose, allotted time, specified format/style, content constraints
	
	    o *Choosing main points*: structure, logic, coherence, linking statements
	
	    o *Supporting information:* to add clarity, to explain complex terms, to remind audience of supporting theories, to add authority
	
	    o *Developing an opening:* introduction, topic, objective, materials, intended outcome, expectations of the audience
	
	    o *Developing a conclusion*: review objectives, summarise main points, summarise the process, conclusion drawn from main points, parting statement to stimulate thoughts of audience
	
	    o *Reviewing presentation*: audience response, achievement of objectives, presentation structure, relevance of content and materials, appropriateness of length/timings

AC1.4:	**Analyse the advantages and limitations of different communication media**
	• *Communication Media*: verbal communication; written communication, e.g. slides, hand-outs; images, e.g. graphs, charts, diagrams; sound, e.g. audio clips, recordings; video, e.g. animations, embedded videos • *Advantages and limitations*: audience, e.g. learning styles, ability; topic, e.g. appropriateness of media, validity, reliability; budget; audio visual equipment, e.g. availability, accessibility, telecommunications, power; written resources e.g. production time, content, relevance, cost; verbal communication, e.g. effectiveness, direct communication, misinterpretation

Information for tutors

Suggested resources

Books

Harvard Business Review Press – *Developing a Business Case* (Pocket Mentor), (Harvard Business School Publishing, 2011) ISBN 9781422129760

Reynolds G – *Presentation Zen: Simple ideas on presentation Design and Delivery*, 2nd Edition (New Riders, 2011) ISBN 9780321811981

Reynolds, G – *Presentation Zen Design: Simple Design Principles and Techniques to Enhance your Presentation*, 2nd Edition, (New Riders, 2014) ISBN 9780321934154

Websites

www.office.microsoft.com – guidance of effective use of Microsoft PowerPoint to develop and deliver presentations

www.skillscfa.org – information and standards for business administrators

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

Unit assessment guidance

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

This unit can be assessed holistically with other units within the qualification such as: *Deliver a Presentation*.

Learners undertaking this unit should be able to provide naturally occurring evidence of their competence to develop presentations in the context of their role, responsibilities and organisation. Evidence can be derived from activities including; the preparation of training sessions, staff briefings, presenting management information or pitching a concept or idea.

For learning outcome 1, assessors should ensure learners evidence full adherence of the use of command verbs such as and "explain" and "analyse". Guidance may be needed to clarify requirements of command verbs before assessment activities begin. Assessments should provide learners with the opportunity to respond appropriately to command verbs.

For AC1.1; AC1.2 and AC1.3, evidence satisfying the assessment criteria could take the form of a pre-prepared discussion where the learner describes best practices relating to different presentation methods (AC1.1), demonstrates understanding of the importance of consultations and with whom they would consult as part of the development process (AC1.2) and relate the different factors to the development of presentations (AC1.3).

Learners may be able to recall familiar best practices however, at this level it is expected that learners research a range of best practices to demonstrate breadth of knowledge.

Learners should relate their discussions to instances which occur naturally in their role and consider annotating work product to capture knowledge and understanding to satisfy these assessment criteria.

For learning outcome 2, learners could present evidence from the workplace, including research notes, presentation plans, email correspondence, draft documents or presentation materials to evidence their ability to plan, prepare and develop a presentation. Evidence of this nature should be supported with professional discussion, personal statements or witness testimonies to confirm both its relevance to this unit and competence that has been demonstrated by the learner which meets assessment criteria.

For AC2.1, learners could present a reflective account recounting their development of a presentation to meet a specific purpose, content, style, timing and audience.

For AC2.4 and AC2.5, assessors could have the opportunity to observe the learner consulting with others for the purpose of developing a presentation. Such consultations can be documented in an assessment record or recorded using audio-visual devices. This evidence could contribute to the achievement of AC2.4 and AC2.5, however, only as part of preparation activities and ensuring adherence to organisational guidelines and policies. Additional evidence would be required to demonstrate competence of wider preparation areas. AC2.5 requires Learners to adhere to organisational guidelines and policies when developing presentations. Assessment of this assessment criterion will require an existing understanding of relevant policies and guidance to confirm adherence to these. This understanding could be assessed via professional discussion.

Although a sound understanding of relevant organisational policies and guidelines is expected, documentation and information relating to these should remain in its usual location and be signposted in assessment records.

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

Unit 27: Deliver a Presentation

Unit reference number:	**M/506/1914**
Level:	**3**
Credit value:	**3**
Guided learning hours:	**17**
Unit type:	**Competence**

Unit summary

Whatever role you have within a business or the corporate world, presenting information clearly and effectively is an essential skill whenever you are informing, instructing or persuading an audience. Business presentations take many forms. Some are formal with lots of detailed information. How do you make sure the audience doesn't get lost in the detail and lose focus on the overall message? Some are informal and the difficulty is controlling the cross-talk. What about the technical aspects? What will you do if the projector breaks down; do you have a contingency plan? The outcome you want is that when the audience leaves the venue, they will remember the information and be impressed with the overall presentation. This unit offers some guidelines on how to accomplish that purpose.

In this unit you will learn how to identify the most appropriate presentation methods and media through analysis of advantages and limitations. You will consider your audience and how they can affect your presentation delivery. You will demonstrate your ability to organise all aspects of a presentation including the venue, equipment and resources. You will consider the importance of developing contingency plans to overcome issues during delivery of the presentation. You will demonstrate your ability to engage an audience during presentations and address questions, queries and behaviours effectively.

You will explore a range of evaluation methods and apply these techniques in order to identify if outcomes of delivered presentations have been achieved and where improvements could be made to future presentations.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1　Understand the principles underpinning the delivery of presentations	1.1　Analyse the advantages and limitations of different methods of, and media for, making presentations
	1.2　Explain how the type and size of the audience affects the delivery of a presentation
	1.3　Explain the factors to be taken into account in developing contingency plans when delivering presentations
	1.4　Explain voice projection and timing techniques when delivering presentations
	1.5　Explain the factors to be taken into account in responding to questions from an audience
	1.6　Explain different methods for evaluating the effectiveness of a presentation
2　Be able to prepare to deliver a presentation	2.1　Confirm the layout of the venue and correct functioning of equipment and resources prior to making a presentation
	2.2　Develop contingency plans for potential equipment and resource failure
	2.3　Take action to ensure that the presentation fits the time slot available

Learning outcomes	Assessment criteria
3 Be able to deliver a presentation	3.1 Speak clearly and confidently, using language that is appropriate for the topic and the audience
	3.2 Vary their voice tone, pace and volume appropriately when delivering a presentation
	3.3 Use body language in a way that reinforces messages
	3.4 Use equipment and resources effectively when delivering a presentation
	3.5 Deliver a presentation within the agreed time frame
	3.6 Respond to questions in a way that meets the audience's needs
	3.7 Evaluate the effectiveness of a presentation

Unit amplification

AC1.1:	**Analyse the advantages and limitations of different methods of, and media for, making presentations**

- *Communication Media*: verbal communication; written communication, e.g. slides, hand-outs; images, e.g. graphs, charts, diagrams; sound, e.g. audio clips, recordings; video, e.g. animations, embedded videos
- *Advantages and limitations*: audience, e.g. learning styles, ability; topic, e.g. appropriateness of media, validity, reliability; budget audio visual equipment, e.g. availability, accessibility, telecommunications, power; written resources e.g. production time, content, relevance, cost; verbal communication, e.g. effectiveness, direct communication, misinterpretation

AC1.2:	**Explain how the type and size of the audience affects the delivery of a presentation**

- *Presentations*: types, e.g. slideshow, practical demonstration, training, interview, pitching concepts and proposals
- *Audience size*: one to one; pairs; group, e.g. small, large; webinar, e.g. web-based delivery, unlimited in size
- *Delivery effects*: appropriate presentation type, appropriate communications media, content, delivery method and style, resource requirements, audience participation, technology, venue, length of presentation

AC1.3:	**Explain the factors to be taken into account in developing contingency plans when delivering presentations**

- *Contingency plans*: definition; reasons for contingency plans; possible alternatives, e.g. back up files, hard copy resources, replacement technology; technical/non-technical assistance
- *Factors*
  - *Information Technology:* possible failure, availability of replacements
  - *Access to resources:* corrupted or lost, accessibility of back up files
  - *Incorrect resources:* wrong versions, missing information
  - *Presentation hand-outs and materials:* incorrect number of copies
  - *Professional presentation behaviour:* composure, respect
  - *Issues with venue:* emergency evacuation, catering, room size and arrangement, lighting and ventilation
  - *Problems with audience:* illness, emergencies, level of understanding, disruptive behaviour

AC1.4:	**Explain voice projection and timing techniques when delivering presentations**
	• *Voice projection techniques*: physical, e.g. posture, breathing, resonance; non-physical, e.g. relax, personality, passion
	• *Timing techniques*: awareness of time limit; content planning, e.g. number of slides, complexity of information being presented; rehearsal of presentation timings; start on time; measure progress, e.g. timing check points; adjust if necessary; keep to plan
AC1.5:	**Explain the factors to be taken into account in responding to questions from an audience**
	• *Factors when responding to questions*
	○ *Planning:* audience analysis, e.g. interest and concerns, anticipation of questions based on content; opportunities for questioning, e.g. during, after
	○ *Understanding the question:* listen carefully to full question, establish understanding before responding, seeking clarification
	○ *Not knowing the answer:* honesty, indicate when audience can expect a response
	○ *Maintaining control:* avoid side conversations during questions, repeat content if necessary, manage disruption
	○ *Main questioner:* actively include other attendees
	○ *Irrelevant questions:* keep discussion focussed on subject
	○ *Hostile questions:* stick to facts, find areas of agreement
	○ *No questions asked:* find subject/opinion that stimulates thought, opportunities for one to one questions afterwards
AC1.6:	**Explain different methods for evaluating the effectiveness of a presentation**
	• *Effectiveness of a presentation*: purpose and objectives met, level of audience understanding and response; clarity of presentation; quality of information and resources presented; appropriateness of content and level for audience, appropriateness of length; confidence of presenter; impact of environmental factors
	• *Evaluation methods*: pre and post presentation testing; presenter review, self-assessment; group discussion; evaluations completed by attendees; monitoring of post-presentation actions

Information for tutors

Suggested resources

Books

Reynolds G – *Presentation Zen: Simple ideas on presentation Design and Delivery*, 2nd Edition (New Riders, 2011) ISBN 9780321811981

Reynolds, G – *Presentation Zen Design: Simple Design Principles and Techniques to Enhance your Presentation*, 2nd Edition, (New Riders, 2014) ISBN 9780321934154

Websites

www.office.microsoft.com/en-gb/powerpoint-help – guidance of effective use of Microsoft PowerPoint to develop and deliver presentations

www.skillscfa.org – information and standards for business administrators

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

Unit assessment guidance

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

This unit can be assessed holistically with other units within the qualification such as: *Develop a Presentation*.

Learners undertaking this unit should be able to provide naturally occurring evidence of their competence to deliver presentations in the context of their role, responsibilities and organisation. Evidence can be derived from activities including presentations associated with the delivery of training sessions, staff briefings, presenting management information or pitching a concept or idea.

In addition to assessment of presentations being delivered, learners are also required to capture evidence of preparations they make to ensure effective delivery of presentations. Assessors are encouraged to plan assessment of AC2.1 early into the unit, capturing the early stages of presentation preparation. Learners could have work products such as presentation plans, planning notes, internal or external correspondence or presentation materials that support achievement of this criterion, for example AC1.3 and AC2.2 (contingency planning).

Assessors should ensure the work products are sufficiently annotated, discussed or recorded in a reflective account to confirm its relevance and how it has been used to capture the knowledge and/or competence of the learner.

For learning outcome 1, assessors should ensure learners adhere to the use of command verbs such as and 'explain' and 'analyse'. Guidance may be needed to clarify requirements of command verbs prior to assessment activities being planned.

Assessment of learning outcome 1 would best be through a reflective account providing the opportunity for the learner to link and apply their knowledge and understanding to their work activities in learning outcomes 2 and 3. For example learners could reflect on the advantages and limitations of the presentation method(s) used and how they could potentially improve on their use of the different methods in the future. Similarly, the learner could explain how they used the information about the type and size of the audiences in the planning and delivery of their presentations, and the voice projection and timing techniques used in their presentation delivery. The opportunity to obtain witness testimonies from presentation attendees could also be considered to validate this. AC1.5 should be considered when planning assessment of AC1.2 as there are likely to be clear links between the type of audience and the predicted audience questions.

Learning outcome 2 lends itself well to the use of work products, however assessors must judge whether evidence can contain confidential or commercially sensitive information, in which case, signposting of evidence is acceptable.

AC3.1; AC3.2; AC3.3; AC3.4 and AC3.5 should be achieved through the assessment of learners delivering presentation(s). It is recommended, where possible, to use direct observation and audio visual devices to capture the presentation. Where it is not possible to use direct observation, assessors could choose to interview attendees or encourage learners to present materials such as speaker notes, slideshows, hand-outs, post-presentation attendee evaluations and presentation planning notes for the purpose of assessment.

For AC1.6 and AC3.7, learners could consider providing a summative report to attendees and/or other relevant stakeholders based on feedback received during the evaluation process. Learners are encouraged to use feedback to suggest areas for presentation development and improvement.

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

Unit 28: Resolve Customers' Complaints

Unit reference number:	R/506/2151
Level:	3
Credit value:	4
Guided learning hours:	22
Unit type:	Competence

Unit summary

This unit gives learners the knowledge, understanding and skills to be able to manage and resolve customers' complaints.

Customers' complaints are time consuming and can be troublesome. Only a fraction of dissatisfied customers will actually complain, however, of all the customers who encounter a problem, the majority do not tell you but they do tell their friends and family. When customers do complain, how the organisation deals with the complaint can have a big impact on the organisation. Customer complaint handling is a skill and done properly it can enhance an organisation's reputation and retain and gain new customers.

In this unit, you will learn how to deal with customers' complaints in a way that provides a positive outcome for customers and the organisation. You will understand how different customer-complaint monitoring techniques can be used to collect data and how the data can be used to improve the service the organisation provides. You will also learn about the advantages and limitations of offering compensation or replacements and the implications of admitting liability on the basis of a customer complaint.

You will be able to confirm the nature, cause and implications of customer complaints so that solutions can be found that meet customer and organisational requirements. You will learn about techniques used in negotiation and conflict management. You will then be able to use these techniques to agree on solutions with customers that address the complaint without going outside the limits of your authority, while adhering to organisational policies and procedures, and legal and ethical requirements.

Learning outcomes and assessment criteria

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

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

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

Unit amplification

AC1.1:	**Assess the suitability of a range of monitoring techniques for customers' complaints**
	• *Monitoring techniques:* e.g. customer feedback cards, web-based customer satisfaction surveys, mystery shopping, social media feedback, mentions by external media
	• *Suitability:* factors, e.g. fit with customer service strategy, ease of use of metrics, selection of relevant measures
AC1.2:	**Explain how to identify those complaints that should prompt a review of the service offer and service delivery**
	• *Identifying complaints:* based on types of complaints, e.g. indicates breakdowns in service delivery, potential to damage the reputation of the organisation, cause potential financial damage, regarding products faults and quality, linked to health and safety products and/or services
AC1.3:	**Explain negotiating techniques used to resolve customers' complaints**
	• *Basis of negotiating or bargaining power:* large customer, e.g. greater bargaining power; small customer, e.g. less individual bargaining power, possible power base through social media or pressure groups
	• *Negotiating techniques:* e.g. listening and questioning techniques to gather information; use of empathy; identifying the root cause of the complaint; use of persuasion techniques, e.g. positive spoken and body language, mirroring, understanding and using allowable concessions and alternative options appropriately; discuss alternative solutions with the customer
AC1.4:	**Explain conflict management techniques used in dealing with upset customers**
	• *Conflict management:* definition; negotiation techniques
	• *Conflict management techniques: e.g.* showing empathy, remaining calm when dealing with difficult customers, identifying the root cause of the complaint; explore best solutions with the customer; offering alternative solutions; use of escalation procedures

AC1.5:	Explain organisational procedures for dealing with customer complaints
	• The knowledge to meet this AC depends on the particular organisational requirements and context. Learners need to apply the knowledge specific to their organisation to meet this AC *General knowledge may include:* • *Procedures:* formal complaints procedures and informal complaints procedures • *Purpose of a complaints procedure:* e.g. resolve customer complaints quickly, minimise damage to the organisation's reputation, information gained can be used to inform and improve customer service
AC1.6:	**Explain when to escalate customers' complaints**
	• *Escalation:* levels of authority in the organisation; limits of own authority, limits of knowledge, losing control of the situation, level and speed of progress
AC1.7:	**Explain the cost and regulatory implications of admitting liability on the basis of a customer complaint**
	• *Financial costs:* e.g. individual compensation claims, class action compensation claims, out of court settlements, regulatory fines, cost to brand image • *Regulatory implications:* regulatory investigations arising from customer complaints, e.g. Financial Ombudsman such as the Office of Gas and Electricity Markets (Ofgem) and Water Service Regulation Authority (known as Ofwat); potential closure of the organisation
AC1.8:	**Explain the advantages and limitations of offering compensation or replacement products and/or services**
	• *Advantages:* e.g. customer retention, enhanced reputation for resolving issues; positive media coverage • *Limitations:* e.g. customers may still change supplier, increased costs, satisfactory resolution may not be known widely

Information for tutors

Suggested resources

Books

Cook S – *Complaint Management Excellence: Creating Customer Loyalty through Service Recovery* (Kogan Page, 2012) ISBN 9780749465308

Evenson R – *Customer Service Training 101* (2nd Edition), (Amacom, 2010) ISBN 9780814416419

Websites

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

Assessment

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 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 main evidence collection methods for demonstrating achievement of learning outcome 2 are likely to be a combination of direct observation and professional discussion with the learner, supported by a review of relevant work products. The evidence collected can be based on situations where the learner is handling and resolving internal or external customer complaints, whether face to face, by email and/or by telephone.

Direct observation is suitable where the learner is handling customers' complaints face to face and/or by telephone, this would provide evidence for AC2.1, AC2.3 AC2.6 and AC2.7. The assessor can carry out the observation unobtrusively using professional discussion to evidence the knowledge underlying the performance being undertaken.

Product evidence seen during an observed performance or separately from observed performance should be evaluated and commented on by the assessor (e.g. emails, letters, spreadsheets, completed records, Word documents and database reports). These could be an alternative source of evidence for AC2.1, AC2.3, AC2.6 and AC2.7 in the instances where the interactions with customers are by email. They can also provide evidence for AC2.8.

The professional discussion could focus on providing evidence for AC2.4 and AC2.5 as well as for the knowledge and understanding underpinning the learner's performance. For example, for AC2.7, the learner could explain the rationale for the choice of options offered to customers. Similarly, for AC2.2 the learner could explain how they took ownership and personal responsibility for customers' complaints. The evidence for learning outcome 2 can be further supported by a witness testimony from an appropriate person in the workplace, for example for AC2.9 confirmation from a line manager that the learner has followed the correct organisational policies when dealing with customers' complaints.

Evidence to confirm the achievement of learning outcome 1 could be integrated into the professional discussion for learning outcome 2 and would give the learner the opportunity to link and apply their knowledge to their workplace activities as well ease the burden of assessment for both the assessor and the learner. There are good opportunities to relate the assessment of the knowledge requirements to the competence activities, for example for AC1.2 the learner might use examples of complaints they have resolved to explain the reasoning behind a service review. An example for AC1.4 might be where the learner explains the negotiating techniques they have used in situations where customers were upset. Alternatively, evidence could be provided through the use of a reflective account, where the learner could address the underpinning knowledge and understanding requirements for learning outcome 2. Learners' responses or statements to meet the knowledge requirements must be at a sufficient depth and breadth to meet the level of demand of the operative verbs.

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

12 Further information and useful publications

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

- Edexcel, BTEC and Pearson Work Based Learning contact details: qualifications.pearson.com/en/support/contact-us.html
- books, software and online resources for UK schools and colleges: www.pearsonschoolsandfecolleges.co.uk

Key publications

- *Adjustments for candidates with disabilities and learning difficulties, Access and Arrangements and Reasonable Adjustments, General and Vocational qualifications* (Joint Council for Qualifications (JCQ))

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

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

- *Equality Policy* (Pearson)

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

- *UK Information Manual* (Pearson)

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

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

Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please go to the resources page of our website, qualifications.pearson.com

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.htmlYou can request centre-based training through the website or you can contact one of our advisers in the Training from Pearson UK team via Customer Services to discuss your training needs.

Training and support for the lifetime of the qualifications

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

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

To get in touch with our dedicated support teams please visit our website at: http://qualifications.pearson.com/en/support/contact-us.html

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

Online forum

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

14 Contact us

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

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

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

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

Complaints and feedback

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

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

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

Skills CFA Assessment Strategy
Competence units (S/NVQ)

Business Administration

Customer Service

Management and Leadership

Contents

No.	Detail
1	Introduction
2	External quality control of assessment
3	Requirements of assessors, external and internal verifiers
4	Evidence
5	Employer direct model
6	Appendix A - Realistic Working Environment Guidelines
7	Appendix B – Simulation: a list of unit

1. Introduction

This Assessment Strategy provides principles and guidance to Awarding Organisations for the assessment of competence-based units and qualifications (including Scottish Vocational Qualifications and National Vocational Qualifications) within Business Administration, Customer Service and Management and Leadership in England, Scotland, Wales and Northern Ireland.

This document outlines Skills CFA principles in regards to:

- external quality control of assessment
- requirements of assessor and verifiers
- evidence
- employer direct model.

These principles are in addition to the generic criteria that Awarding Organisations must meet for delivery of qualifications as required by the qualification regulators, for example Ofqual's Regulatory Arrangements for the Qualifications and Credit Framework and any regulatory requirements specified by the SQA Accreditation.

This strategy should only be used for the assessment of the Business Administration, Customer Service and Management and Leadership competence-knowledge based units and qualifications owned by Skills CFA. Units which have been imported by Skills CFA into their apprenticeships or competence-based qualifications will be assessed in compliance with their relevant assessment strategies. Awarding Organisations may assess knowledge-only units as they see fit.

2. External quality control of assessment

The quality of the assessment process is the responsibility of Awarding Organisations. However, Skills CFA encourages flexibility and innovation of approach, alongside robust systems to support quality control. Awarding Organisations are also encouraged to detail their approach to external verification, risk assessment and data requests.

2.1 External verification

- Awarding Organisations are responsible for the competence of external verifiers. It is the responsibility of Awarding Organisations to monitor centres' performance in accordance with regulatory requirements.

- Awarding Organisations must consistently apply external verification processes at all assessment centres delivering competence-based qualifications. These should be underpinned by standard risk assessment and risk management processes.

2.2 Risk assessment

- Awarding Organisations must carry out standard risk assessments for all qualification assessment centres that are delivering competence-based qualifications. Identified risks must be managed appropriately.

- Awarding Organisations must retain evidence to prove that a risk assessment has been carried out for each approved centre, and that a strategy to minimise any identified risk has been implemented.

2.3 Data requests

- Each quarter, Awarding Organisations must provide registration and achievement data at all qualification levels and unit levels (where possible) to Skills CFA.

3. Requirements of assessors, external and internal verifiers

Candidates may be assessed, moderated or verified at work either by several appointed individuals.

3.1 Assessors

The primary responsibility of an Assessor is to assess candidates' performance in a range of tasks and to ensure the evidence submitted by the candidate meets the requirements of the assessment criteria.

It is important that an assessor can recognise occupational competence as specified by the national standard. Assessors therefore need to have a thorough understanding of assessment and quality assurance practices, as well as have in-depth technical understanding related to the qualifications for which they are assessing candidates.

To be able to assess candidates, Assessors must:

- hold an appropriate qualification, as specified by the appropriate regulatory authority, confirming their competence to assess candidates undertaking competence-based units and qualifications. Assessors holding older qualifications must be able to demonstrate that they are assessing to the current standards;

OR

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. An Assessor working towards an appropriate qualification must ensure their decisions are countersigned by a suitably-qualified assessor/verifier and should be supported by a qualified assessor throughout their training period.

- be "occupationally competent" Assessors must provide current evidence of competence, knowledge and understanding in the areas to be assessed. This will normally be achieved through demonstrating competence in the roles which are to be assessed or demonstrated by relevant experience and continuing professional development (CPD) which may include the achievement of qualifications relevant to the areas being assessed.

- have a full and current understanding of the units of competence and requirements of the qualifications being assessed, including the quality of assessment and the assessment process.

It is the responsibility of approved centres to select and appoint assessors.

3.2 External quality assurer (EQA)[1]

The primary responsibility of EQAs is to assure quality of internal verification and assessments across the centres for which they are responsible. EQAs must have a thorough understanding of quality assurance and assessment practices, as well as in-depth technical knowledge related to the qualifications that they are externally verifying.

EQAs must:

- hold an appropriate qualification as specified by the appropriate regulatory authority, confirming their competence to verify competence-based assessments. EQAs holding older qualifications must be able to demonstrate that they are verifying to the current standards;

OR

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. If EQAs are working towards an appropriate qualification, their decisions must be countersigned by a suitably qualified EQA[2] and should be supported by a qualified EQA throughout their training period.

- be "occupationally competent". EQAs must demonstrate sufficient and current understanding of the qualifications to be verified, and know how they are applied in business.

- demonstrate competent practice in external verification of assessment, and demonstrate understanding of the principles and practices of external verification of assessment, including the quality of assessment and the assessment process.

It is the responsibility of the awarding body to select and appoint EQAs.

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[1] Also known as External Verifier (EV)
[2] The need for countersigning the decisions of EQAs working towards a qualification, applies to England and Wales and not Scotland.

3.3 Internal quality assurer (IQA)[3]

A primary responsibility of IQAs is to assure the quality and consistency of assessments by the assessors for whom they are responsible. IQAs therefore need to have a thorough understanding of quality assurance and assessment practices, as well as sufficient technical understanding related to the qualifications that they are internally verifying. It will be the responsibility of the approved centre to select and appoint IQAs.

IQAs must:

- hold an appropriate qualification, as specified by the appropriate regulatory authority, confirming their competence to internally verify competence-based assessments and candidates. IQAs holding older qualifications must be able to demonstrate that they are verifying to the current standards;

OR

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. If an IQA is working towards an appropriate qualification, their decisions must be countersigned by a suitably qualified IQA[4] and should be supported by a qualified IQA throughout their training period.

- be "occupationally competent". IQAs must demonstrate sufficient and current understanding of the qualifications to be internally verified, and know how they are applied in business.

- demonstrate competent practice in internal verification of assessment, and demonstrate understanding of the principles and practices of internal verification of assessment, including the quality of assessment and the assessment process.

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

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[3] Also known as Internal Verifier (IV)

[4] The need for countersigning the decisions of IQAs working towards a qualification, applies to England and Wales and not Scotland.

4. Evidence

4.1 Evidence from Workplace Performance

- Evidence of occupational competence of all competence units at any level, should be generated and collected through performance under workplace conditions. This includes the knowledge-based learning outcomes and assessment criteria of the competence units.

- These conditions would be those typical to the candidate's normal place of work. The evidence collected under these conditions should also be as naturally occurring as possible. It is accepted that not all employees have identical workplace conditions and therefore there cannot be assessment conditions that are identical for all candidates. However, assessors must ensure that, as far as possible, the conditions for assessment should be those under which the candidate usually works.

4.2 Simulation

- Simulation can be applied to all units listed in Section 7.

- Where simulation is used for units at Level 2 and above, it should only form a small part of the evidence for the qualification.

- Evidence may be produced through simulation solely in exceptional circumstances. The exceptional circumstances, under which simulation is possible, are those situations that are not naturally or readily occurring, such as response to emergencies.

- Simulation must be undertaken in a 'realistic working environment' (RWE). A RWE is "an environment which replicates the key characteristics in which the skill to be assessed is normally employed". The RWE must provide conditions the same as the normal day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working. Guidelines for using RWE can be found in Section 6.

5. Employer direct model

Skills CFA encourages the use of an employer direct model. The employer direct model is where colleagues, supervisors and/or managers in the workplace are involved in the assessment process. Under this model, the employer, with the agreement of their Awarding Organisation may choose between:

- Achieving the appropriate regulatory body approved unit qualifications for assessment;

OR

- Demonstrating that the employer's training and development activity undertaken to prepare, validate and review these assessment roles, maps 100% to the National Occupational Standards which these qualifications are based on. The mapping process must be agreed by the Awarding Organisation as providing the equivalent level of rigour and robustness as achievement of the unit qualification

In order to use the employer direct model:

An organisation must:

- have staff who have achieved, or be working towards achieving, appropriate regulatory body approved unit qualifications for assessment, moderation or verification;

OR

- seek guidance and approval from an awarding organisation to demonstrate that they have:
  - o appropriate processes in place to facilitate assessment, moderation or verification functions
  - o carried out 100% mapping of the trainer, supervisor or managers' assessment, moderation or verification skills and knowledge to the National Occupational Standards upon which the qualifications above are based.

An Awarding Organisation must:

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

6. Appendix A – Realistic Working Environment Guidelines

Realistic Working Environment (RWE) can be applied to all the units Section 7:

It is essential that organisations wishing to operate a RWE operate in an environment which reflects a real work setting. This will ensure that any competence achieved in this way will be sustained in real employment.

To undertake the assessment in a RWE the following guidelines must be met:

1   the RWE is managed as a real work situation

2   assessment must be carried out under realistic business pressures

3   all services that are carried out should be completed in a way, and to a timescale, that is acceptable in business organisations

4   candidates must be expected to achieve a volume of work comparable to normal business practices

5   the range of services, products, tools, materials and equipment that the candidates use must be up to date and available

6   account must be taken of any legislation or regulations in relation to the type of work that is being carried out

7   candidates must be given workplace responsibilities to enable them to meet the requirements of the units

8   customer perceptions of the RWE is similar to that found in the work situation being represented

9   candidates must show that their productivity reflects those found in the work situation being represented.

7. 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

Annexe B: Personal, Learning and Thinking Skills mapping

PLTS	Units	1 L2	2 L2	3 L2
Independent Enquirers				
1	identify questions to answer and problems to resolve	AC 3.5 3.6		
2	plan and carry out research, appreciating the consequences of decisions	AC 3.5 3.7		
3	explore issues, events or problems from different perspectives	AC 3.5 4.4		
4	analyse and evaluate information, judging its relevance and value	AC 3.6		
5	consider the influence of circumstances, beliefs and feelings on decisions and events	AC 3.5		
6	support conclusions, using reasoned arguments and evidence	AC 4.5	AC 3.5	
Creative Thinkers				
1	generate ideas and explore possibilities	AC 3.5		AC 2.2 3.3 3.4
2	ask questions to extend their thinking	AC 3.6		AC 3.1
3	connect their own and others' ideas and experiences in inventive ways			AC 1.4
4	question their own and others' assumptions			AC 2.1
5	try out alternatives or new solutions and follow ideas through	AC 4.2 4.3		AC 3.4
6	adapt ideas as circumstances change	AC 4.4		AC 3.4
Reflective Learners				
1	assess themselves and others, identifying opportunities and achievements	AC 3.5 4.4		AC 2.4
2	set goals with success criteria for their development and work	AC 3.5 3.7		AC 2.2
3	review progress, acting on the outcomes	AC 4.4	AC 2.5	AC 2.4
4	invite feedback and deal positively with praise, setbacks and criticism	AC 3.6	AC 2.5	AC 1.3 2.2

PLTS	Units	1 L2	2 L2	3 L2
5	evaluate experiences and learning to inform future progress	AC 3.5 3.6 4.4		AC 2.4
6	communicate their learning in relevant ways for different audiences	AC 4.5		AC 2.6
Team Workers				
1	collaborate with others to work towards common goals			AC 1.4 2.2
2	reach agreements, managing discussions to achieve results		AC 2.5	AC 2.2 3.3
3	adapt behaviour to suit different roles and situations, including leadership roles			AC 1.4
4	show fairness and consideration to others		AC 2.4	AC 1.4 1.6
5	take responsibility, showing confidence in themselves and their contribution			AC 3.3
6	provide constructive support and feedback to others	AC 4.5		AC 1.6 2.4
Self-Managers				
1	seek out challenges or new responsibilities and show flexibility when priorities change	AC 4.2 4.3		
2	work towards goals, showing initiative, commitment and perseverance	AC 4.2 4.3		AC 2.4 3.4
3	organise time and resources, prioritising actions	AC 2.1 4.1		AC 2.3
4	anticipate, take and manage risks	AC 2.2		AC 3.4
5	deal with competing pressures, including personal and work-related demands	AC 2.3		AC 2.3 2.4
6	respond positively to change, seeking advice and support when needed	AC 3.2 3.6 4.4		AC 3.4
7	manage their emotions, and build and maintain relationships	AC 3.2		

PLTS	Units	1 L2	2 L2	3 L2
Effective Participators				
1	discuss issues of concern, seeking resolution where needed	AC 3.5 3.6	AC 2.4	AC 2.6 3.1 3.2
2	present a persuasive case for action	AC 3.7	AC 2.3 2.4 3.2	AC 2.2
3	propose practical ways forward, breaking these down into manageable steps	AC 3.7		AC 2.2 2.4 3.3
4	identify improvements that would benefit others as well as themselves	AC 3.5 4.5		AC 1.4 2.4 3.4
5	try to influence others, negotiating and balancing diverse views to reach workable solutions		AC 2.4	AC 2.2 3.3
6	act as an advocate for views and beliefs that may differ from their own			AC 2.6 3.3