

# **Pearson BTEC Level 3 Certificate in Employment Related Services (QCF)**

## **Specification**

Pearson BTEC Specialist qualification

First teaching August 2014

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# Purpose of this specification

The purpose of a specification as defined by Ofqual is to set out:

- the qualification's objective
- any other qualification that a learner must have completed before taking the qualification
- any prior knowledge, skills or understanding that the learner is required to have before taking the qualification
- units that a learner must have completed before the qualification will be awarded and any optional routes
- 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 (giving a clear indication of their coverage and depth)
- the method of any assessment and any associated requirements relating to it
- the criteria against which the learner's level of attainment will be measured (such as assessment criteria)
- any specimen materials
- any specified levels of attainment.



# 1 Introducing Pearson BTEC Specialist qualifications

For more than 25 years, Pearson BTECs have earned their reputation as well-established, enduringly effective qualifications. They have a proven track record of improving motivation and achievement. Pearson BTECs also provide progression routes to the next stage of education or to employment.

## What are Pearson BTEC Specialist qualifications?

Pearson BTEC Specialist qualifications are qualifications from Entry to Level 3 on the Qualifications and Credit Framework (QCF). They are work-related qualifications and are available in a range of sectors. They give learners the knowledge, understanding and skills they need to prepare for employment. They also provide career development opportunities for those already in work. These qualifications may be full-time or part-time courses in schools or colleges. Training centres and employers may also offer these qualifications.

Some Pearson BTEC Specialist qualifications are knowledge components in Apprenticeship Frameworks, i.e. Technical Certificates.

There are three sizes of Pearson BTEC Specialist qualification in the QCF:

- Award (1 to 12 credits)
- Certificate (13 to 36 credits)
- Diploma (37 credits and above).

Every unit and qualification in the QCF has a credit value.

The credit value of a unit specifies the number of credits that will be awarded to a learner who has achieved the learning outcomes of the unit.

The credit value of a unit is based on:

- one credit for every 10 hours of learning time
- learning time – defined as the time taken by learners at the level of the unit, on average, to complete the learning outcomes to the standard determined by the assessment criteria.

## 2 Qualification summary and key information

Qualification title	Pearson BTEC Level 3 Certificate in Employment Related Services (QCF)
QCF Qualification Number (QN)	600/9665/2
Qualification framework	Qualifications and Credit Framework (QCF)
Regulation start date	11/06/2013
Accreditation start date	01/08/2014
Approved age ranges	16-18 19+
Credit value	20
Assessment	Centre-devised assessment (internal assessment)
Guided learning hours	118
Grading information	The qualification and units are at pass grade.
Entry requirements	No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification. However, centres must follow the Pearson Access and Recruitment policy (see <i>Section 10 Access and recruitment</i> ).



## **QCF qualification number and qualification title**

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

The qualification title, unit titles and QN will appear on each learner's final certificate. You should tell your learners this when your centre recruits them and registers them with us. There is more information about certification in our *Information Manual*, available on our website: [www.edexcel.com](http://www.edexcel.com)

## **Objective of the qualification**

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The Pearson BTEC Level 3 Certificate in Employment Related Services (QCF) is for learners who work in, or want to work in the employment related services sector.

It gives learners the opportunity to:

- develop knowledge and skills related to job roles in the employment related services sector
- achieve a nationally-recognised Level 3 qualification
- develop their own personal growth and engagement in learning

## **Relationship with previous qualifications**

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This qualification is a replacement for the EDI Level 3 Certificate in Employment Related Services (QCF).

## **Progression opportunities through Pearson qualifications**

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Learners who have achieved the Pearson BTEC Level 3 Certificate in Employment Related Services (QCF) can progress to a Pearson BTEC Level 3 Diploma in Employment Related Services (QCF), a Level 4 Certificate in Employment Related Services (QCF) or a Level 4 Diploma in Employment Related Services (QCF).

## **Industry support and recognition**

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This qualification is supported by the professional body the Institute of Employability Professionals (IEP).

### 3 Qualification structure

#### Pearson BTEC Level 3 Certificate in Employment Related Services (QCF)

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

Minimum number of credits that must be achieved	20
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Unit	Unit reference number	Mandatory units	Level	Credit	Guided learning hours
1	M/503/2400	Understanding the Employment Related Services Sector	3	5	33
2	K/602/1597	Providing Excellent Customer Service	3	6	40
3	L/600/9586	Manage own Professional Development within an Organisation	3	4	20
4	H/600/9609	Ensure Compliance with Legal, Regulatory, Ethical and Social Requirements	4	5	25

Centres should be aware that within the Level 3 qualification in this specification, learners will be required to meet the demands of a unit at Level 4. Centres are advised to consider the support, guidance and opportunities they give to learners to meet the demands of the higher level unit(s) during delivery and assessment of the qualification.

## 4 Assessment

The table below gives a summary of the assessment methods used in the qualification.

Units	Assessment method
All units	Centre-devised assessment

### Centre-devised assessment (internal assessment)

Each unit has specified learning outcomes and assessment criteria. To pass an internally assessed unit, learners must meet all the learning outcomes. Centres may find it helpful if learners index and reference their evidence to the relevant learning outcomes and assessment criteria.

Centres need to write assignment briefs for learners to show what evidence is required. Assignment briefs should indicate clearly which assessment criteria are being targeted.

Assignment briefs and evidence produced by learners must meet any additional requirements in the *Information for tutors* section of the unit.

Unless otherwise indicated in *Information for tutors*, the centre can decide the form of assessment evidence (for example, performance observation, 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.

Centres are encouraged to give learners realistic scenarios and maximise the use of practical activities in delivery and assessment.

To avoid over-assessment, centres are encouraged to link delivery and assessment across units.

There is more guidance about internal assessment on our website. See *Section 13. Further information and useful publications*.

## 5 Recognising prior learning and achievement

### Recognition of Prior Learning

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Recognition of Prior Learning (RPL) is a method of assessment (leading to the award of credit) that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so do not need to develop through a course of learning.

Pearson encourages centres to recognise learners' previous achievements and experiences in and outside the workplace, as well as in the classroom. RPL provides a route for the recognition of the achievements resulting from continuous learning.

RPL enables recognition of achievement from a range of activities using any valid assessment methodology. If the assessment requirements of a given unit or qualification have been met, the use of RPL is acceptable for accrediting a unit, units or a whole qualification. Evidence of learning must be sufficient, reliable and valid.

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

### Credit transfer

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Credit transfer describes the process of using a credit or credits awarded in the context of a different qualification or awarded by a different awarding organisation towards the achievement requirements of another qualification. All awarding organisations recognise the credits awarded by all other awarding organisations that operate within the QCF.

If learners achieve credits with other awarding organisations, they do not need to retake any assessment for the same units. The centre must keep evidence of credit achievement.

## 6 Centre resource requirements

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

- Centres must have appropriate physical resources (for example, equipment, IT, learning materials, teaching rooms) to support the delivery and assessment of the qualification.
- Staff involved in the assessment process must have relevant expertise and occupational experience.
- There must be systems in place to ensure continuing professional development for staff delivering the qualification.
- Centres must have appropriate health and safety policies in place relating to the use of equipment by learners.
- Centres must deliver the qualifications in accordance with current equality legislation. For further details on Pearson's commitment to the Equality Act 2010, please see *Section 10 Access and recruitment* and *Section 11 Access to qualifications for learners with disabilities or specific needs*. For full details on the Equality Act 2010, please go to [www.legislation.gov.uk](http://www.legislation.gov.uk)

## 7 Centre recognition and approval centre recognition

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

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

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

### Approvals agreement

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All centres are required to enter into an approval agreement that 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.

## 8 Quality assurance of centres

Quality assurance is at the heart of vocational qualifications. The centre assesses Pearson BTEC qualifications. The centre will use quality assurance to make sure that their managers, internal verifiers and assessors are standardised and supported. Pearson use quality assurance to check that all centres are working to national standards. It gives us the opportunity to identify and provide support, if needed, to safeguard certification. It also allows us to recognise and support good practice.

For the qualifications in this specification, the Pearson quality assurance model will follow one of the processes listed below.

- 1 Delivery of the qualification as part of a BTEC apprenticeship ('single click' registration):
  - an annual visit by a Standards Verifier to review centre-wide quality assurance systems and sampling of internal verification and assessor decisions
- 2 Delivery of the qualification outside the apprenticeship:
  - an annual visit to the centre by a Centre Quality Reviewer to review centre-wide quality assurance systems
  - Lead Internal Verifier accreditation. This involves online training and standardisation of Lead Internal Verifiers using our OSCA platform, accessed via Edexcel Online. Please note that not all qualifications will include Lead Internal Verifier accreditation. Where this is the case, we will annually allocate annually a Standards Verifier to conduct postal sampling of internal verification and assessor decisions for the Principal Subject Area.

For further details, go to the *UK BTEC Quality Assurance Handbook* on our website.

## 9 Programme delivery

Centres are free to offer the qualifications using any mode of delivery (for example full time, part time, evening only, distance learning) that meets their learners' needs. Whichever mode of delivery is used, centres must make sure that learners have access to the resources identified in the specification and to the subject specialists delivering the units.

Those planning the programme should aim to enhance the vocational nature of the qualification by:

- liaising with employers to make sure a course is relevant to learners' specific needs
- accessing and using non-confidential data and documents from learners' workplaces
- developing up-to-date and relevant teaching materials that make use of scenarios that are relevant to the sector
- giving learners the opportunity to apply their learning in practical activities
- including sponsoring employers in the delivery of the programme and, where appropriate, in the assessment
- making full use of the variety of experience of work and life that learners bring to the programme.

Centres must make sure that any legislation taught is up to date.



## 10 Access and recruitment

Pearson's policy regarding 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 any barriers that restrict access and progression
- there should be equal opportunities for all those wishing to access the qualifications.

Centres are required to recruit learners to Pearson BTEC Specialist qualifications with integrity.

Applicants will need relevant information and advice about the qualification to make sure it meets their needs.

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

For learners with disabilities and specific needs, this review will need to take account of the support available to the learner during teaching and assessment of the qualification. The review must take account of the information and guidance in *Section 11 Access to qualifications for learners with disabilities or specific needs*.

Learners may be aged between 14 and 16 and therefore potentially vulnerable. Where learners are required to spend time and be assessed in work settings, it is the centre's responsibility to ensure that the work environment they go into is safe.

## 11 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. It also requires our qualifications to be 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.

Learners taking a qualification may be assessed in British sign language or Irish sign language where it is permitted for the purpose of reasonable adjustments.

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*.

Details on how to make adjustments for learners with protected characteristics are given in the document *Pearson Supplementary Guidance for Reasonable Adjustment and Special Consideration in Vocational Internally Assessed Units*.

Both documents are on our website at: [www.edexcel.com/policies](http://www.edexcel.com/policies)

## 12 Units

Units have the following sections.

### Unit title

The unit title is on the QCF and this form of words will appear on the learner's Notification of Performance (NOP).

### Unit reference number

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

### QCF level

All units and qualifications within the QCF have a level assigned to them. There are nine levels of achievement, from Entry to Level 8. The QCF Level Descriptors inform the allocation of the level.

### Credit value

When a learner achieves a unit, they gain the specified number of credits.

### Guided learning hours

Guided learning hours are the times when a tutor, trainer or facilitator is present to give specific guidance towards the learning aim for a programme. This definition covers lectures, tutorials and supervised study in, for example, open learning centres and learning workshops. It also includes assessment by staff where learners are present. It does not include time spent by staff marking assignments or homework where the learner is not present.

### Unit aim

This gives a summary of what the unit aims to do.

### Essential resources

This section lists any specialist resources needed to deliver the unit. The centre will be asked to make sure that these resources are in place when it seeks approval from Pearson to offer the qualification.

### Learning outcomes

The learning outcomes of a unit set out what a learner knows, understands or is able to do as the result of a process of learning.

## Assessment criteria

Assessment criteria specify the standard required by the learner to achieve each learning outcome.

## Unit amplification

This section clarifies what a learner needs to know to achieve a learning outcome.

## Information for tutors

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

- *Delivery* – explains the content’s relationship to the learning outcomes and offers guidance on possible approaches to delivery.
- *Assessment* – gives information about the evidence that learners must produce, together with any additional guidance if appropriate. This section should be read in conjunction with the assessment criteria.
- *Suggested resources* – lists resource materials that can be used to support the teaching of the unit, for example books, journals and websites.

# **Unit 1: Understanding the Employment Related Services Sector**

**Unit reference number: M/503/2400**

**QCF level: 3**

**Credit value: 5**

**Guided learning hours: 33**

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## **Unit aim**

The aim of this unit is for learners to develop their understanding and knowledge of the employment related services sector. This includes understanding and knowing about the role of the sector, programmes and services delivered within the sector, and primary frameworks that underpin effective practice within the sector.

Learners will gain an understanding of labour market information in order to deliver within the sector and find out how to improve service delivery by using labour market information.

## **Essential resources**

There are no special resources needed for this unit.

## Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	Unit amplification	
1	Understand the role of the employment related services sector	1.1	Describe the role of the sector	<ul style="list-style-type: none"> <li>□ Role of the sector to find employment for various types of people: unemployed, people looking for new employment, people with learning difficulties, people with disabilities</li> </ul>
		1.2	Describe the objectives of the sector	<ul style="list-style-type: none"> <li>□ Using current policies and objectives of the sector to find employment for various types of people: unemployed, people looking for new employment, people with learning difficulties, people with disabilities</li> </ul>
		1.3	Describe the responsibilities of key stakeholders	<ul style="list-style-type: none"> <li>□ Key stakeholders: government departments/agencies, industry bodies, providers, delivery partners, employers, clients, communities</li> </ul>
		1.4	Summarise the relationship between own organisation and key stakeholders	<ul style="list-style-type: none"> <li>□ Relationship between organisation and stakeholder: finding clients sustainable for employment, working with agencies to overcome barriers for clients, engaging employers to employ clients, engaging with communities to work with clients</li> <li>□ Organisation working in line with government and agency requirements and how this impacts on the client</li> </ul>
		1.5	Explain own job role in relation to the needs of key stakeholders	<ul style="list-style-type: none"> <li>□ Own job role in relation to needs of key stakeholders: helping clients by giving advice and guidance, finding employment</li> <li>□ Working with employers so that clients are engaged to work and find employment</li> <li>□ Working within requirements of government and agency requirements and in line with organisation requirements</li> </ul>

Learning outcomes	Assessment criteria		Unit amplification
	1.6	Describe how to meet contractual obligations that apply to own job role	<ul style="list-style-type: none"> <li data-bbox="288 197 347 1167">□ Job specification and contractual requirements that are applicable to job role</li> <li data-bbox="373 367 432 1167">□ Legal requirements of job role: data protection, contractual requirements, confidentiality and how this fits into their job role</li> </ul>

Learning outcomes	Assessment criteria	Unit amplification
<p>2 Understand the programmes and services delivered in the employment related services sector</p>	2.1 Describe the aims of different types of employment related programmes	<ul style="list-style-type: none"> <li>□ Current employment related programmes, e.g. The Work Programme, Work Choice Programme, Jobcentre Plus support contracts, Access to Work, new enterprise allowance scheme</li> </ul>
	2.2 Describe the service recipients of employment related programmes	<ul style="list-style-type: none"> <li>□ Service recipients, e.g. long-term unemployed, young adult unemployed, NEETS, adults with learning difficulties, adults with mental health issues, adults with physical disabilities</li> </ul>
	2.3 Describe services delivered in the sector	<ul style="list-style-type: none"> <li>□ Services, e.g. case management, labour market and career advice, job search assistance, CV preparation, training, coaching, interview preparation, working in a group, marketing to potential employers, referral to other services, in work support services</li> </ul>
	2.4 Explain the relationships that exist between programmes and services	<ul style="list-style-type: none"> <li>□ Understand how services are relevant to current programmes, for example:               <ul style="list-style-type: none"> <li>• the Work Programme, e.g. career advice, job search assistance, marketing to potential employers</li> <li>• Work Choice programme, e.g. job search assistance, case management and labour market and career advice, in work support, case management</li> <li>• Access to Work, e.g. referral to other services, job search assistance, labour market and career advice, case management, in work support</li> <li>• Jobcentre Plus support contracts, e.g. job search assistance, labour market and career advice, marketing to potential employers</li> <li>• Mandatory Work Activity, e.g. marketing to potential employers, job search assistance, case management, in work support</li> <li>• New enterprise allowance scheme, e.g. case management, referral to other services</li> </ul> </li> </ul>



Learning outcomes		Assessment criteria	Unit amplification
3	Understand the primary frameworks that underpin effective practice in the employment related services sector	3.1 Describe the primary frameworks	<ul style="list-style-type: none"> <li>□ Understanding duty of care, ethical behaviour and decision making, contractual requirements, legislative and regulatory requirements relevant to the sector, code of conduct, organisational policies and procedures (e.g. health and safety, equality and diversity, data protection, confidentiality)</li> </ul>
		3.2 Explain how to ensure compliance with industry standards for <ul style="list-style-type: none"> <li>• ethical conduct</li> <li>• effective practice</li> </ul>	<ul style="list-style-type: none"> <li>□ Understanding of what compliance means within the employment related services sector</li> <li>□ Ensuring that work with clients is carried out in an ethical way: working with the best interest of the client at the centre of all work, contractual requirements, code of conduct relating to supply chain management, Trade association codes of practice or ethics</li> <li>□ Effective practice within the employment related services sector: good time management, gaining the best result possible for the client</li> </ul>
		3.3 Explain how to ensure compliance with legislation and/or regulations relevant to delivery of employment related services	<ul style="list-style-type: none"> <li>□ Legislative and regulatory requirements within employment related services: data protection, equality, freedom of information, health and safety at work, employment rights and responsibilities</li> </ul>
		3.4 Describe how to comply with organisational standards relating to service delivery	<ul style="list-style-type: none"> <li>□ Organisational standards: data protection, confidentiality, accurate recording and filing of paperwork, effective time management, effective case management, appropriate and effective communication</li> </ul>

Learning outcomes		Assessment criteria	Unit amplification
4	Understand labour market information for delivery of employment related services	4.1 Identify labour market information that is relevant to delivery of services in own area of responsibility	<ul style="list-style-type: none"> <li><input type="checkbox"/> Understand labour market information at local level and have a broad understanding of national and neighbouring local areas.</li> <li><input type="checkbox"/> Sources of labour market information: local authority statistics, department for work and pensions website, UK data archive website, UK national statistics website</li> </ul>
		4.2 Explain how to collect current, relevant labour market information from reliable sources	<ul style="list-style-type: none"> <li><input type="checkbox"/> Understanding of information collection from reliable sources: in hard copy via reports from within organisation or from websites</li> </ul>
		4.3 Describe the key characteristics of the labour market for: <ul style="list-style-type: none"> <li>• major industries</li> <li>• key employers and occupations</li> <li>• skills in demand</li> <li>• trends</li> <li>• other factors affecting the labour market</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Key major industries: e.g. retail, hospitality, care, administration</li> <li><input type="checkbox"/> Key employers both locally and nationally: e.g. large supermarket chains, national hospitality employers, local and national care organisations, key local employers</li> <li><input type="checkbox"/> Skills in demand: e.g. IT, manual skills, communication</li> <li><input type="checkbox"/> Trends and other factors: employment factors locally, level of unemployment locally compared to nationally, new industries opening locally</li> </ul>

Learning outcomes	Assessment criteria		Unit amplification
5 Understand how to improve service delivery by using labour market information	5.1	Identify specific improvements that could be made to the service delivery as a result of labour market information	<ul style="list-style-type: none"> <li>□ Understand how to identify what an improvement is and how it can be used to improve service delivery: engaging with a new employer who has just started working in the local area and engaging with the employer early to encourage employment of clients</li> <li>□ Improvements to paperwork, systems of dealing with client, communication and communication channels, including improvements to working with partners and stakeholders</li> <li>□ Improvements to delivery of training courses to streamline to labour market information and local needs</li> </ul>
	5.2	Describe how to use the results of labour market analysis to improve service delivery in own job role or own team	<ul style="list-style-type: none"> <li>□ Improvements within own job role, e.g. communication channels, time-management skills, paperwork amendment, effective working practices in line with organisation requirements</li> <li>□ Improvements within own team, e.g. communication, team management, division of team work objectives</li> </ul>

## Information for tutors

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### Delivery

A practical approach to this unit is recommended as learners need to demonstrate knowledge and understanding of the employment related services sector and how their organisation and job fit into it.

For learning outcome 1, learners need to know who the key stakeholders are, learners need to be able to summarise the relationship between the key stakeholders and their own organisation. They may have some experience of the employment related services sector and understand what the objective and role of the sector is, including how their own role relates to the needs of the sector and key stakeholders. Learners also need to know what contractual obligations are in place and how they apply to their job role.

Learning outcome 2 requires learners to understand the different types of programmes and services delivered in the employment related services sector. Learners need to take into account who the recipients of the services are and how the services are delivered in the sector. Learners also need to be able to explain how programmes and services relate to each other.

Learning outcome 3 requires learners to show an understanding of the industry and ethical standards in place and what is expected of them, for example confidentiality, data protection. Learners need to show that they understand what effective practice is and how compliance and organisation standards relate to service delivery. Learners may need to research data protection, confidentiality, equality and diversity law, and regulations. Learners may have some experience of primary frameworks but may need further research and learning using the Department for Work and Pensions website.

Learning outcome 4 requires learners to understand the local labour market. They also need to have a broad understanding of the labour market nationally and in the neighbouring local areas. The labour market should be discussed in relation to major industries, key employers and occupations, skills in demand, trends and any other factors that affect it. Learners can research through their own organisation and trade magazines and publications. Learners need to analyse labour market information to extract the relevant data that will allow them to identify an improvement to service delivery.

Learning outcome 5 requires learners to identify improvements that can be made to service delivery as a result of the information they have researched on the labour market. Improvements can be for the learner's organisation and do not necessarily need to be major changes.

All learning outcomes are knowledge based and it is recommended that learning outcomes are delivered in sequential order, from learning outcome 1 to learning outcome 5. Learners may have experience of one part of the employment-related services sector and may need to research other relevant services and delivered programmes within the sector.

Learners may wish to produce product evidence as supplementary evidence for this unit, this evidence can be cross-referenced with other units chosen by the learner.

## Assessment

Learners must meet all learning outcomes and assessment criteria to achieve this unit.

The main assessment methods for this unit are discussion and internally devised assessments.

Assessment can be in the form of discussions or centre devised assessments and mark schemes for this unit. Additional supporting evidence can be provided should learners wish to provide this to back up discussions.

This unit can be assessed holistically along with the other employment related services units.

It is advised that learners keep a log of evidence recorded against each assessment criterion.

## Suggested resources

### Websites

<a href="http://www.dwp.gov.uk/adviser/updates/new-enterprise-allowance/">www.dwp.gov.uk/adviser/updates/new-enterprise-allowance/</a>	New Enterprise Allowance Scheme information
<a href="http://www.dwp.gov.uk/docs/work-choice-section1.pdf">www.dwp.gov.uk/docs/work-choice-section1.pdf</a>	Work Choice Programme information
<a href="http://www.dwp.gov.uk/supplying-dwp/what-we-buy/access-to-work">www.dwp.gov.uk/supplying-dwp/what-we-buy/access-to-work</a>	Access to Work Information
<a href="http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/jobcentre-plus-support/">www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/jobcentre-plus-support/</a>	Jobcentre Plus support contracts information
<a href="http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-guidance/work-programme-provider.shtml">www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-guidance/work-programme-provider.shtml</a>	Work Programme information

## **Unit 2: Providing Excellent Customer Service**

**Unit reference number: K/602/1597**

**QCF level: 3**

**Credit value: 6**

**Guided learning hours: 40**

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### **Unit aim**

This unit aims to develop understanding of customer service offers and how they are designed to meet the needs of customers and the organisation. Learners will develop knowledge of the factors that can affect the customer service offer, including procedures, regulations and legislation.

### **Essential resources**

There are no special resources needed for this unit.

## Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes	Assessment criteria	Unit amplification
1 Know what makes good customer service	1.1 Explain the importance of effective teamwork for the delivery of excellent customer service	<ul style="list-style-type: none"> <li>□ Team characteristics: e.g size, relationship to other functional areas, individual and team roles and responsibilities, effective and ineffective behaviours</li> <li>□ Importance of effective teamwork: maximise efficiency, support organisation survival and growth, improve competitive advantage</li> </ul>
	1.2 Identify methods of dealing with different types of customers to achieve customer satisfaction	<ul style="list-style-type: none"> <li>□ Different types of customer: segmentation (occupation, income, lifestyle, family, location), consumers, business to business</li> <li>□ Approaches to customer satisfaction: responding to customer requests, up-to-date knowledge of product and service ranges, availability (products, staff), providing accurate information</li> </ul>
	1.3 Explain the importance of effective communication in the delivery of excellent customer service	<ul style="list-style-type: none"> <li>□ Communication requirements: relevant and timely, understandable, available in a format suitable for the customer and nature of the information, e.g. written, oral, online, etc</li> <li>□ Importance to organisation: creates an impression, affects customer confidence, supports sales, avoids misunderstandings</li> </ul>
	1.4 Describe how customer service practitioners can ensure their communication with diverse groups of customers is effective	<ul style="list-style-type: none"> <li>□ Consumers or business to business: characteristics (e.g. age, gender, disabilities, income, interests), location (e.g. local, regional, national, global)</li> <li>□ Communications: customer feedback, including surveys (online, face to face, postal, phone), individual complaints and recommendations, currency and reliability of information given, impact on business</li> </ul>

Learning outcomes		Assessment criteria	Unit amplification	
2	Understand the value of good customer service	2.1	<p>Explain how customers form their expectations of customer service</p> <ul style="list-style-type: none"> <li>□ Customer service expectations: availability of information on customer rights and complaint procedures, access to communication channels including ease of giving feedback, staff attitudes, overall efficiency, type of additional services offered, comparison with competitor services</li> </ul>	
		2.2	<p>Describe how customer service can contribute to best value in organisations</p> <ul style="list-style-type: none"> <li>□ Best value: putting customer first, benefits of using benchmarking, commitment to implement improvements</li> </ul>	
		2.3	<p>State how customer service can provide a competitive advantage for commercial organisations</p> <ul style="list-style-type: none"> <li>□ Competitive advantage in commercial organisations: effective management, market awareness, ongoing market research including focus groups, aims and objectives (sales, profitability, repeat business, market position, job security)</li> </ul>	
		2.4	Outline the importance of continuous improvement within customer service	<ul style="list-style-type: none"> <li>□ Continuous improvement: learning from others, weaknesses identified and addressed, improvements implemented</li> </ul>
				<ul style="list-style-type: none"> <li>□ Risks of failing to address customer service weaknesses: increased complaints, loss of market share and customers, falling profitability, implications for viability of business, reduced job security</li> </ul>



Learning outcomes		Assessment criteria	Unit amplification
3	Know about customer service offers	3.1 Describe how customer service offers are designed to meet customer expectations	<ul style="list-style-type: none"> <li>□ Service offer: extent and limit of the customer service, identifying and meeting customer expectations and requirements, adapting service to meet changing circumstances and customer groups</li> </ul>
		3.2 Identify how service offers are affected by resource limitations	<ul style="list-style-type: none"> <li>□ Resource limitations: e.g. nature of the organisation (premises, location), access to physical resources, transport facilities and technological support, availability of supplies, staff availability, opening times</li> </ul>
		3.3 Identify the impact that service offers may have on different people in the service chain	<ul style="list-style-type: none"> <li>□ People in service chain: sales representatives, suppliers, customer service, distributors, manufacturers, after sales support, management, retailers, customers</li> <li>□ Impact of service offers: viability of offer, relationships with external organisations, staff and management requirements</li> </ul>
		3.4 Outline why organisations need to balance customer satisfaction with organisational goals	<ul style="list-style-type: none"> <li>□ Organisational goals: e.g. survival, expansion, contraction, reduced costs, additional sources of revenue, improved or reduced service levels</li> <li>□ Impact on customer satisfaction: expectations, satisfaction levels</li> </ul>

Learning outcomes		Assessment criteria	Unit amplification
4	Understand factors affecting the service offers of organisations	4.1	<p>Explain the importance of following organisational procedures in the delivery of customer service</p> <ul style="list-style-type: none"> <li>□ Organisational procedures: formalised procedures with clear stages, informal custom and practice, unendorsed changes to organisational procedures, planned changes</li> </ul>
		4.2	<p>Compare the different approaches to customer service across industries</p> <ul style="list-style-type: none"> <li>□ Characteristics of industries: purpose, ownership, management, sector, scale, size, location (local, national, global)</li> <li>□ Approaches to customer service: aims and objectives, communication methods (face to face, online, telephone, letter), formality of processes and procedures (dedicated team or individual, all staff)</li> </ul>
		4.3	<p>Describe features of services or products that can influence customer service delivery</p> <ul style="list-style-type: none"> <li>□ Features of products or services: elasticity of demand and supply, sales methods, consumer (e.g. face to face, online, mail order), business to business, location, premises, variety of product ranges and characteristics, pricing and special offers, after sales service</li> </ul>
		4.4	<p>Justify ethical and value based approaches of organisations to customer service</p> <ul style="list-style-type: none"> <li>□ Value-based and ethical approaches: putting customers first, listening to what customers value, using feedback as a basis for planning improvement, impact of organisation on local residents and environment</li> </ul>
		4.5	<p>Explain how personal behaviour affects the success of any changes to customer service delivery</p> <ul style="list-style-type: none"> <li>□ Personal behaviour: experience and knowledge, adaptability, efficiency and promptness, attitude and approachability, flexibility</li> <li>□ Impact of changes on customer service: positive, negative, neutral</li> </ul>
		4.6	<p>Outline legislation that impacts on customer service</p> <ul style="list-style-type: none"> <li>□ Legislation: key requirements of health and safety at work, equality, data protection, trade descriptions, unfair contract terms, sale of goods, consumer protection, consumer credit, sale and supply of goods</li> </ul>
		4.7	<p>Outline external regulation that impacts on customer service</p> <ul style="list-style-type: none"> <li>□ External regulation: e.g. Institute of Customer Service, Unfair Terms in Consumer Contracts, Office of Fair Trading, Ofgem, Ofwat</li> </ul>

Learning outcomes		Assessment criteria	Unit amplification
5	Understand how organisational policies and procedures can impact on customer service improvements	5.1 Outline types of organisational policies and procedures that need to be taken into account when proposing improvements in customer service	<ul style="list-style-type: none"> <li>□ Policies and procedures: customer rights, contractual agreements, staff contracts and responsibilities, staff development and appraisal schemes, services, e.g. customer loyalty schemes, free delivery</li> </ul>
		5.2 Explain how to gain approval to change customer service procedures	<ul style="list-style-type: none"> <li>□ Changing procedures: developing a business case, benefits versus costs, assessing positive and negative impact on service provision</li> </ul>
		5.3 Identify the limitations of the roles of customer service practitioners	<ul style="list-style-type: none"> <li>□ Limitations of customer service roles: span of control, extent of experience and knowledge, availability, location, coping with varying levels of customer demand</li> </ul>
		5.4 Identify who needs to be involved if customer service practitioners cannot authorise improvements alone	<ul style="list-style-type: none"> <li>□ Authorising improvements: managers, budget holders, other relevant staff, suppliers, distributors, retailers</li> </ul>
		5.5 Explain strategies that can be used to involve colleagues or service partners in the implementation of improvements	<ul style="list-style-type: none"> <li>□ Strategies to involve others in implementing improvements: early consultation, appropriate information, regular communications and updates, realistic timescale for implementation</li> </ul>

## Information for tutors

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### Delivery

This unit should be delivered in the workplace in a way that develops knowledge and understanding of what customer service offers are. Learners will benefit from focusing on the overall requirements of each learning outcome, rather than focusing on each individual assessment criterion. Learners will develop knowledge and understanding of the value and effect of customer service offers on the effective delivery of customer service. They should also learn about the effect that procedures and regulations can have on the service offer.

Learners should be encouraged to engage with employers and other employees to gain knowledge and understanding of the customer service offer in their organisation.

Perspectives on effectiveness of the service offer gained through engaging with customers, employers and employees, rather than through a purely theoretical context are key. This should be made possible by learners working with other customer service deliverers, particularly line managers.

It is suggested that the learning outcomes are delivered in sequential order, from learning outcome 1 to learning outcome 5.

Learning outcome 1 requires learners to demonstrate knowledge of what makes good customer service, focusing on teamwork, dealing with different customer groups and effective communication. Learners should be able to draw on their experiences as customers as well any experience gained in a customer service role.

Learning outcome 2 requires learners to demonstrate understanding of the value of good customer service, including how customers form expectations, and how customer service contributes to best value in an organisation and to a commercial organisation gaining competitive advantage. Opportunities for continuous improvement in customer service need to be considered.

Learning outcome 3 expects learners to know how service offers meet customer expectations and the impact on different stakeholders in the service chain. They also need to consider the effect of resource limitations and the relationship between satisfied customers and organisational goals.

Learning outcome 4 requires understanding of factors affecting service offers, including organisational procedures, types of industry and products, and ethical and value-based approaches. Learners must also consider the impact of personal behaviour, legislation and external regulation on the service offer.

Learning outcome 5 requires learners to demonstrate understanding of how policies and procedures impact on improvements to customer service. Learners will need to consider the types of policies and procedures used in organisations and how to get approval for changes. They will need to identify limitations of customer service roles and suggest other stakeholders who need to be involved in authorising changes to customer service. Finally, learners will need to consider strategies to involve others in the implementation of improvements.

This unit could be delivered through distance learning. However, this will involve additional, and different, considerations, such as careful planning and other measures, to ensure learners can gain the required knowledge and understanding.

## Assessment

Learners must meet all assessment criteria to pass the unit.

The centre will devise and mark the assessment for this unit. Learners must meet all assessment criteria to pass the unit.

The most appropriate way to confirm coverage of all learning outcomes and assessment criteria is through centre-devised assessment materials and professional discussion. Opportunities exist for assessment to include: role play, report writing, a variety of different communication methods, for example posters, diagrams, letters, emails, phone calls, leaflets and presentations, as well as the potential for supporting witness statements to be provided.

The assessor must ensure that the learner has provided sufficient evidence to meet the requirements of each criterion but a holistic approach can be taken to each learning outcome and potentially for the unit as a whole.

## Suggested resources

### Textbooks

Evenson R – *Customer Service Training 101: Quick and Easy Techniques That Get Great Results* (Amacom; 2nd edition, 1 Oct 2010) ISBN-13: 978-0814416419

Leland K, Bailey K – *Customer Service for Dummies* (John Wiley & Sons; 3rd edition, 12 May 2006) ISBN-13: 978-0471768692

### Websites

<a href="http://www.businesscasestudies.co.uk/#axzz2CrOKcXNE">www.businesscasestudies.co.uk/#axzz2CrOKcXNE</a>	<i>Times</i> 100 Business Case Studies
<a href="http://www.customer-insight.co.uk/">www.customer-insight.co.uk/</a>	<i>Customer Insight</i> magazine
<a href="http://www.instituteofcustomerservice.com/">www.instituteofcustomerservice.com/</a>	Institute of Customer Service

# **Unit 3: Manage own Professional Development within an Organisation**

**Unit reference number:** L/600/9586

**QCF level:** 3

**Credit value:** 4

**Guided learning hours:** 20

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## **Unit aim**

The aim of this unit is for learners to demonstrate how they manage their professional development in an organisation. This will include the ability to assess own career goals, personal development and setting personal work objectives. Learners will need to produce a personal development plan and demonstrate how it is implemented and monitored.

## **Essential resources**

There are no special resources needed for this unit.

## Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes	Assessment criteria	Unit amplification
1	<p>1.1 Be able to assess own career goals and personal development</p> <p>1.2 Identify own career and personal goals</p>	<ul style="list-style-type: none"> <li>□ Personal goals can be aspirations that the learner has and wants to achieve on a personal level, e.g. passing driving test, carrying out voluntary work, studying a specific subject of interest</li> <li>□ Career goals: what job/position person wants/sees themselves in now/future (e.g. short-term, medium-term and long-term career/personal goals)</li> <li>□ Use a development plan and link career and personal goals to the PDP and current/future work, work life balance, mobility (readiness to move)</li> </ul>
2	<p>2.1 Be able to set personal work objectives</p> <p>2.1.1 Assess how own career goals affect work role and professional development</p> <p>2.1.2 Agree SMART (Specific, Measurable, Achievable, Realistic and Time-bound) personal work objectives in line with organisational objectives</p>	<ul style="list-style-type: none"> <li>□ How career goals link to current work and knowledge needed for job role: job specifications can be used as a tool to recognise gaps in goal and knowledge</li> <li>□ Knowledge and application of TNA (training needs analysis) and how it can link into personal/career goals</li> <li>□ SMART objectives: how to set them, who to set them with, how to assess them, how they help to achieve work objectives, how they fit into team and organisation objectives</li> <li>□ Ways of measuring objectives: team meetings, one-to-one supervision, staff appraisals, development plans and work reviews, e.g. six-monthly appraisals</li> <li>□ Tools learners can use to show how they have SMART targets: Personal Development Plan (PDP), to-do lists, work calendars</li> </ul>

Learning outcomes		Assessment criteria		Unit amplification
3	Be able to produce a personal development plan	3.1	Identify gaps between objectives set, own current knowledge and skills	<ul style="list-style-type: none"> <li>□ Use of job descriptions, job roles, appraisals to identify gaps within current knowledge and skills sets</li> <li>□ Showing how knowledge fits into current work objectives and how any gaps can be identified. Is the gap of knowledge critical to work role or future work role?</li> <li>□ Consideration of learning styles, e.g. Kolb’s learning cycle, Honey and Mumford</li> </ul>
		3.2	Produce a development plan	<ul style="list-style-type: none"> <li>□ Transfer objectives into development plan</li> </ul>
4	Be able to implement and monitor own personal development plan	4.1	Plan activities identified in own development plan	<ul style="list-style-type: none"> <li>□ Appropriate ways to undertake development activity: external training/learning, internal training/learning, timescales, resources needed including people and technology, support available and cost</li> </ul>
		4.2	Explain how to monitor and review own personal development plan	<ul style="list-style-type: none"> <li>□ Record keeping of development activity undertaken and what it should contain, e.g. date and what the outcome was and any ensuing further action</li> <li>□ Recording of success of development activity, e.g. certificate, completed development plan with dates all filled in and reviews</li> <li>□ Appraisal can show progression of performance as a result of any development activity</li> <li>□ Evaluation of development activity: which activity was successful and why, how skills and knowledge have benefited, how this has impacted on performance and job role</li> <li>□ Obtaining feedback from managers, colleagues, customers and how it fits into the monitoring and evaluation process of development process</li> <li>□ How evaluation feeds into the self-development cycle</li> </ul>



## Information for tutors

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### Delivery

A practical approach to this unit is recommended, as the learners need to demonstrate knowledge and competence through their performance and ability to assess career and personal goals, set work objectives, produce a personal development plan and implement and monitor the development plan.

All learning outcomes are performance based and this can be demonstrated through using various assessment tools such as discussions, observations, witness testimony and product evidence, for example a development plan.

Learning outcome 1 requires learners to demonstrate their competence and performance in being able to identify their own career and personal goals and show how their career goals affect their work role and professional development. Development plans and appraisal are primary sources of evidence for this learning outcome. Both of these pieces of evidence will be able to link the learner's career and personal aspirations with their current and future work.

Learning outcome 2 requires learners to understand what SMART means and what SMART targets are. In turn, learners need to show how they apply SMART to their work objectives and how it fits in with organisational objectives.

Learning outcome 3 requires learners to show, through their development plan, how they identify gaps between objectives that have been set for them and their existing knowledge and skills set. Learners need to understand what should be in a development plan so that they can produce one for themselves.

Learning outcome 4 requires learners to show how to plan identified activities from their development plan. They need to take account of timescales, priorities, cost, and resource and support factors. Learners need to be able to show how they monitor and review their personal development plan and who else may be involved in it with them, for example managers, course tutors, colleagues etc. Learners also need to show how they identify whether the development undertaken enhances their work performance.

### Assessment

Learners must meet all the learning outcomes and assessment criteria to achieve this unit.

Assessment can be in the form of discussions, observation, product evidence, learner reflective statements and witness testimonies.

It is advised that learners keep a log of evidence recorded against each assessment criterion.

## Suggested resources

### Websites

<a href="http://www.cipd.co.uk/hr-resources/">www.cipd.co.uk/hr-resources/</a>	Career development, performance management, employee health and wellbeing, learning and development
<a href="http://www.jobs.ac.uk/careers-advice/managing-your-career/1575/how-to-create-a-professional-development-plan/">www.jobs.ac.uk/careers-advice/managing-your-career/1575/how-to-create-a-professional-development-plan/</a>	How to create a professional development plan
<a href="http://www.mindtools.com">www.mindtools.com</a>	Identifying personal and career goals, meaning of SMART, personal development plans
<a href="http://www.peterhoney.com/content/buyers-guide-how-to-produce-personal-development-plans.html">www.peterhoney.com/content/buyers-guide-how-to-produce-personal-development-plans.html</a>	Peter Honey manuals on producing development plans

## **Unit 4: Ensure Compliance with Legal, Ethical and Social Requirements**

**Unit reference number: H/600/9609**

**QCF level: 4**

**Credit value: 5**

**Guided learning hours: 25**

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### **Unit aim**

This unit helps learners to identify and correct failures in compliance with the legal, regulatory, ethical and social requirements relating to their own areas of responsibility.

### **Essential resources**

There are no special resources needed for this unit.

## Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes	Assessment criteria	Unit amplification
<p>1 Be able to monitor the operational compliance of procedures in meeting legal, ethical and social requirements</p>	<p>1.1 Monitor the operational compliance of procedures in meeting legal, regulatory, ethical and social requirements</p>	<ul style="list-style-type: none"> <li>□ Awareness of current legal requirements: employment relations, health and safety at work, equality, data protection and other relevant legislation, e.g. trade descriptions, sale of goods, consumer protection, sale and supply of goods, unfair contract terms and conditions, freedom of information</li> <li>□ Awareness of current regulatory requirements: e.g. management of health and safety at work, manual handling operations, health and safety display screen, electricity at work, reporting of injuries, use of work equipment, first aid, relevant EU Directives, requirement for continuing professional development</li> <li>□ Ethical requirements: code of business ethics (purpose and relevance to employees, customers, shareholders, suppliers, local and wider community), socially responsible investment (SRI), transparency, fairness</li> <li>□ Social requirements: continuing process, organisation's own policies and procedures, suppliers and distributors policies and procedures, improving conditions (health, safety, fundamental rights) for employees and stakeholders (local, regional, national, global), protecting areas of operation (communities, environment)</li> </ul>

Learning outcomes	Assessment criteria	Unit amplification
		<ul style="list-style-type: none"> <li data-bbox="288 230 560 1167">□ Prepare to monitor operational compliance: all guidance, policy and procedure documentation in place (process based format, up to date, current, consistent, relevant, accessible to relevant stakeholders, implemented), management roles and responsibilities defined in documentation, relevant staff aware of the requirements and their responsibilities, reporting lines to named personnel, risk measures established, e.g. individuals, teams, functional areas, organisation, individual premises, suppliers</li> <li data-bbox="584 215 715 1167">□ Conduct monitoring procedures for operational compliance: implement checks (regular planned reviews, random, response to potential or actual failure in compliance), timescales, standard templates for recording outcomes</li> <li data-bbox="738 188 906 1167">□ Complete monitoring procedures for operational compliance: collate data and information, potential or actual risks raised with relevant managers, report prepared, plans for future changes to compliance requirements considered, e.g. updates to guidance, policy and procedure documentation, staff training</li> </ul>

Learning outcomes	Assessment criteria		Unit amplification
<p>2 Be able to identify and make recommendations on areas of non-compliance with procedures for legal, regulatory, ethical and social requirements relating to own area of responsibility</p>	2.1	Identify areas of non-compliance with legal, regulatory, ethical and social procedures	<ul style="list-style-type: none"> <li>□ Non-compliance with legal, regulatory, ethical and social requirements relating to own area of responsibility: specific areas of non-compliance identified (legislation, regulation, ethical, social), risk assessed, actions identified, timescale for rectification determined</li> </ul>
	2.2	Examine reasons for non-compliance with procedures	<ul style="list-style-type: none"> <li>□ Reasons for non-compliance in own area of responsibility: efficiency of management, span of control, size and scale of organisation, awareness of current requirements, appropriateness of organisation's guidelines for policies and procedures, communication channels, introduction of cost-saving measures, staff training, staff numbers and supervision (full time, part time, contract workers), language skills of staff (written, oral)</li> </ul>
	2.3	Make recommendations for corrections to ensure compliance with procedures	<ul style="list-style-type: none"> <li>□ Correcting non-compliance: reporting issues (timely, accurate, named managers, external bodies), analysis of reasons for non-compliance, review (policy and procedure documentation, guidance information, organisational structure, communication channels, staff supervision requirements, training), summarise findings, potential penalties identified, dealing with negative responses, e.g. anger, aggression, stress, denial, blaming others, dismissive</li> <li>□ Recommendations to restore compliance: outcome of review, required actions explained, responsibilities established, deadlines agreed, regular cycle of reviews established</li> </ul>

## Information for tutors

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### Delivery

This unit should be delivered in a way that allows learners to demonstrate their ability to address non-compliance, while developing the knowledge and understanding of the legal, regulatory, ethical and social requirements required in their own area of practice and how they should be monitored. They should also know and understand the benefits of having appropriate policies, procedures in place for measuring compliance with the requirements, and ensuring that managers and staff are kept updated and fully aware of these requirements.

Learners should be encouraged to engage with employers and other employees to gain knowledge and understanding of the legal, regulatory, ethical and social requirements in their own area of responsibility. This will better enable them to identify when non-compliance with requirements has occurred and to make suitable recommendations for actions to restore compliance with all legal, regulatory, ethical and social requirements with a suitable timescale.

Learning outcome 1 requires learners to be able to monitor operational compliance to meet requirements in their own area of responsibility, these will need to be clearly defined for the tutor. Learners will need to develop knowledge and understanding to allow them to demonstrate awareness of key aspects of legislation for health and safety, equality and diversity, employment and data protection, as well as all other legislation and regulation applicable to their area of responsibility. They will also need to consider the impact of ethical and social requirements. Learners will need to demonstrate how monitoring compliance can be carried out, including the arrangements for preparing, conducting and completing the monitoring activity.

Learning outcome 2 expects learners to be able to identify areas of non-compliance with procedures in their own area of responsibility and examine the underlying reasons, before making recommendations to correct the situation and establish compliance. Learners will consider the need to comply with relevant legislation, regulation, ethical and social requirements, the need to assess the risk of potential non-compliance, the impact of the nature of the organisation and appropriateness of guidelines, policies and procedures. They should also consider the roles of staff, together with the need for adequate supervision, the overarching responsibilities on management, availability of appropriate training and the need for updating. Finally learners will need to demonstrate they are able to carry out reviews, report the findings, establish suitable action plans and make recommendations to ensure full compliance.

This unit could be delivered through distance learning. However, this will involve additional, and different, considerations such as planning, and other measures to ensure learners can gain the required knowledge and understanding. Centres need to refer to Pearson's Distance Learning Policy if this unit is delivered through distance learning.

## Assessment

The centre will devise and mark the assessment for this unit.

Learners must meet all assessment criteria to pass the unit.

The most appropriate way to confirm coverage of all learning outcomes and assessment criteria in this unit is through centre-devised assessment materials, practical demonstration and professional discussion. Learners will need to demonstrate the ability to write reports, and create and update guidance documents, use templates and communicate effectively. A variety of other written and oral communication methods could be used in assessment, for example posters, diagrams, letters, leaflets, face-to-face meetings and presentations. Learners may find it helpful to use case studies and engage in role play. Supporting witness statements can be provided.

The assessor must ensure that the learner has provided sufficient evidence to meet the requirements of each criterion but a holistic approach to the unit can be taken.

## Suggested resources

### Journal

Westburn Publishers Ltd – *Social Business*

### Websites

<http://www.ibe.org.uk/>

Institute of Business Ethics

[http://unltd.org.uk/wp-content/uploads/2012/11/The\\_Ethical\\_Business\\_Guide.pdf](http://unltd.org.uk/wp-content/uploads/2012/11/The_Ethical_Business_Guide.pdf)

*The Ethical Business Guide*. How to run your business the ethical way



## 13 Further information and useful publications

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

- Pearson Edexcel: **[www.edexcel.com/contactus](http://www.edexcel.com/contactus)**
- Pearson BTEC: **[www.btec.co.uk/contactus](http://www.btec.co.uk/contactus)**
- Pearson Work Based Learning: **[www.pearsonwbl.com/contactus](http://www.pearsonwbl.com/contactus)**
- books, software and online resources for UK schools and colleges: **[www.pearsonschools.co.uk/contactus](http://www.pearsonschools.co.uk/contactus)**

Other sources of information and publications available include:

- *Pearson Equality Policy*
- *Edexcel Information Manual* (updated annually)
- *Recognition of Prior Learning Policy*
- *Quality Assurance Handbook* (updated annually)
- *Access Arrangements, Reasonable Adjustments and Special Consideration for General and Vocational Qualifications*
- *Supplementary Guidance for Reasonable Adjustment and Special Consideration in Vocational Internally Assessed Units*
- *Distance Assessment Policy* (Pearson)
- *Distance Learning Policy* (Pearson)

Publications on the quality assurance of Pearson BTEC qualifications are available on our website at [www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx](http://www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx)

Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please go to [www.edexcel.com/resources/Pages/home.aspx](http://www.edexcel.com/resources/Pages/home.aspx)

### Additional resources

If you need further learning and teaching materials to support planning and delivery for your learners, there is a wide range of BTEC resources available.

Any publisher can seek endorsement for their resources, and, if they are successful, we will list their BTEC resources on our website at: [www.edexcel.com/resources](http://www.edexcel.com/resources)

## 14 Professional development and training

Pearson supports UK and international customers with training related to Pearson BTEC qualifications. This support is available through a choice of training options offered in our published training directory, or through customised training at your centre.

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

- 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 functional skills into your programme
- building in effective and efficient quality assurance systems.

The national programme of training we offer is on our website at: [www.edexcel.com/training](http://www.edexcel.com/training). You can request customised training through the website or you can contact one of our advisors in the Training from Pearson UK team via Customer Services to discuss your training needs.

### BTEC 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 have designed our new network events programme to allow you to share your experiences, ideas and best practice with other BTEC colleagues in your region. Sign up to the training you need at: [www.btec.co.uk/training](http://www.btec.co.uk/training)

**Regional support:** our team of Curriculum Development Managers and Curriculum Support Consultants, based around the country, are responsible for providing advice and support in centres. They can help you with planning and curriculum developments. If you would like your Curriculum Development Manager to contact you, please get in touch with your regional office on: 0844 463 2535.

### Your Pearson BTEC support team

Whether you want to talk to a sector specialist, browse online or submit your query for an individual response, there's someone in our Pearson BTEC support team to help you whenever – and however – you need:

- **Subject Advisors:** find out more about our subject advisor team – immediate, reliable support from a fellow subject expert – at: [www.edexcel.com/subjectadvisors](http://www.edexcel.com/subjectadvisors)
- **Ask Edexcel:** submit your question online to our Ask Edexcel online service [www.edexcel.com/ask](http://www.edexcel.com/ask) and we will make sure your query is handled by a subject specialist.

## Assessment strategy

### 1 Introduction

- 1.1 The Employment Related Services Assessment Strategy is designed to provide Pearson and approved centres with a robust and flexible approach to deliver assessment for Employment Related Services NVQs and competence-based qualifications. Where units are imported from NVQs and competence-based qualifications in Advice and Guidance, Learning and Development, Management and Customer Service the requirements of the associated assessment strategies for the units must be adhered to,

### 2 External quality control

- 2.1 Pearson will provide qualifications and quality assurance that support their delivery to all Employment Related Services NVQs and competence-based qualification assessment centres in line with regulatory requirements in England, Scotland, Wales and Northern Ireland.
- 2.2 Pearson will use independent assessment<sup>1</sup> for NVQs and competence based qualifications.

### 3 Assessing performance

- 3.1 Assessment of all units at any level of Employment Related Services NVQs / SVQs and competence-based qualifications may be based on either learner performance at work or, only where this is strictly necessary, through simulation (See Section 4 below).
- 3.2 Units imported into the Employment Related Services NVQs and competence-based qualifications must be assessed in accordance with the imported assessment strategies.

### 4 Simulation of NVQ units

- 4.1 Simulation is only permitted with agreement from Pearson in exceptional circumstances where natural work evidence is unlikely to occur. It must be used sparingly and must only form a small part of the evidence for the qualification. It should not be used for any part of the Employment Related Services role that involves the direct supervision of others.

### 5 Occupational expertise to assess performance and verify assessments

- 5.1 Evidence of learners' work achievements must be assessed, or verified at work by:
- a. **Assessors, or internal verifiers** who have achieved the appropriate regulatory body approved qualifications for assessment or internal quality assurance; or are working towards achievement of, the appropriate regulatory body approved qualifications for assessment or internal quality assurance the achievement of which must be made within 18 months of starting their role;

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<sup>1</sup> Independent assessment is assessment of learners' work that is carried out by assessors who do not have a vested interest in the outcome

**OR**

- b. A **trainer, supervisor or manager**, elected by an employer, who must either:
1. Have achieved the appropriate regulatory body approved unit qualifications for assessment or internal quality assurance, or be working towards achieving, appropriate regulatory body approved unit qualifications for assessment or internal quality assurance the achievement of which must be made within 18 months of starting their role;

Unqualified assessors and internal verifiers must have their decisions counter-signed by suitably qualified assessors and internal verifiers.

**OR**

2. Employer organisations may seek guidance and qualification approval from Pearson on the basis of the 'Employer Direct' model where they are able to demonstrate that the:
    - o Organisation has appropriate processes in place to facilitate assessment, moderation or verification functions;
    - o Trainer, supervisor or manager is able to map their assessment or internal verification skills and knowledge 100% to the National Occupational Standards upon which the qualifications above are based.
- 5.2 **Assessors** must be occupationally competent to make Employment Related Services assessment judgements about the level and scope of individual learner performance at work; and occupationally competent to make assessment judgements about the quality of assessment and the assessment process.
- 5.3 **External Verifiers** and **Internal Verifiers** must be occupationally competent to make Employment Related Services quality assurance judgements about the quality of assessment and the assessment process.
- 5.4 Pearson will supply information on the requirements for internal and external quality assurance activities to Employment Related Services assessment centres.
- 5.5 All assessors and verifiers to maintain current Employment Related Services competence to deliver these functions. It is recognised this can be achieved in many ways but these must be recorded in individual continual professional development (CPD) records that are maintained in Employment Related Services assessment centres.



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**For more information on Edexcel and BTEC qualifications please visit our websites: [www.edexcel.com](http://www.edexcel.com) and [www.btec.co.uk](http://www.btec.co.uk)**

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